**PRE-READ AND DISCUSSION**

**UNHCR-NGO Annual Consultations**

**Guidance for**

**Partnering with UNHCR**

**DRAFT ………..DRAFT**

**This is the first draft and pre-read for consultation with partners. The main purpose is to obtain partners’ view of the broader outline of the content.**

**This version is very much in draft form as there is still a lot of work to be done on the introductory sections, editing, formatting, checking that links work and are consistent in where they take the user, etc. There are also a number of sections still to be drafted by or with input from UNHCR and partners. These are all highlighted in boxes throughout the text. All the feedback received will be considered and incorporated where appropriate.**

**It will also be discussed during the annual meeting - 27th June, 2018 (16:30-18:30).**

**Thank you for your review and support. Your contribution would be highly appreciated.**

**Please send your suggestions/feedback to: *epartner@unhcr.org***

# Foreword

Still to be drafted

# Acknowledgements

Still to be drafted

# Purpose and intended users

The purpose of this Handbook is to provide guidance for Partners on engaging and working with UNHCR. It provides information on the policies, principles and collaborative arrangements for partnering with UNHCR to protect, assist and seek solutions for Persons of Concern.

The intended users of the Handbook are managers and staff of Partner organizations who implement activities and projects in partnership with UNHCR. It also provides useful guidance for UNHCR staff who are directly involved in working with Partners. The content is applicable to all UNHCR Partners, with a focus on partnering with international and national NGOs.

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| Chapter 1: Working with Persons of Concern | |
| Chapter 1 sets out UNHCR’s mandate in providing protection, assistance and seeking solutions for Persons of Concern. This underpins all aspects of its operations, structure and the way that it works. All new and prospective Partners are encouraged to develop a good understanding of the history and mandate of UNHCR in order to work together effectively.  This chapter also describes the principles and values that govern UNHCR’s interests, obligations and requirements in partnering with others which can be used as a guide in assessing the synergy of a potential partnership arrangement. |

### 

# 1.1 Understanding UNHCR’s mandate

### 1.1.1 History of UNHCR

The conviction that the international community – rather than individual States or charities - has a duty to provide refugees with protection and find solutions to their problems dates from the time of the League of Nations, established in 1920. Fridtjof Nansen, a renowned Norwegian Arctic explorer, believed that the League of Nations provided an unprecedented opportunity for establishing peace and promoting reconstruction in a devastated Europe.

World War I and its turbulent aftermath left a legacy of 1.5 million refugees and displaced people across many countries. In the autumn of 1921, to provide a focal point for the coordination of relief efforts for these people, the League of Nations appointed Nansen as the first High Commissioner for Refugees - a role he performed until his death in 1930. He introduced the “Nansen passport”, forerunner of today's Convention Travel Document for refugees.

When the United Nations replaced the League of Nations in 1945, it recognized that the community of States should assume collective responsibility for those fleeing persecution and established the International Refugee Organization with a mandate to protect those refugee groups that had been recognized by the League of Nations, along with the 21 million or so refugees stranded throughout Europe following World War II. Initially, the International Refugee Organization’s main objective was repatriation, but this shifted toward resettlement of those who had “valid objections” to returning home, such as persecution or fear of persecution.

The Statute of the Office of the United Nations High Commissioner for Refugees was adopted by the General Assembly on 14 December 1950 as Annex to Resolution 428 (V).

**“The United Nations Commissioner for Refugees, acting under the authority of the General Assembly, shall assume the function of providing international protection, under the auspices of the United Nations, to refugees who fall within the scope of the present Statute and of seeking permanent solutions for the problem of refugees by assisting governments and, subject to the approval of the governments concerned, private organizations to facilitate the voluntary repatriation of such refugees, or their assimilation within new national communities.“**

In 1951, the International Refugee Organization was replaced by the Office of the High Commissioner for Refugees; UNHCR.

### 1.1.2 UNHCR Mandate and Responsibilities

UNHCR ’s founding Statute entrusts UNHCR with two main and closely related

functions:

* to protect refugees and
* to promote durable solutions to their problems.

In accordance with the Statute, UNHCR is competent to assist any person who, “owing to well-founded fear of being persecuted for reasons of race, religion, nationality or political opinion, is outside the country of his nationality and is unable or, owing to such fear or for reasons other than personal convenience, is unwilling to avail himself of the protection of that country.”

While this definition still forms the core of UNHCR's mandate, the work of the Office has evolved to take account of the changing nature of forced displacement and refugee flows. In recent years, the General Assembly and the Secretary-General

have called on UNHCR to protect or assist groups of internally displaced

persons (IDPs) who have not crossed an international border but who are in a refugee-like situation in their home countries. Given the changing global humanitarian context, UNHCR’s responsibilities and assistance programs have grown substantially and there is greater focus on working in partnership, and in making refugees more self-reliant and resilient.

When UNHCR was first established, material aspects of refugee relief were seen to be the responsibility of the Government which had granted asylum. However, over time and in response to increasing refugee flows, UNHCR has acquired the additional role of providing material assistance for refugees, returnees and, in some circumstances, Stateless and IDPs.

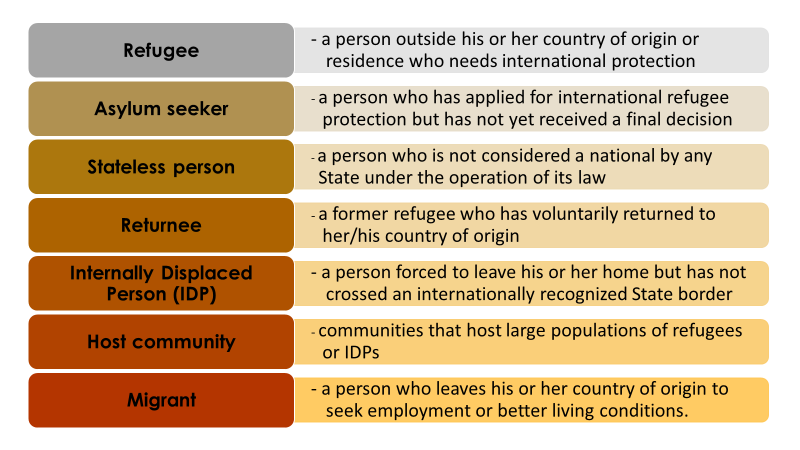
Further details of UNHCR’s role in relation to protection, humanitarian assistance and seeking durable solutions for refugees and other persons of concern are outlined in [**Section 1.2.**](#Sec1_2)

## 

### 1.1.3 Persons of Concern

UNHCR works directly and through its Partners with a diverse range of women, men, girls and boys, including refugees and other Persons of Concern, as outlined in **Figure i** below.

**Figure i: Groups of Persons of Concern**

****

**Refugees and Asylum-Seekers**

**A refugee** is a person who is outside his or her country of origin or habitual residence and needs international protection because of persecution - or the risk of persecution - for reasons of race, religion, nationality, membership of a particular social group, political opinion, or because of conflict, generalized violence or other circumstances leading to public disorder.

**An asylum-seeker** is a person who has applied for international refugee protection but has not yet received a final decision on an application for asylum.

**Protecting refugees is primarily the responsibility of the host State.** The rights of refugees are set out in the 1951 Refugee Convention and its 1967 Protocols.In situations where a State has the capacity to provide protection and deliver assistance, UNHCR plays a purely advisory role. In other situations, UNHCR and its Partners assume a more substantive role, including the delivery of protection and assistance.

Through the mandate granted by the United Nations General Assembly, UNHCR complements the role of the host State in **providing international protection and seeking permanent solutions for refugees**, including:

* Ensuring that refugees are granted asylum and are not forcibly returned to the countries from which they have fled (non-refoulment)
* Promoting the establishment of appropriate procedures to determine whether a person is a refugee according to the 1951 Convention definition and/or other definitions in regional conventions
* Advocating for refugees’ access to rights and adequate standards of living
* Seeking durable solutions for refugees, including voluntary repatriation, local integration and resettlement.

UNHCR is also responsible for **supervising the implementation of the 1951 Refugee Convention and its 1967 Protocol by State parties**, including:

* Promoting accession to, and implementation of, refugee conventions and laws
* Ensuring that refugees are treated in accordance with internationally recognized legal standards
* Providing guidance to States in their interpretation and application of international refugee law instruments

**Stateless Persons**

**A stateless person** is an individual who is not considered a national by any State under the operation of its law. UNHCR is mandated to lead efforts to prevent and reduce statelessness and to protect the rights of stateless people. These efforts included the launch in 2014, of the Global Action Plan to End Statelessness within a decade.[[1]](#footnote-1) UNHCR’s role with respect to stateless persons includes:

* Promoting accession to the Statelessness Conventions[[2]](#footnote-2)
* Conducting or advising on surveys to clarify situations of statelessness
* Supporting practical measures (e.g., birth registration, the issuance of important documents and direct support to stateless populations)
* Advocating for governments to address statelessness
* Drafting citizenship legislation
* Providing technical advice on procedures for determining status and promoting respect for basic rights
* Promoting solutions, including the acquisition of nationality (to the country of residence or a country with which the persona has links through birth, descent or marriage).

**Returnees**

**A returnee** is a former refugee who has voluntarily returned to her/his country of origin spontaneously or in an organized fashion but is yet to be fully reintegrated. UNHCR’s role in supporting repatriation complements that of the host State. In addition, following authorization from the United Nations General Assembly and UNHCR’s Executive Committee (ExCom), UNHCR and its Partners may assist former refugees who have returned to their country of origin, for example through:

* Monitoring the legal and physical safety of refugees voluntarily returning to their countries of origin
* Providing returnees with reintegration assistance to help ensure that their return is sustainable
* Promoting reconciliation in areas of return.

**Internally Displaced Persons (IDPs)**

**An IDP** is an individual who has been forced or obliged to leave his or her home or place of habitual residence – but has not crossed an internationally recognized State border – because of (or to avoid) armed conflict, generalized violence, violations of human rights or natural or human-induced disasters.

The **primary responsibility for providing protection and assistance, and finding long term solutions for IDPs, rests with the State**. However, UNHCR and its Partners are often called on to support national capacity in doing this. In 1998, the Guiding Principles on Internal Displacement were created to re-state the international human rights and aspects of humanitarian law that are applicable to IDPs. The principles also attempt to clarify grey areas and gaps in the various legal instruments about situations of interest to IDPs.[[3]](#footnote-3)

UNHCR’s involvement with IDPs is guided by its role and responsibilities under the cluster approach, and similar inter-agency sector coordination mechanism (see [**Section 2.2.1**](#Sec2_2_1) for detailed information). As the problems of forced displacement become more widescale, UNHCR’s role is continually evolving with recognition of its unique protection expertise and the need to mobilize a coordinated effort to the prevention, response and solutions for both refugee and IDP displacement[[4]](#footnote-4).

**Host Communities**

**Host communities** are not in themselves Persons of Concern for UNHCR, however any work being implemented by UNHCR or its Partners, must factor them in. This can be done through building links between the host community and refugees or other Persons of Concern, strengthening the capacity of host communities to integrate displaced persons, and regular communication and engagement with host communities in planning, implementation and monitoring of the assistance being provided.

**Migrants**

**Migrants** are fundamentally different from refugees as they move from one place to another, often in search of employment or better living conditions, whereas refugees are forced to flee to save their lives or preserve their freedom. Migrants are not among the Persons of Concern for UNHCR. However, migrants and refugees increasingly make use of the same routes and means of transport when moving from one country to another. If people in these ‘**mixed migration**’ flows are unable to enter a state legally, they may employ the services of human smugglers and embark on dangerous sea or land voyages. As such this raises protection concerns for all those whose lives are at risk, whether refugees or migrants. The growing need to facilitate safe, orderly and regular migration is acknowledged in the New Your Declaration for Refugees and Migrants (see [**Section 3.2.2**](#Sec3_2_2)), and specifically in [**Annex II of the Declaration: Towards a global compact for safe, orderly and regular migration**.](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/71/1)

|  |
| --- |
| **Examples of how a person’s legal status and protection needs can change during migration**  Input to be provided by UNHCR/PRG |

|  |  |
| --- | --- |
| **RESOURCES** | ***About UNHCR***   * **History of UNHCR**   <http://www.unhcr.org/uk/history-of-unhcr.html>  ***Persons of Concern***   * **Global Plan to End Statelessness 2014-2024** <http://www.unhcr.org/54621bf49.html> * UNHCR’s **Operational guidelines on Engagement in Situations of Internal Displacement 2014**   [http://www.unhcr.org/Ops\_Guide\_Internal\_Displacement](http://www.unhcr.org/ngo-consultations/ngo-consultations-2014/Thematic-session-IDPs.pdf)   * **Guiding Principles on Internal Displacement, 1998** <http://www.refworld.org/docid/3d4f95e11.html> * UNHCR **Handbook for Repatriation and Reintegration Activities, 2004**   <http://www.unhcr.org/411786694.pdf>   * **New York Declaration for Refugees and Migrants**   [http://www.un.org/NY Declaration 2016](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/71/1)   * **Quick Guide to the New York Declaration**, UNHCR, Jan 2018   <http://www.unhcr.org/57e4f6504>   * **Refworld** – broad range of international and regional instruments, policy guidance and general information on Persons of Concern:[http://www.refworld.org](http://www.refworld.org/cgi-bin/texis/vtx/rwmain) * **UNHCR Operational portal – Refugee situations**   <https://data2.unhcr.org/en/situations>   * **UNHCR 10-Point Plan of Action on Refugee Protection and Mixed Migration**   <http://www.unhcr.org/uk/the-10-point-plan-in-action.html> |

# 1.2 Protection, Assistance and Solutions for Persons of Concern

UNHCR’s prime responsibility is to **protect, assist and seek solutions for refugees and other Persons of Concern.** This fundamental commitment underpins what UNHCR does, and the way that it works, directly and through its Partners.

### 1.2.1 Protection of Persons of Concern

The protection of refugees is enshrined in UNHCR’s mandate and forms the basis of all its operations (see [**Section 1.1.2**](#Sec1_1_2)). UNHCR’s role and authority to protect other Persons of Concern, notably Stateless and IDPs is shaped by specific circumstances, including inter-agency agreements and host government policies.

**“Protection is what UNHCR does; programming is how it is done.”[[5]](#footnote-5)**

The demands for, and nature of protection provided by UNHCR and its Partners has evolved since its creation in 1950 due to changes in the type and frequency of humanitarian crises, the scale and diversity of population movements, and the willingness and capacity of host States to respond.

There is an unprecedented level of movement both within countries and across international borders. These large-scale movements may involve mixed flows of people, whether refugees or migrants, who move for different reasons but often use similar routes and face similar protection concerns. Protracted refugee crises are also more commonplace, with long-term repercussions for those involved and for their host countries and communities.

**Centrality of Protection in Humanitarian Action**

In 2015, a [**Whole of System Review**](https://protection.interaction.org/wp-content/uploads/2015/05/Final-WoS-Report.pdf) was generated by the Inter-Agency Standing Committee (IASC) Principals’ to examine how protection issues were being addressed in the context of humanitarian action and makes practical suggestions to help humanitarian actors be more strategic, and better capable of meeting core life-saving humanitarian responsibilities in relation to protection. In response to the findings, the IASC Principals’ issued a statement on the [**Centrality of Protection in Humanitarian Action**](https://interagencystandingcommittee.org/principals/content/centrality-protection-humanitarian-action)in December 2015 and the subsequent [**IASC Protection Policy**](https://interagencystandingcommittee.org/protection-priority-global-protection-cluster/documents/inter-agency-standing-committee-policy) followed-on from the Principals’ statement. While recognizing that the primary responsibility to protect people in humanitarian crises lies with states, the Statement affirms the responsibility of humanitarian actors to protect people and respect and promote their human rights. It also sets out the need for a dedicated protection strategy, extending from preparedness, throughout the humanitarian response and into early recovery, with input and support from the Protection Cluster and other humanitarian, peacekeeping, diplomatic and development actors.

**The New York Declaration for Refugees and Migrants** (New York Declaration)

The need for international cooperation in addressing large scale movements and the protection of refugees and migrants was further endorsed in the [**New York Declaration for Refugees and Migrants**](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/71/1) which was adopted by the United Nations in General Assembly Resolution 71/1, on 16th September 2016. It is a milestone for global solidarity and refugee protection at a time of unprecedented displacement.

The set of commitments agreed by Member States reflect that the protection of those who are forced to flee, and the support for the countries that shelter them, are a shared international responsibility – a responsibility that must be borne more equitably and predictably.

In adopting the New York Declaration, Member States:

* + expressed profound solidarity with those who are forced to flee;
  + reaffirmed their obligations to fully respect the human rights of refugees and migrants;
  + agreed that protecting refugees and supporting the countries that shelter them are shared international responsibilities and must be borne more equitably and predictably;
  + pledged robust support to those countries affected by large movements of refugees and migrants;
  + agreed upon the core elements of a Comprehensive Refugee Response Framework (refer to [**Section 1.2.2**](#Sec1_2_2) for further details); and
  + agreed to work towards the adoption of a global compact on refugees and a global compact for safe, orderly and regular migration.

|  |
| --- |
| **The Global Compact on Refugees**  Final input to be provided by UNHCR  The essential idea of the compact is to improve the way in which the international community responds to large movements of refugees and protracted refugee situations, most notably by providing for more equitable and predictable burden- and responsibility-sharing in support of countries and communities particularly affected.  The global compact on refugees will consist of the CRRF, as agreed to by Member States in Annex I of the New York Declaration, and a program of action that underpins the CRRF and facilitates its application. The program of action builds on the wealth of good practices and experiences of relevant stakeholders that have been collected during extensive consultations.  For further information on these elements, and the process that will be used to develop and consult on the global compact on refugees, see <http://www.unhcr.org/refugeecompact>. |

Comprehensive international, regional and country level guidance in relation to refugee law, status and protection can be found in the UNHCR Protection manual (see the **Resources box** at the end of this section). In addition, the annual [**High Commissioner’s Dialogue on Protection Challenges**](http://www.unhcr.org/uk/high-commissioners-dialogue.html) provides a regular forum to discuss protection challenges related to the work of UNHCR and its partners and identify ways of strengthening the protection of people of concern (refer to [**Section 2.3.2**](#Sec2_3_2) for further details)

**Protection Principles and Good Practice**

Through incorporating protection principles into aid delivery, humanitarian actors can ensure that their activities target the most vulnerable, enhance safety, dignity, and promote and protect the human rights of Persons of Concern without contributing to or perpetuating discrimination, abuse, violence, neglect and exploitation.

