



STAFF COMPOSITION
AND DIVERSITY MANAGEMENT
AMONG AIN MEMBERS
BASELINE STUDY



Association of International NGOs in Nepal

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Abbreviations

AIDS	Acquired Immune Deficiency Syndrome
AIN	Association of International NGOs in Nepal
CBWG	Capacity Building Working Group
FGD	Focus Group Discussion
HIV	Human Immunodeficiency Virus
HR	Human Resource
HROD	Human Resource and Organisation Development
INGO	International Non-governmental Organisation
NGO	Non-governmental Organisation
PLHA	People Living with HIV/AIDS
SDC	Swiss Agency for Development and Cooperation
SM	Senior Management
SMT	Senior Management Team
SWC	Social Welfare Council

Foreword

The Association of International Non-governmental organisations (AIN) promotes mutual understanding, exchange of information, and share experiences and learning of AIN's development work in Nepal. Currently AIN comprises 97 INGOs working on a wide-range of issues and in sectors that include education, health, drinking water, hygiene and sanitation, natural resources management, governance, human rights and rural infrastructure, to contribute to community development in Nepal.

AIN is committed to non-discrimination, social inclusion, equity and diversity, and is working towards its achievement by developing recommended INGO-NGO partnership principles and guidelines, and guidelines on workforce diversity.

This Baseline "Study on Staff Composition and Diversity Management among AIN Members" is intended to review the current situation among INGOs and explore existing policies and practises used for promoting greater diversity in the workforce. The study findings will also provide useful information on challenges for AIN members to learn from and to continue to increase workforce diversity in the future.

We would like to gratefully acknowledge the Embassy of Switzerland in Nepal for their partnership in providing financial support to AIN for conducting the study, and special thanks to Sarita Moktan, the Head of Personnel and Administration for her encouragement and technical guidance.

We would like to acknowledge and thank all those who contributed their time, expertise, knowledge and support throughout the study process – by taking part in the study, administering the qualitative and quantitative questionnaires, providing information, compiling and analysing the data and writing up the report.

We are especially grateful to the members of AIN Capacity Building Working Group (CBWG), the coordinator Deepak Koirala and the study working group for their generous involvement in the preparation, design and completion of the study. Our thanks also go to Rebecca Crozier and Deepak Sapkota for their assistance on finalizing the report. And finally, our sincere thanks to Soni Pradhan from the CBWG, who was the research coordinator throughout the study period.



Achyut Luitel

AIN

Chairperson

Summary of Findings

In 2010, AIN undertook a survey among its member organisations to know where INGOs currently stand on workforce diversity and how they are addressing inclusion in the workplace. In general, diversity and inclusion are perceived by AIN members as being value driven, based on the concepts of equity, non-discrimination and equal access and opportunities. In some cases the need to ensure an inclusive workforce is linked to the wider organisational mission. A common rationale for ensuring the practice of diversity and inclusion is to be an example.

A summary of the findings is outlined below.

Brahman (25.7%) and Janajati (25.7%) followed by Chhetri (20.3%) and Newar (18.4%) combined comprise 90.1 percent of the INGO workforce. The representation of Dalit (5.5%), Muslim (0.4%), other Madheshi/Terai Caste (2.5%) is considerably less. Other Caste/Ethnic Minority is 1.2 percent and people living with disability is 0.3% percent.

Regional and gender disparities are evident in the overall staff composition with hill origin people accounting for 67.7 percent of the total staff and those of the Madheshi/Terai region accounting for 13.3 percent. Gender disparity is visible across all hierarchical positions with males comprising a major proportion at all levels. The gap is more apparent at the middle and senior management levels where women account for 24.3 percent and 27.9 percent of these positions respectively.

Of 2,269 staff, women occupy 32.1 percent and men occupy 67.8 percent of the total workforce. Three staff reported as other gender. Gender disparities are evident at the organisational and regional level and across all professional levels. Across all caste and ethnic groups, men account for the majority of the total workforce. Gender disparity in staff composition is less evident among the Janajati and Newar community groups. Combined, these groups account for 56.5 percent (31.4% Janajati and 25.5% Newar) of women in the INGO workforce and show a less pronounced intra group gender disparity than other ethnic groups. Women account for 39.3 percent of the total number of Janajati workforce and Newar women comprise 44.6 percent of the total staff from the Newar community.

The development and practice of policies and guidelines on diversity and inclusion varies across AIN member organisations. Only a few organisations have developed broader social inclusion policy documents with strategies for diversity and inclusion with specific goals to be achieved. Most organisations with social inclusion policies (53.8%) introduced them between 2006 and 2009. The commitment and understanding of diversity and inclusion, including organisational implications at the leadership level, were perceived as making a substantial difference when initiating the formulation and implementation of affirmative policies.

Despite the affirmative action practiced by organisations to enhance inclusion and workforce diversity, implementation of policies and guidelines have their challenges, for example, investing in people to further develop skills and expertise while working on short duration contracts and with budget constraints.

The Association of International Non-governmental Organisations in Nepal (AIN) was founded in 1996 by a group of International Non-governmental Organisations (INGOs) working in Nepal. The purpose of AIN is to promote mutual understanding, exchange information, and share experiences, knowledge and learning in development. As of May 2011, AIN comprises 97 of the 213 INGOs registered in Nepal (SWC, May 2011). By working on a wide-range of issues and sectors – education, health, drinking water, community development, natural resources management, governance, human rights and rural infrastructure – they contribute to the development efforts of the government as well as other stakeholders in Nepal.

AIN is committed to addressing discrimination and social exclusion, based on the priorities of the Government of Nepal, and has developed the “AIN Recommended INGO-NGO Partnership Guidelines for Working in Nepal” which outlines the principles that guide its member organisations towards equity and diversity.

Constitutional and Policy Provisions in Nepal

The Interim Constitution, 2007 advocates special legal provisions to protect the interests of women and other socially excluded groups. The Three Year Interim Plan, 2008, the guiding policy document for Nepal, gives priority to mainstreaming excluded groups at all levels of the state’s structure and a specific strategy has been prepared for this purpose. Likewise, according to the Ordinance on Public Service Commission Act 2008, 45 percent of the public services posts will be allocated to candidates from excluded groups – socially and economically marginalised women, indigenous nationalities, Dalit, Madheshi, Muslim, persons with disability and people from backward regions.

Social Inclusion among AIN Members

Social inclusion is a key priority agenda for AIN and is specifically stated in its Strategic Plans 2008-2010 and 2011-2013. AIN believes that social inclusion requires doing things differently, thinking outside customary boundaries and being more inclusive at the organisational level. It strives to: i) strengthen the coordinated voices of member organisations; ii) work through endorsed priorities across its sector; iii)

foster innovation; and iv) be prepared to let go of practices that are no longer relevant or appropriate. To achieve this AIN must be equipped with the resources and capabilities to connect and engage with all sectors of the population and respond to the growing number of voices calling for equal opportunities, employment and diversity and inclusion in the workplace.

Consultations and assessments among AIN members have helped to clarify and promote diversity and inclusion in the workplace, but have also shown that there is room for improvement to ensure diversity and representation on executive committees as well as in staffing.¹

The AIN Capacity Building Working Group (CBWG) conducted a small study on the use of AIN partnership guidelines to determine: i) how inclusive INGOs are; ii) how they encouraging their partner NGOs to represent community diversity in their staffing and NGO governance; and iii) how they are exploring ways to address the specific needs of people who have been disadvantaged and marginalised. Following the completion of this study, the CBWG and the AIN Steering Committee felt the need for a wider, more in-depth study on workforce diversity that would also address stakeholders' (NGO partners, civil society and government agencies) concerns on governance, transparency and inclusive staff composition.

