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Operational Guidelines for capacity strengthening for UNHCR and its NGO partners

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Approved by:

Signature:

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This and other official UNHCR Guidance is available on the Policy and Other Guidance page of the UNHCR-Net.

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1. INTRODUCTION/PURPOSE

The importance of partnerships: There is general recognition that UNHCR partnerships and collaboration with national non-governmental organizations (NNGOs) are vitally important, and increasingly so. In 2013, some 567 of the 944 UNHCR implementing partners (with Project Partnership Agreements) were NNGOs. Another 166 were international non-governmental organizations (INGOs).

In that connection, there are many reasons why UNHCR should give serious consideration to the candidacy of NNGOs for project implementation – among them: being geographically, culturally and linguistically closer to the assisted populations and communities; having close and longstanding contacts with government and civil society persons; more flexible and rapid; less costly, and being present on the ground before and after a crisis.

The need for improved capacity: All three parties – UNHCR, INGOs and NNGOs – have unique capacities, characteristics and qualities which, if complemented by the other parties, can contribute to more effectively serving refugees, internally displaced persons (IDPs), disaster-affected communities, stateless persons and returnees. However, it is also generally conceded that many operations run by UNHCR with national partners have not yet attained the capacity – such as in project drafting, financial management, and reporting - needed to independently implement a project on their own without administrative support.

Purpose: The purpose of these Operational Guidelines is to provide guidance and suggestions for complementary and mutual capacity strengthening. These Guidelines are intended for UNHCR country offices and international and national NGO partners. It provides ideas on mechanisms and approaches which can be used to build and strengthen mutual capacity, ultimately for more effective support to refugees, internally displaced persons, stateless persons, returnees, and other persons of concern.

2. SCOPE

The Guidelines propose development and implementation of activities to address the identified deficient areas of capacity, elaborated in this document. Activities would take place in locations to be agreed by the three parties – UNHCR, INGOs and NNGOs. The goal is to achieve strengthened capacity of the three parties, for the more effective delivery of protection and solutions to refugees and other persons of concern.

3. RATIONALE

The need for an NGO capacity strengthening strategy has long been recognized by UNHCR. As far back as 1998, UNHCR produced "A Strategy for Enhancing National NGO Partner Effectiveness". In 2001 a review of the strategy, "Evaluation of UNHCR's role in strengthening national NGOs", was carried out by a UNHCR Consultant.

The Structured Dialogue: When presiding over the December 2012 meeting of the UNHCR-IFRC-NGO Structured Dialogue on Partnership, the UNHCR High Commissioner Antonio Guterres reiterated that UNHCR cannot meet the needs of its persons of concern alone: it requires strong partnership with the NGO community and the Red Cross/Red Crescent Movement. Structured Dialogue participants recognized the need for a more comprehensive, strategic, and systematic approach to bolstering one another's capacities, to collectively respond to operational requirements. That is the goal of this Strategy.

Recommendation 6 on capacity strengthening from the Structured Dialogue:

UNHCR, the IFRC and NGO partners recognize the need for a more comprehensive, strategic and systematic approach to **strengthening capacity** for collective response, involving the mutually reinforcing roles and capacities of UNHCR, international and national NGOs. The performance of UNHCR, the IFRC and the NGO community in joint implementation and in managing risk in complex and insecure operating environments is a critical issue for our partnership in the context of today's humanitarian response. It is a challenge we must take on together, reinforcing each other's capacities to optimal effect. Learning from existing initiatives, UNHCR will seek to strengthen its institutional strategy for capacity development of national NGOs, on the basis of a trilateral partnership - UNHCR, International NGOs, and National NGOs, and to build on their respective capacities and roles. Recognizing that capacity-strengthening strategies are usually best determined at field level, UNHCR and the NGO community will develop plans which ensure specific capacity strengthening is built into partner agreements where needed.