**Table 1: Global Protection Cluster Key Protection Principles**

|  |  |
| --- | --- |
| **Avoid causing harm** | - minimize unintended negative effects of an intervention which may increase people’s vulnerability to both physical and psychosocial risks |
| **Equality** | - facilitate meaningful access to impartial assistance in proportion to need and without any barriers (i.e. discrimination). Take account of vulnerable individuals and groups and those who have difficulty accessing assistance. |
| **Accountability to beneficiaries** | - provide appropriate mechanisms for gathering and addressing feedback on the adequacy of humanitarian assistance and concerns and complaints from the affected population. |
| **Participation and Empowerment** | - facilitate the development of self-protection capacities within the affected population and assist people to claim their rights, including rights to shelter, food, water and sanitation, health, and education. |

Protection mainstreaming is a process through which these principles can be integrated in all aspects of humanitarian assistance. The key protection principles identified by the Global Protection Cluster are outlined in **Table 1** above.[[6]](#footnote-6)

UNHCR and its Partners may be required to provide protection for Persons of Concern in a variety of operational settings, including camps and non-camp settings which may be urban or rural in nature. In highly dynamic or insecure emergency contexts, significant flexibility in the design and approach to programming is also likely to be needed.

### 1.2.2 Assisting Persons of Concern

UNHCR’s mandate for assistance to refugees and other Persons of Concern derives from its [**Statute**](http://www.unhcr.org/4d944e589.pdf). Subsequent General Assembly resolutions reaffirm this mandate and highlight the mutually reinforcing relationship between assistance and protection and that inadequate material assistance and food shortages undermine protection[[7]](#footnote-7).

The nature of assistance needed by refugees and other Persons of Concern varies from one situation or group to another. However, a participatory and rights-based approach is important in all cases to achieve fair and equitable access to food and other forms of material assistance.

The type of assistance that UNHCR and its Partners provide includes:

* The **admission, reception and registration** of new arrivals.
* Determining **refugee status** and assisting Persons of Concern to exercise their right to seek asylum.
* Providing support for **immediate and on-going needs** in terms of shelter, food, water, sanitation and medical care through direct provision of goods and services or cash-based interventions.
* Facilitating **education** for the children of refugees and other Persons of Concern.
* Promoting and facilitating **opportunities for work and livelihoods** for refugees and other Persons of Concern.
* Assisting **local and national institutions and communities** that receive refugees.
* Securing **documentation** for refugees and other Persons of Concern including birth registrations and identity documents.
* Providing support in accessing **legal assistance** in the event of unlawful detention or other breaches of human or refugee rights.
* Undertaking **advocacy** and promoting the rights and needs of Persons of Concern e.g. for admission to a third country on humanitarian grounds (humanitarian admission), family reunification, labor migration and regional mobility.
* Development of humanitarian **response capacities** among local government and non-government actors, host communities and Persons of Concern.

**Comprehensive Refugee Response Framework (CRRF)**

In the [**New York Declaration**](http://www.unhcr.org/dach/wp-content/uploads/sites/27/2017/07/BringingTheNewYorkDeclarationToLife.pdf)[[8]](#footnote-8), the General Assembly set out the key elements of a [**Comprehensive Refugee Response Framework**](http://www.unhcr.org/comprehensive-refugee-response-framework-crrf.html) (CRRF) that is designed to:

1. ease pressures on countries hosting large numbers of refugees,
2. enhance refugee self-reliance,
3. expand access to third-country solutions, and
4. support conditions in countries of origin for return in safety and dignity.

The New York Declaration calls upon UNHCR to develop and initiate the application of the CRRF in various situations, in close coordination with relevant States, other UN agencies and stakeholders.

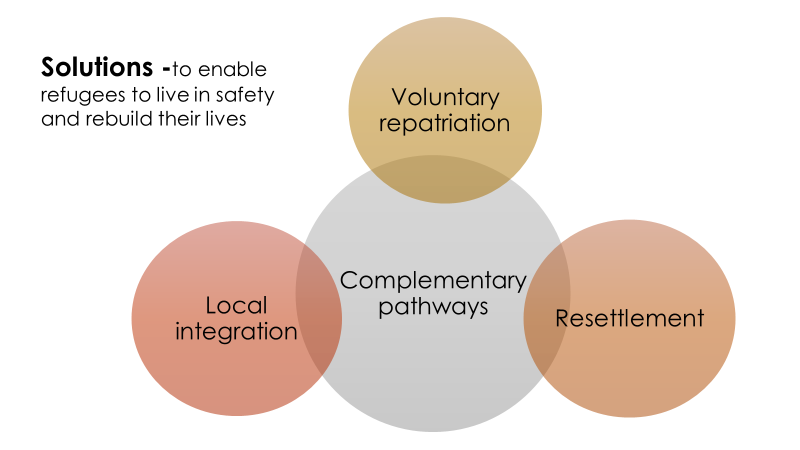
The key elements of a comprehensive response include:

* rapid and well-supported reception and admissions;
* support for immediate and on-going needs (such as protection, health and education);
* assistance for local and national institutions and communities receiving refugees; and
* expanded opportunities for solutions.

### 1.2.3 Seeking Solutions for Persons of Concern

The ultimate goal of any refugee intervention is to find ways that will enable refugees to live in safety and rebuild their lives. UNHCR attempts to secure such solutions through four mechanisms (see **Figure ii** below).

**Figure ii: UNHCR Mechanisms for Providing Solutions**



**Voluntary repatriation** - this refers to the voluntary return of refugees to their country of origin. Within voluntary repatriation programs it is important to take appropriate measures to ensure that:

* any choice regarding movements or return made by refugees is voluntary, free from coercion, and based on objective information, and
* refugees return to conditions of physical, legal and material safety, with full restoration of national protection
* return takes place in safety and with dignity and that it is sustainable.

Involvement of all stakeholders, including returnees, host and origin countries, UNHCR, other international organizations, and Partner NGOs, is an important element in successful repatriation. This type of collaboration will help to provide an appropriate framework for managing voluntary returns in the host country, through the provision of information, documentation and financial support, and in the country of origin through legal guarantees for amnesties, property restitution and reintegration projects.

**Local integration** – this refers to integration of refugees in the country of first asylum. The 1951 Convention provides a legal framework for the integration of refugees in States party to the Convention.

The scope and pace of the integration will depend on the refugee caseload and social and economic conditions in the host society. Priority may be given to:

* refugees born on the territory of the host country who may otherwise be stateless,
* refugees who do not have the possibility to repatriate in the foreseeable future,
* refugees who have established close links to the host country.

Host countries sometimes adopt an incremental approach to local integration by granting permits to stay that gradually lead to a wider range of rights and entitlements over time. In certain situations, host countries may be willing to integrate refugee populations but may lack sufficient resources and require assistance and support from the international community to do so.

**Resettlement** – this refers to resettlement to a third country where refugees are integrated into the host society and can enjoy long-term protection. Resettlement options can create risks when both refugees and asylum seekers embark on long and dangerous journeys in search of perceived opportunities for resettlement. This is compounded by the fact that opportunities are limited, as countries only take a certain number of refugees each year.

Resettlement can be a solution for refugees with limited prospects for local integration or voluntary repatriation, or with specific needs who cannot find adequate protection in the country of origin or the country of asylum. In the context of mixed movements, the distinction between resettlement and asylum is important in differentiating the responsibilities of the first countries of asylum for initial reception and processing arrangements, from the provision of long-term resettlement.

**Complementary pathways -** with the three traditional solutions (outlined above) remaining elusive for many refugees, UNHCR is also intensifying its pursuit of longer term complementary pathways through such means as medical evacuation and humanitarian admission programs, family reunification and opportunities for skilled migration, labor mobility and education. Work in these areas is being taken forward by UNHCR’s newly established Division of Resilience and Solutions (outlined in [**Section 2.1.1**](#Sec2_1_1)).

These pathways may offer immediate permanent solutions or contribute to progressive solutions achieved through a series of residency permits or visas. Refugees already use many of these pathways and generally use them autonomously. With growing openness on the part of States, UNHCR and its Partners have an opportunity to support and extend their use, as well as supporting the creation of new pathways through general or temporary entry, residence or migration programs, including:

* Reunification for extended family members who do not fall within refugee resettlement criteria;
* Points-based and skilled entry or other schemes; and
* Education and apprenticeship programs.

## 

### 1.2.4 Focus on Persons of Concern

UNHCR puts Persons of Concern at the center of its work through facilitating their participation in all phases of its **Operations Management Cycle** (refer **to** [**Section 4.1.1**](#sec4_1_1)) and integrating protection principles and good practices across all aspects of its operations. This commitment extends to the way UNHCR works with Partners.

To keep the needs and interests of Persons of Concern front and center in all aspects of partnership negotiations and arrangements between UNHCR and its Partners, agreement needs to be reached on:

* The commitments of both organizations to the people they aim to protect and assist, and how these commitments will be met (including allocation of resources and/or funding).
* The knowledge, skills, behaviors and attitudes that staff need to demonstrate, and how these will be reflected and managed in both organizations.
* How, when and with whom, the organizations will share information.
* How to engage those that the project aims to assist, in different stages of the program cycle.
* How both organizations will raise and handle complaints against each other in a safe and accessible way, the ways in which they will enable the people they aim to protect and assist to raise complaints, and how these will be managed.
* How they will jointly monitor and evaluate programs, the quality of the partnership, and each other’s agreed performance, including how to involve the Persons of Concern in this process.

|  |  |
| --- | --- |
| **RESOURCES** | ***Protection***   * **UNHCR Protection Manual,** 2013   <http://www.refworld.org/protectionmanual.html>   * **New York Declaration for Refugees and Migrants** (UN Resolution 71/1)   <http://www.refworld.org/docid/57ceb74a4.html>   * **IASC Protection Policy, 2017**   [https://iasc.org/protection/documents/iasc-policy](https://interagencystandingcommittee.org/protection-priority-global-protection-cluster/documents/inter-agency-standing-committee-policy)   * **IASC Principals, The Centrality of Protection in Humanitarian Action Statement**, Dec 2015   <http://www.refworld.org/docid/54913c1715.html>   * **Global Protection Cluster Annotated Reference list on Protection Mainstreaming**[https://drc.ngo/gpc-reference-list](https://drc.ngo/media/2113399/gpc-reference-list-on-protection-mainstreaming-pilot-version.pdf) * **Global Protection Cluster Protection Mainstreaming Training Package,** 2014   [http://www.GPC/protection\_mainstreaming training](http://www.globalprotectioncluster.org/_assets/files/aors/protection_mainstreaming/PM_training/1_GPC_Protection_Mainstreaming_Training_Package_FULL_November_2014.pdf)   * **Global Protection Cluster Handbook for the Protection of Internally Displaced Persons,** 2010   <http://www.refworld.org/docid/4790cbc02.html>   * **Advocating together for the Protection of Persons of Concern,** HC’s Structured Dialogue on NGOs – UNHCR Partnership,2012   [http://www.unhcr.org/advocating-together](http://www.unhcr.org/partners/partners/57348ab17/advocating-together-protection-persons-concern.html)  ***Assistance***   * **UNHCR Basic Needs Approach in Refugee Response**, 2016   [https://cms.emergency.unhcr.org/Basic\_needs\_approach](https://cms.emergency.unhcr.org/documents/11982/159474/UNHCR%2C+Basic+needs+approach/84c3d1f3-cede-42a1-ba6b-38c1de9d4866)  ***Solutions***   * **UNHCR Solutions for refugees: The 10 point plan** [http://www.unhcr.org/10-point-plan](http://www.unhcr.org/uk/publications/manuals/5846d10e7/10-point-plan-action-2016-update-chapter-7-solutions-refugees.html) * **Durable Solutions – Preliminary Operational Guide**, 2016 (concerning refugee returnees and IDPs)   <http://www.refworld.org/docid/57441d774.html>   * **IASC Framework on Durable Solutions for Internally Displaced Persons**, 2010   <http://www.unhcr.org/50f94cd49.pdf> |

# 1.3 Shared Principles and Values

### 1.3.1 Humanitarian Principles

The work and conduct of UNHCR, its Partners and other humanitarian organizations is guided by several core principles. The principles of **humanity, impartiality, neutrality and independence** are derived from international humanitarian law and underline all humanitarian assistance. They were taken up by the United Nations in General Assembly Resolutions 46/182 and 58/114, and further endorsed in 1994 within the [**Code of Conduct for the International Red Cross and Red Crescent Movement** and Non-Governmental Organizations in Disaster Relief](https://www.icrc.org/eng/assets/files/publications/icrc-002-1067.pdf), and subsequently in 1997 in the [**Sphere Humanitarian Charter and Minimum Standards in Humanitarian Response**](http://www.sphereproject.org/handbook/). These core principles also underpin the [**Core Humanitarian Standard on Quality and Accountability**](https://corehumanitarianstandard.org/files/files/Core%20Humanitarian%20Standard%20-%20English.pdf) which describes the essential elements of principled, accountable and high-quality humanitarian aid. These are set out in nine Commitments that all humanitarian organisations and individuals can use to improve the quality and effectiveness of the assistance they provide.

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| **DEFINITIONS** | **Humanity -** is the quality of being humane or compassionate and is the principal driver for a response to any crisis.  **Impartiality** – is the principle of providing humanitarian assistance based on need, with priority given to the most urgent cases irrespective of race, nationality, gender, religious belief, political opinion or class.  **Neutrality** – is the principle of refraining from taking sides in hostilities or engaging in actions that are motivated or influenced by political, racial, religious or ideological interests.  **Independence** – is the principle of retaining autonomy and not being subject to control or diversion by political, economic, military or other non-humanitarian objectives.  **Principled humanitarianism** is a commitment to providing for the assistance and protection of affected populations in a way that is distinct and separate from political and other motivations[[9]](#footnote-9). |

These, along with other principles such as ‘[**Do No Harm’**](http://www.conflictsensitivity.org/do-no-harm-local-capacities-for-peace-project/), are internationally recognized and contribute to ‘principled humanitarianism’. Consistent adherence to these principles assists all humanitarian actors to:

* gain and maintain access to affected populations, including Persons of Concern;
* mitigate risks to affected populations, staff, Partners and assets;
* promote the full rights and dignity of affected populations; and
* establish a principled engagement with authorities and, where appropriate, non-State parties to a conflict.

UNHCR is also committed to a rights-based and community-based approach, which includes efforts to engage and empower Persons of Concern in decisions that affect their lives.

### 1.3.2 Standards of Conduct

Upholding the principles outlined in [**Section 1.3.1**](#Sec1_3_1), depends on the ability of all humanitarian organizations and their staff to promote and practice the highest standards of ethical, personal and professional conduct, both within their respective organizations and externally.

Examples of **misconduct[[10]](#footnote-10)** include:

* Embezzlement and procurement fraud
* Financial negligence resulting in substantial losses
* Sexual exploitation and abuse (of Persons of Concern and aid workers)
* Harassment (including mobbing)
* Assault, threats or retaliation
* Unlawful acts (e.g. theft or fraud)
* Misrepresentation or false certification relating to a claim or benefit
* Misuse of the equipment or assets or abuse of authority
* Non-compliance with local laws or legal obligations.

The Clauses on Investigation and Ethical Considerations in the Partnership Agreement (Appendix 2) emphasize the obligation of UNHCR’s Partners and their staff to carry out their activities to the highest ethical, personal and professional standards. Refer to [**Section 5.1.5**](#Sec5_1_5) for further guidance on Ethical and Professional Conduct.

Failure by Partners to take measures to prevent misconduct or investigate allegations of misconduct and take the appropriate disciplinary and corrective actions, constitute grounds for termination of a Partnership Agreement. This includes allegations of sexual exploitation and abuse committed against Persons of Concern or staff, consultants or contractors of the Partner organization itself. Refer to [**Section 1.3.3**](#Sec1_3_3) for further guidance on Protection from Sexual Exploitation and Abuse.

**Codes of Conduct**

Codes of Conduct and/or associated policy documents are an important way of providing guidance to staff, Persons of Concern, donors and others within and external to the organization on the required standards of behavior and conduct, along with the consequences of failing to respect and practice these standards.

Partner organizations and their staff are not required to sign up to the UNHCR Code of Conduct[[11]](#footnote-11). However, they are expected to make the principles contained in the Code known to their staff, consultants and contractors in an appropriate manner (refer to **Table 2** below for details).

Compatible standards should be reflected in a **Partner organization’s own Code of Conduct** which staff sign up to as a condition of their employment. Furthermore, Partners are required to refrain from any conduct that could adversely reflect on, or is incompatible with, the aims and objectives of the United Nations.

**Table 2: UNHCR Code of Conduct: Nine Principles Guiding Personal and Professional Conduct**

|  |  |
| --- | --- |
| **1** | Treat all Persons of Concern fairly, and with respect and dignity |
| **2** | Uphold the integrity of UNHCR, by ensuring that my personal and professional conduct is, and is seen to be, of the highest standard |
| **3** | Perform my official duties and conduct my private affairs in a manner that avoids conflicts of interest, thereby preserving and enhancing public confidence in UNHCR |
| **4** | Contribute to building a harmonious workplace based on team spirit, mutual respect and understanding |
| **5** | Promote the safety, health and welfare of all UNHCR staff as a necessary condition for effective and consistent performance |
| **6** | Safeguard and make responsible use of the information and resources to which I have access by reason of my employment with UNHCR |
| **7** | Prevent, oppose and combat all exploitation and abuse of Persons of Concern |
| **8** | Refrain from any involvement in criminal or unethical activities, activities that contravene human rights, or activities that compromise the image and interests of UNHCR |
| **9** | Refrain from any form of harassment, discrimination, physical or verbal abuse, intimidation or favoritism in the workplace |

### 1.3.3 Protection from Sexual Exploitation and Abuse (PSEA)

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| --- | --- |
| **DEFINITION** | **Sexual Exploitation** means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.  **Sexual Abuse** means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. |

**Managing Conduct in Relation to Sexual Exploitation and Abuse**

Since the power balance between humanitarian workers and Persons of Concern is inherently unequal, humanitarian workers must avoid any action (suggested, implied or perceived) that would suggest that a sexual act might be required or invited by themselves or others, for protection, material assistance or services. Acts of sexual exploitation and abuse have been committed by humanitarian workers, officials in positions of authority such as border guards, and other Persons of Concern with the power to provide or withhold food, shelter, education or medical care. Women, girls and boys are particularly vulnerable, and all humanitarian organizations must ensure that mechanisms are in place to prevent and sanction sexual exploitation and abuse during an emergency.