Thus, to address the concerns of the stakeholders, inform AIN members about the current status and develop baseline data on workforce diversity, this study was undertaken with the financial and technical support of the Swiss Agency for Development and Cooperation (SDC). The data and information, generated by the survey will provide an important knowledge base for promoting and monitoring workplace diversity and a baseline for INGOs with indicators that can be used to track progress over the coming years.

1.2 Objectives

The study objectives are to:

- a) Undergo an AIN member-wide study to know and better understand the development of workforce diversity among AIN members' current affirmative actions by
 - i) obtaining baseline data on staff composition of member organisations
 - ii) analyzing data and identifying institution-specific needs with regard to necessary policies and procedures in promoting workforce diversity
 - iii) taking stock of existing policies on workforce diversity and affirmative actions among AIN member organisations and
- b) Increase staff/workforce diversity among AIN member organisations.

¹ Two workshops: i) "How Inclusive Are We?" in August 2008; and ii) "Reaching Out: How to be More Inclusive?" were held in June 2009 to review and encourage social inclusion policies and practices among member organisations through AIN's Capacity Building Working Group (AIN/CBWG). These were followed by regional level workshops with field staff and partner NGOs to assess structural inclusiveness.

The study relied on primary data and information collected through a baseline survey and focus group discussions. Two sets of questionnaires were administered by the interviewers. The first set, which aimed to collect general information on staff composition and diversity, covered 44 of the total 90 AIN members. The second set, which focused on collecting information on workforce diversity policies, covered 39 members. To gain a better understanding of the current policies and practices, four separate focus group discussions (FGD) were organised to gather qualitative information from selected staffing groups as part of the study process. There were two groups of senior management (SM) staff members from 8 -10 different organisations in each group and another two groups of human resource (HR) personnel from these organisations. Three sensitization and awareness workshops on inclusion and diversity issues were conducted among AIN members where more than sixty members participated. During these workshops participants contributed to the development of the *Guiding Statement of Joint Principles for Workforce Diversity*. For details see Annex 1.

The FGDs for the SM group focused on understanding the role of leadership in their organisations and their perceptions on promoting workforce diversity. The HR group focused primarily on finding out how and to what extent HR personnel are engaged in the promotion of workforce diversity and inclusion and how they perceive their role in the process.

Within these domains, three specific issues or core questions were selected to guide the FGDs:

1. Policies/guidelines and their implementation
2. Key roles in the organisation and
3. Organisational initiatives

The survey was unable to cover all the 90 members of AIN. Approximately half of the members (46 in total) did not take part in the survey.

2

Findings

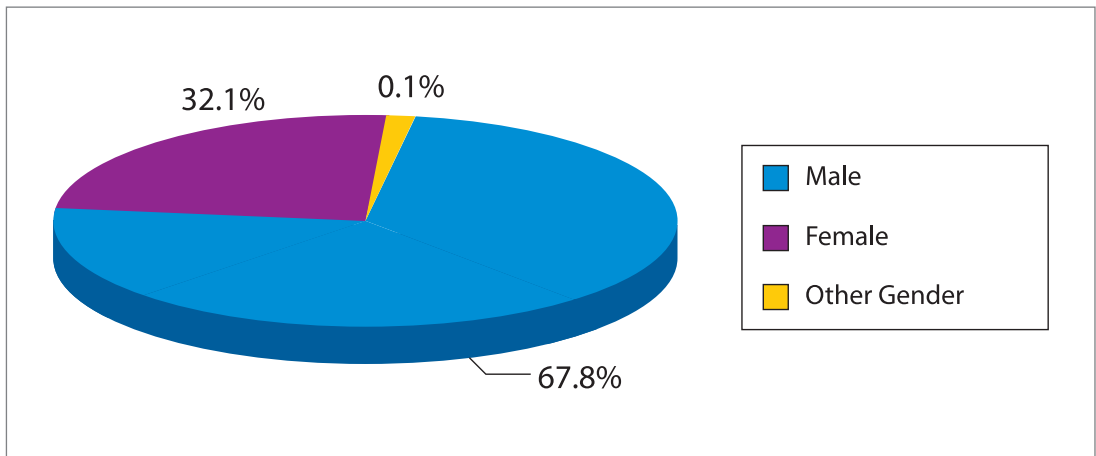
2.1

Gender, Caste and Ethnic Composition

Distribution of Personnel by Gender

Altogether 44 of the 90 AIN members participated in the survey covering a total of 2,269 Nepali personnel from INGOs that range in size from three to 247 staff. Women comprise about one third of the total workforce among the participating INGOs. Of 2,269 staff, women occupy 32.1 percent and men occupy 67.8 percent of the total workforce. Three staff reported as other gender. Percentage in Chart 1.

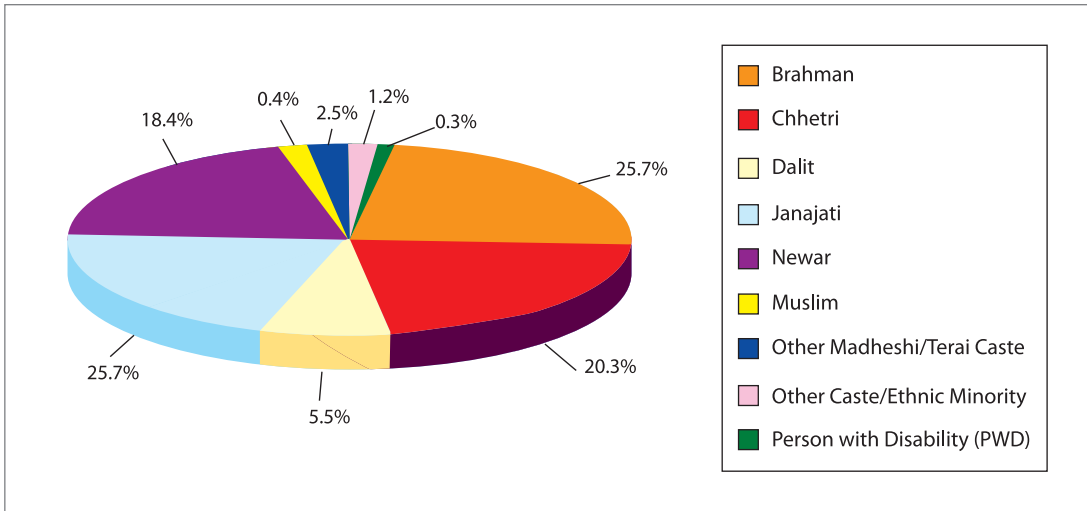
Chart 1: Distribution of Personnel by Gender



Distribution of Personnel by Caste, Ethnicity and Disability

Brahman (25.7%) and Chhetri (20.3%) when combined comprise 46 percent of the total workforce, and Janajati (25.7%) and Newar (18.4%) comprise 44.1 percent. Together they represent 90.1% of the INGO workforce. The representation of Dalit (5.5%), Muslim (0.4%), other Madheshi/Terai Caste (2.5%) is considerably less. Other Caste/Ethnic Minority is 1.2 percent and people living with disability is 0.3 percent. Details are in Chart 2. The majority of personnel from the Newar community (96.6%) are from the non-discriminated Newar group, and 3.4 percent are from the discriminated group.

