VERSION 9

Enhancing the Framework for Implementing with Partners Strategy[1] for Roll-out and Strengthening Capacity (for UNHCR and Partners)

UNHCR is currently developing and introducing the Enhanced Framework for Implementing with Partners, in consultation internally within UNHCR, and externally with partners and other stakeholders. The Framework consists of four main work-steps and embodies governing instruments, policies and procedures for strengthening capacity for operations, accountability and partnership. Given the complex and multi-faceted nature of the Framework, development is being carried out in phases so that changes can be introduced seamlessly and incorporated into existing UNHCR programme and financial processes and cycles.

The successful application of the Framework requires a proactive approach in disseminating its new policies, procedures and methodologies, building institutional knowledge base, strengthening the capacity of both UNHCR and partner colleagues, and providing on-going support to users. In addition, UNHCR is recruiting new staff for strengthening project control and programme management functions under the High Commissioner's Capacity Building Initiative. The new recruits as well as existing staff also require the knowledge and skills to carry out the important processes and to be informed of new changes related to the management of the Framework.

The Roll-out to staff in 415 locations (128 offices) and to almost 1,000 partners is a massive and challenging undertaking. It requires on-going efforts, collaboration, and continuous follow-up.

The Division of Financial and Administrative Management (DFAM)/Implementing Partnership Management Service (IPMS) and its UNHCR-NGO working groups in collaboration with the Global Learning Center (GLC) and other relevant Divisions/Services in UNHCR are pursuing a Strategy for the Roll-out of the Framework and strengthening capacity that takes into account:

- The immediate need for implementation of the newly introduced improved processes;
- Enhancing the knowledge base through building on existing potentials and innovative approaches;
- Fostering networks of UNHCR/Partners for out-reach support, and
- Gathering of observations/ feedback from users and best practices for continuous improvement.

Given the need to reach out to a large number of Partners and UNHCR Offices, the Roll-out Strategy and its related change management is pursued in a number of complementary interventions and approaches. It is being undertaken in a phased and coherent manner, at each stage of the development of the Framework to allow effective adoption of improved processes. These include the following:

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[1] -The strategy paper will be reviewed every year to update and to reflect in lessons learnt.

1.   Guidance Notes

A series of simple Guidance Notes for each enhancement section of the Framework is being produced that will be accessible to both UNHCR colleagues and partners. Depending on the topic, the Guidance Note may encompass policy, procedures and/or illustrative examples. This series of Guidance Notes will roll into an updated Handbook for Partnership Management.

The main Guidance Notes that have been completed or are in process to be completed in the course of 2015 are:

- User Guide on Partner Portal *(completed)*
- Selection and Retention of Partners for Project Partnership Agreements (completed)
- Procurement by Partners *(completed)*
- Project Headquarters Support Costs *(completed)*
- Joint Monitoring and Partner Feedback *(in issuing process)*
- Monitoring and Verification by UNHCR *(in issuing process)*
- Project Financials / Audit *(in issuing process)*
- Project Funds / Instalment Management *(in progress-first draft)*
- Managing Project Partnership Agreements *(in progress)*
- Project Risk Management *(in progress)*
- Partner Personnel *(in progress)*
- Ethics and Investigations *(in progress)*

The Guidance Notes will be supplemented with **Frequently Asked Questions** to provide further clarity and facilitate ease of understanding.

2.   Knowledge and Record Hub

Web-based and easily accessible information depositories of the newly developed policies, procedures, Guidance Notes and training materials have been created and others are being developed both for internal and non-UNHCR users:

a) Internal

- Established a dedicated one-shop point in Intranet for UNHCR in 2013.

  https://intranet.unhcr.org/intranet/unhcr/en/home/support_services/implementing_partnerships.html

- Initiated and established a folder in **eSafe** for collection of records and archiving of important documents (such as project agreements and audit certificates) for reference, and building institutional memory. This provides an opportunity for HQs/Desks to access field documents, and hence foster facilities for monitoring and guiding field operations.

  https://www.edms.unhcr.org (OPS-02 project Partnership Documentation)

b) External

- **Partner Portal:** an interactive communication and innovative web-site for partners and UNHCR, first in its kind. The Portal will host a Knowledge Hub for easy access to all materials related to implementing partnerships. Partner Portal was launched in the first quarter of 2015.