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4. A COMPLEMENTARY CAPACITY STRENGTHENING STRATEGY

4.1 BACKGROUND - THE MAPPING SURVEY:

Structured Dialogue follow-up: Towards Complementary Capacity Strengthening: Among various initiatives taken to follow up on the Structured Dialogue recommendations, in 2014 a consultancy was undertaken under the responsibility of the UNHCR Implementing Partnership Management Service (IPMS).   Terms of Reference were developed for a consultancy to:
- "(Phase 1) better define the scope and what constitutes trilateral collaboration of UNHCR, international NGOs and national/local NGOs for strengthening capacity of UNHCR and its NGO partners, and
- (Phase 2) outline a potential strategy to enhance their complementary capacities to provide better protection for refugees and other persons of concern."

In 2014 a mapping of tripartite initiatives took place (Phase 1), with 40% replying from 173 addressees (UNHCR, INGOs and NNGOs). The mapping questionnaire gathered information in a number of relevant areas:
- what was their definition of capacity development and sustainability?
- did they have a related policy or strategy?
- what were their benchmarks for progress in capacity development?
- what was the extent of tripartite or bipartite agreements on capacity strengthening?
- in which project areas did they focus efforts in capacity development?
- what lessons learned or good practice examples derived from their activities?
- what gaps or barriers existed?
- What were their suggestions for the future?

Summary and Conclusions of the mapping were sent to the 50 NGOs participating in the Structured Dialogue, with replies received from half of them. This document is the main outcome of the above Phase 1 mapping, the replies from NGOs and UNHCR staff, and webinars and teleconference calls held over recent months.

4.2   WHAT HAVE WE LEARNED FROM PAST INITIATIVES?

From the 1998 Strategy, pages 3-6 - Recommendations on Elements of a Strategy:

- **Global:** NGO focal point in each office. NGO forum in each country. Identify core competencies for national NGOs and ensure training. Work with INGOs and NNGOs together, with a hand-over strategy, and training and capacity building components. Include capacity strengthening of NNGOs in international NGO partnership agreements. Give increased financial administrative support to NNGOs.
- **Regional:** identify common activities and training needs to be carried out regionally, including workshops for NNGOs to improve skills.
- **Country**: develop a Plan of Action in each UNHCR country office on NNGO capacity building.

From the "Evaluation of UNHCR's Role in Strengthening National NGOs" (by John Telford, EPAU/2001/011, January 2001, pages 22-23 -   Recommendations on Elements of a Strategic Plan for NNGO capacity building:

- Compile good practice examples: NNGO access to forums such as the ExCom, advocacy for NNGO access to donors, developing strategies at Regional Bureaux.
- Change UNHCR's working culture from direct implementation to guiding, sharing, and developing capacities.
- Develop criteria for selection of NNGOs.
- Develop criteria for evaluating UNHCR-NNGO mutual strengthening activities.
- Develop standards of accountability, to which UNHCR and NNGOs should be held.
- Strengthen NNGOs that are involved in UNHCR's primary activities.
- Plan a phased approach to capacity strengthening.
- Identify potential INGO- NNGO partnerships.
- Identify regional resource centres and regional NGOs for information dissemination, training and technical support.
- Make increased funding available for strengthening activities. Establish a global (and Regional Bureau and Division) NNGO capacity building fund.
- Include NNGO capacity building activities in budgets.
- UNHCR partner training should be more focused.
- Encourage mentoring and on-the-job training in UNHCR offices for partner staff, and staff exchanges between UNHCR and NNGOs.

4.3   WHAT HAVE WE LEARNED FROM THE MAPPING SURVEY IN 2014?

Participants in the Mapping Survey identified numerous **gaps**, particularly focused on national NNGOs, where capacity was felt to be weakest. Survey results also included a number of **capacities** felt to be the most important for NNGOs to achieve, and **mechanisms** which might be used to strengthen NNGO (and mutual) capacities.

