

Enhancing the Framework for Implementation with Partners



Establishing and Maintaining Partnership

Work step 1:
Selection and Retention for Project Implementation

Draft subject to consultation and approval

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Table of Contents

INTRODUCTION	3
DRAFT PROPOSED PROCEDURES FOR SELECTION AND RENTEION FOR PROJECT IMPLEMENTATION.....	4
APPENDIX A: DEFINITIONS.....	11
APPENDIX B: ACCOUNTABILITY, RESPONSIBILITY, AUTHORITY.....	13
APPENDIX C: Multi-Functional Team (MFT) IP REVIEW COMMITTEE TERMS OF REFERENCE	15
APPENDIX D: PARTNER PROFILE.....	17
APPENDDIX E: CONCEPT NOTE.....	18

DRAFT

INTRODUCTION

The High Commissioner sets strategic directions through articulating Global Strategic Priorities (GSP) for implementing annual programmes. The GSP are cascaded to address specific needs. UNHCR Offices develop country specific Operation Plans that are based on assessed needs of refugees and persons of concern and the peculiarities of operating environment. The Operation Plan is formulated into Projects. UNHCR has to select among its partners the organization that is most suitable in a particular environment to meet the specific requirements of projects. UNHCR operates in complex environment and each operation is unique necessitating selective mode of engagement and partnership.

Engagement of partners in Project implementation does not imply that implementation is merely a prescribed project. The proposed approach aims to encourage partnership as early as possible in the programme cycle and allow for openness as well as providing wider opportunity to all interested partners for formulation of country level strategies and implementation of jointly agreed Projects.

UNHCR or partners that are interested in proposing/implementing a specific project may initiate or express their interest by way of the partner updating its Partner Profile (via the Partner Portal – Appendix D) and providing simplified Concept Note (Appendix E). A UNHCR multi-functional committee will take a selection decision using the information provided by the partner.

The process of partner selection for Project implementation involves the following main steps:

1. Expression of interest by UNHCR (informing partners of the objectives of the Project and criteria of selection)
2. Expression by partner (Updating Partner Profile and submission of Concept Note)
3. Preparation of a short-list by Project Agreement Manager for the UNHCR multi-functional committee
4. Review by the committee and decision by Head of Office
5. Feedback to partners on the outcome of the selection process

Details of the process are provided in Section 7, “Selection and Retention Process”. A high-level process diagram for Partner Selection for Project Implementation is contained in Annex A.

DRAFT PROPOSED PROCEDURES FOR SELECTION AND RETENTION FOR PROJECT IMPLEMENTATION

1. OBJECTIVE

- 1.1. The objective of the policy and procedure for selection of implementing partner is to ensure that UNHCR partners with the most suitable organization in a given operation for providing quality protection and assistance to persons of concern.
- 1.2. The “Most Suitable Partner” is an organization that provides the most value to meet the needs of a Project taking into account the requisites of operating environment.
- 1.3. UNHCR Offices must undertake adequate due diligence throughout the processes for partner selection and retention for Project implementation in order to:
 - a) Best meet the requirements of Projects thus ultimately effectively meeting the needs of persons of concern;
 - b) Demonstrate sound stewardship of funding provided by donors;
 - c) Demonstrate accountability and transparency for its decisions; and
 - d) Build on partnership principles and complementary advantages.

2. DEFINITIONS

- 2.1. Appendix A provides definitions of terms used in this document.

3. ACCOUNTABILITY, RESPONSIBILITY, AUTHORITY

- 3.1. Appendix B provides defined accountability, responsibility and authority of parties referenced in this document.

4. APPLICATION

- 4.1. This policy and procedure shall apply to all UNHCR Offices, both Field and Headquarters.
- 4.2. This policy and procedure applies to partners that are governmental and non-governmental organizations but not United Nations agencies.
- 4.3. This policy and procedure allows for flexibility for operational requirements.

5. OPERATIONAL PROVISIONS

- 5.1. Selection and retention decisions should be taken well in advance of the planned implementation date to allow timely preparation and proper engagement of the partner. Engaging the partner in early stages of assessment and planning is a valuable input into the UNHCR programming cycle. It is advised that selection and retention decisions take place no later than October for the new implementation year taking into account the reporting cycle of existing partnerships.
- 5.2. The appropriate timing of partnering is crucial for effective engagement and implementation of UNHCR country operations. UNHCR Office should make decisions and arrangements for engaging implementing partners, as early as possible, but not

later than October. Given the specific circumstances of operations and availability of funding, the exact timing is left to discretion of the UNHCR Office.

- 5.3. The UNHCR Office may determine that it is not possible or feasible to undertake a complete selection process as described in sections 7 and 8 for a given Project due to operational constraints. In such cases:
- 5.4. The Head of Office should request a waiver from the Head of Service of Implementing Partnership Management Service (IPMS), UNHCR HQ.
- 5.5. IPMS may deny or endorse the waiver request, in writing, depending on the urgent nature or other justifiable cases. IPMS should respond to the waiver request within 48 hours of receipt.
- 5.6. The requesting UNHCR Office should keep the waiver request and IPMS response in the project file for audit and oversight purposes.

6. ESTABLISHING PARTNERSHIP

- 6.1. UNHCR will partner with organizations and entities that are committed to the core values of UNHCR and its commitment to persons of concern.
- 6.2. UNHCR Offices should seek organizations that may be interested in partnering with UNHCR from as wide a pool and varied sources as possible. Reaching out, establishing contact and engaging new partners is an ongoing activity that is not limited to the time of intervention (*Partner Portal could assist in this process*).
- 6.3. An organization expressing interest to partner with UNHCR can only be considered a Prospective Partner if it is not listed by the UN Sanctions Committee pursuant to the UN Council Resolution 1267. The Project Agreement Manager must ensure that organizations wishing to be considered prospective partners meet this requirement. (Please refer to www.un.org/sc/committees/1267/ to get up to date lists).
- 6.4. The Project Agreement Manager must screen each Prospective Partner for compliance with the following criteria using information provided by the Prospective Partner as part of its Partner Profile declarations:
- 6.5. The Prospective Partner must confirm that it is not on, or associated with, an individual, groups, undertakings and entities that are listed by the committee established by the UN Resolution 1267 (this is in addition to the internal UNHCR check undertaken as per paragraph 6.3).
- 6.6. The Prospective Partner must confirm that it has not been charged with or complicit in corrupt activities, including crimes against humanity and war crimes, and has not been involved in the past with such activities that would render the organization unsuitable for dealing with UNHCR or working with persons of concern.
- 6.7. The Prospective Partner must confirm that it will not discriminate against any persons of concern, regardless of their race, religion, nationality, political opinion, gender or social groups.
- 6.8. The Prospective Partner must confirm that it is committed to abide by the *Principles of Partnership*¹.