3.   Training Resources

In collaboration of the UNHCR GLC, multi–audience targeted training materials are being developed on the different elements of the Framework to enhance the capacity of UNHCR staff as well as partners. A blended complementary training methodology is being used in designing training materials that will address the different accountabilities, responsibilities and authorities UNHCR staff discharge as well as the needs of partners. Those training resource will include:

- ❖ Learning programme "Framework for Implementing with Partners" (FIP-LP)-structured curriculum (E-learning);
- ❖ Regional Face-to-Face Workshops on the Framework;
- ❖ Specialized trainings for the specific elements of the Framework;
- ❖ Thematic Webinars on specific topics;
- ❖ Video tutorials on the different elements of the Framework work steps.

The details of the different Training Resources to support the Roll-out Strategy, including timescales for implementation are presented in the *Annex A* of this Strategy Paper.

4.   Outreach and Consultations

a) Network of Partner Organizations

Dissemination of the newly introduced materials, as well as collection of feedback, suggestions and new ideas, are taking place through collaboration with the Network of Partner Organizations that have been participating in the enhancements of the Framework and its materials, such as ICVA, InterAction, Asia Pacific Refugee Rights Network, African Taskforce, Japan Platform, etc.   This outreach is especially important for the operationalization of the Partner Portal.

b) Network of Resource Persons/Facilitators

Building on the world-wide presence of partners and their wealth of experience, it is envisioned to foster a Network of Resource Persons/Facilitators for each region/sub-region from both UNHCR and partners. These Resource Persons will be enabled to share information and provide guidance on the Framework and related areas of change initiative, and facilitate face-to-face workshops/reviews. They will also gather experiences/suggestions on application of the newly introduced policies/procedures and provide feedback to UNHCR on areas that require further attention and improvement.

The Resource Persons will be supported with on-line information dissemination (including Webinars) and Guidance Notes, coupled with strategic face-to-face joint workshops.

A lead team comprising 21 Resources Persons (7 Project Control Officers, 7 Programme Officers and 7 representatives from partner organizations) was established in 2013 (please see *Annex B* for the TOR of Resource Persons).   A series of sessions with the support of a professional facilitator from GLC were held for the team (the first introductory workshop was held in Budapest, on 30th October to 1st November, 2013, the second in Rome-17-21 May, 2014 and a third one in Istanbul 10-14 November 2014) to build up their skills.

Consequently, participants drafted plans and prepared activities for furthering the dissemination of the newly introduced policies and procedures in their respective regions. Some of the multiplier

effect producing initiatives include: facilitated capacity building workshops in various locations such as Djibouti (for UNHCR staff and partners) and in Tanzania (for East African NGOs), and a workshop conducted for partners/UNHCR colleagues in Kabul, etc. (for detailed list of initiatives led by Resource Persons, please see *Annex C*).

As a further step in this mechanism, selected representatives from the Resource Persons Network will be called upon to act as co-facilitators in Face- to-Face Roll-out Regional Workshops.

5.   Online Enquires and Support

DFAM/IPMS created an easily accessible email address for drop-in queries (epartner@unhcr.org). In principle, replies to the incoming queries are provided within two working days, depending on the complexity of the query and work exigencies.

Training Resources

❖ **Learning programme "Framework for Implementing with Partners" (FIP)-structured curriculum**

The Global Learning Centre (GLC) will support the Implementing Partnership Management Service in the Roll-out of the Framework in 2015, as well as the development of a structured curriculum tailored to the needs of different categories and levels of UNHCR staff and partners.

A leveled curriculum for the Enhanced Framework is being developed to target UNHCR staff according to their responsibilities and accountabilities in the management of Implementing Partnerships. The learning initiatives will also be offered to partners to support the roll-out of the Framework. A suite of E-learning modules containing reference to the Framework will be regularly revised and updated.

The GLC aims at making available online to all staff the Framework curriculum in English throughout the course of 2015.