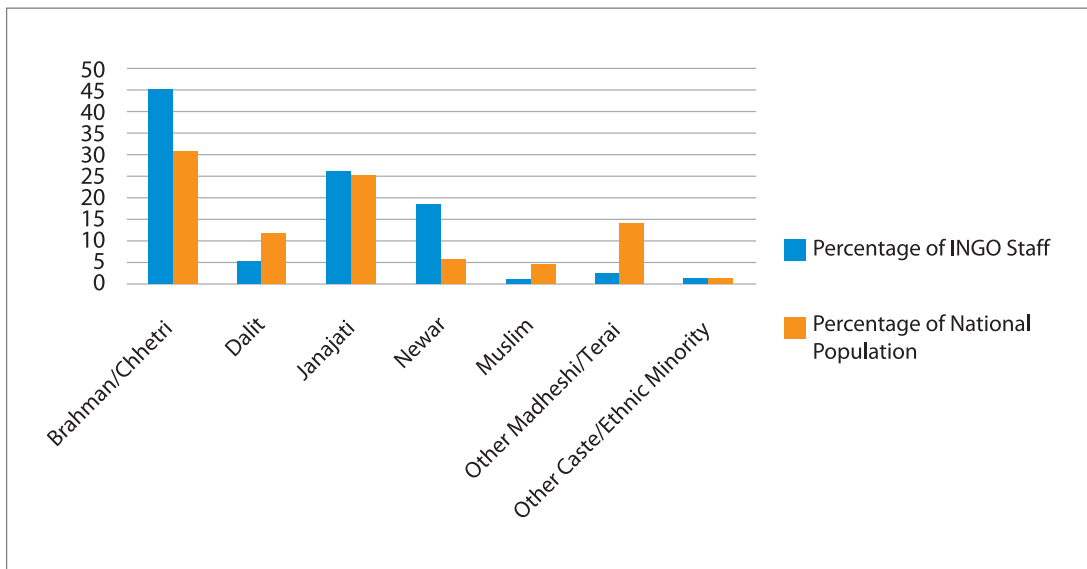
Chart 2: Distribution of Personnel by Caste, Ethnicity and Disability



Comparisons based on the National Profile

When compared with the national profile, INGOs employ a higher percentage of Brahman/Chhetri, Janajati and Newar staff. In contrast, the percentage of Dalit, Muslim and Other Madheshi/Terai employed are considerably less than indicated in the national profile in Graph 1.

Graph 1: Comparison of INGO Staff with Nepal's National Profile

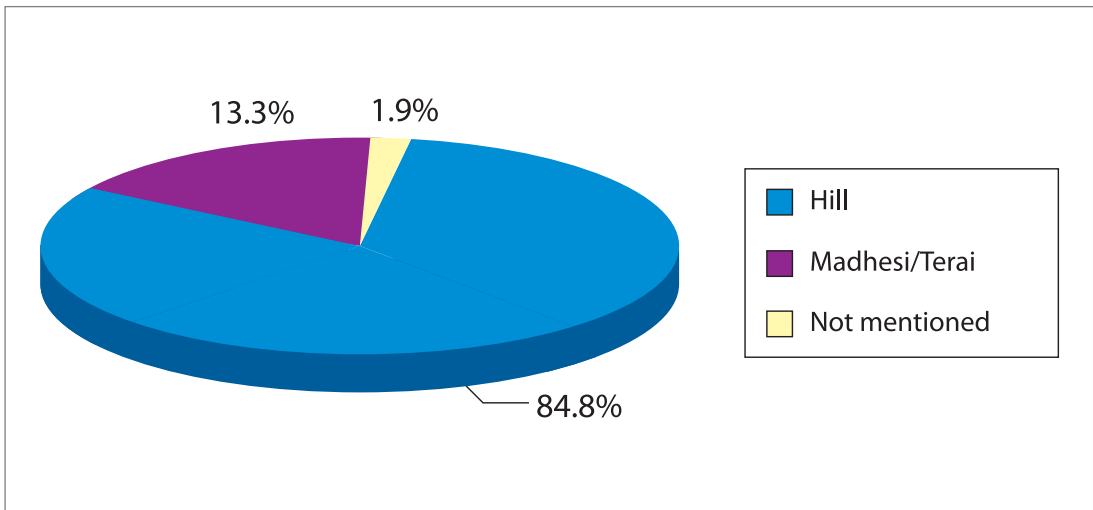


Source: National Profile Data, Central Bureau of Statistics (CBS, 2001)

Distribution of Personnel by Geographical Region

Regional disparities are evident in the overall staffing composition with 84.8 percent being of hill origin. The Madhesh/Terai region, which accounts for nearly half of the country's population, comprised 13.3 percent of the personnel. Details are in Chart 3.

Chart 3: Distribution of Personnel by Geographical Region



Of the 2,269 personnel covered in the survey, the regional identity of 2,226 staff is included in this analysis. Of the 1,924 personnel originating from the hill region, 33.0 percent are women. Similarly, of the 302 personnel originating from the Madhesh/Terai region, 24.8 percent are women, an indication that gender disparities exist across regions with disparity being more pronounced in the Terai region.

The regional composition by sex, across all ethnicity/caste groups in the workforce, depicts a predominance of people from the Hill region in each ethnic group, excluding the Other Madheshi/Terai Caste Group category, all of whom are from the Terai region. Likewise, all personnel from the Newar community are from the Hill region. Overall, the representation of women from the Terai is much lower than men across all ethnicity/caste groups, excluding the Other Madheshi/Terai Caste Group category.

Across all caste and ethnic groups, men account for the majority of the total workforce. Gender disparity is less evident among the Janajati and the Newar community groups as together they not only account for 56.5 percent (31.4% Janajati and 25.5% Newar) of women in the INGO workforce but also show a