¹ The Global Humanitarian Platform (GHP) endorsed the Principles of Partnership in July 2007. The GHP was created as an outcome of the “12-13 July 2006 Dialogue Between UN and non-UN Humanitarian Organizations.”

- 6.9. The Prospective Partner must confirm that it is willing to comply with all clauses of the Project Agreement when implementing UNHCR funded Projects.
- 6.10. Prospective Partners that meet all the requirements of paragraph 6.4 may be considered further for selection for Project implementation and will be requested to provide organizational information (Appendix D).

7. SELECTION AND RETENTION PROCESS

- 7.1. Processes must be conducted in a transparent and objective manner.
- 7.2. UNHCR Offices are responsible for undertaking processes that support informed decision-making in order to ensure that the Most Suitable Partner is selected to undertake a Project.
- 7.3. The Head of Office should establish and chair a multi-functional team (MFT) Implementing Partner (IP) Review Committee.
- 7.4. In absence of the Head of Office, the MFT IP Review Committee may be chaired by an individual with the delegated authority to take the required decisions.
- 7.5. The MFT IP Review Committee shall review and advise the Chairperson on all decisions.
- 7.6. The MFT IP Review Committee members shall advise the Chairperson by making recommendations. The Chairperson shall make decisions based on recommendations provided by the Committee members. In the case the decision of the Chairperson deviates from the majority opinion, the reasons thereof shall be recorded.
- 7.7. The composition and number of the members of the MFT IP Review Committee will be at the discretion of the Head of Office as it is dependent upon the available staffing and operations of each UNHCR Office. However, the Head of Office must ensure that each functional area (i.e. program, protection, finance/administration, community services) is represented on the MFT IP Review Committee so to integrate all aspects of sector needs. Further, it is recommended that the minimum committee size is three, including the Chairperson.
- 7.8. The composition of the MFT IP Review Committee must be aligned with the principles of UNHCR Age, Gender and Diversity Mainstreaming strategy.
- 7.9. The composition of the MFT IP Review Committee should be maintained for all processes throughout an implementation year in order to support consistency and efficiency.
- 7.10. The terms of reference of the MFT IP Review Committee are contained in Appendix C. Committee membership must be formally documented and maintained on file for each UNHCR Office.
- 7.11. The minutes and decisions of MFT IP Review Committee meetings must be documented and maintained on file in each UNHCR Office. The minutes must contain, inter alia, a summary of the discussion, the decision taken and the reasons for that decision. Any Committee member has the right to request the meeting minute taker that his/her advice be duly reflected in the minutes.
- 7.12. The Project Agreement Manager should support the MFT IP Review Committee in the processes by providing complete and accurate information in a timely manner.

8. PARTNER SELECTION FOR PROJECT IMPLEMENTATION

- 8.1. The MFT IP Review Committee will use the criteria listed in paragraph 8.2 to decide the appropriate selection criteria and weighting of criteria for selection of a partner for the implementation of a specific Project.
- 8.2. Criteria to be considered for determining the Most Suitable Partner include, but are not limited to:
- a) **Sector expertise and experience:** skills, knowledge and human resources that complement UNHCR core competencies;
 - b) **Project management:** ability to deliver project objectives, accountability and sound financial management taking into account prior UNHCR IP audit results, if applicable;
 - c) **Local experience and presence:** ongoing programme in the area of operation, security considerations, local knowledge, engaging refugees and persons of concern, trust from local communities, self-organized groups of persons of concern and other factors that would facilitate access to the target persons of concern(s) and reduce administrative difficulties;
 - d) **Contribution of resources:** contribution of resources to the Project in cash or in-kind (e.g. human resources, supplies or equipment) to supplement UNHCR resources;
 - e) **Political considerations:** donor earmarking and ability to operate in a country;
 - f) **Cost effectiveness:** administrative and financial burden imposed on the Project in relation to project deliverables;
 - g) **Experience working with UNHCR:** knowledge of UNHCR policies, practices and programmes; and
 - h) **Other:** as required by the Field for any specific Project.
- 8.3. The need to partner for Project implementation should be announced to partners. In this announcement, UNHCR should express the goal of the Project, targeted persons of concern, partner selection criteria and solicit information from partners. The nature of the Project will determine the level at which it is announced, it is assumed that most Projects will be announced at the Country/Operational level (The UNHCR Office that is responsible for implementing the project).
- 8.4. The Project Agreement Manager must make the same selection and project specifications information available to all partners at the same time in order to ensure consistency and objectivity. It is recommended that the Project Agreement Manager have a group session with the interested partners to provide further information and answer questions.
- 8.5. Call for Expression of Interest is the preferred method to solicit information from partners wishing to be considered for Project implementation. Given the sensitivity of operations and peculiarity of each UNHCR Office, it is at the discretion of the UNHCR Office to determine the medium appropriate for soliciting Calls for Expression of Interest (ex. direct contact, web, newspapers, flyers, meetings, etc.) with a preference of open call to all partners in order to capture a wider audience of partners, whenever possible and deemed appropriate.
- 8.6. To express interest, a partner must provide a Concept Note (Appendix E) and to ensure complete and up-to-date Partner Profile information (Appendix D).