Where are the identified gaps (where capacity of NNGOs is the weakest)?
- lack of trained staff
- staff retention
- lack of resources

- organizational visibility, linked to resource mobilization
- qualified staff to lead capacity strengthening activities
- insufficient human resources for the development of the organization (managers), as well as for projects
- effective systems, procedures and manuals (HR, finance, procurement)
- lack of capacity of NNGOs, with capacity often defined as ad hoc, short-term, and not a priority
- need for increased tripartite cooperation and coordination among the three parties
- lack of indicators to measure capacity strengthening

From the list of capacities required for NNGOs, those referred to the most in the Questionnaire responses were:
- resource mobilization and self-financing **(top of the list)**
- strategic planning **(top of the list)**
- leadership and management **(top of the list)**
- human resources **(top of the list)**
- programme management **(top of the list)**
- financial management, internal systems and infrastructure **(top of the list)**
- quality staff recruitment
- staff competency and development
- quality staff retention
- specialized expertise (protection and technical sectors)
- adherence to principles of accountability
- effective external networking

From the list of mechanisms to strengthen NNGO capacities, those referred to the most were:
- training and staff development **(top of the list)**
- on the job coaching **(top of the list)**
- sharing experiences **(top of the list)**
- inter-agency exchange **(top of the list)**
- twinning and mentoring **(top of the list)**
- building partnerships and networking
- (joint) strategic planning
- engagement with refugees, populations and communities
- evaluation and organizational learning
- transfer of knowledge and skills
- sharing manuals, procedures and materials
- participatory and inter-agency assessments and planning
- sharing good practice examples

4.4   WHAT SHOULD BE SOME ELEMENTS OF THE STRATEGY?

From the November 2014 Webinars with international and national NGO partners, the following conclusions were arrived at:
- It must be a **voluntary** strategy
- Approaches could be short-, medium- and long-term
- Approaches could be **global, regional and national** (and contextualized to national context)

- **Tripartite vs. bipartite** approaches – both are necessary. Bipartite approaches will remain the priority for many.
- Have **pilot projects** in a few locations, then scale up based on experience and lessons learned from the pilots
- **Indicators** should be considered to measure progress
- Share some **good practice examples and lessons learned**
- **Consider pairing** of NNGOs and INGOs
- What kind of **initiatives should the strategy focus on**?
    - ✓ NNGOs prioritized the following areas of focus:
        - effective management
        - strategic planning
        - resource mobilization
    - ✓ INGOs added:
        - staff development
        - access to training
        - understanding of the global humanitarian system
        - advocacy

The development of capacity strengthening initiatives – regardless of the areas of focus selected, or mechanisms by which support will be achieved – will need to link back to the joint goal of delivering protection and solutions more effectively for persons of concern. Finding practical ways of strengthening the integration of key approaches of and principles for operations management (including Age, Gender and Diversity, the rights-based approach, the community-based approach and Accountability to Affected Populations) will need to be a priority.

4.5   SUGGESTIONS FOR A STRATEGY:

The following steps are proposed:

SUGGESTIONS FOR INSTITUTIONAL AND COMPLEMENTARY CAPACITY STRENGTHENING

1. **Capacity strengthening focal points:** form a group to advance this initiative, and to promote the adoption and implementation of the Strategy among the offices and organizations interested to be engaged. It could consist of five entities/partners: UNHCR, ICVA, InterAction, the Africa NGO Task Force, and the Asia-Pacific Refugee Rights Network. The NGOs, with their broad networks and global/regional/national contacts, could help to facilitate networking among organizations and dissemination of the Strategy. Related to this, we must think of ways to "anchor" this initiative in UNHCR in the future (suggested by UNHCR country offices)

2. **Locations:** identify UNHCR field offices and NGOs in specific countries willing to take part: Identify volunteer offices and countries from among UNHCR, INGOs and NNGOs to take part in the initiative in different countries. Integrate capacity strengthening into the office structure. It must be a voluntary strategy.

3. **Focus:** for those who volunteer for a capacity strengthening initiative, agree on a focus – in timing, locations, approach and activities:
    - Approaches could be short-, medium- or long-term. Initially they could be short-term, and agree on a time line (e.g., by end of 2016).
    - Experiment with different approaches: regional/national, multi-year/single year, and NGO/community strengthening.
    - Global, regional, and/or national – in different regions of the world. In the case of national, contextualized to the national context.
    - A mixture of tripartite and bipartite approaches. Both are necessary.
    - Explore tripartite collaboration in locations where the three parties work together on similar activities.
    - A south-south approach should also be considered (tripartite or bipartite).