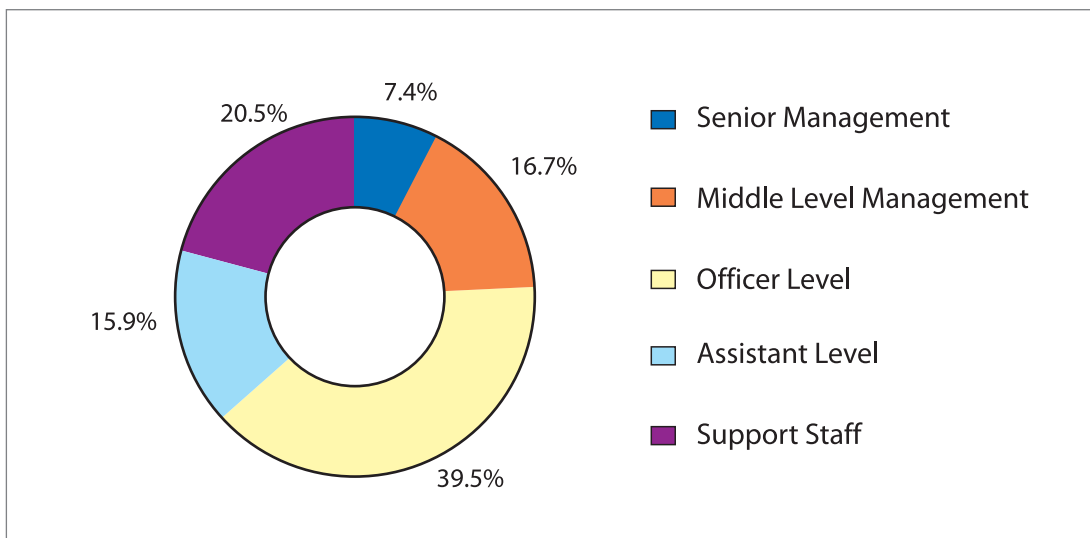
less pronounced intra group gender disparity with women accounting for 39.3 percent of the total Janajati workforce and 44.6 percent of the Newar workforce. Disparity among the Brahman and Chhetri communities appears more pronounced, as these groups, which comprise 19.2 percent and 14.3 percent of the total women staff, respectively, show high intra group disparity with women comprising 24.1 percent and 22.6 percent of the total Brahman and Chhetri staff, respectively. Of the remaining caste and ethnic groups, gender disparity is most evident in the Muslim (0.1%) and the Other Madheshi/Terai Caste communities (1%), who occupy 0.1 percent and 1.2 percent of the total workforce. They also show a considerably lower proportion of women (11% and 15.5% in their respective groups). Comparatively, Dalit have a higher proportion of women (33.5%), even though Dalit women comprise just 5.5 percent of the total female workforce.

2.3 Professional Level Composition

Distribution of Personnel by Professional Level

The majority (56.2%) of the 2,269 Nepali personnel hold officer or middle management positions. Support staff and assistant level comprise 20.5 percent and 15.9 percent respectively (refer to Chart 4). The remaining 7.4% hold senior management positions.

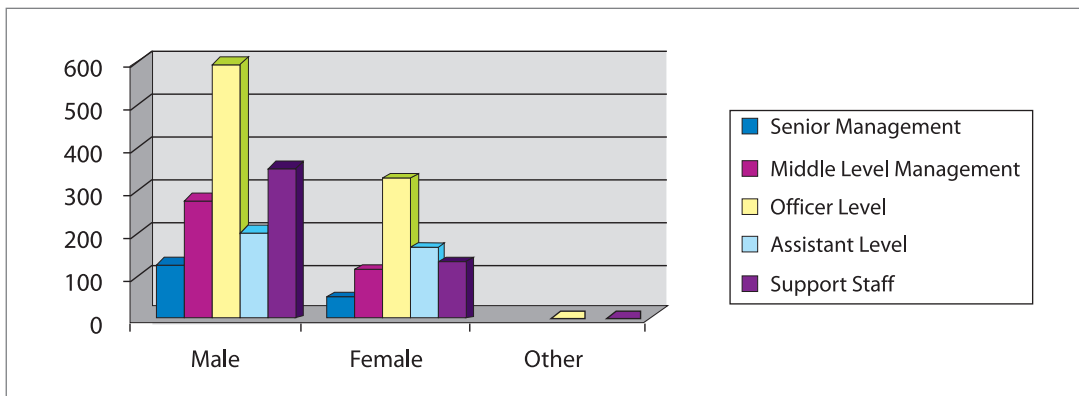
Chart 4: Distribution of Personnel by Professional Level



Distribution of Personnel by Gender and Professional Level

The major proportion of women and men are working at officer level, and account for 38.1 percent and 42.4 percent of the workforce, respectively. This is followed by assistant level staff, where women comprise 22.1 percent of the total female staff and men account for 13 percent of the total male staff. Although the numbers are much lower at senior level (senior and mid-level management), the proportion of men is relatively higher than the proportion women. Details are available in Graph 2 below.

Graph 2: Distribution of Personnel by Gender and Professional Level



Gender disparity is visible across all hierarchical positions with males comprising a major proportion at all levels with the gap more apparent at the middle and senior management levels where women account for 24.3 percent and 27.9 percent of these positions, respectively. The gap lessens at the officer and assistant level where women comprise 34.5 percent and 44.6 percent of these levels, respectively. Details are available in Table 1 & 2 of Annex 2.

Distribution of Personnel by Ethnicity and Professional Level

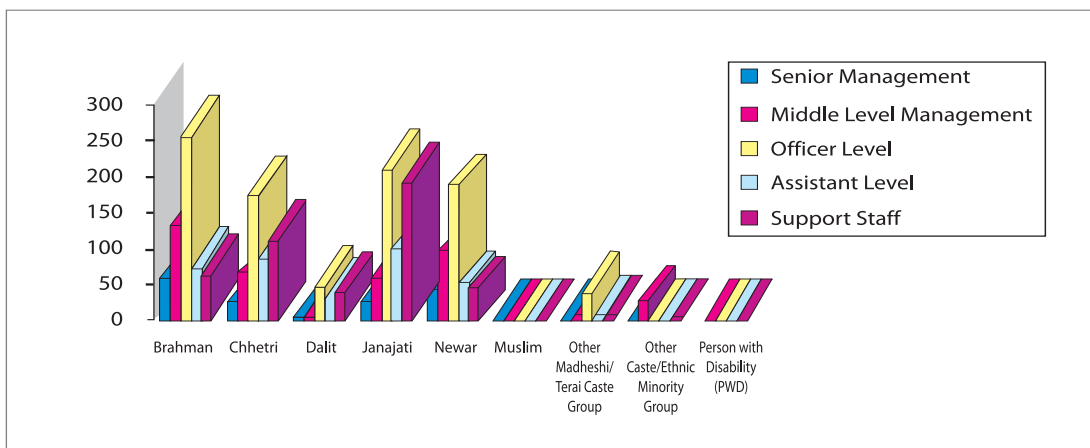
People from the Brahman caste group, occupy 35.5 percent of the senior management positions. They are followed by Newar (29%) and Chhetri (16.6%). Together, these groups account for 81.1 percent of the senior management positions. The Janajati group, at 14.2 percent, is comparatively higher than other marginalised groups who have nominal or no representation at this level. Dalit hold 2.4 percent of the positions at Senior Management Level. Other Madheshi/Terai Caste Group (1.2%), Other Caste/Ethnic Minority Group (0.6%), and Muslim (0.6%) are the most under represented at the senior management level. Furthermore, Madhesh Dalit communities and people living with disability have no representation at this level.

At the mid-management level there is a slightly broader distribution by caste and ethnicity (Brahman 35.0%, Chhetri 17.5% Newar 21.5% groups together occupy 74% percent of the positions at this level).

In this category, Janajati groups account for 16.4 percent of the positions and other marginalised groups occupy 9.6 percent. A similar trend extends to the officer level positions, with the proportion of the Chhetri and Janajati groups progressively increasing and the proportion of Brahman and Newar groups decreasing. The proportion of Janajati, at 23.2 percent, is substantially higher in comparison to the positions held at the higher level. The Chhetri, Brahman and Newar groups combined (66.4%) occupy the majority of the positions at this level while other marginalised groups occupy 10.4 percent.

The proportion of positions held by Janajati groups increases at the lower level (assistant level 27.4% and support staff 40.8%). The representation of Chhetri (assistant level 23.8% and support staff 23.4%) also increases at these levels, while the representation of Brahman and Newar decline. However, the proportion of other marginalised groups (Other Madheshi/Terai Caste Group, Other Caste/Ethnic Minority Group, Muslim and person with disabilities), who together occupy 10.8 percent and 10.0 percent respectively at the assistant and support staff levels, remain more or less unchanged when compared to their representation at the higher level. Details are available in the chart below and Table 3 of Annex 2.