- 8.7. The Project Agreement Manager must screen each partner's Partner Profile and Concept Note to:
- a) Determine whether the partner meets preliminary selection criteria:
 - i. If the partner is a governmental institution, it should be mandated by its government to execute a Project Agreement with UNHCR.
 - ii. If the partner is a non-governmental organization or other non-profit entity, it must be legal and registered at the location of its Headquarters and/or in the country of operation.
 - iii. The partner must have the authority to operate a bank account in the country of operation.
 - b) Understand capacity and technical attributes of the partner; and
 - c) Verify information provided by the partners, as required.
- 8.8. Under exceptional circumstance, the Project Agreement Manager may short-list a partner for consideration by the MFT IP Review Committee that does not meet the criteria of subparagraph 8.7(a) (ii) and/or 8.7(a) (iii).
- 8.9. The MFT IP Review Committee should assess the selection of a partner(s) short-listed due to paragraph 8.8 taking into account possible risks and limitations. The MFT IP Review Committee may recommend the selection of the partner(s) only in extraordinary circumstances. The supporting rationale for the recommendations should be clearly documented in the committee minutes.
- 8.10. The Head of Office that endorses the MFT IP Review Committee recommendation must ensure that measures are put in place to mitigate risks of working with a partner with such limitations.
- 8.11. In the event a selected partner cannot operate a bank account in the country of operation, the Head of Office must obtain written approval from the UNHCR Controller prior to entering into a Project Agreement with such a partner. The request for approval should be due to compelling reasons and provide the rationale/requirement of the selection decision as well as mitigation measures required by paragraph 8.10.
- 8.12. The Project Agreement Manager may verify information provided by the partner(s), as required. Given global variations in the operating environments of each UNHCR Office, it is at the discretion of each UNHCR Office to choose the best method to verify information provided by partners.
- 8.13. The Project Agreement Manager must screen partners using the Partner Profile and Concept Note against the selection criteria and weighting determined in paragraph 8.1 in order to create a short-list of partners for the consideration of the MFT IP Review Committee.
- 8.14. The MFT IP Review Committee must evaluate the short-list prepared by the Project Agreement Manager against the selection criteria and weighting determined in paragraph 8.1 to make a selection recommendation to the Chairperson.
- 8.15. The MFT IP Review Committee should ensure that work undertaken by the Project Agreement Manager to create the short-list of partners was transparent, objective and in compliance with this policy as well as other relevant UNHCR policies and rules.
- 8.16. A member of the MFT IP Review Committee must document the selection decision in the minutes of the meeting. The record of decision documented in the meeting

minutes should include the criteria used to assess partners in the selection process as well as the MFT IP Review Committee's rationale for recommending the selected partner.

- 8.17. The MFT IP Review Committee meeting minutes must be maintained in the respective project file.
- 8.18. The selection decision of the MFT IP Review Committee stands for two implementation periods (two years) subject to section 9, Retention for Project Implementation.

Feedback to Partners

- 8.19. The purpose of feedback is to inform partners of the conclusion of the selection process and provide the opportunity for response on the decision, if requested. Providing feedback to partners is aligned with the *Principles of Partnership* and provides the opportunity for learning and potential improvement.
- 8.20. All partners that expressed interest by submitting Concept Notes and properly completing its Partner Profile for a selection process must be informed of the conclusion of the process. Each partner must be informed whether, or not, it was selected for Project implementation. It is at the discretion of the UNHCR Office whether the name of the partner selected for Project implementation is announced to all partners.
- 8.21. The communication medium (i.e. email, letter, etc.) to provide partner feedback is at the discretion of the UNHCR Office. The communication medium used should take into account local sensitivities and operational environment.
- 8.22. Should a partner request clarification of the selection decision, the Head of Office must provide feedback demonstrating the transparency and integrity of the selection process. Due to operational sensitivities, the UNHCR Office may opt not to disclose the rationale of the decision. However, the UNHCR Office must provide assurance of the integrity of the process.
- 8.23. Partners that find feedback on the selection process provided by UNHCR Office not satisfactory may escalate and raise its concerns to IPMS, UNHCR Headquarters. The purpose of the escalation and request for further feedback is to determine whether the selection process was carried out in a transparent and objective manner and in accordance with UNHCR policy.
- 8.24. IPMS, UNHCR Headquarters will review the process undertaken by the UNHCR Office and provide the result of the review related to fairness of conduct and adherence to the procedures. UNHCR reserves the right to decline disclosure of the specificity of the UNHCR Office decision due to reasons related to confidentiality, security or protection.

9. RETENTION FOR PROJECT IMPLEMENTATION

- 9.1. While the selection decision of the MFT IP Review Committee stands for two years, the Project Agreement Manager must undertake a desk review to determine whether retention of an Implementing Partner for a Project in the second implementation year is in the best interest of the operation.
- 9.2. The Project Agreement Manager should incorporate the following criteria into the evaluation of whether it is in the best interest of an operation to retain an existing Implementing Partner for a Project:

- a) Demonstrated high performance and quality delivery of desired results;
- b) UNHCRs investment in the capacity development of the partner;
- c) Contribution of partner (financial or in-kind);
- d) Limited availability of alternative partners;
- e) Compelling political reasons or operational environment; and
- f) Change in partner may negatively impact on resources, continuity and effective response to the persons of concern.

9.3. To retain an Implementing Partner for the third year of implementation of a Project, the Project Agreement Manager should evaluate reasons for retention and provide the analysis to the MFT IP Review Committee. The decision to retain the Implementing Partner for another two programme cycles must be made by the Chairperson of the MFT IP Review Committee (Head of Office) as recommended by the committee members.

9.4. The selection for project implementation process as described in Section 8 must take place no less frequently than every five years.



9.5. The analysis supporting the retention decision and the recommendation of the Project Agreement Manager and the MFT IP Review Committee should be documented and placed on the project file.

9.6. The retention process described in this section does not apply if there is a fundamental change to the project objectives, size and/or scope from one implementation period to the next. If there is a fundamental change in the Project, the selection for project implementation process as described in Section 8 applies.

10. MONITORING

10.1. IPMS, UNHCR Headquarters is responsible for monitoring whether the processes for partner selection and retention for project implementation are operating as intended.

10.2. The processes will be subject to monitoring review and audit to ensure quality and performance. Value will be assessed on the following indicators:

- a) Partnership
- b) Relevancy
- c) Flexibility
- d) Simplicity
- e) Objectivity
- f) Transparency
- g) Accountability
- h) Integrity

APPENDIX A: DEFINITIONS

The following definitions, listed in alphabetical order, shall apply:

“Concept Note” shall mean a submission in an UNHCR specified form provided by partner to express its interest in a Project; demonstrate its complementarity to UNHCR's efforts; and demonstrate the unique advantage it brings to the partnership in order to realize the desired outcome of the Project.