4.   **Pilot projects**: could be established in a few locations, then scaled up based on experience and lessons learned from the pilots. Identify perhaps 1-2 partners per country willing to work on this.
    - Pilot projects could be tripartite – UNHCR with international and national NGO Partners. They could also be bipartite – international NGOs working with national NGOs, or more experienced national NGOs working those less experienced, or UNHCR working with national NGOs.
    - Some of the UNHCR evaluation recommendations, page 5 above, could be taken forward (e.g., development of criteria and standards).
    - Activity focus: to be decided for each country. For UNHCR, one activity could be capacity strengthening as part of a Project Partnership Agreement (see **ANNEX 1** for some examples of indicators). Build into PPAs and MoUs of international NGOs provision for NNGO cooperation, including training related to capacity strengthening. Another arrangement could be an NNGO or INGO serving as an umbrella agency, whereby the less developed NGO (generally a NNGO) contributes to the delivery of services under supervision of the more developed NGO.
    - Identify strong, committed offices to advance this initiative, including the donor community.

5. **Plan of Action**: agree on a plan of action among organizations willing to be engaged, which should include planned activities, timelines for completion, and organizations/partnerships to be involved.

6. **As part of the Strategy, identify gaps, then mechanisms to address gaps and improve capacities:**

    6.1 **Gaps:** In developing activities, focus on the Gaps identified with NNGOs, and plan to address the gaps. Many of the Gaps are linked to inadequate staffing, systems, resources, or external visibility. Some of the most important gaps to address, identified in the Mapping Survey, are:
    ✓ lack of trained staff
    ✓ staff retention
    ✓ lack of financial resources
    ✓ lack of indicators to measure capacity strengthening
    ✓ organizational visibility, linked to resource mobilization
    ✓ qualified staff to lead capacity strengthening activities
    ✓ insufficient human resources for the development of the organization (managers), as well as for projects
    ✓ effective systems, procedures and manuals (HR, finance, procurement)
    ✓ lack of capacity of NNGOs, with capacity often defined as ad hoc and short-term

    6.2 **Capacities: :** In strategically addressing Gaps, it is foreseen that capacities would be increased in specific areas, while ensuring that broader approaches for advancing protection and solutions remain central and are fully integrated.   The most important capacities identified in the Mapping Survey were:

- ✓ resource mobilization and self-financing (prioritized by NNGOs)
- ✓ diversification of funding approaches
- ✓ strategic planning (prioritized by NNGOs)
- ✓ effective management (prioritized by NNGOs)
- ✓ advocacy (prioritized by INGOs)
- ✓ multi-year approach
- ✓ overall leadership and management
- ✓ human resources
- ✓ quality staff recruitment
- ✓ staff competency and development
- ✓ quality staff retention
- ✓ programme management
- ✓ financial management, internal systems and infrastructure
- ✓ specialized expertise (protection and technical sectors)
- ✓ adherence to principles of accountability
- ✓ effective external networking

6.3 **Mechanisms:** In addressing the gaps, think of which Mechanisms would be best to facilitate progress and improvement. For example, transfer of knowledge and skills could be a way to deal with lack of trained staff. Sharing of manuals and materials could help to improve deficiencies in systems. Twinning and mentoring could work to increase external visibility of an NGO, including resource mobilization possibilities. Establishing a project with a training component could address problems of staffing or systems. Some of the important mechanisms identified in the Mapping Survey were:

- ✓ training and staff development (prioritized by INGOs)
- ✓ understanding of the global humanitarian system (prioritized by INGOs)
- ✓ twinning and mentoring (such as pairing of NNGOs and INGOs)
- ✓ sharing good practice examples, experience and lessons learned
- ✓ use of indicators to measure progress
- ✓ extend training and tools which are already available to UNHCR staff, also to partners.
- ✓ Structured needs assessments and capacity assessments (such as surveys, interviews and training of trainers)
- ✓ on the job coaching
- ✓ inter-agency exchange
- ✓ building partnerships and networking
- ✓ (joint) strategic planning
- ✓ engagement with refugees, populations and communities
- ✓ evaluation and organizational learning
- ✓ transfer of knowledge and skills
- ✓ sharing manuals, procedures and materials
- ✓ participatory and inter-agency assessments and planning
- ✓ audit letters, and development of action plans to address gaps
- ✓ the UNHCR project control function plays a key role in building the capacity of NNGOs
- ✓ guidance for partners based on the recently issued Programme Manual (Chapter 4 of the UNHCR Manual) on issues such as results-based management will also benefit NGOs in their capacity strengthening in internal and project procedures
- ✓ identification by UNHCR offices of some projects on the Partner Portal where capacity strengthening could be developed or built in