This includes having in place, highlighting and upholding policies on Protection from Sexual Exploitation and Abuse, along with relevant sections of an organization’s Code of Conduct. Humanitarian organizations also need to ensure that Persons of Concern are aware of their rights and entitlements. They should know that they are entitled to assistance without providing any form of sexual favor and that demands for such favors are strictly prohibited.

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| **TIPS** | **Core Principles Governing Humanitarian Workers’ Conduct in Relation to Sexual Exploitation and Abuse[[12]](#footnote-12)**  The following principles should be observed and reflected in relevant policies and/or Codes of Conduct to ensure that Persons of Concern are treated with dignity and respect, and that minimum standards of behavior are observed**:**   * Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are grounds for termination of employment. * Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense. * Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior is prohibited. This includes exchange of assistance that Persons of Concern are entitled to. * Sexual relationships between humanitarian workers and Persons of Concern are strongly discouraged as they are based on inherently unequal power dynamics. * Where a humanitarian worker develops concerns about sexual exploitation and abuse by a fellow worker, whether in the same agency or not, s/he must report this via established agency reporting mechanisms. * Humanitarian workers are obliged to create and maintain an environment which prevents sexual exploitation and abuse. Managers have additional responsibilities to support and develop systems which maintain this environment. |

Persons of Concern should also know how to safely report sexual exploitation and abuse when it occurs. It is crucial to put in place an effective and anonymous complaints mechanism, which enables individuals to report instances of sexual exploitation and abuse easily and safely. All such complaints should be reported to and overseen by appropriate senior management in a Partner organization (or the Inspector General’s Office in UNHCR) either directly or by the person to whom the incident is reported. Further guidance on the process for reporting and investigating misconduct including incidents of sexual exploitation and abuse is set out in [**Section 1.3.6**](#Sec1_3_6) below.

UNHCR adopts a zero-tolerance approach to incidents of Sexual Abuse or Exploitation by its own staff, volunteers or contractors, and those of its Partner organizations. It will not partner with organizations that fail to address Sexual Exploitation and Abuse through appropriate preventative, investigation and corrective action. Such failures also constitute grounds for termination of any Agreement it has with them.

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| --- |
| **United Nations Protocol on Allegations of Sexual Exploitation and Abuse involving Implementing Partners**  UNHCR to provide details |

**Inter-agency Measures for Protection from Sexual Exploitation and Sexual Abuse**

The UN Secretary-General's Bulletin, [**Special Measures for Protection from Sexual Exploitation and Sexual Abuse (ST/SGB/2003/13)**](https://reliefweb.int/report/world/secretary-generals-bulletin-special-measures-protection-sexual-exploitation-and-sexual), entered into force in the UN on 15 October 2003 and was formally adopted by UNHCR in November 2003. The need for Protection from Sexual Exploitation and Abuse (PSEA) policies became evident after reports confirmed that humanitarian workers had been responsible for acts of sexual exploitation and abuse.

As part of prevention, training and information campaigns are recommended for all humanitarian workers and Persons of Concern to raise awareness and ensure there is clear understanding of the gravity of sexual exploitation and abuse and the measures that will be taken to prevent it, or deal with any incidents should they occur. The [**IASC Task Team on Accountability to Affected Populations/ Protection from Sexual Exploitation and Abuse**](#IASCAAP) has produced a range of training and information materials on PSEA (see the Resources box at the end of this section).

### 1.3.4 Protecting Against Fraud and Corruption

The obligation to combat fraud and corruption applies to all humanitarian organizations and workers, within their respective organizations and externally. There are several factors that may cause individuals to commit a fraudulent act. In general, if the following three components (often referred to as the “fraud triangle”) are combined, there is a higher likelihood they will lead to a fraudulent behavior:

* **Incentives and pressures** (e.g., the need for money or prestige, or to demonstrate results);
* **Perceived opportunity** (e.g., weak control might lead the perpetrator to believe that she/he will not be detected); and
* **Rationalization**, for instance the perpetrator considers her/himself to be undervalued in the organization and consequently rationalizes the fraudulent behavior (e.g., “I’m underpaid and everyone else does it”).

Effective fraud prevention, detection and response mechanisms help to reduce the risk of fraud and corruption and guard against substantial monetary losses and reputational damage. **Prevention** encompasses policies, procedures, training, and communication that prevent fraud from occurring, whereas **detection** focuses on activities and techniques that promptly recognize whether fraud has occurred or is occurring. Different interventions can help reduce the risk. For example, strong controls will reduce the perception that fraud can be committed without detection.

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| **DEFINITIONS[[13]](#footnote-13)** | **Fraud:** Any act or omission whereby an individual or entity knowingly misrepresents or conceals a fact:  (a) to obtain an undue benefit or advantage or avoid an obligation;  (b) to cause another individual or entity to act, or fail to act, to his, her or its detriment.  Fraud could involve misappropriation of cash (such as fraudulent claims/disbursements) or other assets (such as fraudulent shipments, falsifying inventory records), or fraudulent statements (purposefully misreporting or omitting information).  **Corruption:** the offering, giving, receiving or soliciting, directly or indirectly, anything of value to influence another party. For example:   * an undisclosed conflict of interest, * unauthorized acceptance of honors, gifts or remuneration, * bribery (including kickbacks), * illegal gratuities or * economic extortion. |

**Measures to Prevent and Detect Fraud and Corruption**

Under a Partnership Agreement, UNHCR’s Partners are required to respect relevant local laws and not engage in any form of corrupt practices, including extortion, fraud, or bribery (refer to [**Section 5.1.5**](#Sec5_1_5) for guidance on the Partnership Agreement obligations in relation to Ethics and Professional Conduct).

They must have adequate procedures in place to prevent, detect and address any incidents of fraud and corruption that arise. The UNHCR [**Strategic Framework for the Prevention of Fraud and Corruption**](http://www.refworld.org/pdfid/5433a4e54.pdf) provides a template for use in assessing and identifying measures for mitigating the risk of fraud and corruption. The [**ICVA and InterAction member standards**](https://www.interaction.org/membership/standards) also provide a useful benchmark for Partners in assessing financial system strength.

Furthermore, the Partnership Agreement includes provisions for requesting Partners to strengthen measures for preventing, reporting and investigating allegations of fraud and corruption if they are deemed to be inadequate. Training materials are also available to support Partners in enhancing their capacity to prevent fraud and corruption (see the Partner Portal and links in the **Resources box** at the end of this section).

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| **TIPS** | **Tips for Preventing and Detecting Fraud and Corruption**   * Emphasize a zero-tolerance principle at all levels; * Make all staff aware and provide regular training, communication and policy guidance about what constitutes fraud and corruption; * Encourage free and open communication regarding ethical behavior and ensure a supportive whistleblowing policy and associated complaints mechanism is in place; * Put clear levels of delegated authority in place and adhere to them; * Adopt appropriate procedures, risk assessment and controls for the selection and recruitment of partners, vendors, contractors and staff; * Ensure that there is a sufficient level of segregation of duties so that no one individual can own and/or execute a process end-to-end; * Implement controls and assign appropriate staff (in number and seniority) to monitor them effectively; * Identify and assess fraud and corruption risks at the program planning stage and develop appropriate prevention and mitigation measures; * Closely monitor procurement practice to ensure all applicable policies (internal, donor) are adhered to and exceptions are identified and addressed; * Consider periodic staff rotations for staff who perform the same function to prevent opportunities for collusion. |

Fraud and corruption can arise in all aspects of humanitarian operations. See **Table 3** below.

**Table 3: Potential Fraud and Corruption Practices[[14]](#footnote-14)**

|  |  |  |
| --- | --- | --- |
| **Program support** | **Supply chain Management** | * Procurement * Contract execution, renewal or modification * Transport * Asset management |
| **Human Resources** | * Recruitment based on biased, falsified or fabricated information * Unfair practices or bias in personnel management * Conflict of interest * Bribery, extortion, and coercion of staff * Staff entitlement fraud |
| **Finance** | * Accounting fraud * Improper asset valuation and asset misappropriation * False invoices or receipts * Payroll and employee expense fraud * Physical cash * Money laundering |
| **Communications and IT** | * Unauthorized access and use of Information Communication Technology (ICT) systems and data |
| **Program cycle** | **Needs assessment and resource allocation** | * Corruption and fraud risks in project location and resource allocation decisions * Overstated reporting of needs and diversion of funds |
| **Partners and local intermediaries** | * Biased and government or donor influence on Partner selection * Resource stewardship by Partners * Partners and procurement * Insufficient or ineffective Partner monitoring |
| **Targeting and registering of Persons of Concern** | * Beneficiary selection criteria * Misrepresentation and resource diversion * External schemes |
| **Distribution fraud** | * Unauthorized changes of entitlement and diversion of resources * Misappropriation and diversion of funds in Cash-Based Interventions programs |
| **M&E** | * Fictitious, false, or incomplete reports |

In setting out measures for dealing with incidents of fraud, careful consideration is given to the need to balance the protection concerns of the refugee and his/her family against the seriousness of the fraud committed. Examples of the types of fraud that may occur include:

* Invention, falsification or concealment of information
* Use or production of fraudulent documents
* Attempted bribery
* Participation in organized crime or trafficking

The sanctions taken range from a formal warning to suspension or termination of a resettlement application, through to considering a referral for criminal proceedings in the most serious cases.

### 1.3.5 Accountability

**Accountability** – is the process of using power responsibly, taking account of, and being held accountable by, different stakeholders, and primarily those who are affected by the exercise of such power.[[15]](#footnote-15)

Being accountable goes beyond identifying and formally committing to codes, principles and standards. Truly accountable organizations are based on a ‘culture of accountability’ which values, encourages and builds on the views and capacities of its stakeholders, especially those with little or no formal power. In this way, it listens to, learns from and explains its intentions and performance in an open and transparent manner, to all those significantly affected by its actions.

Humanitarian organizations including UNHCR and its Partners are accountable to:

* the **affected populations** that they seek to assist for the standards of performance and conduct;
* their **donors and other supporters** for the funding and resources that are entrusted to them; and
* their **staff, partners and other stakeholders** for the way in which they engage and work with them.

**What is Accountability to Affected Populations (AAP)?**

**Accountability to Affected Populations (AAP)** - can be understood as 'an active commitment by humanitarian actors and organizations to use power responsibly by taking account of, giving account to, and being held to account by, the people they seek to assist'.[[16]](#footnote-16)

It requires that humanitarian actors:

* involve Persons of Concern in key decisions and processes that affect them;
* facilitate the meaningful participation of Persons of Concern in all phases of the program cycle;
* maintain transparency through continuous communication, consultation and sharing of information; and
* maintain mechanisms through which Persons of Concern can complain if they feel the help they receive is not adequate or has unwelcome consequences.

AAP is a central element in UNHCR’s [**Age, Gender and Diversity (AGD) policy**](http://www.unhcr.org/uk/protection/women/4e7757449/unhcr-age-gender-diversity-policy-working-people-communities-equality-protection.html) and its approach to protecting, assisting and finding solutions for Persons of Concern.

**Revised policy from UNHCR to be incorporated**

**IASC Task Team on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse (AAP/PSEA)**

The Task Force on Accountability to Affected Populations was created in 2012. Its remit was extended in 2014 to cover Protection from Sexual Exploitation and Abuse. The objectives of the Team are to:

* Foster a culture of accountability and PSEA at all levels of the humanitarian system.
* Encourage institutionalization of AAP and PSEA within humanitarian organizations, including local and national NGOs, INGOs, Red Cross Red Crescent movement and UN Agencies.
* Support operationalization of AAP and PSEA at collective level as well as individual agency level.

In Nov 2017, the IASC Principals endorsed four Commitments on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse, set out in Table 4 below[[17]](#footnote-17).

**Table 4: Commitments on Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse (AAP/PSEA)**

|  |  |
| --- | --- |
| **Leadership** | Demonstrate commitment to AAP and PSEA by enforcing, institutionalizing and integrating AAP approaches in the Humanitarian Program Cycle and strategic planning processes, and appropriate management systems to solicit, hear and act upon the voices and priorities of affected people. |
| **Participation and Partnership** | Adopt agency mechanisms that support coordinated people-centered approaches enabling the affected population to participate in decisions that will impact their lives, well-being, dignity and protection. Adopt equitable partnerships with local actors to build upon their relationships with communities. |
| **Information, Feedback and Action** | Adopt participatory agency mechanisms that inform and listen to communities, address feedback and lead to corrective action. Establish and support appropriate mechanisms for reporting and handling of SEA-related complaints. |
| **Results** | Measure AAP and PSEA related results at the agency and collective level, including through standards such as the Core Humanitarian Standard, the Minimum Operating Standards on PSEA and others. |

### 1.3.6 Reporting and Investigating Misconduct

**Reporting Misconduct**

If a Partner staff member has concerns or suspicions about the conduct of an individual(s), whether a member of their own staff, or a contractor, supplier or staff of another organization (except UNHCR), they are expected to follow their own organizational procedures for reporting allegations of misconduct or abuse.

If the allegations are serious (including sexual exploitation and abuse, fraud and criminal behavior), this must be reported immediately and confidentially to the [**Inspector General's Office Investigation Service [[18]](#footnote-18)**](http://www.unhcr.org/uk/inspector-generals-office.html)**.** The Partner will still be expected to deal with the case according to its own rules and procedures, provided it has the necessary capacity. However, the Inspector General’s Office and the Partner need to consult on the most appropriate course of action to take.

If staff from a Partner organization has concerns or suspicions about possible misconduct by a UNHCR staff member, regardless of their position, such concerns should be reported directly to the UNHCR’s Inspector General's Office.

**Process for Investigations**

It is important that any form of investigation is conducted by competent and experienced investigators in an independent, impartial and confidential manner that protects the safety of all concerned. The focus of an investigation is to:

* Find out if a staff member has breached one of the organization’s policies
* Recommend appropriate and proportionate disciplinary action
* Protect individuals from being abused, exploited or harmed
* Highlight issues relating to poor practice/performance
* Identify aspects of program delivery or performance that increase risks of abuse or exploitation by staff.

**Table 5:** sets out the IASC guiding principles for investigations into Sexual Exploitation and Abuse**[[19]](#footnote-19)** which are also broadly applicable to any form of investigation.

**Table 5: Guiding Principles for Investigations into Sexual Exploitation and Abuse**

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| --- | --- |
| **THOROUGHNESS** | - investigations must be conducted in a diligent, complete and focused manner. |
| **CONFIDENTIALITY** | - complainants, witnesses and the subject of allegations have a right to confidentiality other than in certain exceptional circumstances. |
| **SAFETY PARAMOUNT** | - the safety and welfare need of the victim/survivor and/or complainant are paramount. |
| **COMPETENT, RESPONSIBLE, INDEPENDENT INVESTIGATORS** | - people conducting investigations and preparing reports should be responsible, independent and have received training. |
| **IMPARTIALITY** | - investigations must be conducted in a fair and equitable way. Investigators must be free of any influence that could impair their judgement. |
| **OBJECTIVITY** | - evidence to support and refute the allegation must be gathered and reported in an unbiased and independent manner. |
| **TIMELINES** | - investigations must be conducted and reported in a timely way. |
| **ACCURACY AND DOCUMENTATION** | - investigation reports and their conclusions must be supported by adequate documentation. |

In 2012, UNHCR’s Inspector General's Office developed an[**Investigation Resource Manual for NGO Partners**](http://www.unhcr.org/uk/investigation-resource-manual.html) to:

* strengthen partnership and cooperation on investigations; and
* assist NGO Partners to develop, adapt or improve their own policies and guidelines in the areas of accountability, complaints and investigation.

There are several approaches that can be taken to managing and undertaking investigations:

1. **Partner-led:** Partners are expected to conduct their own investigations into allegations of abuse or misconduct by their staff or contractors, where they have the organizational capacity to do so. **Box 1.8** below provides an overview of the minimum investigation standards and procedures that they are expected to have in place. Or at the very least, a plan to develop and/or improve them, in order to take effective preventive and investigative action.
2. **UNHCR-led:** Investigations of allegations against UNHCR staff members are carried out by the UNHCR Investigation Service within the UNHCR’s Inspector General's Office.
3. **Joint investigations:** A joint investigationmay be conducted by UNHCR and a Partner NGO when staff of both organizations have been implicated in an allegation of abuse or misconduct, or if the Partner does not have sufficient capacity to undertake an investigation into the conduct of one of its own staff or contractors. A joint investigation team will be assembled which may include staff from UNHCR and/or the Partner, or independent external investigators.