“Head of Office” shall mean the Representative or the Head of Office/Division/Unit (either Field or Headquarters) that is responsible for an operation and engagement of an Implementing Partner.

“Implementing Partner” shall mean an entity to which UNHCR has entrusted the implementation of Projects specified in a signing document (Project Agreement or Letter of Exchange or other legal document), along with the assumption of full responsibility and accountability for the effective use of resources and the delivery of outputs as set forth in such a document. The entity could be a governmental, intergovernmental or non-governmental body, a United Nations organization, or another non-profit organization².

“Implementing Partnership” shall mean the collaborative relationship between UNHCR and a partner in order to respond to the needs of persons of concern. The *Principles of Partnership* guides the nature of the relationship. Partnerships involve risks as well as benefits. Among other support, UNHCR participates with financial contribution and other resources to partners. However, UNHCR remains solely accountable to donors for resources entrusted to UNHCR to respond to the needs of persons of concern. Partners are responsible to account fully to UNHCR for the resources entrusted by UNHCR.

“MFT IP Review Committee” shall mean a multifunctional team established by the Head of the Office to review and make recommendations and document the process related to the partner selection and retention for Project implementation as well as the termination of Project Agreements.

“Partner Profile” shall mean data provided by a partner consisting of its Headquarters and Country information. The Partner Profile also contains historical information related to past collaboration with UNHCR for Project implementation.

“Most Suitable Partner” shall mean the organization that provides the most value to meet the needs of a Project taking into account the operating environment.

“The Principles of Partnership” were endorsed by The Global Humanitarian Platform (GHP) in July 2007. The GHP was created as an outcome of the “12-13 July 2006 Dialogue Between UN and non-UN Humanitarian Organizations.” The *Principles of Partnership* are:

- Equality. Equality requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other's mandate, obligations and independence and recognize each other's constraints and commitments. Mutual respect must not preclude organizations from engaging in constructive dissent.
- Transparency. Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications

²Financial rules for voluntary funds administered by the High Commissioner for Refugees, A/AC.96/503/Rev.10.

and transparency, including financial transparency, increase the level of trust amount organizations.

- Result-orientated approach. Effective humanitarian action must be reality-based and action orientated. This requires result-orientated coordination based on effective capabilities and concrete operational capacities.
- Responsibility. Humanitarian organizations have an ethical obligation to each other to accomplish their tasks responsibly, with integrity and in a relevant and appropriate way. They must make sure they commit to activities only when they have the means, competencies, skills and capacity to deliver on their commitments. Decisive and robust prevention of abuses committed by humanitarians must also be a constant effort.
- Complementarity. The diversity of the humanitarian community is an asset if we build on our comparative advantages and complement each other's contributions. Local capacity is one of the main assets to enhance and on which to build. Whenever possible, humanitarian organizations should strive to make it an integral part in emergency response. Language and cultural barriers must be overcome.

“Project” shall mean an undertaking to meet agreed objectives for persons of concern and delivery of specific outputs as measured by defined performance indicators within a set time and budget.

“Project Agreement” shall mean a legal and binding agreement entered into by UNHCR and an Implementing Partner whereby UNHCR delegates to the Implementing Partner responsibility for the implementation of Projects with financial participation from UNHCR. The document stipulates the terms and conditions, and obligations, of all involved parties. It concludes the agreed understanding of all previous discussions and negotiations of all involved parties.

“Project Agreement Manager” shall mean the UNHCR officer assigned by the Head Office to prepare and present information to the MFT IP Review Committee for decisions related to partner selection and retention for Project implementation as well as termination of Project Agreements.

“Prospective Partner” shall mean an organization that has expressed an interest to partner with UNHCR.

“UNHCR Office” in this document shall refer to any division and unit at Headquarters, regional, country or field office.

“UNHCR” shall mean the United Nations High Commissioner for Refugees.

APPENDIX B: ACCOUNTABILITY, RESPONSIBILITY, AUTHORITY

UNHCR Headquarters level has:

- Accountability to ensure that UNHCR has a credible system for selecting the Most Suitable Partner for Project implementation and effectively responding to the needs of persons of concern.
- Responsibility to manage a consultative process with UNHCR and partners in the development of policies and procedures.
- Responsibility to ensure that policies and procedures are consistently applied throughout all operations and provide advice and support to operations.
- Authority to establish policies and criteria for UNHCR operations that provide flexibility for field operations.

The **Head of Office** (representative or the Head of Office/Division/Unit either Field or Headquarters that is responsible for an operation and engagement of an Implementing Partner) has:

- Accountability to ensure that his/her operation has established Implementing Partnerships and partners with the most suitable organization to meet the needs of persons of concern.
- Responsibility to ensure that his/her operation complies with UNHCR policies and procedures for the partner selection and retention for Project implementation and termination of Project Agreements.
- Authority to negotiate, sign and terminate Project Agreements with partners in accordance with UNHCR policies and procedures.

The **multi-functional team (MFT) IP Review Committee** of each UNHCR Office has:

- Accountability to the respective Head of Office (Chair of Committee) to make sound recommendations for partner selection and retention for Project implementation and termination of Project Agreements.
- Responsibility to establish selection criteria that will enable the selection of the Most Suitable Partner for implementation.
- Responsibility to provide accurate information to ensure that decisions of the Head of Office are made in accordance with UNHCR policies and procedures for partner selection and retention for Project implementation and termination of Project Agreements.
- Authority to make recommendations to the respective Head of Office for partner selection and retention for Project implementation and termination of Project Agreements.

The **Project Agreement Manager** has:

- Accountability to the Head of Office to provide timely and accurate information to the MFT IP Review Committee that supports informed decision-making on partner selection and retention for Project implementation and termination of Project Agreements.
- Responsibility to ensure that information and submissions provided to the MFT IP Review Committee are made in accordance with UNHCR policies and procedures for partner selection and retention for Project implementation and termination of Project Agreements.
- Responsibility to maintain documentation and the integrity of Partner Profile data (web-based and hard copy documentation).
- Responsibility to provide feedback to partners on the outcome of the selection process.
- Authority to undertake Partner Profile screening activities in order to prepare submissions to the MFT IP Review Committee for partner selection and retention for Project implementation and termination of Project Agreements.