Graph 3: Distribution of Personnel by Ethnicity and Professional Level



The representation of personnel from Brahman and Newar communities increases as the level of hierarchical position increase. However, it is the other way around in the case of Janajati and to a lesser extent in the case of Chhetri where a progressive increase in their representation is evident at the lower levels. Although the representation of Dalit shows some degree of improvement at the lower level (officers, assistants and support staff), the trend of under representation is evident at all levels for Dalit and other marginalised groups. Personnel from Dalit communities are more likely to occupy positions at the Support Staff level, Assistant Level and Officer Level with the proportion of hill Dalit, considerably higher than Madheshi Dalit.

Regional disparity within different working levels is evident with a higher representation of personnel from Hill communities in comparison to personnel from Madheshi/Terai communities.

Gender disparity is apparent across all caste, ethnic and other minority groups at all levels, with men more likely to occupy the available organisational positions in comparison to women. However, this is more predominant at the senior management level where men's representation is substantially higher than women's. The disparity is less pronounced for all groups at the assistant level. Likewise, the overall disparity is less pronounced in the case of Janajati and Newar in comparison to other groups, where women from the Newar community are more than men at the officer and assistant level and the presence of Janajati women at these levels is almost equal to men's.

2.4 Policies Implemented

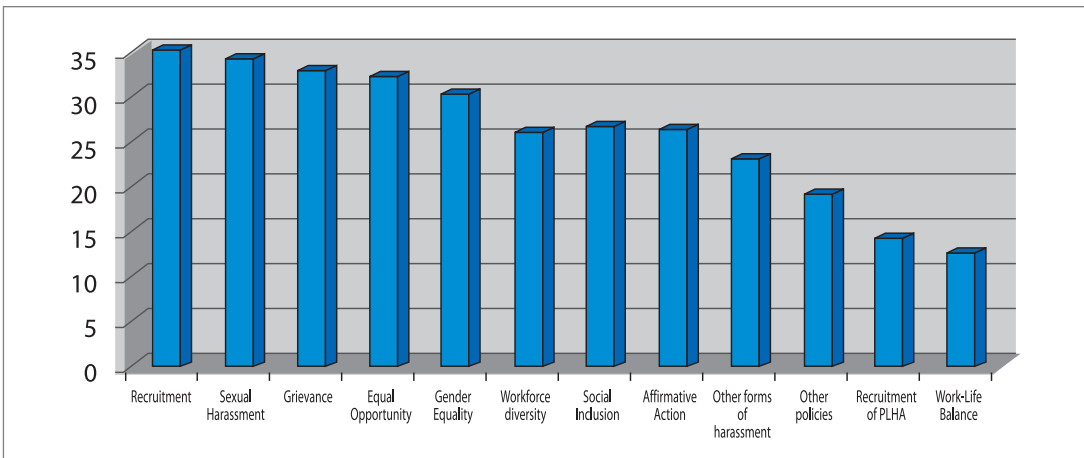
Thirty nine AIN member organisations provided information on policies/guidelines or human resource policies addressing the following issues:

- 01) workforce diversity;
- 02) recruitment;
- 03) social inclusion;
- 04) gender equality;
- 05) affirmative action;
- 06) equal opportunity;
- 07) people living with HIV/AIDS (PLHA);
- 08) sexual harassment/anti-harassment;
- 09) work-life balance;
- 10) other forms of harassment mobbing or power related harassment e.g. whistle blowing;
- 11) grievance policy and/or procedure; and
- 12) other policies (related to workforce/personnel/staff management).

Tools Applied for Diversity and Inclusion

Policies, related to personnel and workforce diversity, are commonly applied by almost all AIN members who participated in the study. Of the 39 AIN members who participated in the survey, 37 organisations (94.9%) had policies on one or more issues covered in this survey. The most common issue addressed by these policies was related to recruitment, which was followed by sexual harassment/anti-harassment, grievances, equal opportunity and gender equality. Details are available in Graph 4.

Graph 4: Number of Organisations with a Policy/Guideline on Workforce Diversity



The number of issues addressed by specific policies varied among the 37 organisations that had policies/guidelines. All organisations addressed at least three of the issues explored by this survey and most felt it was important to have policies on these issues. Members have introduced and practiced these policies over different time periods. Some policies, usually those provided by the head office, had been in practice in since the early nineties or from the start of the INGO's operations in Nepal.

Though policies on these issues were not documented in some organisations, they were still practiced. In many organisations, these issues were primarily covered by other policies such as human resources, recruitment, equal opportunity, positive discrimination, child protection, non-discrimination on the basis of health and disability, and global workforce diversity policies. Organisations were regularly updating their policies and were also encouraging women and ethnic minorities to apply for vacant posts in their organisations. Some organisations that didn't have one or more of the above listed policies were planning to introduce them in the near future.

2.5 Roles and Responsibilities

There was a unanimous understanding across AIN members that the Senior Management Team (SMT), with the decision making authority at the policy and strategic level, is primarily responsible for promoting diversity and inclusion at the organisational level. The role of personnel overseeing the human resource function, who apply the HR policy at the operational level, is crucial to timely improvements in HR policies based on good practices. However, their ability to influence the SMT may be limited by financial implications.

The HR manager is the key person responsible for implementing the diversity and inclusion policy and ensuring that the policies are applied through the recruitment and performance appraisal practices and professional development initiatives. However, the extent to which the HR manager can provide strategic input on these practices was not clearly defined. In most of the organisations, overarching objectives did not exist making diversity and inclusion more of a procedural tool without clarity on how it is to be used for the desired level of organisational transformation. In most cases, the HR managers play an operational role in promoting diversity and inclusion as part of their HR function within the organisation. In small scale operations, the HR function was less developed and often justifiably combined with finance, administration and operations.

Furthermore, the commitment and understanding of diversity and inclusion issues at the leadership level, including the organisational implications, were perceived as making a substantial difference when initiating the formulation and implementation of affirmative policies. The commitment from the leadership provides the necessary leverage to the HR manager when decisions are to be made to introduce and facilitate diversity and inclusion policies and practices.

In general, diversity and inclusion are perceived by AIN members as being value driven, based on the concepts of equity, non-discrimination and equal access and opportunities. In some cases the need to ensure an inclusive workforce is linked to the wider organisational mission. A common rationale for ensuring the practice of diversity and inclusion is to be an example. "We have to practice what we expect of our local partners".¹

¹ FDGs with AIN members, June-July 2010

Introducing policies and new procedures are relatively easy in comparison to bringing about behavioural or cultural change in an organisation. Organisational inclusion initiatives are viewed as the means to create, build, develop and finally sustain the institutional culture or environment for promoting workforce diversity. They also leverage behaviour that helps build and create the required institutional culture and enabling environment. However, despite such initiatives being in place, the implementation of policies and guidelines are not without their challenges.

Availability of personnel and their retention. Common challenges cited in creating a more diverse workforce include the investment needed for building skills in specific areas of expertise. Low turnover rate of senior, older or tenured staff members, particularly in organisations operating in Nepal for a relatively longer period of time, presented limited opportunities to recruit new staff from marginalised backgrounds to enhance diversity and inclusion in the organisation.