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| --- |
| **Minimum Standards and Procedures Expected of UNHCR Partners in Managing and Conducting Investigations[[20]](#footnote-20)**   * Organizational Code of Conduct (refer to [**Section 1.3.2**](#Sec1_3_2)) * Complaints and feedback mechanism and investigation guidelines * Procedures for conducting a joint investigation when warranted * Policies on confidentiality, data protection and disclosure (refer to **Section 2.2.5**) * Policies on child protection, sexual exploitation and abuse, ‘whistleblowing’, fraud, and other areas relevant to ethical conduct and investigation * Disciplinary system, including disciplinary proceedings and applicable disciplinary and administrative measures, such as recovery of assets * Investigative capacity, including trained investigators or access to support from other agencies, UNHCR, or an investigation roster or pool. |

A Partner organization should maintain close cooperation with UNHCR regarding the planning and implementation of any investigation and the administrative actions being taken. UNHCR should be provided with a complete copy of the investigation report, or a summary if appropriate to safeguard confidentiality.

|  |  |
| --- | --- |
| **RESOURCES** | ***Humanitarian Principles and Standards***   * **Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief**   [https://www.icrc.org/CoC](https://www.icrc.org/eng/resources/documents/publication/p1067.htm)   * **OCHA Guidance on Humanitarian Principles** v1, 2010:   [http://www.unocha.org/HumPrinciple](http://www.unocha.org/sites/dms/Documents/OOM_HumPrinciple_English.pdf)   * **The Sphere Project:**   <http://www.sphereproject.org/resources/sphere-essentials/>  ***Accountability and Codes of Conduct***   * **IASC Task Force on Accountability to Affected People** **and Protection from Sexual Exploitation and Abuse (AAP/PSEA)**   [https://interagencystandingcommittee.org/AAP-PSEA](https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse)   * **Tools to support implementation of the Commitments on AAPs** [https://interagencystandingcommittee.org/Implement\_AAP](https://interagencystandingcommittee.org/system/files/legacy_files/TOOLS%20to%20assist%20in%20implementing%20the%20IASC%20AAP%20Commitments.pdf) * **CHS Alliance FAQs on AAP** <https://www.chsalliance.org/files/files/FAQs-AAP.pdf> * **UNHCR Age Gender Diversity policy:**   <http://www.refworld.org/docid/4def34f6887.html>   * **UNHCR Code of Conduct and Explanatory Notes**, 2010:   [http://www.unhcr.org/code-conduct-notes](http://www.unhcr.org/uk/admin/policies/422dbc89a/unhcr-code-conduct-explanatory-notes.html)  ***Protection from Sexual Exploitation and Abuse***   * **UNHCR Emergency Handbook PSEA guidance**   [https://emergency.unhcr.org/psea](https://emergency.unhcr.org/entry/32429/protection-from-sexual-exploitation-andabuse-psea)   * **PSEA Task Force**   <http://pseataskforce.org/>   * **InterAction PSEA Training resources** [https://www.interaction.org/PSEA\_training](https://www.interaction.org/resources/training/course-materials-preventing-sexual-exploitation-and-abuse) * **CHS Alliance PSEA guidance**   <https://www.chsalliance.org/what-we-do/psea>  ***Misconduct and Investigations***   * **UNHCR Global Learn and Connect –** various e-learning modules including Basics on Fraud and Corruption   <https://unhcr.unelearn.org/catalogue/index.php/login>   * **UNHCR Investigation Resource Manual**   <http://www.unhcr.org/uk/investigation-resource-manual.html>   * **UNHCR Inspector General's Office**   <http://www.unhcr.org/inspector-generals-office.html>   * **UNHCR How to Report Misconduct leaflet**   [http://www.unhcr.org/report-misconduct](http://www.unhcr.org/uk/admin/execoffice/4a1278f06/how-to-report-misconduct.html)   * **Strategic Framework for the Prevention of Fraud and Corruption**, July 2013   <http://www.refworld.org/pdfid/5433a4e54.pdf>   * **Various resources from MANGO on managing fraud and corruption**   <https://www.mango.org.uk/guide/internalcontrol> |

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| Chapter 2: Engaging with UNHCR | |
| Chapter 2 provides an overview of UNHCR’s structure and organization with emphasis on departments and functions of relevance to its Partners.  It sets out the organization’s global priorities and ways of working, including Results Based Management and explains the mechanism for planning, budgeting and reporting across the organization.  This chapter also details UNHCR and its Partners’ roles in coordination, consultation and capacity strengthening. |

# 2.1 Structure and Organization of UNHCR

### 2.1.1 UNHCR Structure and Decision Making

UNHCR is governed by the United Nations General Assembly and the Economic and Social Council. In November 1957 [GA Res.1166 (XII)], the Economic and Social Council established the Executive Committee of the High Commissioner’s Programme (ExCom) as an advisory body to UNHCR.

**Executive Committee of the High Commissioner’s Programme (ExCom)**

The ExCom is formally independent of UNHCR and operates as a distinct body of the United Nations. ExCom membership is on the widest possible geographical basis from those States (members of the United Nations) with a demonstrated interest in, and devotion to, the solution of refugee problems. By the end of 2017, there were 101 ExCom members[[21]](#footnote-21)

The ExCom’s main tasks are to oversee the finances and administration of UNHCR, approve the High Commissioner’s programs, and advise the High Commissioner in the exercise of his functions (mainly on protection issues). An annual session of the Excom is held every October, in Geneva.

<http://www.unhcr.org/uk/executive-committee.html>

In October 1995, the ExCom established a Standing Committee (A/AC.96/860) to replace former sub‑committees on international protection, and administrative and financial matters. The ExCom Standing Committee meets three times a year to:

* review UNHCR’s activities and programs globally and regionally;
* examine thematic issues and adopt appropriate decisions and conclusions on issues proposed by the plenary, in its program of work; and
* discuss other issues that it deems of concern.

<http://www.unhcr.org/uk/standing-committee-meetings.html>

**United Nations High Commissioner for Refugees**

UNHCR’s Statute specifies that the High Commissioner be elected by the General Assembly, on the nomination of the Secretary-General. The High Commissioner is responsible to the General Assembly for the discharge of UNHCR’s Mandate; and to the Secretary-General for the administration of UNHCR.

<http://www.unhcr.org/uk/the-high-commissioner.html>

**Organizational Structure**

UNHCR's organizational structure is based on a Global Management Accountability Framework which sets out substantive, geographical and functional Accountabilities, Responsibilities and Authorities, which are mapped at three levels:

* global level for Headquarters entities, including Regional Bureaus and services posted out to Budapest and Copenhagen;
* regional level for Regional Offices;
* operational level for Country Offices and Sub-Offices[[22]](#footnote-22).

|  |  |
| --- | --- |
| **DEFINITIONS** | **Global Management Accountability Framework**  The Global Management Accountability Framework maps accountabilities, responsibilities and authorities across UNHCR and relates them to corresponding management policies, tools and guidance.   * **Accountabilities** are the key results UNHCR staff aim to achieve * **Responsibilities** are the processes UNHCR staff follow to achieve these results * **Authorities** are the decisions UNHCR staff can make in executing their responsibilities and in achieving the desired results. |

**UNHCR Headquarters**

UNHCR’s Headquarters is in Geneva and it has an Office at the UN Headquarters in New York. The Headquarters provides overall direction for international protection, management of field activities, and the necessary financial, technical and administrative support.

The Headquarters is organized around the Executive Office, eight Divisions, and five regional Bureau under the direction of the Assistant High Commissioner for Operations. An overview of this structure and the principle functions relevant to UNHCR’s Partners (highlighted in bold) is set out in **Table 6** below.

**Table 6: Overview of UNHCR Headquarters Organizational Structure**

|  |  |  |
| --- | --- | --- |
| **Structure** | **Units and Services of Specific Relevance to Partners[[23]](#footnote-23)** | |
| **Executive Direction and Management (EDM)** | **Senior Executive Team** [[24]](#footnote-24) | High Commissioner, Deputy High Commissioner, Assistant High Commissioner for Protection, Assistant High Commissioner for Operations, Chef de Cabinet |
| Enterprise Risk Management Unit  Ethics Office  Legal Affairs Service  Liaison Office in New York  Organizational Development & Management Service  Office of the Inspector general  Office of the Ombudsman  Evaluation Service  UNHCR Innovation | |
| **Division of External Relations (DER)** | DER mobilizes public, political and financial support for UNHCR to meet its accountabilities for Persons of Concern.  DER is made up of 5 Services and 4 Sections, including:   * **Partnership and Coordination Service (PCS)** | |
| **Division of Emergency Security and Supply (DESS)** | DESS provides direction, support and oversight in relation to emergency preparedness and response, supply chain management, and the security of staff and Persons of Concern.  DESS is made up of four Services, including:   * **Emergency Service** * **Field Security Service** * **Supply Management Logistics Service** * **Procurement Service** | |
| **Division of Financial and Administrative Management (DFAM)** | DFAM maintains and improves UNHCR’s financial and administrative systems, policies and procedures to safeguard and promote cost-effective and transparent use of these resources.  DFAM comprises of one Office and six Services, including:   * **Office of the Controller** * **Implementing Partnership Management Service** | |
| **Division of Human Resource Management (DHRM)** | DHRM formulates and implements HR policies and strategies to support UNHCR and its personnel and uphold sound principles and practices for staff development, welfare and integrity.  DHRM comprises of one Office and six Services, including:   * **Global Learning Centre based in Budapest** | |
| **Division of International Protection (DIP)** | DIP leads the development of international law and protection policy relating to forced displacement and statelessness.  DIP comprises of four Services covering:   * **Policy and Law** * **Protection Operational Support** * **Protection Management** * **Resettlement** | |
| **Division of Information Systems and Telecoms (DIST)** | DIST provides leadership, direction and support in information technology and telecommunications for UNHCR worldwide.  DIST comprises of a range of specialist Sections, Services, Offices and Units. | |
| **Division of Program Support and Management (DPSM)** | DPSM supports programme quality, capacity, results-based management, and resource allocation. It sets global strategies, policies and standards, develops practical guidance, tools, and approaches. DPSM consists of three pillars covering:   * **Programme Service** * **Field Information Coordination Support Section** * **Technical Support Section** | |
| **Division of Resilience and Solutions** | Support Regional Bureaux and field operations in developing comprehensive solutions strategies and ensuring that UNHCR efforts to build protection and provide support to refugees and the internally displaced are underpinned by the aim of building resilience and working towards solutions. | |
| **Regional Bureau** | Provide strategic direction, support and oversight to Regional and Country Offices in an assigned geographical area.  Five bureaus covering: Africa, Americas, Asia and Pacific, Europe, Middle East and North Africa | |

**Regional Offices**

UNHCR’s Regional offices coordinate and provide support to Country Offices in terms of operations, strategy, resource allocation and accountability. They may be based at headquarters or in the field.

**Table 7: Breakdown of UNHCR Regional Offices by Bureau/Region**

|  |  |
| --- | --- |
| **Bureau** | **Region** |
| **Africa** | West Africa  Central Africa and Great Lakes  Southern Africa  Regional Service Center |
| **Americas** | North America and Caribbean  South America  Central America |
| **Asia and Pacific** | South East Asia  Central Asia  East Asia and the Pacific |
| **Europe** | Western Europe  Baltic and Nordic countries  Central Europe  Southern Europe  Eastern Europe  Southeastern Europe |
| **Middle East and North Africa** | Saudi Arabia, Gulf states  Middle East |

**Field Operations**

UNHCR has its main representation in the field at country level. Within each country, the official in charge is generally called the Representative (i.e. Representative of the Office of the High Commissioner for Refugees). The UNHCR Representative acts on behalf of the High Commissioner in all aspects of UNHCR’s activities in the country(ies) to which s/he is accredited, including:

* promoting UNHCR objectives
* maintaining relations with the government, diplomatic missions, UN agencies, other inter-governmental organizations, NGOs and the media
* ensuring the protection of Persons of Concern through the government’s observance of the universally recognized principles of asylum;
* promoting compliance with international refugee instruments.

There are a variety of office arrangements in the field depending on the size of operation and nature of emergency. See **Table 8** below for an overview.

**Table 8: Structure and Designation of UNHCR Offices in the Field**

|  |  |
| --- | --- |
| **Type of Office** | **Office Structure and Designation** |
| **Country Office** | Headed by a (Country) Representative and accredited to the government of that country. A Country Office is responsible for all UNHCR functions in that country. |
| **National Office** | Supervised by a Regional Office with a Regional Representative accredited to the country in which the National Office is based. May be headed by a National or International staff member but neither are accredited to the government of the host country. |
| **Sub-office** | Usually established in a strategic location, with central government approval, where provincial authorities have jurisdiction over a population of concern. Is led by a Country Office, but normally: has a sub-representational role in a specified part of the country and oversees protection and program activities of UNHCR and its Partners at provincial level. |
| **Field Office** | Normally located in an outlying region, or near populations of concern. Usually administratively dependent on a Sub- or Country Office but supervises any Field Units attached to it. Represents UNHCR and oversees protection and program activities of UNHCR and its Partners at the local level. |
| **Field Unit** | Is a small UNHCR presence, established as an extended arm of a designated office (Country, Sub-, or Field Office) to provide operational flexibility. Usually located in remote areas, close to populations of concern e.g. in a refugee/IDP center, camp or settlement. Closely supervised by and dependent on the Office to which it reports. |

Similarly, the structure of one UNHCR office can vary significantly to another so there is no standard ‘organigram’ for a country office. However, the following functions are generally present and represent the UNHCR staff that relate most directly to Partners:

* **UNHCR Representative or Delegated Representative** – accountable for UNHCR operations including activities undertaken in collaboration with Partners. Responsible for signing Partnership Agreements, approval of allocation of funding (instalments), assets or other resources.
* **Program function** – assists in the negotiation, planning, design and formulation of Agreements with Partners.
* **Project control function** – supports the program function and has oversight for projects and resources allocated to Partners.
* **Technical section** – provides guidance on technical aspects of operations such as health, programming, monitoring and evaluation.
* **Protection function** – develops, monitors and oversees UNHCR’s strategies towards refugees and other Persons of Concern.
* **Other staff** such as finance and admin staff that support these functions.

### 2.1.2 Results Based Management (RBM)

Currently UNHCR uses **Results Based Management** to help ensure that all organizational processes support the achievement of the right results in terms of protection, assistance and solutions for Persons of Concern.

**Results Framework**

UNHCR developed a rights-based Results Framework that facilitates a systematic approach to planning, budgeting and reporting at HQ and country level. It also provides the structure for the planning, budgeting and reporting on Partner projects (refer to [**Section 5.2.1**](#Sec5_2_1)). UNHCR’s budget structure is strictly aligned to the results framework to ensure a linkage between resource allocation and expected results. The results framework also forms the foundation of UNHCR’s planning and reporting software ‘[**FOCUS**](#FOCUS)**’**, which is used to support the planning, management and monitoring of its operations.

|  |  |
| --- | --- |
| **DEFINITIONS** | **Population Planning Group (PPG)**  A Population Planning Group (PPG) is a population of concern considered to be homogenous for planning and budgeting purposes. For example, two PPGs in an operation could be:   1. refugees and asylum-seekers in urban areas, and 2. refugees and asylum-seekers of various nationalities in camps.   Within a Population Planning Group there can be several populations residing in the same location (e.g., refugees from two countries living in an urban area or in various camps) but, as the programmatic response is similar, they are grouped together in one PPG. |

UNHCR categorizes its operations around [**Population Planning Groups (PPG)**](#PPG)**.** Each Population Planning group in an [**Operations Plan**](#OP) requires its own results chain, consisting of:

* at least one standardized goal
* at least one standardized rights group
* various objectives and outputs
* standardized indicators to measure performance against objectives and outputs.

Each element of the results chain is illustrated in Figure iii and explained in Table 9 below.

**Figure iii: Example of a Results Chain with One Goal and One PPG[[25]](#footnote-25)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Population Planning Group X** | | | | | |
| **Goal 1** | | | | | |
|  | **Objective A** | | | | |
|  | |  | | Impact Indicator A1 | |
|  | |  |  | | |
|  | |  | **Output A1** | | |
|  | |  | | | Performance Indicator A-1 |
|  | |  | | | Performance Indicator A-2 |
|  | |  | |  | |
|  | **Objective B** | | | | |
|  | |  | | Impact Indicator B1 | |
|  | |  |  | | |
|  | |  | **Output B1** | | |
|  | |  | | Performance Indicator B-1 | |
|  | |  |  | | |
|  | |  | **Output B2** | | |
|  | |  | | Performance Indicator B-2a | |
|  | |  | | Performance Indicator B-2b | |

**Table 9: Description of Elements in a Results Chain**

|  |  |  |  |
| --- | --- | --- | --- |
| **Elements** | **Definition and Pre-Defined Options** | | |
| **Goal** | **The desired overall result for a Population Planning Group (PPG)**, not necessarily within a one-year period. Each PPG must have at least one of **11 pre-defined goals** listed: | * Emergency response * Protection pending solutions * Protection and mixed solutions * Voluntary return * Reintegration * Integration | * Resettlement * Capacity building * Advocacy for protection and solutions * Resource mobilization * UNHCR global management |
| **Rights groups** | **The main thematic rights results for UNHCR.**  Within a results chain, each objective corresponds **to only one of the 9 pre-defined rights group**s listed: | * Favorable protection environment * Fair protection processes and documentation * Security from violence and exploitation * Basic needs and essential services | * Community empowerment and self-reliance Durable solutions * Leadership, coordination and partnerships * Logistics and operations support * Headquarters and regional support |
| **Objectives** | **A statement of desired results and impact on a population’s rights/well-being that contributes to the achievement of the overall goal**.  For example, the objective “Population has optimal access to education” contributes to protection, local integration and/or voluntary return. The objective may not be attainable within one year and may be outside the direct control of UNHCR.  UNHCR has **more than 60 pre-defined objectives**. | | |
| **Impact indicators** | **A variable that facilitates the measurement of change at the objective level.**  Each objective should be linked to at least one of the **180 pre-defined impact indicators** in the Results framework, e.g.  ‘Extent to which persons of concern have access to national education systems’ is an appropriate impact indicator for the objective suggested above. | | |
| **Outputs** | **A specific deliverable within the control of UNHCR and/or its Partners(s).** There are **over 370 pre-defined outputs** in the Results framework, each of which links to a specific objective.  For instance, the output ‘Educational infrastructure constructed, improved or maintained’ contributes to access to education (the example objective given above).  UNHCR and/or its Partner are accountable for meeting the [**prioritized target**](#OL)established for an output, within the time period specified. | | |
| **Performance indicator** | **A variable that facilitates the measurement of the outputs delivered.**  Each output should be linked to at least one of 657 pre-defined performance indicators in the Results framework, e.g. Number of households receiving conditional cash grants or vouchers for education.  For performance indicator has a comprehensive target (based on the Operations Plan) and a prioritized target (Operating Level). | | |

All Partner interventions must relate to at least one PPG and, for each PPG selected, develop a results chain and a budget. Every PPG and its corresponding results chain corresponds to a [**pillar**](#Pillar) within UNHCR’s budget structure.