The three-level curriculum for the Framework for Implementing with Partners (FIP) is structured as follows:
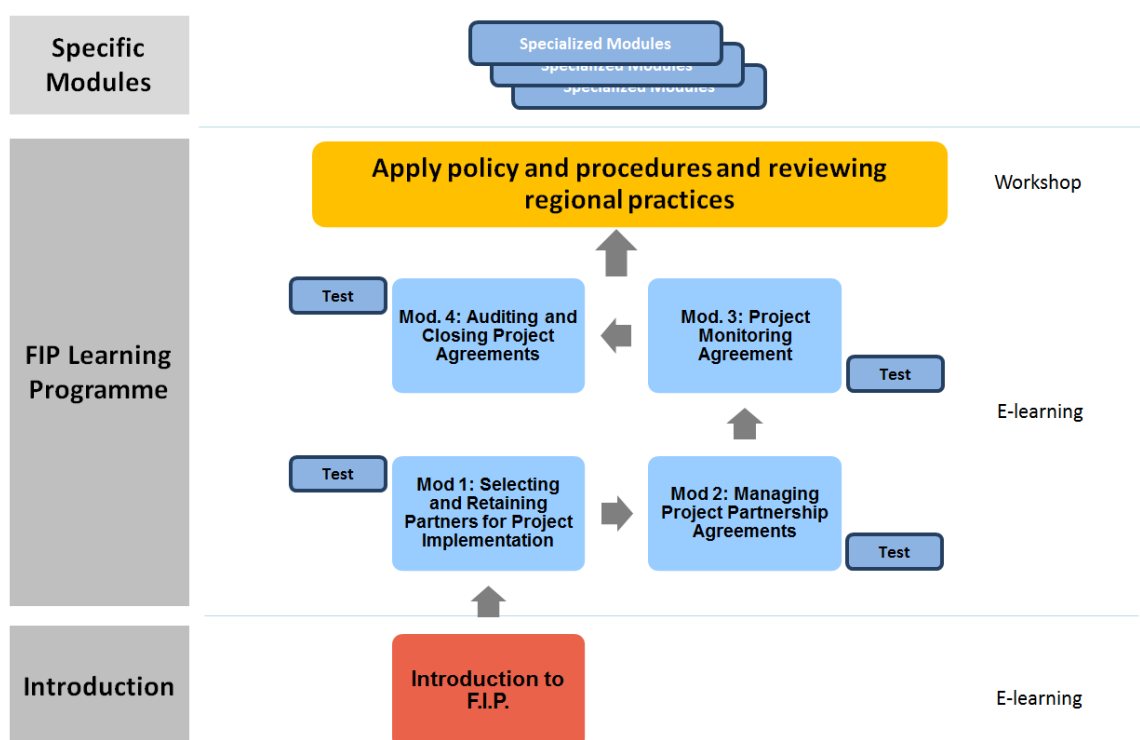
- **Level 1: The Framework (FIP) – Introduction**

The introductory e-Learning module will cover the overall vision and key elements of the four steps of the Enhanced Framework for Implementing with Partners: Establishment of Partnership (Partner Portal and Selecting and Retaining Partners for Project implementation, Managing PPAs (types and main components), Project Monitoring Cycle and Project Closure.

Target Groups and Delivery Modalities

The "Introduction to FIP" will target all members of UNHCR multifunctional teams at all grades as well as Partners. It will be an E-learning (approx. 30 slides) with estimated study time of 60 minutes.

Status

An outline design specification has been developed and a company selected for the production of the E-learning. The E-learning module is expected to be completed in the 3rd quarter of 2015. French development will follow for the Francophone audience.

- **Level 2: FIP Learning Programme – FIP-LP**

FIP-LP aims at addressing the knowledge, skills and attitudes required for the successful management of Implementing Partnerships.

The FIP-LP covers the four steps of the Enhanced Framework for Implementing with Partners, and provides detailed content on the new policies and procedures.

The FIP-LP includes 4 E-learning modules:

- Establishment of Partnership (Partner Portal and Selecting and Retaining Partners for Project implementation)
- Managing Project Partnership Agreements
- Project Partnership Implementation and Monitoring
- Project Partnership Agreement Closure

Target Groups and Delivery Modalities

This learning programme will target UNHCR programme and project control staff with clear roles in the management of Project Partnership Agreements. The self-study component of the FIP-LP can also be offered to partners.

The programme includes a self-study phase, and a potential workshop depending on the availability of resources. The workshop could serve to monitor and review the implementation of the policies and gather feedback on current practices. To be easily accessible to all staff, including those not enrolled in the full learning programme, this course will be delivered on-line as a suite of e-Learning courses. The four E-learning modules will be possible to take stand-alone or altogether. Estimated study time will be 5 months.

Status

Two modules (Step 1 & 2) are ready as an E-learning and only require some re-design as those modules were designed for the 'Programme Management 2' Learning Programme. The module on project monitoring (step 3) is available in paper-based format and is moving to the E-learning development phase. The completion of the first three modules will be expected at the end of the first half of 2015.