Partners are expected to:

- Share a commitment to the core values of UNHCR and its commitment to persons of concern;
- Ensure that information provided as part of their Partner Profile is complete, accurate and up-to-date; and
- Comply with all clauses of the Project Agreement.

APPENDIX C: Multi-Functional Team (MFT) IP REVIEW COMMITTEE TERMS OF REFERENCE

Objective

The objective of the MFT IP Review Committee is to enable informed, objective and transparent decisions to identify Most Suitable Partners in accordance with UNHCR policies, procedures and guidelines related to:

- Selection of the Most Suitable Partners for the implementation of Projects;
- Retention of Implementing Partners that are the most suitable for the implementation of Projects;
- Termination of Project Agreements with partners due to violations with the agreement and/or other gross violations.

Scope

The MFT IP Review Committee is to make recommendations to the Head of Office related to the partner selection and retention for Project implementation and the termination of Project Agreements. In this role, the Committee must ensure:

- Selection processes are followed in accordance with UNHCR policies, procedures and guidance;
- Criteria and weighting used to select partners for project implementation are aligned with Project and operational requirements;
- Potential risks (if applicable) of working with a specific partners are highlighted in recommendations to the Head of Office; and
- Prepare feedback to the Head of Office in cases a partner requests feedback on selection decisions.
- Ensure that all processes and decisions are clearly documented.

Structure

The structure of the IP Review Committee should be chaired by the Head of Office and have the following attributes:

- Representation from each functional area (i.e. program, protection, finance/administration, community services), subject to office resourcing and operations;
- Aligned with the principles of UNHCR Age, Gender and Diversity Mainstreaming strategy;
- Designate Alternate Chairperson in case the Head of Office delegates his/her responsibilities;
- Quorum requires the presence of the Chairperson or Alternate Chairperson and two thirds of members at a minimum;

The composition of the MFT IP Review Committee should be maintained for all partner selection, retention and termination of Project Agreement processes throughout an implementation year in order to support consistency and efficiency.

Documentation

The membership composition of the MFT IP Review Committee should be documented and maintained on the file of the UNHCR Office.

The minutes and decisions of MFT IP Review Committee meetings must be documented and maintained in relevant project files.

For each Committee meeting, a secretary will be designated by the Chairperson and responsible for documenting the minutes and decisions of the meeting.

Amendments

The terms of reference will be reviewed by IPMS, UNHCR Headquarters no less frequently than annually from the date of approval.

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APPENDIX D: PARTNER PROFILE

The Partner Profile is information provided by partners to enable UNHCR to have an understanding of the partner. Information is provided related to the Headquarters of the organization as well as at the Country of operation (if different from Headquarters information).

Once it is determined that an organization is committed to the core values of UNHCR and its commitment to persons of concern, the organization can be viewed as a partner. The partner must provide its Headquarters information. Additionally, a partner may provide Country Information at any time as the ability to provide Country Information is not dependent on a specific partner selection process for project implementation.

At the time of a specific partner selection process for project implementation, the partner will be requested to ensure both its Headquarters and Country Information is complete, accurate and up-to-date.

Information is solicited from partners by the question set contained in Annex B.

Headquarters Information
Identification
Mandate/Mission Statement
Governance and ethics
Funding
Collaboration
Capacity to manage and support the Field
Country Information (only provided if different from, or in addition to, Headquarters information)
Identification
Presence
Collaboration
Staffing
Other UN assessments
Funding
Primary target persons of concern
Area of specialization
Main intervention experience
Linkages with persons of concern

APPENDIX E: CONCEPT NOTE

The Concept Note is intended to allow the partner to:

1. Put forward an innovative project idea or express its interest in the Project formulated by UNHCR;
2. Demonstrate its complementariness to UNHCR's efforts; and
3. Demonstrate the unique advantage it brings to the partnership in order to realize the desired outcome of the Project.

The Concept Note is not a summary of a fully developed Project as detailed project design and budgeting will take place after selection. It is envisioned that the concept note will not exceed 2 pages and contain concise and clear information.

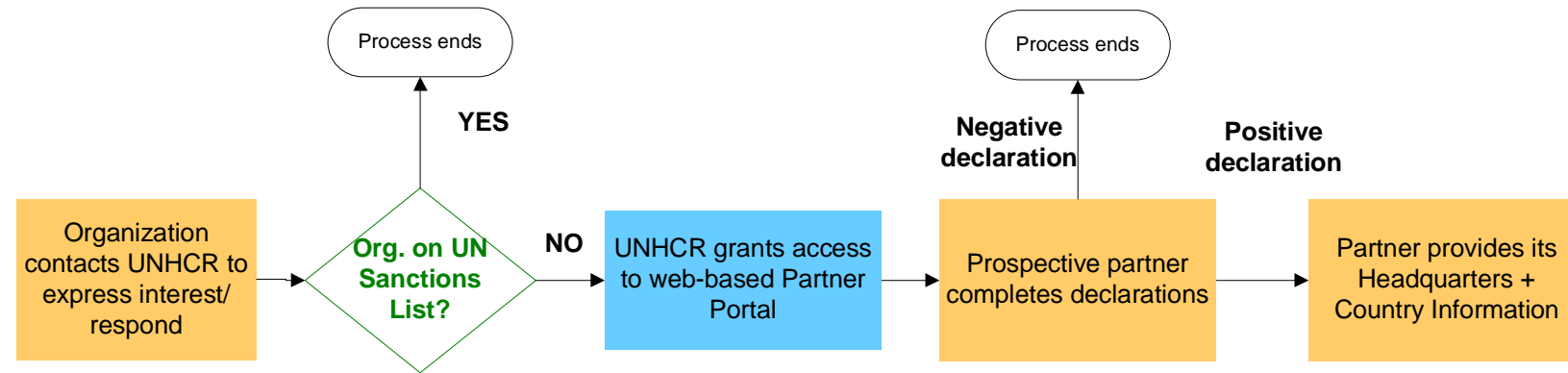
Please describe the unique advantage your organization brings to the project for achieving the desired outcome for the target persons of concern	
Project Goal and Envisaged Outcomes	<i>(For partners bringing forward a project idea only)</i> Brief description of the proposed innovative project idea and its expected outcomes for the target persons of concern.
Methodology and approach	Brief description of the methodology and approach to be used for the project to address the need and achieve the desired outcome for the target group. Describe how the methodology and approach links/complements UNHCR's objectives for the target group.
Resources	Brief description of how the required resources would be mobilized and express the likely total cost of the project, including total funding to be requested from UNHCR, the organization's contribution (monetary and/or non-monetary resource) as well as any contributions by other donors
Technical capacity	<p>Brief description of the distinctive technical capacity and strengths, including past experiences, to deliver the desired outcomes of this project.</p> <p>Brief description of who will be carrying out the project's activities? Directly by the partner, other partners, commercial contractors or other entities? Will other partners, commercial contractors, other stakeholders be involved?</p> <p>Brief description of how your organization would manage monitoring, evaluation and learning including improvements.</p> <p>How many projects (and total budget) is the organization currently implementing?</p> <p>Brief description of areas of improvement for which the organization may require support.</p>
Expectations	<p>Brief description of the expectations the organization has of this strategic partnership with UNHCR for the successful joint intervention.</p> <p>Any other information the organization would like to provide to UNHCR.</p>