UNHCR and its Partners may sometimes find it difficult to identify an appropriate indicator in the Results framework due to a specific situation or context. Indicators can be defined outside the Results framework if needed, at objective and/or output level. However,

* the most relevant indicator from the Results Framework must also be used,
* the new indicator must be SMART – Specific, Measurable, Achievable, Relevant and Time-bound, and
* the new indicator cannot be recorded in FOCUS but should be included in the Partnership Agreement, as a measure of performance.

**Results Based Management Software**

UNHCR has several software platforms linked to its Results Based Management system:

* **FOCUS -** is the software used by UNHCR operations to prepare narrative, indicator and budgetary information for planning and reporting. It classifies data in accordance with the Results framework, aligning administrative, operational and staffing resources to the objectives and results UNHCR wishes to achieve.
* **Global Focus Insight -** is UNHCR’s business intelligence tool. It helps to optimize the allocation of resources by comparing the results and impact of different types of intervention, in different locations, for populations of concern.
* **Global Focus website -** providesexternal access to key information on UNHCR operations, populations of concern, thematic areas and financials.

<http://reporting.unhcr.org/>

* **Management System Renewal Project (MSRP) -** is UNHCR’s Enterprise Resource Planning platform used for planning, programming, budgeting, treasury, asset management, human resources, implementation, monitoring and accounting.

### 2.1.3 Global Strategic Priorities and Planning Mechanism

UNHCR’s global planning is informed by its [**Global Strategic Priorities**](#GSP) and driven by the needs and priorities identified at field level through a **Comprehensive Needs Assessment** process which is conducted annually in each of its operations around the world (refer to [**Section 4.3**](#sec4_3) for details of the planning process with Partners at country level).

A **Global Needs Assessment** aggregates the Comprehensive Needs Assessment results for each operation providing a comprehensive picture of the humanitarian needs of Persons of Concern. The Global Needs Assessment also reflects UNHCR’s global budget needs, including for its Headquarters activities and global programs such as the advocacy around statelessness and refugee resettlement.

**Global Strategic Priorities**

UNHCR’s Global Strategic Priorities are informed by the longer term Strategic Directions set by the High Commissioner and UNHCR’s ExCom which elaborate the focus of UNHCR’s efforts over a 5-year period. The 2017- 2021 [**Strategic Directions**](http://www.unhcr.org/5894558d4.pdf) are:

* protection;
* responding in emergencies and beyond;
* promoting inclusion and self-reliance, including through the engagement of development actors;
* empowerment of the people UNHCR serves; and
* the pursuit of solutions

Its Global Strategic Priorities are set by the High Commissioner following consultation with UNHCR’s HQ divisions, regional bureau, country operations, Partners and other external stakeholders. These are revised every two years, drawing on results from the previous biennium and emerging issues for Persons of Concern.

Each UNHCR office pursues Global Strategic Priorities which are relevant to the specific needs and operational/regional priorities identified through the Comprehensive Needs Assessment process. These strategic priorities, along with associated indicators from the Results Based framework are integrated into Operations Plans and targets at country level. UNHCR compiles the results from the Strategic Priority indicators across all its operations and uses them to highlight positive and negative trends related to the impact of its work and that of its Partners.

A range of other thematic commitments and strategies also inform UNHCR’s strategic priorities, including but not limited to:

* **The UN 2030 Agenda, Sustainable Development Goals**, and commitment to **‘Leave no one behind’.** In particular, the need to work collaboratively with others, and to recognize and promote the important role of migrants, IDPs and refugees in achieving the Sustainable Development Goals

[http://www.un.org/SDG\_Study](http://www.un.org/disabilities/documents/WHS/HEStudy_20151109_Small.pdf)

* **New York Declaration and Global Compacts on Refugees and Migration** (refer to **Section 1.2.1**)

<http://www.unhcr.org/uk/57e4f6504>

* **UNHCR 2014-2024 Global Plan to End Statelessness**

[http://www.unhcr.org/global-plan-end-statelessness](http://www.unhcr.org/uk/protection/statelessness/54621bf49/global-action-plan-end-statelessness-2014-2024.html)

* **UNHCR Beyond Detention 2014-2019**: Global Strategy for working with governments and Partners to end the detention of asylum-seekers and refugees<http://www.unhcr.org/53aa929f6.pdf>

**Planning Process**

|  |  |
| --- | --- |
| **DEFINITIONS** | **Operations Plan -** is the plan of all resources needed for activities that would be implemented if UNHCR were fully funded.  **Operating Level -** authorized spending authority, based on existing and projected contributions, corresponding to a prioritized plan of activities.  **The Annual Program Review -** is a process through which all Operational Plans from UNHCR’s HQ Divisions and field operations are reviewed to check they are coherent and realistic. This process also facilitates a review of global resource requirements and any adjustments needed within or between operations and regions. |

The main planning exercise in UNHCR takes place in field operations and Headquarters Divisions annually between January and April, for the subsequent year, following a series of strategic consultations between the UNHCR Senior Executive Team, Bureau and HQ. The **Operations Plans / Country Operations Plans** are submitted in April and reviewed between April and May as part of an Annual Programme Review process.

Final budget allocations (agreed **Initial** [**Operating Levels**](#OL)) are communicated at the end of the Annual Programme Review process in June, by the High Commissioner, and used by divisional, regional and country teams as the basis for identifying the highest priority results and activities within their Operations Plans.Operations must also use the agreed Operating Levels when planning and signing contracts with Partners, service providers, etc., for the entire year.

Once the budget allocations have been approved by the [**ExCom**](#ExCom) in October, detailed planning and budgeting takes place at operational level in collaboration with Partners and other stakeholders over the period October - December. An overview of the planning and budgeting timeline is illustrated below in **Figure 2.5**, and the country level planning process is covered in detail in [**Section 4.3**](#sec4_3).

### 2.1.4 UNHCR’s Funding and Four Pillar Budget Structure

**UNHCR Funding and the Global Appeal**

UNHCR is funded through voluntary contributions, with less than 1% of its funding requirement met through the UN Regular Budget. Most of funding comes from its top ten donors, with the most historically contributed by the United States.

The [**Global Appeal**](http://www.unhcr.org/uk/the-global-appeal-and-supplementary-appeals.html) is an annual process used by UNHCR to raise the funding (global budget) required in meeting the humanitarian needs of Persons of Concern. This information is publicly accessible via UNHCR’s [**Global Focus**](http://reporting.unhcr.org/financial#tabs-financial-budget) website. UNHCR produces an annual Global Appeal in December, and reports on the previous year’s fundraising performance through an annual Global Report, produced in June.

Every December, UNHCR invites donors to pledge their contributions for the following calendar year. However, many donors are unable to make firm commitments at that time. Therefore, UNHCR essentially starts each year with an unfunded budget and considerable uncertainty about how much funding it will receive, and when. This unpredictable annual funding cycle is further compounded by the need to balance single and multi-year funding in the budget and meet specific donor requirements for earmarked (or restricted) funding.

**Budget Allocations and Operating Levels**

**Figure iv: Annual Planning and Budgeting Timeline**

|  |  |
| --- | --- |
|  | **Actions** |
| **Jan - Feb** | The High Commissioner provides overall direction, strategic priorities and Initial Operating Level to guide strategic consultations. After High Commissioner approval, final decisions and the Initial Operating Level are issued to the Bureau and field operations. |
| **March - April** | UNHCR field operations and HQ submit a ‘Single Plan’ with a:   * Comprehensive needs-based Operational Plan and budget * Prioritized plan based on the Initial Operating Level budget |
| **April - May** | Annual Review Process through which HQ and Bureaus review the Single Plans that have been submitted. Further adjustments to plans and budgets for field operations are made and agreed after approval by the UNHCR Senior Executive Team and High Commissioner. |
| **June** | The High Commissioner communicates the final decisions and Initial Operating Levels to Bureaus and field operations for the following year(s). |
| **July - Sep** | Mid Term Review through which HQ reviews Operating Plans, progress and constraints against end-of-year targets in the prioritized Operating levels for the current year and determines, based on implementation, any adjustments to the plans and Operating Levels. |
| **Oct** | The global biennial budget for the following year is approved by UNHCR’s ExCom. Budgets are uploaded into [**MSRP**](#MSRP) from [**FOCUS**](#FOCUS) |
| **Oct - Dec** | Detailed planning and budgeting conducted in consultation with Partners, Persons of Concern and other stakeholders, taking into account any developments since March, which may affect initial planning assumptions. |

UNHCR’s global funding requirement (global budget) is made up of all the Country Operations Plans and Headquarters costs. These budgets are formulated without a confirmation of income to cover the financial requirements. To cope with this challenge, UNHCR uses agreed [**Operating Levels**](#OL)to help staff plan for the year.

The Operating Levels are based on initial budget projections from divisional, regional and country teams for the following year. They are reviewed, together with results of the [**Annual Program Review**](#APR)in April – May, allowing the High Commissioner to approve an Initial Operating Level budget in June, for presentation to the ExCom in October.

In October, UNHCR submits a biannual budget to its ExCom, covering the subsequent two years. The budget for the second year is indicative, with a basic narrative, due to the degree of uncertainty involved.

Once approved by the ExCom, the amount specified in the Operating Level budget is the **maximum budget that UNHCR staff in each Operation/Bureau/Division is authorized to spend at a given time**. The Operating Level may change throughout the year as UNHCR gains a better understanding of funding commitments. **Figure iv** aboveillustrates the budgeting timeline.

**Budget Structure**

UNHCR’s biennial budget is divided into two annual budgets. In the year immediately preceding a biennium (e.g., 2017 for the 2018-2019 biennium), operations are required to provide a detailed budget for the first year of the biennium and only an indicative budget for the second year, with a high-level narrative.

In 2010, UNHCR adopted a **four-pillar budget structure** that helps to:

* align financial requirements and contributions with the way UNHCR plans and manages its operations; and
* ensures greater clarity in how it addresses the needs of different populations of concern, thereby providing a solid basis for results-based management.

|  |  |  |  |
| --- | --- | --- | --- |
| **Pillar 1** | **Pillar 2** | **Pillar 3** | **Pillar 4** |
| **Refugees** | **Statelessness** | **Reintegration** | **IDPs** |

**Pillar 1: Global Refugee Program** is focused on UNHCR’s core mandate covering protection, assistance, and solutions for refugees in countries of asylum, together with capacity building, advocacy and resource mobilization. It also covers support for voluntary repatriation of refugees and UNHCR’s Headquarters costs.

**Pillar 2:** G**lobal Statelessness Program** covers all UNHCR interventions addressing the needs of stateless persons, including those with undetermined nationality.

**Pillar 3:** **Global Reintegration Program** covers long-term activities to reintegrate refugees in their country of origin or their countries of asylum

**Pillar 4: Global IDP Projects** cover all operations related to IDPs.

The budget under each pillar is then subdivided into three elements:

* **The administrative budget -** covering all non-staff related costs and costs for temporary staff (for periods of less than 6 months).
* **The operations budget** – covering all goods and services provided to Persons of Concern directly by UNHCR or its Partners.
* **The staffing budget** - covering salaries and entitlements for regular or temporary positions with a duration of six months or more.

Each element of the budget (administrative, operations, staffing) is sub-divided into:

* activities/costs which are covered by the confirmed **Operating Level** budget, and
* activities/costs which are not prioritized and fall ‘**Above Operating Level**’. These are still included in the Operations Plan to reflect the comprehensive needs identified during planning.

### 2.1.5 Global Reporting Mechanism

Reporting has two main purposes in UNHCR:

1. It fosters confidence and support through reporting on the achievements and impact of its activities to the ExCom, donors, Partners and Persons of Concern.
2. It helps identify where adjustments to programming are needed, including the allocation of resources, and to capture lessons learned which are used to improve the design of future programming.

|  |  |
| --- | --- |
| **DEFINITIONS** | Global Report - is prepared annually to inform donors of the results achieved for Persons of Concern, through their funding. It includes content from the Year-End Reports of individual operations and can be accessed through the [Global Focus website](http://reporting.unhcr.org/).  Mid-Year Report - is prepared by country and regional operations and Headquarters. It is used to review progress and constraints against end-of-year targets established in prioritized Operating Level plans.  The Year-End Report - is prepared by country and regional operations and Headquarters. It indicates the progress made towards the annual targets and results in their protection and solutions strategies. |

The primary internal reporting mechanisms for both field and Headquarters are the [**Mid-Year Report**](#MYR) and the [**Year-End Report**](#YER). These are complemented by other targeted reports that form part of the annual reporting cycle, such as the Resettlement Statistics Report. These reports also feed into UNHCR’s Global Report, ExCom report and the High Commissioner’s Annual Report to the UN General Assembly.

A detailed reporting calendar is issued every December as part of the annual programming instructions. [**Section 6.2.1**](#Sec6_2_1) provides detailed guidance on the reporting requirements for UNHCR and its Partners at country level.

|  |  |
| --- | --- |
| **RESOURCES** | ***UNHCR Structure and Organisation***   * **About UNHCR**   <http://www.unhcr.org/uk/governance.html>   * **UNHCR Organisational Structure** (revised since establishment of the new Division on Resilience and Solutions)   <http://reporting.unhcr.org/resources>   * **UNHCR Strategic Directions 2017-2021**   [http://www.unhcr.org/strategic-directions-2017-2021](http://www.unhcr.org/en-us/excom/announce/5894558d4/unhcrs-strategic-directions-2017-2021.html)  ***UNHCR Funding and Budgets***   * **UNHCR Global Focus – Financials**   <http://reporting.unhcr.org/financial>  <http://www.unhcr.org/figures-at-a-glance.html>   * **UNHCR Global Focus – Global Appeals (current and historical)**   <http://reporting.unhcr.org/publications>  [http://www.unhcr.org/global-appeal](http://www.unhcr.org/uk/the-global-appeal-and-supplementary-appeals.html)  ***UNHCR Planning and Reporting***   * **Emergency standards and indicators**   [https://emergency.unhcr.org/emergency-standards-and-indicators](https://emergency.unhcr.org/topic/27455/emergency-standards-and-indicators)   * **UNHCR Global Report**   <http://www.unhcr.org/uk/the-global-report.html> |

# 2.2 Coordination

Coordination is about ensuring that all those who have a contribution to make, whether through knowledge, expertise, capacity, resources or influence are enabled to do so and that gaps are covered, and duplication is avoided. Coordination platforms such as the Refugee Coordination Model and the Inter Agency Standing Committee enable these contributions to be made in an efficient and effective manner.

In this way, the expertise and efforts of different actors can be brought together to best contribute towards achieving effective protection, assistance and solutions for Persons of Concern, with the optimal use of available resources

### 2.2.1 Global Humanitarian Coordination Structure

The [**Inter Agency Standing Committee (IASC)**](https://interagencystandingcommittee.org/iasc/membership-and-structure) is the primary mechanism for coordination, policy development and decision-making. The IASC was established in June 1992 in response to United Nations General Assembly Resolution 46/182 on the strengthening of humanitarian assistance.

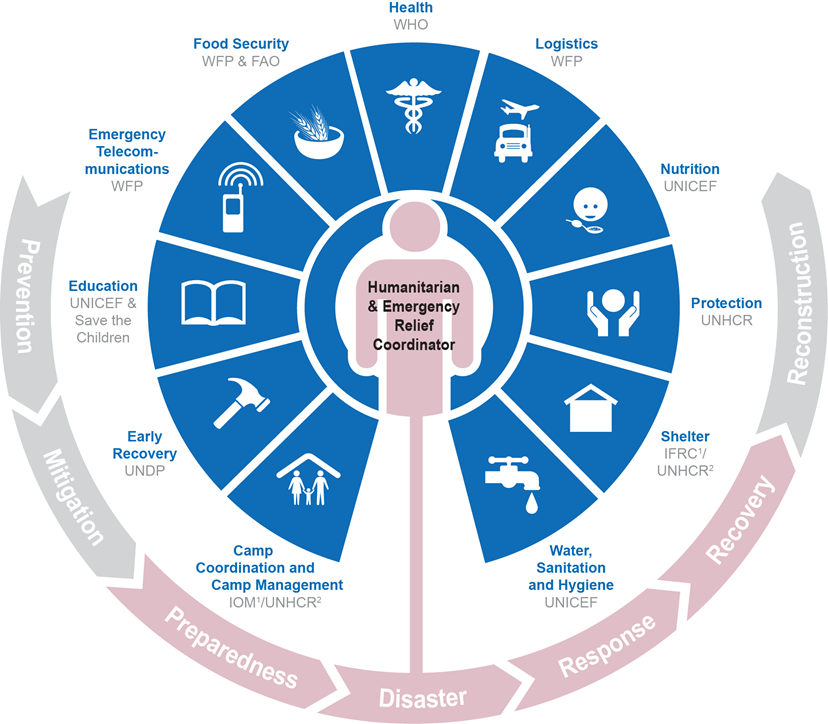
UNHCR is a member of the IASC, along with other UN operational agencies, the global NGO consortia; International Council of Voluntary Organizations (ICVA), InterAction, the Steering Committee for Humanitarian Response (SCHR)[[26]](#footnote-26), and several standing invitees. In 2005, the IASC initiated a Humanitarian Reform process aimed at improving predictability, accountability, responsibility and partnership in humanitarian action. This process led to development of the ‘**cluster approach’** through which lead agencies are designated to coordinate and lead the response to situations of humanitarian crisis and internal displacement in different sectors, at global and national levels. In situations involving refugees, a [**Refugee Coordination Model**](#RCM) is used for coordination.