The final module on Project Audit and Closure is pending the issuance of additional guidance on the subject.

- **Level 3: FIP – Specialized training modules**

"FIP-Specialized" aims at addressing the needs of programme and project control staff in performing tasks related to specific components of the Framework. Special emphasis will be on the tasks required for an efficient project control function.

The "FIP-Specialized" may include paper-based and E-Learning modules. Development of the modules will start with a paper based version and, subject to the availability of funds, they will then be converted to E-Learning. Topics will include:

- Procurement by partners with UNHCR funds
- Project Control and Risk Management
- Ethical conduct and Investigations
- More topics to be determined with IPMS as new guidance notes are developed (Suggestions: Sampling for financial verification, Inventory management, etc.)

Target Groups

This learning programme will target UNHCR programme and project control staff with clear roles in the management of Project Partnership Agreements. The modules will be prepared in the second phase of the roll-out in a paper-based format. If funds are available, some of them will be transformed in an E-Learning.

Status

A preliminary discussion between the GLC (Supply and Programme Units) and IPMS was carried out in order to start the development of the specialized module on Procurement by Partners.

Once the project monitoring guidance and its toolkit is broadcasted officially, the GLC will start the development of the following modules agreed with IPMS.

- **Tailored: FIP – Partner training modules**

In order to strengthen the knowledge and capacity of Partners, the modules prepared for UNHCR staff will be tailored to meet the special nature and needs of Partners. Several avenues, including the

option of providing access to existing materials and modules through Partner Portal linkage with UNHCR learning site "Learn & Connect", are being explored.

Target Groups

These learning modules will be made suitable for partners.

Status

Preliminary steps and discussions between the GLC (Supply and Programme Units) and IPMS are being undertaken.

Offline modules – "Smart" Guides

All the FIP E-learning courses will also be available as "Smart" Guides on USB drives, which will allow course completion offline both for UNHCR staff and Partners. The content of the "Smart" Guides will be expanded as the development of different work steps of the Framework will be finalized.

❖ **Regional Face-to-Face Workshops on Framework and Specialized trainings for the specific elements of the Framework**

In 2015, a number of Regional Face-to-Face Workshops will be organized to roll-out the Framework with joint UNHCR staff and partners audience with the aim of enhancing knowledge and partnerships. The format of the workshops were piloted in Panama (for Latin America), Uganda, Geneva and Lebanon in 2014 and early 2015 for partner NGOs and UNHCR staff.

The Regional Workshops will be organized using the standard training packages (PowerPoint presentations, interactive exercises and case studies) prepared by the GLC and the IPMS.

Target Groups

The workshops will target UNHCR staff and partners. IPMS will identify participants (partners and UNHCR) as well as countries for each workshop in consultation with UNHCR Country Offices and Bureaux. GLC will support the facilitation, preparation of training packages, logistics of the workshops, as well as the recording of these events in UNHCR "Learn & Connect" learning platform.

Delivery Modalities and Duration

Three and half days Face-to-Face workshops with maximum of 30 participants from UNHCR and partners will be organized. Facilitation of the workshops will be implemented jointly by IPMS and GLC with the support of the selected co-facilitators from the Resource Persons Network.

Below table provides a calendar of the Roll-out Workshop for 2014-2015 (including specialized trainings).

IPMS Calendar of Roll-out Workshops for the Regions (2014-2015)