Annex A: High Level Process Overview of Establishing Partnership and Partner Selection for Project Implementation

Establishing Partnership

The purpose of this sub-process is to:

- Determine whether an organization is committed to the core values of UNHCR and its commitment to populations of concern
- Provide information so that UNHCR can better understand the partner



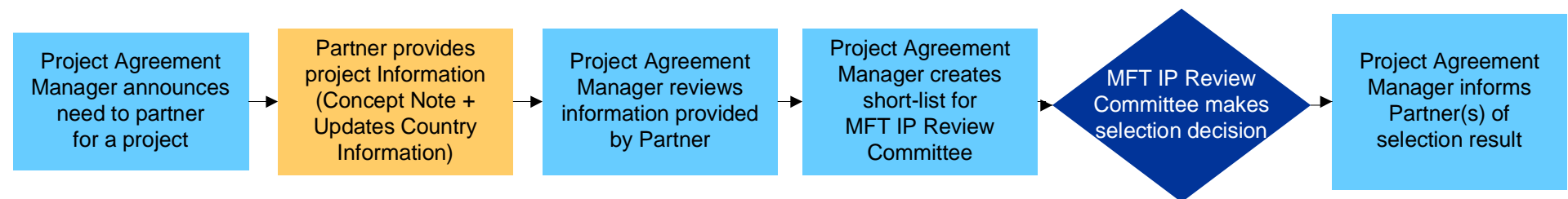
- At anytime, an organization can express interest to partner with UNHCR
- Access to UNHCR's web-based Partner Portal is provided to an organization if it is not on the UN Sanctions 1267 List
- Prospective partner completes declarations related to the core values of UNHCR and its commitment to populations of concern
- Partner provides Headquarters and Country Information to form its Partner Profile
- UNHCR trusts that partner provides accurate and complete information
- UNHCR may validate/verify information provided by partner, if required

Once UNHCR and an organization have jointly expressed interest to become partners, the possibility of collaborate to implement a project exists.

The sub-process "Partner Selection for Project Implementation" applies when UNHCR is seeking a partner that will be entrusted with project implementation and UNHCR funding

Partner Selection for Project Implementation

The purpose of this sub-process is to select from among partners the Most Suitable Partner for project implementation.



- The Project Agreement Manager is the UNHCR staff delegated by Head of Office. (Typically, the Project Agreement Manager is a Programme Officer).
- MFT IP Review Committee (Chaired by Head of Office) is a UNHCR multi-functional team and makes selection decision
- UNHCR announces the need to partner for project implementation. UNHCR expresses the goal of the project and its target group and solicits Concept Notes.
- Announcement facilitated by the web-based Partner Portal or any other suitable medium(s).
- Relevancy and importance of selection criteria determined by MFT IP Review Committee and this information made available to Partners.
- Partner provides a Concept Note and Country information (Country information may have already been provided if there is an existing relationship or if Headquarters information and Country information is the same)
- UNHCR Project Manager reviews the Concept Note and Partner Profile (Headquarters and Country Information) to create a short-list for the MFT IP Review Committee
- Project Agreement Manager informs selected partner and it is at the discretion of the Field to share selection result with other partners (as operation permits).

ANNEX B: PARTNER PROFILE INFORMATION

Establishing partnership - Declarations

The purpose of these declarations is to determine whether the prospective partner is committed to the core values of UNHCR and its commitment to persons of concern. UNHCR will partner with organizations and entities (non-profit) that are committed to the core values of UNHCR and its commitment to persons of concern. An organization must answer 'yes' to all five declarations in order to be a partner with UNHCR.

Declaration	Possible answer	Guidance provided to user
By answering yes, the organization confirms that it is not on, or associated with, an individual, groups, undertakings and entities that are listed by the committee established by the UN Resolution 1267 http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml	Yes/No	Link to UN 1267 website http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml
By answering yes, the organization confirms that it has not been charged with or been complicit in corrupt activities, including crimes against humanity and war crimes, and has not been in the past with such activities that would render the organization unsuitable for dealing with UNHCR or working with persons of concern	Yes/No	Hyperlink to guidelines
By answering yes, the organization commits that it will not discriminate against any persons of concern, regardless of their race, religion, nationality, political opinion, gender or social groups	Yes/No	Hyperlink to applicable conventions and UNHCR documentation
By answering yes, the organization commits to abide by the <i>Principles of Partnership</i>	Yes/No	Hyperlink to Principles of Partnership
By answering yes, the organization confirms that it is willing to comply with all clauses of the UNHCR project agreement when implementing UNHCR funded projects	Yes/No	Hyperlink to standard clauses of a project agreement

Partner Profile information will be provided by an organization via a web-based tool, Partner Portal. Information provided by partners will be only for the use of UNHCR. Safeguards will be put in place to protect data confidentiality and integrity.

Please note that questions are formulated for purposes of capturing information on the Partner Portal. The column Possible Answer/Format makes reference to the manner in which information will be captured on the Partner Portal.