A further review of humanitarian coordination was initiated by the IASC in 2011-2012 under the [**Transformative Agenda**](https://interagencystandingcommittee.org/iasc-transformative-agenda)**.** This focused on the need to strengthen humanitarian leadership, coordination, and accountability in major natural disasters and complex emergencies, which go beyond the mandate or capacity of any single agency. The review reaffirmed the cluster approach as an effective model for coordination but agreed that cluster activation should be more strategic, less automatic, and time limited. The activation criteria are met when:

* Response and coordination gaps exist due to a sharp deterioration or significant change in the humanitarian situation.
* Existing national response or coordination capacity is unable to meet needs in a manner that respects humanitarian principles.

In order to establish greater predictability and enhance the collective response to humanitarian crises a number of protocols were set up. These can be accessed through the **Resources box** at the end of this section.

**Figure v: Designated Clusters and Lead Agencies**



Within the cluster mechanism, UNHCR is the global lead agency for the Protection Cluster, and co-lead for the Camp Coordination and Camp Management (CCCM) and Shelter clusters. UNHCR’s Partners are likely to be members of these clusters and some may act in the capacity as co-lead at national or sub-national level. **Figure v** above outlines the main clusters and designated cluster lead agencies.

### 2.2.2 Coordination in Refugee and Mixed Settings

The **Comprehensive Refugee Response Framework** (CRRF) aims to build on and support existing refugee response models and consultative networks at all levels while demanding a multi-stakeholder, “whole-of-society” approach to better supporting refugees and the communities hosting them. The CRRF is not a new coordination mechanism, but rather builds on existing mechanisms such as Humanitarian Response Plans (HRPs), Refugee Response Plans (RRPs), the Refugee Coordination Model, as well as development processes pursued by Member States, the UN (such as the UN Development Assistance Frameworks), regional organizations and international financial institutions.

**Coordination in Refugee Settings**

Coordination in refugee settings is led by UNHCR, through the High Commissioner as part of its refugee mandate. In December 2013, UNHCR established the **Refugee Coordination Model (RCM)** to provide a platform for leadership and inclusive coordination for the effective and accountable delivery of protection, assistance and solutions for Persons of Concern (see **Figure vi** below).

The Refugee Coordination Model enables inclusiveness, predictability and transparency, as well as clear lines of accountability. It is a simple and agile model, based on accountability to and for Persons of Concern. UNHCR’s coordination for refugee response:

* Is guided by the capacity and approach of the host government.
* Is responsive and agile with structures that expand, and contract as required.
* Provides streamlined, efficient coordination that fills gaps and avoids duplication.
* Places greatest focus and investment on coordination at the point of delivery in order to provide the best protection centred and accountable response.
* Brings together and builds on the expertise and capacities of government, international and national Partners.

Duration: As it is linked to the Mandate of the High Commissioner, the Refugee Coordination Model is not activated or deactivated- it remains in place throughout the refugee response cycle. As coordination is needs driven, some features of the Refugee Coordination Model may be contracted in non-emergency settings and expanded in emergency situations.

**Figure vi: Overview of the Refugee Coordination Model[[27]](#footnote-27)**

|  |  |  |
| --- | --- | --- |
| **UNHCR mandate** | | **Refugee Response Coordination** |
| **Accountability** | **Leadership** | UNHCR Representative works directly and in collaboration with Government to achieve protection of refugees. |
| **Strategic planning** | UNHCR with its Partners and development actors leads the contingency and response planning which is underpinned by an agreed protection and solutions strategy.   * An inclusive national Refugee Consultation Forum * Contingency Plan and Refugee Response Plan |
| **Coordination** | Partner inclusive, efficient and predictable coordination   * UNHCR Refugee Coordinator / Regional Refugee Coordinator * UNHCR-led Refugee Protection Working Group * Durable Solutions Working group[[28]](#footnote-28) (where in place) |
| **Delivery of Services** | Sector service delivery with Partners. Sectors connect to Government-led development mechanisms, if feasible.   * Led or co-chaired by Government / Partners and UNHCR |
| **Resource mobilization** | Partners inclusive platform for raising funds.   * Refugee Response Plan |
| **Persons of Concern** | |  |

Other coordination modalities in refugee settings include:

* **Refugee Protection Group** (led by UNHCR and/or government) - brings together key protection actors to collaboratively establish the refugee protection priorities and objectives that form the essential foundation for a Refugee Response Plan. It also guides, coordinates and oversees protection issues and promotes the systematic application of rights and community-based protection approaches, ensuring accountability to populations of concern and timely protection-focused participatory needs assessments with the specific aim of ensuring that planning and programming processes are underpinned by community-identified protection concerns, as well as an understanding of community capacities to address them.
* **Multi-Sectoral Group** (led by UNHCR and/or government) - provides a cross sectoral platform which brings life- saving needs and protection priorities together under a collective vision to ensure a timely, effective and accountable response is provided avoiding gaps and duplication. In addition to sectors, this group also includes working groups on cash, information management, logistics and operational support as required.
* **Refugee Response Sectors** (led by UN, NGOs, Government) - sector coordination responsibilities can be taken up by agencies that are operational in the response and present at the point of delivery with close proximity to refugees and communities; have proven technical and coordination capacity, as well expertise to address gaps identified in the response or in contingency plans. It is critical that the agency can guarantee adequate field presence, delivery and monitoring capacity and meet established standards, policies and guidelines for the overall refugee response and for the sector. These include a commitment to integrate a solutions perspective from the outset, to remain involved for an adequate period (for example, a minimum of one year for an emergency) and to execute a sound transition and exit strategy. (See [**UNHCR Emergency Handbook**](https://emergency.unhcr.org/topic/14441/refugee-situations#1,1528717717447) for further details).

**Coordination in Mixed Situations** (where there are IDPs and refugees)

Coordination in mixed situations where IDP and refugee responses are underway, involves close collaboration between UNHCR and [**OCHA**](http://www.unocha.org/our-work/coordination).

The principle underpinning UNHCR’s approach in mixed situations is that refugee operations should form an integral part of any overall humanitarian response, while at the same time, UNHCR retains the flexibility to stand alone for international protection and accountability purposes. In any operational context, UNHCR maintains the oversight and coordination needed to fulfil its ultimate accountability for ensuring the international protection and delivery of services to refugees.

To simplify and streamline leadership and coordination arrangements, UNHCR and OCHA signed a [**Joint Note on Mixed Situations: Coordination in Practice**](http://www.refworld.org/docid/571a20164.html) in April 2014. The Note spells out mutual roles and responsibilities and respective leadership and coordination functions for mixed situations. Furthermore, it builds on, and further elaborates the principles of the Refugee Coordination Model.

There are six primary points of interface between the Refugee Coordination Model and the cluster system:

* In all situations, at the leadership level the UNHCR Representative maintains responsibility for advocacy with the host government in relation to refugee protection and assistance and engages closely with the Humanitarian Coordinator/Resident Coordinator. This includes keeping the Humanitarian Country Team (HCT) informed about the refugee operation on a regular basis.
* The Representative will lead the refugee-specific strategic planning exercise with Partners, drawing on the HCT, including OCHA, to ensure coherence with the broader humanitarian response.
* The Refugee Coordinator and multi-sector operations team will ensure effective coordination through information exchange with inter-cluster coordination forums, support for the implementation of the Humanitarian Program Cycle and protection mainstreaming across clusters/sectors.
* The Refugee Protection Group will continue to be convened and will harmonize approaches with the protection cluster where applicable.

The aim is to ensure better harmonization between the IDP and refugee responses and minimize meetings and processes.

### 2.2.3 Coordination in Non-Refugee Settings

**Country Level Coordination**

Overall accountability for coordination in non-refugee settings where the scale of humanitarian need is greater than the host government’s ability to respond, rests with the Humanitarian Coordinator.

A **Humanitarian Country Team (HCT)**, led by a Humanitarian Coordinator (or Resident Coordinator, if a Humanitarian Coordinator has not been appointed) is the primary mechanism for providing operational oversight, coordination and decision making at country level. The HCT is part of the IASC and as such its composition mirrors the IASC globally; including UN humanitarian agencies, NGOs, and the Red Cross/Red Crescent Movement.

Coordination of the response is organized through the cluster mechanism and the HCT determines which clusters to establish, and which organizations should lead them. Agencies that are designated Cluster Leads should represent the Clusters as well as their respective organizations. IASC's [**Reference Module for Cluster Coordination at Country Level**](https://interagencystandingcommittee.org/iasc-transformative-agenda/documents-public/reference-module-cluster-coordination-country-level) is the principal reference document for clusters at country level. It describes their activation, de-activation, core functions, and other features.

UNHCR’s involvement in coordination in non-refugee settings is largely defined by its role as global Cluster Lead for Protection and co-lead in the areas of Camp Coordination and Camp Management (CCCM), and Shelter.

The sequence of actions needed in planning, managing, delivering and monitoring the collective humanitarian response to non-refugee-related crises is set out in the **[Humanitarian Programme Cycle (HPC)](https://www.sheltercluster.org/sites/default/files/docs/hpc_reference_module.pdf)** reference module. The HPC is driven by collectively owned, evidence-based plans[[29]](#footnote-29), direction by the HCT, and accountability for results.

Under the HPC, all humanitarian agencies including UNHCR and its Partners should:

* Support national authorities, who have primary responsibility to assist and protect populations affected by disaster or conflict;
* Promote the participation of affected populations;
* Actively contribute to joint assessment, analysis, setting strategy and the achievement of collective results;
* Accept the direction of the HCT (or UN Country Team if an HCT has not been created) and operate under the leadership of the Humanitarian (or Resident) Coordinator.
* Support inter-cluster or sector coordination and cooperate with clusters or sectors (when they are created).
* Include a broad range of actors, including at sub-national level.
* Be familiar with, and follow, HPC procedures and guidance

The increasing attention and importance of partnership and coordination at country level mean that UNHCR and its Partners need to agree on a clear strategy for coordination, including with the government, as part of partnership arrangements and operational planning.

**Coordination in the Protection Cluster**

UNHCR leads the Protection Cluster at country level in circumstances of internal displacement. Areas of responsibility within protection are coordinated by the following agency focal points (some of whom are also UNHCR Partners):

* Child Protection by the United Nations Children's Fund (UNICEF)
* Gender-Based Violence by UN Population Fund (UNFPA) and UNICEF
* Housing, Land and Property by the International Federation of Red Cross and Red Crescent Societies (IFRC) and Norwegian Refugee Council (NRC)
* Mine Action by the United Nations Mine Action Service (UNMAS)

Participation in the Protection Cluster at country and sub-national levels is open to all UNHCR Partners and protection actors that are ready to engage in information collection and sharing, strategy development, prioritization, and preparation of work plans. Minimum commitments for participation include:

* Commitment to humanitarian principles and the Principles of Partnership, including the Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Abuse (see [**Section 1.3.3**](#Sec1_3_3)).
* Readiness to participate in actions that improve Accountability to Affected Populations, in line with the IASC's commitments (see [**Section 1.3.2**](#Sec1_3_2)).
* Demonstrated understanding of responsibilities associated with cluster participation, including in relation to agreed terms of reference at country level.
* Active participation in the cluster and consistent engagement in the cluster's collective work.
* Capacity and willingness to contribute to the cluster's strategic response plan and activities, including inter-cluster coordination.
* Commitment to work cooperatively with other cluster partners to ensure the best and most strategic use of available resources.
* Willingness to take on responsibilities, taking account of capacity and mandates.
* Readiness to help draft and disseminate advocacy and messages targeting affected communities, national authorities, donors, the HCT, clusters, and the media.

**Other Country Coordination Mechanisms**

At country level, other relevant sector coordination structures led by the government or other UN agencies may also be present, especially around development programs. These may present further opportunities for coordination around shared goals and objectives for both UNHCR and its Partners in line with the [**New Way of Working**](#NWOW), and collaborative efforts to strengthen the [**Humanitarian-Development nexus**](#IASC_TT_HDN).

**The UN Country Team** is the principal coordination mechanism of all UN agencies operating in a country. The UN Country Team includes all the UN agencies present on the ground and is led by the Resident Coordinator. In a large-scale humanitarian crisis where there is no HCT in place, the UN Country Team will lead the (non-refugee) response until an HCT is formed. In smaller scale emergencies, the UN Country Team will facilitate coordination and liaison with government if a major international response is not required.

Common programming of the UN Country Team is done through the **UN Development Assistance Framework**. The UN Development Assistance Framework reflects the development-related work of all UN agencies operating in a country and is aligned with national planning systems and documents where possible. Where UNHCR operations are in stable countries, the focus of international actors is directed at providing support to long-term development efforts. UNHCR and its Partners are strongly encouraged to coordinate and engage with development actors where they can.

### 2.2.4 Information and Data Management

Information management /data management is the capture, handling, storage, analysis and dissemination of data pertaining specifically to operations and populations of concern, including demographic and statistical information. It is an integral and critical responsibility of every UNHCR staff, office and Partner, and has a direct impact on the quality and efficiency of humanitarian operations.

In refugee crises, UNHCR requires quality information to meet its own operational needs, but also as a service provided to fulfil the needs of Partners, as part of its role in coordinating the response. When the coordination and dissemination of operational information is done in a regular and predictable manner by UNHCR, its Partners and other operational agencies, coordination among all responders is improved.

Guidance on the following aspects of Information Management with associated tools, can be found in the [**UNHCR Emergency Handbook**](https://emergency.unhcr.org/topic/14445/information-management) (see the Resources box at the end of this section):

* **Operational web portal: Emergency Refugee Situations** - provides a unified platform for UNHCR, its Partners and other humanitarian actors for visualizing, coordinating and disseminating information on a refugee emergency.

<http://data2.unhcr.org/en/situations>

* **Who's doing what, where (3W) –** vital for UNHCR, its Partners and other humanitarian agencies in coordination and analysis of possible duplication and gaps in the response.
* **Common Operational Datasets and Fundamental Operational datasets** – used by UNHCR and its Partners to develop the baseline that underpins planning and response in a refugee emergency.
* **Information and data management strategy** - a plan that defines the purposes, outputs, time frames and responsibilities of all operational information services in an emergency. Used by UNHCR and its Partners in targeting their Information Management functions and activities.
* **Updates, Fact Sheets and other external communication materials** – used to inform external audiences, notably donors and other agencies, about the response of UNHCR and its Partners to a given emergency. These can be accessed through one or more of the following platforms:
  + Relief web: <https://reliefweb.int/disasters>
  + UNHCR Global Focus: <http://reporting.unhcr.org/operations>
  + OCHA Humanitarian Response: [https://www.humanresp/ops](https://www.humanitarianresponse.info/en/operations)
* **Mass communication to affected populations** – facilitates two-way information sharing, gathering and feedback mechanisms between UNHCR and its Partners and Persons of Concern about their protection situation, their needs, and the effectiveness and quality of humanitarian programs, e.g. through refugee-led Facebook groups, call-in radio shows, community meetings, telephone or WhatsApp hotlines, complaints procedures.
* **Records / knowledge management** – required within UNHCR and its Partners as the basis for good governance and accountability in managing, sharing, storing and protecting records and information such as, registration data, case files, project information, reports, plans, Human Resource records, contracts, etc, in a safe and systematic manner.

**UNHCR Information Management Toolkit**

UNHCR’s [**Information Management Toolkit**](http://data.unhcr.org/imtoolkit/) sets the standard for the Information Management tools and products that UNHCR will deliver to its Partners, including: camp profiles, maps illustrating security phases and population movements, situational and Who’s Doing What, Where (3W) information, disaggregated population statistics that comply with IASC standards, info-graphics, and other operational and analytical data. It is divided into sections covering core IM functions, objectives and activities needed in a refugee emergency, along with “how-to” guides for undertaking Information Management functions.

### 2.2.5 Personal Data Protection

Taking adequate and effective measures to protect the personal data of Persons of Concern and UNHCR and Partner personnel and assure confidentiality is a vital element of protection and security management. UNHCR has strict requirements and procedures in relation to both which are articulated through Article 13 of the Partnership Agreement and set out in detail in the [**Policy on the Protection of Personal Data of Persons of Concern to UNHCR**](http://www.refworld.org/pdfid/55643c1d4.pdf)**.**

This Policy applies to all personal data held by UNHCR in relation to Persons of Concern whether processing takes place within one UNHCR office, between offices, or whether personal data is transferred to Partners or third parties. The Policy continues to apply even after persons are no longer of concern to UNHCR. As such, Partners should be aware of, and take the necessary measures to adhere to the policy requirements.

**Basic Principles**

The principles[[30]](#footnote-30) set out in **Table 10** below guide the way in which UNHCR and its staff are required to protect and process the personal data of Persons of Concern. Where the collection and processing of personal data is part of a Partner’s responsibilities in undertaking their work with UNHCR, the Partner is expected to respect and adhere to the same or comparable principles and standards. This requirement applies whether UNHCR is transferring data directly to the Partner, or the Partner is collecting personal data in order to carry out agreed activities.

**Table 10: Basic Principles of Personal Data Processing**

|  |  |
| --- | --- |
| **Legitimate and fair processing** | Processing of personal data should be carried out in a fair and transparent manner and only on one or more of the following legitimate bases:   * With the consent of the data subject * In the vital or best interests of the data subject * To enable UNHCR to carry out its mandate * Beyond UNHCR’s mandate, to ensure the safety and security of Persons of Concern or other individuals |
| **Purpose specification** | Personal data needs to be collected for one or more specific and legitimate purpose(s) and should not be processed in a way that is incompatible with that/those purpose(s). |
| **Necessity and proportionality** | The processing of personal data should be necessary and proportionate to the purpose(s) such that, it should be adequate and relevant to the purpose, and not exceed that purpose. |
| **Accuracy** | Personal data should be recorded as accurately as possible and, where necessary, updated to ensure it fulfils the purpose(s) for which it is processed. |
| **Respect for the rights of the data subject** | The data subject should be given information about what data is being collected, how it will be used/shared and why. The data subject’s rights to access, correction, deletion and objection to data that is processed should be respected. |
| **Confidentiality** | UNHCR and its Partners need to maintain the confidentiality of the personal data of Persons of Concern at all times, even after a data subject is no longer of concern to UNHCR. |
| **Security** | To ensure the confidentiality and integrity of personal data, appropriate technical and organizational data security measures need to be put in place. Transfer of personal data to third parties is limited to the condition that the level of data protection offered is comparable with UNHCR’s requirements. |
| **Accountability and supervision** | To ensure accountability for the processing of personal data, adequate supervision structures need to be put in place. |

**Partner Obligations**

Any information that is attained or shared between UNHCR and its Partners during, or subsequent to a project must be treated in confidence and must not be disclosed without the prior agreement of both parties. To ensure compliance with this requirement, Partners are required to make every effort to segregate all information that is provided by UNHCR or generated through the project they are working on, from any other information or data that is stored.