Staff retention is also a major issue faced by most organisations. Candidates recruited through affirmative actions are often attracted by higher paid employment opportunities once they gain a certain level of experience and qualification. This is more of an environmental constraint owing to limited availability of qualified individuals from marginalised groups in the job market and can only be corrected by the increase in the supply of relevant qualified candidates.

The nature of the project and resources available. Due to the short-term nature of projects and the funding constraints faced by many INGOs, the need for diversity and inclusion is often weighed against the additional time or money that is required. In the end, the need to produce results in an efficient and effective manner often overrides the relatively long term goals of achieving diversity and inclusion. This is particularly the case in organisations that do not receive large amounts of core funding. This results in limited space for recruiting and grooming candidates in developmental or associate positions. Such practices were felt to be more feasible at internship or trainee level, which are incorporated into projects with allocated resources.

The need for behavioural change. Study respondents recognise that staff attitudes and behaviours are key to the success of any diversity and inclusion initiative and are often the most difficult things to change. It was felt that investment is needed in sensitising staff on the importance of inclusion and generating understanding and awareness of the way in which behaviours and attitudes may impact positively or negatively upon an inclusion-friendly workplace.

Investing in a wider pool of managers and technical staff from marginalised groups. INGOs have to make extra effort to find candidates from diverse backgrounds to fill management and technical positions. Supporting the capacity-development of such candidates was regarded as a necessity to ensure a more diverse and inclusive workforce in the future. It was observed that some organisations have specific practices for creating new positions, also known as “developmental positions”, which are used to groom and capacitate staff for higher level positions. Such initiatives will have implications for the staff members of organisations, especially for those who are in management or supervisory positions responsible for grooming and mentoring new staff, interns and trainees. Organisations will need to examine whether the existing pool of managers have: i) the coaching and mentoring capacity (technical and behavioural skills) to provide necessary space and support to the staff they are grooming; ii) the necessary environment to facilitate learning and professional growth; and more importantly iii) the back up of an organisational commitment for investing the necessary time and resources.

‘Internalising’ inclusion. The lack of organisation-wide internalisation, buy-in, and understanding of the inclusion policy and associated issues pose a challenge in the effective implementation of the policy. Study respondents recognised the need for organisations to find ways to include and orient all staff members so that affirmative action initiatives are not perceived as a threat. Participatory policy orientations, facilitated by HR personnel along with an effective feedback system, were suggested to be effective ways to fulfil this need. Taking this to the district level would provide opportunities to understand and test the relevance of the policies from the regional or local perspectives and also help in contextualising policies when necessary.

Understanding the complexity of exclusion in Nepal. At the operational level, it was felt that the complexity of multiple identities in Nepal makes it difficult to distinguish the eligibility of an individual for affirmative action or positive discrimination, whereby the caste or regional identity alone may not be sufficient grounds for affirmative action. For example: i) a female candidate could have the surname of a marginalised group after marriage although she was raised in a privileged ethnic or caste group; and ii) the candidate could have the citizenship certificate from a remote region but be living and educated in an urban area. For this reason focus group discussion participants suggested approaching the inclusion process from a broader perspective to ensure the effectiveness of the implementation of these policies.

Over the past five years, INGOs in Nepal have made significant headway in terms of facilitating greater diversity in staff composition. This has been done through introducing the policies that encourage and support diversity, through the introduction of proactive recruitment processes that target under represented groups, and through prioritizing the recruitment of local staff for field offices and projects. Most INGOs and their staff members now recognise the importance of workforce diversity in the Nepali context, an important step in ensuring the success of inclusion and diversity policies.

More progress can be expected in the future, as policies introduced fairly recently begin to take hold and more organisations introduce diversity and inclusion policies. Many INGOs are also working to ensure a more diverse pool of technical expertise within their respective sectors, through the provision of internships and entry-level positions to under represented groups.

AIN, for its part, is committed to support and facilitate this process. It will do this by ensuring the continued sharing of good practice and lessons learnt on promoting workforce diversity. AIN will also continue to monitor and assess diversity and inclusion amongst its members on an ongoing basis, for which this survey will serve as an important baseline.

Annex 1

Guiding Statement of Joint Principles for Workforce Diversity, AIN 2011

AIN member organisations are committed to workforce diversity and social inclusion and follow the spirit of Nepal's Interim Constitution to abide by the general principle of non-discrimination and equality. We will tackle discrimination and social exclusion, most notably based on age, gender, sexual orientation, race, ethnicity, caste, disability, religion, being HIV positive, and geographical location so that we move towards equality, equity and diversity of people both within our organisations and among those we work with.

Therefore, members of AIN have agreed to jointly and individually take all necessary and appropriate steps to work towards improving and maintaining a diverse workforce in each organisation and partner organisation.

To achieve this we will

Manage our human resources throughout the Human Resource cycle-recruitment, retention and capacity building procedures for a diverse, equitable and inclusive group of employees and based on competitiveness, qualification, sustainability, and demonstrated non political partisan work ethics and not based upon nepotism;

Develop and implement recruitment and performance assessment practices that are sensitive to candidates from diverse backgrounds and which consider wider skill sets and social competencies as factors of professional merit;

Create a supportive environment and opportunities for access to internships and other professional training programmes by candidates from the widest range of backgrounds, with a particular focus on historically excluded groups;

Build awareness and accountability and increase sensitivity about workforce diversity among managers and staff based upon the results of staff composition surveys and develop action plans to promote a more diverse workforce;

Annually review the disaggregated staff composition, to assess the status of workforce diversity for job levels and ensure that workforce diversity profiles are accurate, regularly updated, and transparent, while respecting individual privacy;

Proactively share useful experiences, lessons, and coaching of best-practices among organisations derived from workforce diversity initiatives with relevant partners in the Government of Nepal, as well as with civil society organisations, and explore and practice new ways to increase and enhance the quality of diversity within AIN member supported projects and partner organisations.

Annex 2 Data Tables

1. Distribution of Personnel by Gender and Professional Level

	Professional Level					Total
	Senior Management	Middle Level Management	Officer Level	Assistant Level	Support Staff	
Male	128 8.3%	272 17.7%	586 38.1%	200 13.0%	351 22.8%	1537 100.0%
Female	41 5.6%	105 14.4%	309 42.4%	161 22.1%	113 15.5%	729 100.0%
Other	0 .0%	0 .0%	1 33.3%	0 .0%	2 66.7%	3 100.0%
Total	169 7.4%	377 16.6%	896 39.5%	361 16%	466 20.5%	2,269 100.0%

2. Distribution of Personnel by Professional Level and Gender

	Professional Level					Total
	Senior Management	Middle Level Management	Officer Level	Assistant Level	Support Staff	
Male	128 75.7%	272 72.1%	586 65.4%	200 55.4%	351 75.3%	1537 67.7%
Female	41 24.3%	105 27.9%	309 34.5%	161 44.6%	113 24.2%	729 32.1%
Other	0 .0%	0 .0%	1 0.1%	0 .0%	2 0.4%	3 0.1%
Total	169 100.0%	377 100.0%	896 100.0%	361 100.0%	466 100.0%	2,269 100.0%