> In the review the issue of financial dependency of NNGOs was highlighted as a problematic area. With some NNGOs 100% dependent on UNHCR funding, one approach could be to help diversify the NNGO's funding portfolio, in order to reduce dependency on UNHCR funding. This is where strategic planning between organizations is highly important.
>
> Staff development could include the capacitating of national staff of international NGOs and the gradual nationalization of the NGO office (and the corresponding reduction of expatriate staff).

7. **Secure funding**: Funding may be required for some of the activities to be undertaken. Primarily, participating organizations should endeavor to secure their own funds. Alternatively, a global capacity strengthening fund could be created either by UNHCR or through an interested donor such as the START BUILD Fund in the UK. Help to identify a network of funding sources for (especially) NNGOs. Donors, the private sector, and in some cases governments should be part of the initiative.

8. **Do not reinvent the wheel!** Build on various tripartite and bipartite good practice examples which already exist. See **ANNEX 2** for ideas. The initiative could benefit from protocols and guides already in place with INGO partners, such as :
   - Save the Children (Capacity Strengthening Resource Guide)
   - Search for Common Ground (Partnership Protocols)
   - ACTED Grassroots Organization Capacity Assessment (GOCA)

9. **Evaluate and draw lessons**: The first round of activities, when finalized, could be evaluated, lessons learned, good practice examples formulated, and decisions taken on a medium-term approach to complementary capacity strengthening. The Advisory Group could assist in this regard.

5.   DEFINITIONS

From the mapping survey (provided by, and adapted from, Save the Children):
- *Capacity:* Building on a UNDP definition, "the ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner" that leads to improvements in the lives of children and their families (last part added by SC).
- *Capacity strengthening*: The process through which individuals, institutions and societies obtain, strengthen and sustain the capabilities to set and achieve their own development objectives over time. Capacity strengthening is now recognized as an internally owned and driven process, taking place from within by the people in the organization. It is not something that an international NGO can do for a partner. Through this perspective, our role is one of facilitating the process.
- **Capacity strengthening support**: Purposeful interventions that support partners to increase their ability to successfully act.

6.   REFERENCES

- A Strategy for Enhancing National NGO Partner Effectiveness, UNHCR, 1999.
- Evaluation of UNHCR's role in strengthening national NGOs, 2001.
- Towards an Institutional Strategy for Strengthening Complementary Capacities of UNHCR and its NGO Partners – Phase 1, Mapping of Tripartite Initiatives, 23014.

7.   MONITORING AND COMPLIANCE

Monitoring and compliance will be conducted by UNHCR country offices, for any complementary capacity strengthening initiatives which are developed and implemented.

8.   DATES

These Operational Guidelines will come into effect on ...... They will be reviewed and updates on .....

9.   CONTACT

For more information or support in connection with this strategy, please contact the Implementing Partnership Management Service at epartner@unhcr.org.

10.   HISTORY

These Guidelines will be incorporated in UNHCR's Enhanced Framework for Implementing with Partners, accessible on UNHCR's Intranet under Support Services / Implementing Partnerships.

> **UNHCR RESULTS FRAMEWORK 2014-2015**
> **SOME OBJECTIVES AND INDICATORS FOR COMPLEMENTARY CAPACITY STRENGTHENING**

One suggestion for the Complementary Capacity Strengthening Strategy is to develop Pilot Projects in agreed locations. The projects would focus on the capacity strengthening of all three parties to be engaged – UNHCR, INGOs and NNGOs. In order for progress to be measured and demonstrated in these projects, indicators should be developed and agreed. Instead of "reinventing the wheel", indicators could be drawn from the UNHCR Results Framework.

The list below provides a sample of some of the Rights Groups, Objectives, and Impact Indicators of the UNHCR Results Framework which could be considered to be included in Plans of Action or Pilot Projects.