#	Workshops	Countries Covered	Tentative Dates	Status
Africa				
1	East Africa (Kampala, Uganda)	Uganda	5-13 Dec 2014	Completed
2	West Africa *(Francophone),* (Dakar, Senegal)	Benin, Burkina Faso, Cote d'Ivoire, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo, Angola, DRC, Congo, Cameroon, Burundi, Chad	22-25 Jun 2015	Preparations in progress
3	East Africa, (Nairobi, Kenya)	Botswana, Central African Republic, Djibouti, Eritrea, Ethiopia, Kenya, Malawi, Mozambique, Namibia, Rwanda, Republic of South Africa, Somalia, South Sudan, Sudan, Tanzania, Uganda, Zambia, Zimbabwe	27-30 Jul 2015	Preparations in progress
MENA				
4	MENA, (Beirut, Lebanon)	Lebanon	12-16 Jan 2015	Completed
5	MENA countries: (TBD)	Algeria, Egypt, Iraq, Jordan, Libya, Mauritania, Morocco, Syria, Tunisia, Yemen	24-29 Aug 2015	Preparations in progress
Asia and the Pacific				
6	Asia, (Bangkok, Thailand)	Australia, Bangladesh, India, Indonesia, Japan, Kazakhstan, Kyrgyzstan, Malaysia, Myanmar, Nepal, Philippines, Thailand, Sri Lanka, Tajikistan, Turkmenistan	3-6 Aug 2015	Planning stage
7	South West-Asia, (Islamabad, Pakistan)	Afghanistan, Iran and Pakistan	17-20 Aug 2015	Planning stage
Americas				
8	Latin America (Panama)	Argentina, Brazil, Colombia, Costa Rica, Mexico, Panama, Venezuela, Ecuador	9-11 Oct 2014	Completed
9	North America: (USA)	Canada, Dominican Republic, Haiti, USA Regional	Oct 2015 (TBC)	Planning stage
Europe				
10	Europe: (Athens, Greece)	Albania, Armenia, Belarus, Azerbaijan, Belgium, Bosnia & Herzegovina, Hungary, Israel, Bulgaria, Czech Republic, Poland, Romania, Slovakia, Slovenia, Croatia, Cyprus, France, Georgia, Germany, Greece, Italy, Kosovo, Macedonia, Malta, Moldova, Montenegro, Russia, Serbia, Sweden, Turkey, Ukraine, HQs (Bureaux)	Oct 2015 (TBC)	Planning stage
11-13	Europe, (Geneva, Switzerland)	*Framework for Implementing with Partners (session 1)-* Geneva based NGOs	10 Oct 2014	Completed
		*Partner Portal-*Geneva based NGOs	20 Apr 2015	Completed
		Framework for Implementing with Partners (session 2)- Geneva based NGOs	4 Jun 2015	Preparations in progress
Specialized trainings				
14	Global (Istanbul, Turkey)	*Partner Portal-*Total of 30 partners worldwide	11-13 Mar 2015	Completed
15	Global-Specialized training for Project Control function and CBI recruits	All the regions	Aug 2015 (TBC)	Planning stage

❖ **Other Specialized trainings on the Framework**

• **Fostering Complementary Roles of Programme/Project Control Functions**

In pursuit of strengthening UNHCR's capacity in accountability, the functional responsibilities of project control and programme management were segregated (ref. IOM/105-FOM/106/2012). In order to retain the complementary and instill harmony, while ensuring segregation of duties, a series of workshops on this topic were held in 2013 and 2014, with more than 120 colleagues from 35 operations participating. Additionally, in 2013 sixty staff members with the title "Project Control Officer" (P3/P4) benefited from an introductory course on the Framework, including project control.

Depending on the availability of funds, IPMS will host 1-2 workshops for Programme and Project Control staff of UNHCR as need for such continues to manifest itself. Tentatively one workshop for UNHCR staff carrying Project Control function is planned in 2015 among the Roll-out Regional Workshops as listed in the heading above.

• **Induction and Orientation training for Project Control Officers recruited under Capacity Building Initiative (CBI)**

IPMS in collaboration with the GLC will also carry out an Induction and Orientation training for the newly recruited staff under CBI scheme to prepare participants for UNHCR's work and in particular their role as Project Control Officers and to facilitate their smooth transition into the organizational environment.

• **Workshops on Ethical Conduct and Investigation for Partners**

The Office of the Inspector General (IGO) is leading on the development of materials and workshops for partners on managing ethical conduct and investigation for partners in line with the new Project Partnership Agreement. A series of regional investigation workshops are being organized by the IGO for national and international partners in Asia, Africa, and the Middle East. The workshops address skills, knowledge and attitudes relating to 'third-party' investigations carried out by UNHCR's partner NGOs. The workshop content covers a spectrum of investigation scenarios relevant to NGOs. Among the topics covered in the workshops are:
- types and definitions of misconduct
- the investigation process and case management
- investigation planning, interviewing and report-writing

An Investigation Resource Manual can be found on the external UNHCR website under IGO. The manual is a compilation of materials related to investigations, developed by UNHCR and NGOs. The purpose of the manual is to assist NGOs to develop, adapt or improve their own policies and guidelines in the areas of accountability, complaints and investigation.