3. Distribution of Personnel by Ethnicity and Professional Level

Ethnicity	Professional Level					Total
	Senior Management	Middle Level Management	Officer Level	Assistant Level	Support Staff	
Brahman	60 35.5%	132 35.0%	254 28.3%	73 20.2%	63 13.5%	582 25.7%
Chhetri	28 16.6%	66 17.5%	172 19.2%	86 23.8%	109 23.4%	461 20.3%
Dalit	4 2.4%	8 2.1%	47 5.2%	28 7.8%	38 8.2%	125 5.5%
Janajati	24 14.2%	62 16.4%	208 23.2%	99 27.4%	190 40.8%	583 25.7%
Newar	49 29%	81 21.5%	169 18.9%	64 17.7%	54 11.6%	417 18.4%
Muslim	1 0.6%	2 0.5%	4 0.4%	1 0.3%	1 0.2%	9 0.4%
Other Madheshi/Terai Caste Group	2 1.2%	6 1.6%	38 4.2%	6 1.7%	6 1.3%	58 2.6%
Other Caste/Ethnic Minority Group	1 0.6%	19 5%	3 0.3%	1 0.3%	4 0.9%	28 1.2%
Person with Disability (PWD)	0 0.0%	1 0.3%	1 0.1%	3 0.8%	1 0.2%	6 0.3%
Total	169 100%	377 100%	896 100%	361 100%	466 100%	2,269 100%

Annex 3 Study Questionnaires and Formats

1. Questionnaire on organisation existing policies and practices

Name of the organisation	
Name:	
Designation:	
Email:	
Phone:	
Contact Person for Follow-up:	

Does your organisation have a policy/guideline OR Human Resource policy with chapter on	Yes	No	If Yes, when was the policy/guideline introduced ?	If No, Why ?	When do you plan to introduce one?	Can you share this with AIN	
						Yes	No
1 Workforce Diversity							
2 Social Inclusion							
3 Gender Equality							
4 Affirmative Action							
5 Equal Opportunity							
6 HIV/AIDS							
7 Recruitment							
8 Sexual Harrassment /Anti-Harassment							
9 Work Life Balance							
10 Other forms of harassment mobbing or power related harassment e.g. Whistle blowing policy/guideline							
11 Grievance (policy and /or procedure)							
12 Other policies (related to workforce/personnel/staff management). Please specify the title of the policy/guideline.							

Which of the following tools do you apply for diversity and inclusion	Yes	No	Why ?
1. Positive Discrimination			
2. Positive Action			
3. Equal Opportunity			
4. Any other form of Affirmative Action (Please Specify)			

What have been your three key challenges in implementing your diversity and inclusion policy?

Do you have any suggestions for development agencies for promoting diversity within their organisations?

Do you want to share your organisation's best practices in promoting diversity?

Notes/Definition:

1. Positive Discrimination: Recognises historic wrongs/economic & social differences. Preference to under-represented e.g. quota, reservation, grace mark for selection.
2. Positive Action: Meritocracy – appointments are made/responsibilities are assigned to individuals based on demonstrated talent and ability (merit). Encourages under-represented groups.
3. Equal Opportunity: Everyone is equal before the Law. Meritocracy – appointments are made/responsibilities are assigned to individuals based on demonstrated talent and ability (merit).
4. Affirmative Action: Affirmative action is generally understood as steps taken to correct historical disadvantage and unfair discrimination. It enables access to full opportunity and benefits and seeks to create the conditions necessary to bring persons from excluded groups to a minimum level of competition.¹
5. Workforce Diversity: Workforce diversity refers to policies and practices that seek to include people within a workforce who are considered to be, in some way, different from the dominant groups. But diversity is not just about balancing the numbers of different groups and about ensuring that all agency personnel, irrespective of their caste, gender, race, ethnicity and their other identities, have opportunities for career progression. Finally, it is about de-stereotyping jobs and people –reducing preconceptions about the strengths and weakness of certain groups and communities and the jobs that are best for them.²
6. Social Inclusion policy/Strategy: Social Inclusion policy/Strategy refers the process to integrate gender and social inclusion into organisation's interventions to refer the most marginalised and disadvantage people of the community.³ This is to remove institutional barriers and the enhancement of incentives to increase the access of diverse individuals and group to development opportunities.⁴

1 Social Inclusion Action Group (SIAG) Study Report *Workforce Diversity in International Agencies in Nepal*.

2 Social Inclusion Action Group (SIAG) Study Report *Workforce Diversity in International Agencies in Nepal*.

3 Social Inclusion Strategy of Save the Children.

4 Unequal Citizen Gender, Caste and Ethnic Exclusion in Nepal, DFID and the World Bank CECI-Nepal Diversity Strategy 2010.

2. Format to collect staff information

FOR ORGANIZATION USE ONLY

S. No.	Name	Gender		Professional Level				Int. Staff	Brahman		Chhetri		Dait		Janajati		Muslim	Other Madheshi/ Terai Caste Group	Other Caste/Ethnic Minority Group	Person with Disability (PWD)	People Living with HIV/AIDS (PLHA)	
		Male	Female	SM	MLM	OL	AL		SS	Hill	Madheshi/ Terai	Hill	Madheshi/ Terai	Hill	Other	Non-discriminated						Discriminated **
1																						
2																						
3																						
4																						
5																						
6																						
7																						
8																						
9																						
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Senior Management (SM)	Positions that hold strategic decision-making competence or members of the Senior Management Team e.g. Country Directors, Deputy Directors, Senior Management Committee of the organization, Technical expert etc.
Middle Level Management (MLM)	Positions that hold Portfolio/Domain responsibility (competence to take decision at Portfolio/Domain level) e.g. Managers, Program coordinators, Team Leader, District Coordinators, District Managers, Finance Managers, HR Managers, M&E Managers, District Managers, Advisors etc.
Officer Level (OL)	Positions that implement instructions in the field or their respective units (who do not have authority to take decision) e.g. Program Secretary/Assistant, Finance Assistant, Administrative Assistant (in some cases "officer" titles are also found to have been used for such positions)
Assistant Level (AL)	Positions which provides admin support in the units e.g. Program Secretary/Assistant, Finance Assistant, Administrative Assistant.
Support Staff (SS)	Divers, Guards, Cleaners, Messengers etc. Outsourced staffs do not be included e.g. guards outsourced do not need to included.

Other	Is defined as Third Gender, LGBT
Note	Data of both the full time and part time Staff should be included while filling the format.
Please indicate *	For The Part Time Staff
[Type	refers to the category of Disability i.e. Blind (B), Deaf (D) and Physical Disability (PD)

3. Format for data collection

AIN Work Force Diversity Survey, 2010

Data of the staff
 Name of the Organization.....
 Staff profile as of the month of2010