Objective	Impact Indicator or Output	Impact Indicator or Output Description	Performance Indicator	Applicability
Rights Group - Leadership, Coordination and Partnerships				
Coordination and partnerships strengthened	***Impact Indicator***	***Extent cooperation among partners effective***		
		Extent State cooperates with UN and NGO partners in addressing protection concerns and humanitarian needs		
	Output	**Capacity development supported**	**# of local UNHCR, government and partner staff trained**	**Primary application**
			# of partners receiving support and capacity development	**Primary application**
		Co-ordination mechanisms established	# of actors regularly participating in UNHCR coordination meetings	If considered within the scope of the capacity strengthening strategy
		Joint assessment, planning, and evaluation exercises held	# of joint assessments	If considered within the scope of the capacity strengthening strategy

			# of joint evaluation exercises	If considered within the scope of the capacity strengthening strategy
			Joint assessment included participatory assessment (Yes/No)	If considered within the scope of the capacity strengthening strategy
		Participation in existing coordination mechanisms	# of non-UNHCR led coordination mechanisms in which UNHCR participates	If considered within the scope of the capacity strengthening strategy
		Partnerships effectively established and managed	# of cooperation partnerships established and effectively implemented (including MOU/ LOU/Project Agreement, Other Types of Agreement, other forms of collaborative arrangements)	If considered within the scope of the capacity strengthening strategy
Emergency management strengthened	*Impact Indicator*	*% of affected population physically protected within 60 days of onset*		
		Average # of days from onset to first delivery of protection and relief		
	Output	Capacity development supported	# of staff and partners trained	If considered within the scope of the capacity strengthening strategy
Rights Group - Logistics and Operations Support				
Operations management, coordination and support strengthened and optimized	*Impact Indicator*	*Extent programme management mechanisms working effectively*		
	Output	Evaluations conducted	# of evaluations conducted	If considered within the scope of the capacity strengthening strategy
		Financial control assured	# of incidents of financial malfeasance detected	If considered within the scope of the capacity strengthening strategy

			# of verifications of accounts conducted	If considered within the scope of the capacity strengthening strategy
			% of audits completed on time	If considered within the scope of the capacity strengthening strategy
		General project management services provided	Other project management services and support established, maintained and/or provided (yes/no)	If considered within the scope of the capacity strengthening strategy
		Monitoring conducted	# of monitoring visits conducted and recorded	If considered within the scope of the capacity strengthening strategy
		Security of humanitarian workers supported	# of partners with updated security plans	If considered within the scope of the capacity strengthening strategy
		Targeted training provided	# of persons trained	Primary application

Rights Group – Headquarters and Regional Support		
Objective	**Output description**	**Performance indicators – to be defined**
Capacities, skills and knowledge fostered and developed		
Policy development strengthened **Global strategic direction and management strengthened** **Protection advice and support**	**While this Rights Group applies to UNHCR HQ and Regional Support or Regional Offices, objectives and related outputs could apply equally well to NGO partners, and to the capacities they need. If this is the case, the examples below can be considered for inclusion of the Action Plan for the capacity strengthening strategy with context/operation specific indicators and targets that will need to be designed.** **It needs to be clarified that offices not falling within the**	

strengthened	HQ, Regional Support or Regional Offices should not include the below objectives and outputs in their Operations Plans.
Technical advice and support to operations strengthened	
Prioritization, resource allocation and financial management strengthened	For example, under Objective: Capacities, skills, and knowledge fostered and developed, the following Output Descriptions are listed:
	- Archive management policies, strategies and procedures developed
Organizational development and design strengthened	- Communications training provided
	- Data management and data processing training provided
	- E-learning opportunities provided
Support to governance bodies maintained and strengthened	- Emergency management training provided
	- Extension of scholarships to refugees centrally coordinated
	- Financial management training provided
	- Guidance materials for field support in technical areas provided
External relations reinforced and strengthened	- Induction training provided
	- Information technology training provided
	- Innovative training delivery methodologies and mechanisms implemented
Media relations and public affairs serve UNHCR's strategic objectives	- Knowledge management strategies developed and updated
	- Management training provided
	- New learning/ training packages and materials developed
	- Operations management training provided
Inter-agency and strategic partnerships strengthened	- Protection training provided
	- Records management tools and support implemented at HQ
	- Records management tools and support provided to the field
	- Security training provided
Performance management strengthened	- Supply management training strengthened and delivered
	- Telecommunications training provided
	- Tools to support knowledge management developed and introduced
Human resource management further optimized	- Tools to support knowledge management developed and introduced
	- Training and coaching in technical areas provided
	Output Description
	- Training in camp coordination/ management provided
Objective	- Training in field-based data management tools provided
ICT management optimized	- Training in geographic information management provided
Global supply management optimized	- Training in registration and population data management provided