ANNEX B: PARTNER PROFILE INFORMATION

Establishing Partnership - Headquarters Information

The purpose of this information is to provide UNHCR's with a better understanding of the partner and to jointly identify possible capacity development or other supports if a the partner is selected to implement a project. It is important to note that responses are not exclusionary. This information is provided by an authorized person representing the organization at the Headquarters level. This information can be provided at anytime and remains valid for all interventions unless it requires update by the organization.

Category	Line of enquiry	Question/information required	Possible answer/format	Comments, if applicable
Identification				
	Organization information	Legal name	Free text	
		Full name	Free text	
		Acronym	Free text	
	Type of organization	Which of the following best describes the organization	Drop down fixed list. One selection only: Local NGO; National NGO; International NGO; Government; Intergovernmental; Red Cross Movement; Other Non-Profit.	The type of organization will determine whether the question set will be for NGOs, Government or Intergovernmental (Question set below is for all NGOs)
	Establishment of organization	Date established in country of origin	Numeric value (yyyy)	Provides length of time organization has been in existence - establishment may pre-date registration
	Registration of organization	Registration in country of origin	Yes/No Checkbox. If Yes : Registration number, date of registration and place of registration. Numeric value, dd/mm/yy. Pre -defined fixed list (Country name), one selection only and free text (registration number). If No, Please provide an explanation.	If the organization is not registered, UNHCR requires further explanation (i.e. is registration in progress; obstacles to obtaining registration etc..)
	Organization contact information	No., Street, Suite	Free text	
		Address line 2	Free text	
		City	Free text	
		Region, Province or state	Free text	
		Postal code or ZIP Code	Free text	
		PO Box/Mailing	Free text	
		Country	Drop down fixed list. One selection only.	
		Fax	Numeric value	
		Tel	Numeric value	
		Email	email@address	
		Website		
	Primary authorized contact person	First and family names	Free text	Option will exist to provide a maximum of three authorized contact persons
		Title	Free text	
		Fax	Numeric value	
		Tel	Numeric value	
		Mobile	Numeric value	
		Email	email@address	
	Accreditations and certifications	Accreditations and certifications by recognized bodies	Drop down list of accreditations (Transparency International, HAP, HACT, etc...) with ability to specify Other. More than one selection possible.	Accreditations/certifications from recognized humanitarian and professional entities may be leveraged for understanding the level of organizational maturity in the relevant area(s)
	Working languages	English, French, Spanish, Russian, Arabic, Chinese, Other (Specify)	Checkbox. More than one selection possible.	
	Presence	Location of existing operations	Drop down list of UNHR regions/sub-regions. More than one selection possible.	To understand geographical scan of the organization

ANNEX B: PARTNER PROFILE INFORMATION

Mandate/Mission				
	Background	Brief description of the background and rationale of the establishment of the organization	Free text	
	Mission statement	Brief description of the vision and mandate of the organization	Free text	
	Primary target persons of concern	Refugees, Internally Displaced Persons, Returnees, Stateless, Asylum Seekers, Others	Drop down list. Multiple selection allowed. Must specify if "Other" selected.	
	Area of specialization	Domain	Drop down list as defined in Focus. Multiple selection allowed.	To understand the main expertise of the organization
		Years of experience in each area of specialization	Drop down with year ranges (1-5; 5-10; 10 +)	To give a sense of the level of experience in each area of expertise
	Primary operational experience	Emergency situations, Protection, Post conflict, Development, Resettlement, Other	Drop down list. Multiple selection allowed. Must specify if "Other" selected.	
Governance and ethics				
	Governance	Please provide a brief description of your governance structure	Free text	To understand basic governance arrangement and whether there is a layer of oversight of management
		Please describe the reporting lines and oversight between headquarters and a typical country/local office. (Attach organigram, if possible)	Free text	To understand the relationship between headquarters and the field
		Delegated authority for signing IP agreements	Headquarters/Local Checkbox	To understand the level of delegated authority and possible time delays in the sub-agreement negotiation and signing process
		UNHCR project budget approval authority (UNHCR funding)	Headquarters/Local Checkbox	To understand the level of delegated authority and possible time delays in the sub-agreement negotiation and signing process
		Does the organization have a publicly available annual report to stakeholders	Yes/No. If Yes, upload document or provide website link.	
	Ethics	Does the organization have a policy and practice or standard code of conduct and safeguards against violation and abuse of persons of concern	Yes/No. Comments.	To understand whether the organization has policy and practice related to conflict of interest, suspected employee fraud and mis-use of resources, compliant reporting and response, employee disciplinary measures.
Funding				
	Annual budget	Budget of the current and past three years		To understand the size of the organization and any recent material change in size
	Core funding	Source(s) of core funding	Free text	To understand how the organization covers basic core organizational and administrative costs
	Top five donors	Provide names of top five donors over the past three years	Donor name required. Drop down list + user input	To understand whom the organization has worked with and received funding from in recent past. This information will be restricted to UNHCR officers working with the NGO.

ANNEX B: PARTNER PROFILE INFORMATION

Collaboration				
	History of partnership	Has the organization collaborated with UNHCR in the past? If yes, please provide a brief description.	Yes/No. Free text	
		Has the organization collaborated with UN and similar institutions in the past? If yes, please provide a brief description.	Yes/No. Free text	To understand whether the organization has experience working with UNHCR-like entities
	Network membership	Is the organization a member of network organizations?	List. Several selections possible of humanitarian/development, governmental/academic and to enter a new value choosing the "Other" entry. User can provide comments (Free Text).	Demonstrates the organization's existing relationships with their peer organizations
Capacity to manage and support Field Operations				
	Internet access	Does the organization have reliable access to internet throughout all operations	Yes/No. If No, Comment.	To understand whether UNHCR can rely on web-based and email communications with the organization. This will inform UNHCR as to whether another communication medium should be used with the organization.
	Working with the Field	Provide a description the type of support provided to Field Operations for programme/project implementation	Free text	To understand the value-add that the headquarters may provide to operations by supporting the Field
	Ability to scale-up operations	Provide a description of the support and mobilization of resources provided to Field Operations in case of expansion of operations (ex. emergency situations)	Free text	To understand the ability to quickly mobilize resources
	Results management	Does the organization use a results-based management approach	Yes/No. Briefly describe your approach. If not, please describe the approach of the system used.	To understand how the organization measures results and whether it is familiar with results-based management frameworks such as the UNHCR approach
	Risk management	Does the organization use a risk management approach	Yes/No. Briefly describe your approach. If not, please describe the approach of the system used.	To understand how the organization manages project risks and whether it is familiar with risk management practices
	Financial controls	Does the organization have an existing accounting system	Yes/No.	
		If yes,	Checkbox. Only one.	
		a) computerized		
		b) paper-based		
		Does the accounting system include a project cost ledger providing for the recording of expenditures for each program/donor by required budget cost categories	Yes/No. Comments.	To understand whether the organization has a system in place to track project expenditures to support accurate project reporting and claims made to funding agencies
		Does the organization have adequate internal controls to ensure appropriate resource management	Yes/No. Comments.	
	Financial staffing	Does the organization have adequate and experienced staff responsible for financial management in all operations	Yes/No. Comments.	