Irrespective of the terms of a Partnership Agreement, UNHCR may need to verify that the standards for processing of personal data by a Partner organization satisfy the requirements and basic principles of the UNHCR Policy. Such verification may form part of a Data Protection Impact Assessment. If deemed appropriate, UNHCR can assist a Partner in enhancing their capacity to comply with the required data protection standards through the establishment or adjustment of policies, delivery of training or putting the necessary technical and organizational measures in place.

During project implementation, the Partner must maintain appropriate measures and controls against accidental or unlawful destruction, loss, alteration, unauthorized disclosure or access to personal data. Any actual or suspected loss, damage or disclosure must be reported to UNHCR immediately. Similarly, any complaint by an individual in respect of his/her personal data must be reported to UNHCR within five working days.

After termination of a Partnership Agreement, all personal data collected in the performance of the partnership should be returned to UNHCR. Partnership Agreements may provide for exceptions to this requirement, where there are legitimate reasons to do so, such as the consent of the data subjects.

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| **RESOURCES** | ***Coordination in Refugee Related Crises***   * **Refugee Coordination Model (RCM)**   [https://emergency.unhcr.org/refugee-coordination-model](https://emergency.unhcr.org/entry/60930/refugee-coordination-model-rcm)   * **Refugee Response Plans**   [https://emergency.unhcr.org/refugee-response-plans](https://emergency.unhcr.org/entry/109720/refugee-response-plans-rrps-interagency#2,1515765223563)  ***Coordination in Mixed Situations (Refugees and other Persons of Concern)***   * **Joint UNHCR-OCHA Note on Mixed Situations: Coordination in Practice (26 April 2014)**   [**http://www.unhcr.org/53679e679.pdf**](http://www.unhcr.org/53679e679.pdf)  ***Cluster Coordination and The Transformative Agenda***   * **Cluster approach and links to individual clusters**   [https://www.humanitarianresponse.info/clusters](https://www.humanitarianresponse.info/en/about-clusters/what-is-the-cluster-approach)   * **Transformative Agenda**   <https://interagencystandingcommittee.org/iasc-transformative-agenda>   * **IASC's Reference Module for Cluster Coordination at Country Level**   [https://interagencystandingcommittee.org/cluster\_coordination](https://interagencystandingcommittee.org/system/files/cluster_coordination_reference_module_2015_final.pdf)   * **Humanitarian Programme Cycle**   [https://interagencystandingcommittee.org/HPC](https://interagencystandingcommittee.org/system/files/hpc_reference_module_2015_final_.pdf)  <http://www.buildingabetterresponse.org/course>   * **Protection and Accountability to Affected Populations in the Humanitarian Programme Cycle**   [https://cms.emergency.unhcr.org/Protection\_AAP\_in\_HPC](https://cms.emergency.unhcr.org/documents/11982/41704/Protection+and+Accountability+to+Affected+Population+in+the+Humanitarian+Programme+Cycle+2016/978b8ee7-7507-4779-8b5c-5be9081f2d79)   * **Global Protection Cluster**   <http://www.globalprotectioncluster.org/en/index.html>   * **ICVA E-learning on Humanitarian Coordination**   <https://www.icvanetwork.org/navigating-humanitarian-coordination>   * **NGOs and the Humanitarian Architecture**   <https://faqs-humanitarian-architecture.com/>  ***Information Management***   * UNHCR Emergency Handbook – **Information management**   <https://emergency.unhcr.org/topic/14445/information-management>   * UNHCR **Data sources and data management** (Displacement, operations, resettlement, global trends, statistics, protection)   <http://www.unhcr.org/uk/data.html>   * UNHCR **Information Management Toolkit**   <http://data.unhcr.org/imtoolkit/>   * **Inter-Agency Refugee Response Portal** <http://data2.unhcr.org/en/situations>   ***Personal Data Protection***   * **Policy on the Protection of Personal Data of Persons of Concern to UNHCR**, May 2015   <http://www.refworld.org/docid/55643c1d4.html>   * **Standard Format Bipartite Project Partnership Agreement** (UNHCR with Non-governmental and other not-for-profit Partners):   [https://www.icvanetwork.org/Partnership\_Agreement](https://www.icvanetwork.org/system/files/versions/Bipartitie_Agreement-ENGLISH.pdf)   * **Protection Information Management principles and matrix,** 2016   [http://www.globalprotectioncluster.org/PIM quick ref flier](http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/info_data_management/quick-reference-flyer_principles_matrix_process.pdf)   * **UNHCR Information Management Toolkit**   <http://data.unhcr.org/imtoolkit/events/index/lang:eng> |

# 2.3 Principles and support for working in partnership

It is important that the understanding and approach to partnering with UNHCR is not limited to the provision of funding, or concept of project-based activities. Effective partnerships should support broader areas of collaboration such as advocacy and communications which also play a critical role in facilitating assistance and protection to Persons of Concern. Similarly, Partners need to contribute to the capacities and resources needed to maximise the impact and effectiveness of the collaborative partnership efforts.

### 2.3.1 Principles of Partnership

**The relationship between UNHCR and its Partners** is guided by a shared commitment to humanitarian principles and providing assistance, protection and solutions to Persons of Concern. UNHCR views this relationship as one of close and strategic partnership and makes a clear distinction between such partnerships and other commercial arrangements.

**All activities implemented with Partners** are guided by the Principles of Partnership[[31]](#footnote-31), as set out in **Table 11** below. Within a project, parties to the partnership play specific roles and undertake clearly defined tasks as stipulated in a [**Project Partnership Agreement**](#Sec3_2_2)(PPA).

**Table 11: Principles of Partnership**

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| **Equality**  **A close up of a logo  Description generated with very high confidence** | **Equality** requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other's mandates, obligations and independence and recognize each other's constraints and commitments. Mutual respect must not preclude organizations from engaging in constructive dissent. |
| **Transparency**  **A close up of a logo  Description generated with high confidence** | **Transparency** is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications and transparency, including financial transparency, increase the level of trust among organizations. |
| **Results -orientated approach**  **A drawing of a cartoon character  Description generated with high confidence** | Effective humanitarian action must be reality-based and action-oriented. This requires **result-oriented coordination** based on effective capabilities and concrete operational capacities.  UNHCR uses a Rights-based Results framework which focuses on the rights and outcomes for Persons of Concern. See [**Section 2.1.2**](#Sec2_1_2) for further details. |
| **Responsibility**  **A picture containing clipart  Description generated with high confidence** | 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 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. |

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| **TIPS** | **Examples of How the Principles of Partnership Can Be Applied**   * Jointly discuss difficult decisions such as budget cuts or termination of Partnership Agreements with Partners, ahead of time. * Partners seek opportunities, as part of the ‘Partner Contribution’ to lever contributions from whole-of-society actors who are not themselves UNHCR Implementing Partners. * Partners proactively engage in participatory assessments and planning with UNHCR. * Jointly discuss how gaps in operational priority areas can be addressed through both UNHCR and Partner resources. * Conduct regular, structured consultation meetings between all parties to a Partnership Agreement. * Partners raise issues of shared interest or concern outside a formal partnership and collaborate in addressing it e.g. agreed advocacy messaging, or coordination approaches.   Further examples are included in the UNHCR Introduction to the Framework for Implementing with Partners (refer to [**Section 3.2.1**](#Sec3_2_1)) |

### 2.3.2 Partner Consultation Process

UNHCR is committed to working in partnership and the number and diversity of its Partners continues to grow. In addition to a shared commitment to the [**Principles of Partnership**](#Sec2_3_1), the effectiveness of these relationships depends on an established and regular practice of interaction, communication, coordination, and information sharing.

**High Commissioner’s Structured Dialogue on UNHCR-NGO-IFRC Partnership[[32]](#footnote-32)**

At the end of 2011, the former High Commissioner called for a review of the quality of partnership between UNHCR, the IFRC and NGOs, which became known as the [**HC’s Structured Dialogue**](http://www.unhcr.org/high-commissioner-structured-dialogue-with-ifrc-and-the-ngos.htm%20or%20%20https:/www.icvanetwork.org/doc00005442.html), with the broad goal of achieving mutual respect and trust evidenced through open communications, transparency in decision making, and clear accountabilities between UNHCR and Partners.

This led to 10 recommendations[[33]](#footnote-33) to strengthen the application of partnership principles in practice. The need for joint planning and analyses, for good information-sharing was underscored, as well as transparent dialogue at field level. The specific areas of advocacy, capacity development for local actors and partnership in urban refugee settings were identified as providing opportunity for closer and more strategic collaboration. It was agreed that problem resolution should primarily be handled at field level where regular and frank dialogue between UNHCR and Partners should facilitate this.

**Table 12: Some Ideas and Next Steps for Applying the Recommendations in the Field**

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| Recommendation | How it translates in practice |
| Strengthen interaction and coordination with all humanitarian actors, to facilitate common approaches to coordinated assessment, planning and monitoring of performance | * NGOs are included in participatory assessments and planning initiatives * NGOs participate in evaluation and monitoring exercises * Coordination meetings and information management in refugee emergencies and UNHCR led clusters effectively serve the needs of UNHCR’s partners * NGOs with expertise in coordination of specific technical areas are engaged * Key NGO partners are consulted on significant policy developments and upcoming challenges |
| Expand partnership opportunities at national and regional levels, particularly in advocacy and in urban settings | * Use the guidance note on advocacy[[34]](#footnote-34) to jointly analyse, plan and prioritize priorities ahead of time, and clarify partner roles * Mutually engage and consult formally and informally on specific issues as they emerge * Ensure that significant regional initiatives have broad NGO participation * Engage Partners in jointly implementing the urban refugee strategy; refer to best practices and lessons learned. |
| Strengthen national NGO capacity through partnerships with UNHCR and INGOs. Build on complementarity capacities and previous lessons learned. | * Explore approaches to and resources for capacity-development with INGOs and relevant NNGOs, identifying which areas and partners are involved * Identify gaps in UNHCR’s operational priorities and discuss if and how these could be addressed jointly through existing UNHCR and NGO resources (human and financial), especially among INGO Partners that prioritize capacity development in their missions/mandates |
| Resolve problems at the field level, without fear of retaliation | * Maintain an open-door policy at senior level and ensure NGO partners have access to the relevant UNHCR Representative * Make difficult decisions such as budget cuts, or termination of Partnership Agreements through transparent criteria and discuss with respective Partners ahead of time and in a respectful way (bilaterally) * Maintain regular information sharing and coordination meetings to keep Partners abreast of the situation and of the rationale for possible changes in strategy which may affect them * Use problem resolution mechanism when issues need to be addressed through senior staff or HQs. |

Since 2014, ICVA and InterAction have supported roll-out of the recommendations from the Structured Dialogue through workshops in the DRC, Pakistan, Kenya, Chad, Lebanon, Myanmar, and regional workshops for West Africa and Asia. A [**review of lessons learned**](http://www.unhcr.org/uk/partners/partners/58aedafd7/institutionalization-high-commissioners-structured-dialogue-ngo-ifrc-unhcr.html) in 2016 has led to a narrower focus on specific themes and priorities for strengthening partnership at field level.

[http://www.unhcr.org/HC-structured-dialogue-with-ifrc-ngos.htm](http://www.unhcr.org/high-commissioner-structured-dialogue-with-ifrc-and-the-ngos.htm)

<https://www.icvanetwork.org/doc00005442.html>

**Channels for Partners to Engage and Access Support and Guidance**

There are several teams in UNHCR with a specific role in supporting and consulting with Partners. The ICVA, InterAction and several regional networks also play a focal role in facilitating dialogue and information sharing – refer to **Table 13** below for further details.

**Table 13 UNHCR Staff and Others Supporting Partner Consultation**

|  |  |
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| **UNHCR Departments and Services** | |
| **UNHCR Partnership and Coordination Service – Partnership Section**  (PCS) | The PCS promotes and facilitates more effective partnerships with traditional and non-traditional partners, collaboration and coordination leading to better and more predictable protection and solutions for Persons of Concern. PCS works closely with the Executive Office coordinating UNHCR's institutional positions and policies on partnership and coordination, including both humanitarian and development issues.  The Service manages bilateral partnerships with UN agencies, NGOs and consortia; organizes the Annual Consultations with NGOs as well as the follow-up of the HC Structured Dialogue; services the Executive Office for their high level meetings with NGOs; facilitates the contribution of NGOs to policy discussions through their statements in ExCom, Standing Committees and any other relevant UNHCR meetings; organizes briefings for NGOs on specific operations and liaises with NGOs and bureau to address a variety of partnership issues. |
| **Implementing Partnership Management Service** (IPMS/DFAM) | The IPMS leads UNHCR's efforts to strengthen strategic partnership and operational management. It leads the development of policies, procedures, guidelines, training programs and provides support to UNHCR and its Partners in application of the Framework for Implementing Partners (see [**Section 3.1.1**](#Sec3_1_1)).  IPMS also leads in implementation of the risk-based approach to management, ensuring greater accountability and compliance, and strengthening the capacity of Partners and UNHCR. The Service manages the audit certifi­cation of UNHCR-funded projects implemented through Partners.  IPMS can be contacted at [epartner@unhcr.org](mailto:epartner@unhcr.org). |
| **Global Learning Centre** | The Global Learning Centre coordinates, designs and delivers learning activities for UNHCR staff – and to some extent for Partners. It provides a diverse range of programs using distance and face-to-face methodologies.  <https://unhcr.csod.com/client/unhcr/default.aspx> |
| **International Council of Voluntary Organizations (ICVA)** | |
| ICVA is a global network of NGOs whose mission is to make humanitarian action more principled and effective by working collectively and independently to influence policy and practice. It plays a key role in supporting engagement, consultation and dialogue between UNHCR and its Partners through:   * working in partnership with UNHCR to organize, coordinate and report on the annual UNHCR-NGO Consultations * facilitating several working groups for the exchange of information, debate and policy development around key issues of relevance to working with Persons of Concern * facilitating consultations, gathering input and drafting NGO statements for ExCom meetings, committees and the High Commissioner’s Dialogue on Protection   <https://www.icvanetwork.org/> | |
| **InterAction** | |
| InterAction is an alliance organization of NGOs which share a commitment to working with the world's poor and vulnerable, and a belief in making the world a more peaceful, just and prosperous place – together. It is based in Washington D.C. and serves as a convener, thought leader and voice for its community through mobilizing its 180+ members to think and act collectively, maintain high standards, respect human dignity and work in partnership.  InterAction plays a key role in supporting engagement, consultation and dialogue between UNHCR and its partners through:   * convening working groups on topics related to partnership with UNHCR and other UN agencies, protection programming and the protection of civilians in armed conflict * enhancing NGO voice and engagement on protection in inter-agency fora, such as the Global Protection Cluster and the IASC   <https://www.interaction.org/> | |
| **Asia Pacific Refugee Rights Network (APRRN)** | |
| The Asia Pacific Refugee Rights Network is an open network of more than 320 civil society organizations and individuals from 28 countries committed to advancing the rights of refugees in the Asia Pacific region through information sharing, mutual capacity building, and joint advocacy.  <https://aprrn.info/> | |
| **Voluntary Organisations in Cooperation in Emergencies (VOICE)** | |
| VOICE is an NGO network promoting effective humanitarian aid worldwide since 1992. VOICE promotes the values of its 85 member organizations and is the main NGO interlocutor with the European Union on emergency aid and disaster risk reduction.  Members of VOICE are dedicated to practicing good humanitarian aid and saving lives and are active in different sectors of humanitarian aid and in all countries affected by natural disasters, armed conflicts and emergency situations. Most <https://ngovoice.org/> | |
| **The European Council on Refugees and Exiles (ECRE)** | |
| ECRE is a pan-European alliance of 95 NGOs protecting and advancing the rights of refugees, asylum seekers and displaced persons. ECRE’s mission is to promote the establishment of fair and humane European asylum policies and practices in accordance with international human rights law.  <https://www.ecre.org/> | |
| **Coalition of African NGOs (CoAN)** | |
| The Coalition of African NGOs, CoAN, joins together African NGOs from all corners of the continent working together to address the impact of forced displacement due to disaster, conflict and to advocate for development and human rights in Sub-Saharan Africa.  The mission of CoAN is to bring together African NGOs to share ideas, experience and knowledge in shaping the response to the humanitarian and developmental challenges; disaster displacement and conflict. CoAN uses its unique identity to influence national, regional and global policies, working in close partnership with local communities, affected populations, global actors and governments. | |

**Forums for Partner Consultation, Collaboration and Feedback**

There are also several forums in place which aim to support and strengthen the collaboration and relationship between UNHCR and its Partners, as outlined below.