Professional Level	Brahman		Chhetri		Dalit		Janajati				Muslim		Other/Madheshi/ Terai Caste/ Minority Group		Person with Disability (PMD)		People living with HIV/AIDS (PLHA)		
	Hill		Hill		Hill		Madheshi/ Terai		Madheshi/ Terai		Non-discriminated		Discriminated		Other		Other		
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	
	TOTAL		TOTAL		TOTAL		TOTAL		TOTAL		TOTAL		TOTAL		TOTAL		TOTAL		
Senior Management (SM)	0		0		0		0		0		0		0		0		0		0
Middle Level Management (MLM)	0		0		0		0		0		0		0		0		0		0
Officer Level (OL)	0		0		0		0		0		0		0		0		0		0
Assistant Level (AL)	0		0		0		0		0		0		0		0		0		0
Support Staff (SS)	0		0		0		0		0		0		0		0		0		0
Grand Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Senior Management (SM)	Positions that hold strategic decision-making competence or members of the Senior Management Team e.g. County Directors, Deputy Directors, Staffs in Senior Management Committee of the organization, Technical Experts etc
Middle Level Management (MLM)	Positions that hold Portfolio/Domain responsibility (competence to take decision at Portfolio/Domain level) e.g. Managers, Team Leader, Program coordinators, Team Leader, District Managers/coordinators, Finance Managers, M&E Manager, District Managers, Advisors etc.
Officer Level (OL)	Positions that implement instructions in the field or their respective units (who do not have authority to take decision) e.g. Officer, Admin Officer, M&E Officer, Project Officer
Assistant Level (AL)	Positions which provide admin support in the units e.g. Program Secretary/Assistant, Finance Assistant, Administrative Assistant
Support Staff (SS)	Drivers, Guards, Cleaners, Messengers etc. Not outsourced staff e.g. guards need to mention

Other - Is defined as Third Gender/LGBT
 Note - Date of both the full time and part time Staff should be included while filling the format.
 Please indicate - For The Part Time Staff
 Type refers to the category of Disability i.e. Blind (B), Deaf (D) and Physical Disability (PD)

4. Categorization of Caste/Ethnicity

Geographical	Caste/Description							
	Dalit	Janajati		Brahaman	Chhetri	Muslim	Terai Madhesi Other Caste	Other Caste/Ethnic Minority Group
Hill	*Kami, Damai/Dholi, Sarki Badi, Gaine, Unidentified Dalits	*Tamang, Kumal, Sunuwar, Majhi, Danuwar, Thani/thangmi, Darai, Bote, Baramu/ Bramhu, Pahari, Kusunda, Raji, Raute, Chepang/Praja, Hayu, Magar, Chhantal, Bankarya, Rai, Sherpa, bhujel/Gharti, Yakha, Thakali, Limbu, Lepcha, Bhote, byansi, Jirel, Hyalmo, Walung, Gurung, Dura	Newar			*Churoute (Hill Muslim)		*Marwari, Bangali, Jain, Punjabi, Sikh, unidentified others
			*1 Discriminated Group on the Basis of Water: Discriminated Newar castes[1][1]: Khadgi (Kasai), Kapali (Kusle), Dyahla/Pode (sweeper), Chyame/ Chamkhalah (sweeper), Rajaka (Dhobi), Charmakar (Sarki), Jugi (musician) *					
Terai / Madhesi	*Chamar/Harijan, Mushar, Dushad/Paswan, Ttma, Kahtwe, Dhobi, Baantar, Chidimar, Dom, Halkhor	*Tharu, Jhangad, Dhanuk, Rajbhansi, Gangai, Santhal/Satar, Dhimal, Tajpuria, Meche, Koche, Kisan, Munda, Kusbadiya/ Patharkatha, unidentified Adibasi Janjati.				*Madhesi Muslim	*Kewat, Mallah, Lohar, Nuniya, Kahar, Lodha, Rajbhar, Bing, Malli, Kamar, Dhuniya, Yadav, Teli, Koiri, Kurmi, Sonar, Baniya Kalwar, Thakur/ Hazam, Kanu, Sudhi, Kumhar, Haluwai, Badhai, Barai, Bhediyar/ Gaderi	

* Source Human Development Report 2009

Note: Categorization is the same as that of Bennett and Dahal 2008

Swiss Agency for Development and Cooperation

5. Questions for Focus Group Discussion

Objectives of the Focus Group Discussion are to:

- Take stock of existing policies on workforce diversity and affirmative actions among AIN Members organisations.
- Identify institution needs with regard to necessary policies and procedures in promoting workforce diversity
- Develop a shared understanding of the work environment and people's perceptions towards their organisation and management.

Focus Group discussions will be conducted among:

A) Senior Management Staff of the organisation

Objectives

- Identify institution needs with regard to necessary policies and procedures in promoting workforce diversity
- Take stock of existing policies on workforce diversity and affirmative actions among AIN Member organisations.
- Develop understanding of the role of leadership in the organisation and perception to promote workforce diversity?
- Develop understanding of the work environment and perception towards workforce diversity of the organisation and management.

Questions

1. Which policies/guidelines do you have in your organisation to promote diverse and inclusive workforce?
 - What components do your policies promote ? (e.g. gender, social identity groups, regional identity groups, disability, HIV/AIDS, etc.)
 - What have been your achievements since policies/guidelines are put in place?
 - What have been your challenges in implementing guidelines?
 - What is working well and what does not work in Nepal's context?
 - Can you share concrete case/story/incidence that can testify to the success of your policies/guidelines?

2. What is the role of HR staff in relation to promotion of diversity and inclusion and how are they engaged in the process?
 - Do you have a Focal Person/Focal Committee for diversity and inclusion?
 - Is the Human Resource Manager the Focal Person or member of the Focal Committee?
 - Is Human Resource Management a functional or a strategic priority in your organisation? (is it reflected in the strategy, annual plan, management processes ?)
 - What are the roles of your Human Resource Manager? Who does this position report to?

3. What steps has your organisation taken to ensure that it achieves what is set out to achieve (creating, managing, valuing and leveraging behaviors) to promote workforce diversity in the organisation?
 - What is working well now and what are the challenges you face?
 - How do you intend to improve?
 - Who is responsible in the organisation for promoting and managing workforce diversity in the organisation?
 - Who are crucial for such change management processes?
 - Do you see the need for compliance? (Accountability, grievance, etc.)? How are these built in your processes or procedures?
 - What is the role of head quarters in setting the HR policy in the organisation? Is there flexibilities in applying policies that are suitable in Nepal?

4. What concrete recommendations would you make to AIN in promoting a diverse and inclusive workforce?
 - Best practice
 - Things to avoid/concerns

B) HR persons

Objectives

- To find out to what extent a Human Resource Manager gets involved in setting organisational policies/guidelines, processes, and procedures
- To assess whether Human Resource Managers see themselves as Change Agents within their organisations
- To know policies of the organisations to promote workforce diversity.

Questions

1. How do you see your role with regard to promotion of diversity and inclusion within your organisation?
 - Do you see yourself as a change agent?
 - Were you involved in the organisation policy formulation?
 - Are you the Focal person or part of the Focal Team?
 - Who do you report to? (Organisation chart)
 - Are you involved in monitoring of staff composition trend?

2. What is currently in place within your organisation to ensure promotion of workforce diversity?
 - What is your opinion on inclusion and diversity? Is Affirmative Action good for Nepal?
 - What is working well now?
 - What could be better?
 - Please provide cases, stories or incidences that can testify to the success of the practice within your organisation in relation to managing workforce diversity.

3. How are your organisation's recruitment policies and procedures linked to your policy on diversity and inclusion?

4. How is staff capacity building (staff development, personnel objectives set with line managers, learning objectives and internal promotion policy, retention of staffs) linked to diversity and inclusion?

5. What are the issues and challenges with current HR Management in your organisation in relation to diversity and inclusion?

6. What support would you value from AIN to further work on promoting inclusive workforce diversity in your organisation? What can AIN do as a network?

7. List at least three good practices you apply in your organisation for promoting inclusive workforce diversity?



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