ANNEX B: PARTNER PROFILE INFORMATION

Audit	Does the organization have regular organizational audits	Yes/No. Comments.
	If yes, What types of audits take place at the organization	Checkbox. Multiple answers allowed.
	i) External financial statement audits	
	ii) External audits of third-party funding (ex. UNHCR IP audit certificates)	
	iii) Internal audit	
	If yes, does the organization have publicly available audit reports	Yes/No. If Yes, upload document or provide website link.
Segregation of duties	Has the organization instituted safeguards in all operations to ensure the following functional responsibilities are appropriately segregated	
	a) Authorization to execute a transaction	Yes/No. Comments.
	b) Recording of a transaction	
	c) Custody of assets involved in the transaction	
	d) Bank reconciliation and payment approvals	
Procedures	Does the organization have formal documented policies applicable to all operations that cover the following areas:	To understand the level of organizational maturity in areas that impact on project implementation
	Human resources	Yes/no. Comments.
	Procurement	Yes/no. Comments.
	Asset and Inventory Management	Yes/no. Comments.

ANNEX B: PARTNER PROFILE INFORMATION

Partner Selection for Project Implementation - Country Information

The purpose of this information is to provide UNHCR's with a better understanding of the partner at the country of operation level and to inform a project implementation selection decision. Information is to be provided by the authorized individual of the country of operation. The partner provides information at the country level only if it is different than that provided in Headquarters Information.

Category	Line of enquiry	Question/information required	Possible answer/format	Comments, if applicable
Identification				
	Organization contact information	No., Street, Suite	Free text	
		Address line 2	Free text	
		City	Free text	
		Region, Province or state	Free text	
		Postal code or ZIP Code	Free text	
		PO Box/Mailing	Free text	
		Country	Drop down list. One selection only.	
		Fax	Numeric value	
		Tel	Numeric value	
		Email	email@address	
		Website		
	Primary authorized contact person	First and family names	Free text	
		Title	Free text	
		Fax	Numeric value	
		Tel	Numeric value	
		Mobile	Numeric value	
		Email	email@address	
	Establishment of organization	Date established in country of operation	Numeric value (yyyy)	To provide an understanding of the length of experience in the country of operation.
	Registration of organization	Registration in country of operation	Yes/No Checkbox. If Yes : Registration number, date of registration and place of registration. Numeric value, dd/mm/yy. Pre -defined fixed list (Country name), one selection only and free text (registration number) Provide a copy of your registration. If No, Please provide an explanation.	It is important that the organization is registered before signing an agreement. If the organization is not registered we require an explanation (i.e. is registration in progress, obstacles to obtaining registration etc..)
	Presence	Location of main office in the country of operation	Drop down list, where possible. Free text for countries where pre-defined list not possible.	
		Location of other offices in the country of operation, if relevant	Drop down list, where possible. Free text for countries where pre-defined list not possible.	
	Banking information	Does the organization already have or are willing and able to open and maintain a separate interest bearing account for UNHCR funded projects	Yes/No. If No, please provide an explanation.	The project agreement requires a separate interest bearing bank account for UNHCR funding. If this is not possible, then a waiver must be requested from the UNHCR Controller.

ANNEX B: PARTNER PROFILE INFORMATION

Funding				
	Top five donors	Provide names of top five donors over the past three years in the country of operation	Drop down list + user input	To understand whom the organization has worked with and received funding from in recent past. This information will be restricted to UNHCR officers working with the NGO.
Collaboration				
	History of partnership	Has the organization collaborated with UNHCR in the country of operation in the past? If yes, please provide a brief description.	Yes/No. Free text	
		Has the organization collaborated with UN and similar institutions in the country of operation in the past? If yes, please provide a brief	Yes/No. Free text	To understand whether the organization has experience working with UNHCR-like entities
		Describe the existing collaboration relationships with other organizations in the country of operation	Free text	To understand the existing relationships with like minded organizations in the country of operation
Capacity and Experience				
	Staffing	Core staff	Drop down with range provided (1-10; 11- 50- 100; 100 +)	To understand the size and dynamics of the of the paid and volunteer workforce
		Project staff	Drop down with range provided (1-10; 11- 50- 100; 100 +)	
		Volunteers	Drop down with range provided (1-10; 11- 50- 100; 100 +)	
		Does the organization have an up-to-date oranigram	Yes/No. Ability to upload document	
	Other UN assessments	Has the organization been assessed by another UN organization	Yes/No. Free text to list names(s) of other UN Agencies. Ability to upload document	To determine whether UNHCR can leverage other assessments already undertaken
	Primary target persons of concern	Refugees, Internally Displaced Persons, Returnees, Stateless, Asylum Seekers, Others	Drop down list. Multiple selection allowed. Must specify "Other"	
	Area of specialization	Domain	Drop down list as defined in Focus. Multiple selection allowed.	To understand the main expertise of the organization
		Years of experience in each area of specialization	Drop down with year ranges (1-5; 5-10; 10 +)	To give a sense of the level of experience in each area of expertise
	Primary operational experience	Emergency situations, Protection, Post conflict, Development, Resettlement, Other	Drop down list. Multiple selection allowed. Must specify "Other"	
Linkages with Persons of Concern				
		Please provide an explanation, with examples, of the organization's linkages with the persons of concern and host communities	Free text	
Other Information				
		Optional: Please provide any other information that you would like to share with UNHCR	Free text and ability to upload documents	