Emergency response capacity and effectiveness reinforced	- Training in the use of indicators, data gathering and analysis provided
	- Training plan and support for staff coordinated between Headquarters, Regional and Country offices
Security management reinforced	**Another example: under Objective: Fundraising and resource mobilization achieve potential, the following Output Descriptions are listed:**
Fundraising and resource mobilization achieve potential	- Advice and support on resource mobilization strategies and opportunities provided to Bureaux and the Field
	- Appeals, submissions and related reports produced and distributed
	- Bureau-specific private/ public resource mobilization strategies identified, developed and disseminated to Field
	- Contributions, earmarking and reporting requirements recorded and disseminated
	- Corporate and foundation partnerships developed and maintained
	- Donor consultations, meetings and missions organized
	- Global fundraising/ resource mobilization strategy regularly updated, enhanced and disseminated
	- Global private and public resource mobilisation strategies maintained and developed with Divisions, bureaux and field
	- Offices' systematic pursuit of all potential public/ private funding sources monitored and guided
	- Opportunities to increase overall level of contributions identified
	- Private sector funding opportunities systematically identified and pursued
	- Public sector funding sources developed and new potential identified
	- Resource mobilization coverage and coordination provided
	- Stakeholders and civil society mobilized in support of global needs
	- Thematic or region-specific resource mobilization strategies developed with divisions, bureaux and the field
	UNHCR strategic concerns represented to donors, and vice versa
	A third example comes from the Objective: Oversight and quality of management strengthened, with the following Output Descriptions listed
	- Advice provided on ethical principles, standards and conduct
	- An organizational culture of integrity and accountability promoted

Oversight and quality of management strengthened	- Audit of operations and of implementing partners conducted and overseen		
	- Financial disclosure programme administered and conflicts of interest addressed		
	- Follow-up actions for recommendations established and monitored		
	- Global standard operating procedures developed, updated and disseminated		
	- Inspection and investigation missions conducted		
	- Inspection checklist reviewed and updated		
	- Inspection findings, lessons learned and best practices disseminated		
	- Internal control systems continuously improved		
	- Internal/ external audit plans developed		
	- Measures introduced to strengthen quality and consistency of people management		
	- Measures undertaken to facilitate informal resolution of conflicts		
	- Misconduct within UNHCR reported and investigated in a timely and appropriate manner		
	- Protection arranged for persons who report misconduct or cooperate in investigations		
	- Sanctions recommended and applied in cases of misconduct and fraud		
	- Thematic and programmatic evaluations conducted and lessons learned applied		

GOOD PRACTICE EXAMPLES IN COMPLEMENTARY CAPACITY STRENGTHENING
(from the document Mapping of Tripartite Initiatives : Questionnaire Replies – Summary and Conclusions)

Do you have any good practice examples of your tripartite or bipartite capacity development activities with local/national NGO partners? If so, please provide a short summary:

Replies from respondents converged in the following areas:
-    Partnerships, in the true sense of the word – empowering, of mutual benefit to all three organizations, peer-to-peer support, consultative and collaborative decision-making, use of peer educators from the community
-    Regular staff training and coaching – including emergency leadership training
-    Capacity support from UNHCR – allocate funding for it
-    Lessons learned and evaluation workshops – regular forums and interactive sessions, to share outcomes of projects or good practice
-    Resource mobilisation – lobby with donors on behalf of the NNGO, diversify income sources, exposure to success stories and initiatives
-    Undertake activities jointly with the NNGO, preferably tripartite
-    NNGO results orientation, RBA approach