• **Complementary Capacity Strengthening Strategy for UNHCR and its NGO Partners**

Within the scope of the High Commissioner's Structured Dialogue that recognizes the need for a more comprehensive approach to collectively strengthening capacities of UNHCR, international and

national NGOs, IPMS undertook a mapping survey to better define the scope of this tripartite collaboration, leading to a potential strategy. The mapping identified numerous "gaps", "mechanisms" and eventual "capacities" to be attained by all three parties. IPMS facilitated a webinar to share the findings of the Survey with UNHCR Field offices. IPMS will further encourage experimenting with different approaches, such as regional networks, multi-year initiatives, and local community-strengthening to address the identified gaps. Among other strategies, the already available training tools will be also extended to partners.

❖ **Thematic Webinars**

A series of Webinars on specific topics and elements of the Framework will be held to complement the Roll-out activities of the Framework. The Webinars will be advertised through all staff emails and messages to partners through Partner Portal.

Target Groups

UNHCR staff and partner personnel will both be enabled to participate in thematic webinars. WebEx sessions with a Q&A methodology will be supported technically by GLC. A broadcast email with the link to the session will be distributed, with the relevant technical information and guidance to participate. If the participation needs to be limited, the broadcast can be sent to the selected participants. The number of participants should be between 20 and 30 (maximum) in order to manage the webinar effectively. The duration of the session should be one hour maximum.

Status

The Webinar concept has been designed and GLC is to provide technical support. Number of WebEx sessions, topics and dates will be agreed upon with IPMS. IPMS has already hosted during the year 2014 two WebEx sessions.

❖ **Video tutorials on the different elements of the Framework work steps**

Video tutorials will be developed using the User Productivity Kits (UPKs) software for different elements of the Enhanced Framework requiring actions to be performed in software or web platforms. These include UPKs on PPA preparation in MSRP, first instalment recording in MSRP, and use of the new Partner Portal (directed to partners and UNHCR staff).

GLC with the collaboration of IPMS will develop the UPKs. Once finished, UNHCR will upload those UPKs into the official server of UNHCR or will place them on the external web platform. UPKs will be offered for the use of UNHCR staff and partners.

Status:

Currently IMPC/GLC have already developed UPKs on:
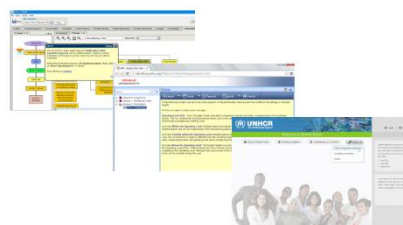
- 'Recording of first instalment' in MSRP
- Creating Partner Profiles in Partner Portal
- PPA preparation in MSRP: Bipartite agreement will be ready tentatively in November 2015. UN and UNOPS (DA) agreements will be also developed by end of July 2015.

Terms of Reference for Resource Persons

Resource Persons (from partners and UNHCR) are required to commit to the role for two years in the assigned region/sub-region. The roles will be to share information and provide support to colleagues as well as to coordinate with their UNHCR/partner Resource Person counterpart in the assigned area. Resource Persons will be expected to attend a workshop for training/induction purposes (anticipated to be not more than once per year) and organize workshops for purposes of sharing knowledge in the assigned area, as appropriate.

Specific requirements:
1. UNHCR Resource Persons
    a. Must have at least five years' experience working with UNHCR in either a project control or programme functional role;
    b. Have good communication skills, and have knowledge of the complexity of operations and partnerships;
    c. Be willing to commit time to remain current on all IPMS-related initiatives through reviewing documents/communiques sent by IPMS, and
    d. Be willing to complete feedback forms and reports required by IPMS on positive and negative feedback received from colleagues on new policies and processes.

2. Partner Resource Persons
    a. Must have at least three years' working experience in partnering with UNHCR for project implementation;
    b. Have good communication skills, and have knowledge of the complexity of operations and partnerships;
    c. Be willing to commit time to remain current on all IPMS-related initiatives through reviewing documents/communiques sent by IPMS;
    d. Be willing and committed to share the newly acquired knowledge and information with other partners, and
    e. Be willing to complete feedback forms and reports required by IPMS on positive and negative feedback received from colleagues on new policies and processes.

List of Roll-out Activities/Initiatives by Resource Persons

Roll-out training
tracker-2013-2014.pdf

List of Roll-out Activities/Initiatives by Resource Persons