UNHCR – Good practice examples of national NGO capacity strengthening:

-    **In Armenia** UNHCR, with funding from the U.S. BPRM, is engaged in a project entitled Asylum Capacity-building and Strengthening Protection Delivery. The project has several components, including: provision of technical expertise and management skills to local NGOs to provide protection and effective service delivery to persons of concern; and sending NGO staff abroad to benefit from on-the-job training in information sharing, referral systems, advocacy on refugee rights, refugee case management, and resource mobilization. In addition, UNHCR Armenia organized a protection workshop in 2013, which provided a forum for exchange of experience and training of many implementing and operational partners. The workshop revealed areas in which partners would like to receive or offer training or other capacity development support, including international protection, statelessness, sexual and gender-based violence, data management and registration, and working with unaccompanied minors.

-    **The Africa Regional Bureau** has been supporting the Africa NGO Task Force, comprising a group of 60 national NGOs. One of its objectives is to strengthen the capacity of national NGOs in Africa. UNHCR has been supporting the Task Force with the establishment of a small secretariat in the OFADEC premises in Dakar, Senegal. Two regional training events were organized on the UNHCR results based management framework, and on related programme and accountability matters. In November 2013 UNHCR facilitated a workshop with the Africa NGO Task Force on programme management and partnership. The Africa NGO Task Force is a good example of south-south learning exchange.

- **In Serbia**, in the 1990s experienced international NGOs became UNHCR's main implementing partners. With the stabilization of the region, combined with decreased funding and emerging refugee crises elsewhere, international NGOs shifted their focus elsewhere. A positive legacy was left, as international NGOs created "spin-offs" local NGOs who were to remain in the country after the departure of the international NGOs. The INGOs strategically prepared and trained the local NGOs, with UNHCR assistance, to enable them to become fully operational and to meet UNHCR implementation standards. This was the case particularly in housing, income generation and vocational training. Some ten local "spin-off" NGOs were created during this time and some are still active UNHCR partners.

- **In Japan** the Regional Centre for Emergency Preparedness, or centre, has worked with emergency management stakeholders throughout Asia and the Pacific to promote emergency preparedness, whether caused by armed conflict, natural disasters or large-scale rights violations. To achieve its preparedness objectives, the centre conducts innovative capacity-building activities, information exchange and training. In 2012, core members of the centre network launched the Asia-Pacific Emergency Management (APEM) Platform, a vehicle for inter-agency exchange and joint preparedness initiatives. For 2013-2014 several priority areas for collaboration have been identified, including capacitation of and engagement with local NGOs. Institutions belonging to the Platform come from 18 countries in Asia, and include some national NGOs.

- **In Iraq** UNHCR will be carrying out an evaluation of its NNGO empowerment programme. The primary objective of the evaluation is to assess the sustainability of the NNGOs; it will review the programme implementation and outcomes in Iraq from 2010 to 2013 to determine whether the projects have been successful in achieving their outlined objectives and outputs. The evaluation will measure the impact, relevance, cost-effectiveness and durability of the activities undertaken. This tool is meant to enable both UNHCR and NNGOs to improve their partnership efforts to meet beneficiary needs.

- **At the initiative of the UNHCR Assistant High Commissioner (Operations), a UNHCR-International Medical Corps pilot project** was implemented during the period 2012-14. It aimed at establishing strategic UNHCR emergency stand-by arrangements with national NGOs, for deployment in emergency operations as part of a UNHCR emergency response team. Eleven NNGOs were identified to take part in the pilot from three priority regions - the Middle East, East Africa and Asia. The capacity of the participant NGOs was further enhanced by providing a tailored "on-site mentoring" programme, which was designed around the specific context and assessed needs of the individual organizations. The training greatly benefitted the NGOs, in changing and improving many areas of their work processes and capacity in emergency preparedness. UNHCR plans to create opportunities for the participants to experience in real time how UNHCR responds to emergencies, through engaging them in UNHCR emergency training (Workshop on Emergency Management, WEM). This will be followed by having them deployed to emergency operations as part of a UNHCR emergency response team, and thus within the UNHCR emergency standby structure.