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| **The High Commissioner’s Dialogue on Protection Challenges** | In 2007, UN High Commissioner for Refugees launched the first in a series of Dialogues on Protection Challenges. This annual event provides an important and informal forum for an open exchange of views between states, intergovernmental organizations, NGOs, the academic and research community, and other stakeholders on new or emerging global protection issues. At the close of the meeting, the HC delivers a summary of the discussions and highlights elements for follow up.  Recent topics for discussion have included: The global compact on refugees and learning from application of the Comprehensive Refugee Response Framework (2017); Children on the Move (2016); Protection at Sea (2014) and Faith and Protection (2012).  <http://www.unhcr.org/uk/high-commissioners-dialogue.html> |
| **Annual Consultations with NGOs** | The UNHCR Annual Consultations with NGOs is a major and rather unique event that provides an important forum for debate on global and regional themes and an opportunity to explore fresh collaboration on advocacy and operational issues.  The Consultations have become an appreciated networking event for the community working on displacement and protection issues and offer interaction with all UNHCR’s senior managers, including the High Commissioner.  Every year, over 500 representatives from around the world attend the Consultations in Geneva, co-organized by ICVA and UNHCR. They are open any organization that meets at least one of the following criteria[[35]](#footnote-35):   * is a member of ICVA; * has consultative status with the UN Economic and Social Council; * is an implementing Partner for UNHCR in the current or preceding year; * is an operational Partner for UNHCR (also requires recommendation from a UNHCR Office).   [http://www.unhcr.org/2017-annual-consult-ngos](http://www.unhcr.org/2017-annual-consultations-with-ngos.html) |
| **Annual Survey on the State of UNHCR-NGO Partnerships** | The annual survey on the state of UNHCR-NGO partnerships began in 2014, commissioned by the IPMS to track partnership dynamics and develop a body of evidence on perceptions of these partnerships. The surveys have been facilitated by HIAS, and in 2017, jointly with InterAction.  Separate but almost identical surveys are sent to UNHCR Country offices and to NGO Partners.  [https://reliefweb.int/unhcr-ngo-partnership-survey-2017](https://reliefweb.int/report/world/2017-unhcr-ngo-partnership-survey-general-report) |
| **UNHCR ExCom Annual Plenary and Standing Committee Sessions** | The annual ExCom meeting is attended by ExCom member states (refer to [**Section 2.1.1**](#Sec2_1_1)), other UN member states, specialized UN agencies, Intergovernmental organizations, and NGOs meeting the ExCom criteria.  After the opening, the High Commissioner makes the Annual Statement, then the meeting takes the form of a debate in which ExCom members will make interventions and comment on the Statement. The intervention on behalf of NGO members is coordinated and delivered by ICVA. After the debate, there are discussions around other issues and concerns, including a report on outcomes from UNHCR’s Annual Consultation with NGOs.  <http://www.unhcr.org/uk/executive-committee.html> |
| **Annual Network Organizations’ Meetings** | UNHCR/InterAction To provide details |
| **Annual Tripartite Consultations on Resettlement (ATCR)** | The Annual Tripartite Consultation on Resettlement is an annual meeting between UNHCR, Resettlement States and their national NGOs, and selected INGOs and International organizations. This forum plays an important role in raising awareness and building consensus around issues such as reception, referral and resettlement of refugees, planned UNHCR and Partner resettlement activities, and policy issues. Participating NGOs include those working with refugees in host countries and countries of resettlement.  <http://www.unhcr.org/pages/4a2cd39e6.html> |

### 2.3.3 Capacity Strengthening with Partners

UNHCR has a strong and increasing commitment to working in partnership, as a means of addressing the growing scale and complexity in protecting, assisting and finding durable solutions for Persons of Concern. To achieve this, the need to strengthen and diversify partnerships is also one of the overarching themes of UNHCR’s 2017-2021 strategy[[36]](#footnote-36):

**“We will give strong priority to extending and strengthening partnerships in ways that make the most effective use of available resources and expertise…... We will make particular investments in strengthening our collaboration with national and local partners, working to complement and reinforce national capacities, with an emphasis on sustainability.”**

This echoes the commitments made by the international community during the World Humanitarian Summit in May 2016 through the Grand Bargain[[37]](#footnote-37). The second work stream in the Grand Bargain around ‘localization’ commits to[[38]](#footnote-38):

* Increase investment in the institutional capacities of local and national responders
* Work to remove barriers to partnering with local and national responders
* Support and complement national coordination
* By 2020, direct at least 25 per cent of humanitarian funding to local and national responders
* Develop and apply a ‘localization’ marker to measure this funding
* Increase use of funding tools that facilitate local delivery of assistance

**Strengthening National and Local Capacities**

The importance of strengthening national and local capacities was one of the main outcomes of the High Commissioner’s Structured Dialogue on UNHCR-IFRC-NGO partnership in 2012 which recognized that **“while any NGO – UNHCR partnership arrangement has to ensure it focuses on achieving effective assistance; it needs to also build mutual capacity for ongoing effectiveness and sustainability”.**

Suggested recommendations from the Structured Dialogue included that[[39]](#footnote-39):

* UNHCR develop an institutional strategy for strengthening capacity in its work with NGOs;
* UNHCR work with NGO Partners and other UN agencies to develop country capacity strengthening plans;
* A Capacity Strengthening plan and budget for national/local capacities should be built into NGO UNHCR partnership agreements.

The importance of capacity strengthening has been raised repeatedly through the annual UNHCR-NGO consultation forum with increasing concern that capacity strengthening should not be left to chance. It needs to be a planned and proactive process on the part of UNHCR and its international and national Partners, including articulation of measurable capacity building commitments with the Partnership Agreement. Greater attention should also be given to the benefits and arrangements for two way or mutual learning such that local actors, including refugees and host communities contribute to building the knowledge and capacity of international actors through knowledge of local networks, ways or working and contextual expertise.

Furthermore, effective and sustainable local refugee response capacity is dependent on recognizing and supporting local capacities that extend way beyond NGOs. Support must be provided for and tailored to the needs of refugee-led community-based organizations, particularly models where there is co-leadership by members of the host community and refugees. Success of the whole-of-society approach advocated for in the New York Declaration[[40]](#footnote-40), depends on a long-term commitment to working with and building the capacity of a broad range of local and national actors.

**Capacity Gaps and Strategies to Address Them**

In response to the recommendations from the 2012 High Commissioner’s Structured Dialogue, UNHCR’s IPMS commissioned a collaborative capacity mapping exercise by UNHCR and its international and national NGO Partners. The main gaps which emerged included[[41]](#footnote-41):

* lack of trained staff and problems with 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 and managerial activities
* effective systems, procedures and manuals (Human Resources, finance, procurement)

[**Operational Guidance for Complementary Capacity Strengthening**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) **for UNHCR and its NGO Partners** has been developed collaboratively by UNHCR and a reference group of Partner organizations. They outline various initiatives and strategies for fostering mutual collaboration and capacity strengthening between UNHCR and its Partners. The aim is to secure a more effective and contextualized response that reinforces local capacities and secures better protection outcomes.

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| **TIPS** | **Strategies for Capacity Strengthening with National and Local Actors[[42]](#footnote-42)**   * Prioritize community outreach activities to develop the capacity of front-line responders * Recruit refugees and host community members to foster opportunities for exchange of knowledge and skills, and learning * Access and draw on available capacity strengthening guidance and resources (see list below) * Extend and open-up training and learning opportunities for UNHCR, its Partners and other national and local actors. * Establish capacity strengthening focal points in UNHCR and its Partners (including ICVA and InterAction) * Engage in capacity strengthening fora and discussions at country level * Undertake or contribute to capacity mapping at country level to identify key capacity gaps and effective mechanisms for addressing them * Explore/learn from other capacity strengthening initiatives to determine potential methodologies and opportunities for collaboration * Develop collaborative capacity strengthening strategies/plans between UNHCR, NGO Partners and national and local actors * Incorporate capacity strengthening activities in existing partnership agreements and funding proposals   Content to be extended with input from UNHCR and PRG |

**Capacity Strengthening Resources Available to Partners**

A diverse range of guidance, resources and online or face to face-based training materials are freely available to support general understanding around capacity strengthening and develop capacities in specific technical areas. Refer to **Table 14** below.

**Table 14: Capacity Strengthening Resources**

|  |  |  |
| --- | --- | --- |
| **Description of Resource** | **Content/Purpose** | **Access** |
| **Guidance and Tools on How to Implement Capacity Strengthening** | | |
| Save the Children **– Community Capacity Strengthening Resource Guide**  [http://www.sc.org/CommunityCS](http://www.savethechildren.org/atf/cf/%7B9def2ebe-10ae-432c-9bd0-df91d2eba74a%7D/COMMUNITY%20CAPACITY%20STRENGTHENING%20RESOURCE%20GUIDE.PDF) | Guide for capacity strengthening with communities | Open access |
| Progressio – **Capacity Building for NGOs Manual**  [http://www.progressio.org.uk/CB-manual](http://www.progressio.org.uk/content/capacity-building-manual) | Guide for capacity building with local partners | Open access |
| MANGO – **Finance capacity building resources**  [https://www.mango.org.uk/capbuilding](https://www.mango.org.uk/guide/capacitybuilding) | Extensive finance guidance, tools and resources for NGOs | Open access |
| PACT – **Capacity development resources**  [http://www.pactworld.org/resources](http://www.pactworld.org/node/1243/resources) | Resources and tools for capacity development | Open access |
| **Resources or Tools for General or Technical Capacity Strengthening** | | |
| UNHCR **- Learn and Connect portal** facilitated by the Global Learning Centre  [https://unhcr.csod.com/Learn&Connect](https://unhcr.csod.com/client/unhcr/default.aspx) | Technical training and resources | UNHCR & Partners only |
| CaLP (Cash Learning Partnership) **Organizational Capacity Assessment Tool (OCAT)**  <http://www.cashlearning.org> | Self-assessment tool for cash transfer programming | Open access |
| ALNAP **-** Active Learning Network for **Accountability and Performance in Humanitarian Action**  <http://alnap.org> | Wide range of resources on humanitarian action | Open access |
| Disaster Ready – **online training and learning portal**  <https://www.disasterready.org/> | Humanitarian training and learning resources | Requires sign up |
| Kaya – **online training and learning portal**  <https://kayaconnect.org/> | Training and learning resources | Requires sign up |
| All In Diary – **online and hard copy humanitarian guidance**  [http://allindiary.org/information](http://allindiary.org/information-and-resources/) | Resources on humanitarian action | Open access |

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| **RESOURCES** | ***Partnership Principles***   * **Full details of the Principles of Partnership, success criteria and indicators:**   [http://www.unhcr.orgprinciples-of-Partnership](http://www.unhcr.org/afr/Partner%20s/Partner%20s/5735bd464/principles-of-Partnership.html)  ***Partner Consultation and Engagement***   * **A Guide for NGOs Participating in UNHCR’s Annual Consultations with NGOs**   <http://www.unhcr.org/uk/573b2c694.html>  <http://www.unhcr.org/2017-annual-consultations-with-ngos.html>   * **The High Commissioner’s Structured Dialogue on NGO-IFRC-UNHCR Partnership**   [http://www.unhcr.org/uk/HC-structured-dialogue-ngos](http://www.unhcr.org/uk/high-commissioner-structured-dialogue-with-ifrc-and-the-ngos.html)  [http://www.unhcr.org/structured-dialogue-report-2012](http://www.unhcr.org/uk/partners/partners/573483777/joint-report-hcs-structured-dialogue-ngo-unhcr-partnership.html)   * **Structured Dialogue to Structured Action: the HC Dialogue at Field Level**   [http://www.unhcr.org/structured-dialogue-structured action](http://www.unhcr.org/partners/partners/57348e037/structured-dialogue-structured-action-high-commissioners-dialogue-ngos.html)   * **The High Commissioner’s Dialogue on Protection Challenges**   <http://www.unhcr.org/uk/high-commissioners-dialogue.html>  ***Capacity Strengthening***   * **Operational Guidance on Complementary Capacity Strengthening for UNHCR and its NGO Partners**, May 2018   [https://partner.unhcr.org//partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

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| Chapter 3: Establishing an Effective Partnership |
| Chapter 3 addresses the principles, policies and procedures used by UNHCR in governing and managing its partnerships, to provide quality assistance and protection to Persons of Concern.  It sets out policy guidance for registering, selecting and retaining Partners and outlines the measures used to mitigate risks and assure accountability to donors and Persons of Concern. |

# 3.1 Framework for Implementing with Partners

### 3.1.1 The Framework for Implementing with Partners

In 2015, UNHCR developed the **Framework for Implementing with Partners (the Framework or FIP)** in consultation with its Partners and other stakeholders.

**Figure vii: Representation of the Framework**



It provides guidance for UNHCR and its Partners on governing policies, principles and operating procedures for:

* providing quality assistance and protection to Persons of Concern, and
* accountability for the resources entrusted to UNHCR and its Partners by donors.

The Framework for Implementing with Partners embeds UNHCR’s commitment to the Principles of Partnership (see [**Section 2.3.1**](#Sec2_3_1)), along with appropriate risk management and measures for adequate project oversight. It consists of four main work-steps (outlined in **Table 15** below) that reflect the project management process and give equal consideration to operations, accountability and effective partnership with the aim of achieving the best results for Persons of Concern.

**Table 15: Overview of the Framework for Implementing with Partners (FIP)[[43]](#footnote-43)**

|  |  |  |
| --- | --- | --- |
| **Work Steps** | | **Content** |
| **1** | **Establishment of effective partnership** | * Partner registration and use of the Partner Portal * Partner selection and retention processes |
| **2** | **Proper partnership engagement** | * Partner engagement in the needs assessment and development of a project * Understanding the Partnership Agreement * Preparation of a Partnership Agreement * Concluding a Partnership Agreement |
| **3** | **Effective project partnership undertaking** | * Project monitoring * Joint monitoring and review * Project risk management and verification * Project reporting |
| **4** | **Partnership closure and smooth disengagement** | * Project audits * Final project reporting * Review and evaluation * Terminating of a Partnership Agreement * Ordinary project closure * Feedback mechanisms to and from Partners |

This Partner Handbook reflects the structure of the Framework for Implementing with Partners in order to maintain consistency in the presentation and contents of guiding policy, principles and procedures for Partners. Training materials on the Framework for Implementing with Partners are accessible via the Partner Portal and further information can be found in the **Resources box** at the end of Section 3.1.

### 3.1.2 Risk Based Approach

UNHCR adopts a risk-based approach to managing partnerships to enhance the outcomes for Persons of Concern and improve stewardship and accountability of the resources used through partnerships.

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| **DEFINITIONS** | **Risk:** is an uncertain event or condition that, if it occurs, has a positive or negative effect on objectives. A risk can be a threat or an opportunity, and sometimes it can be both.  An example of the positive effect of a risk would be when the needs of the affected population remain high but international funding is suddenly reduced, forcing the host government to step in to address the gap. |

There are various types of risks – internal and external – that can affect a project’s ability to achieve its objectives as set out in **Table 16** below.

**Table 16: Major Project Risks and Their Potential Impact**

|  |  |
| --- | --- |
| **Operational Risk** | Negative impact on achievement of planned results for Persons of Concern resulting from a partnership arrangement that is not best suited to the needs of Persons of Concern, or the operating environment. |
| **Reputational Risk** | Negative impact on either or both parties to a Partnership Agreement due to:   * weaknesses in the partnership or operational processes; * poor matching of Partner mandates, interests or values, and/or poor, unethical or unprofessional conduct; * inability of UNHCR to implement its Operations Plan |
| **Financial Risk** | Mismanagement and/or loss of resources entrusted to the project by either party. |
| **Compliance Risk** | Negative impact on achievement of planned results for Persons of Concern due to non-compliance with the terms of the Partnership Agreement, donor requirements or UNHCR rules and regulations, in general. |

The Framework for Implementing with Partners also incorporates policies, procedures and tools to mitigate each of the major risks as set out in **Table 17** below. This starts with a process to select the best Partner’s to work with in order to meet specific needs and deliver the required results in a given situation and moves on to consider risks associated with design, implementation and control of a proposed project.

**Table 17: Risk Mitigation Measures Taken in Each Step of the Framework for Implementing with Partners**

|  |  |
| --- | --- |
| **Work steps** | **Risk mitigation measures** |
| **Establishment of Effective Partnership by UNHCR** | * Verification of Partner values, interests and mandates * Use of a selection process to identify the Best-fit Partner for a given project and operating environment |
| **Proper Partnership Engagement by Both Parties** | * Timely and well-prepared Partnership Agreement * Jointly and well-designed project |
| **Effective Project Partnership Undertaking by Both Parties** | * Compliance with terms of the Partnership Agreement * Proper project control, monitoring and follow up * Deployment of appropriate capacity and personnel * Funds and resources made available on time by UNHCR. * Regular coordination, communication and joint reviews |
| **Partnership Closure and Smooth Disengagement by Both Parties** | * Timely submission and verification of reports * Adequate guidance and planned/timely closure, disengagement and phase-out * Commitment to accountability and recovery of unspent balances * Sound audit quality, professional conduct, and systematic follow-up on audit findings |

### 3.1.3 Managing Project Risks

Project risk management is used to identify and address key factors that could potentially impact on:

* Delivery of the intended objectives and expected results (impact and performance) of a project
* Completion within the agreed time frame
* Completion within the agreed project budget and resources

Both UNHCR and its Partners assume project risks and share mitigation responsibilities in relation to assessing, planning and implementing a project as illustrated in **Figure viii** below.

**Establishing the Risk Context**

**Figure viii: Project Risk Context**

|  |  |  |
| --- | --- | --- |
| **Environment risk** |  | **Key:** |
|  | Project risks that emerge **from the environment** |
|  |  |
|  | Project risks that emerge **from the Partner** |
|  |  |
|  | Project risks that emerge **from the UNHCR processes, procedures and controls** |
| **UNHCR & Partner mitigation activities** |  |  |
| **Goals** |  | **Goals:**   * Effective, value added responses to the needs of Persons of Concern * Increased accountability to stakeholders |
|  |
| **Project for Persons of Concern** |  |
|  |  |
|  |

Project risks should be identified and analysed in relation to the operating environment, the different stakeholders involved, along with the time frame. Monitoring and review of the risk context is needed throughout a project, along with regular communication and consultations with all relevant stakeholders.

Some risks may be unpredictable, others may be linked to the operating environment and therefore go way beyond a specific project. Some may have existed for a long time and others may emerge in the future.

**Risk Management Process**

There are four stages in the risk management process which help ensure that the most critical risks are identified, and appropriate measures are taken where possible to mitigate the negative impact that they might have on a project:

**Stage 1: Identifying the risks** – this involves generating a list of risks based on those events that might prevent, enhance or delay the achievement of a project’s objectives. It is also important to consider the risks associated with both pursuing, or not pursuing an opportunity or course of action.

**Stage 2: Analysing the risks identified** – this involves detailed consideration of the causes and sources of individual risks, their possible positive and negative impacts and the likelihood of their occurrence.

**Stage 3: Evaluating the risks** – this involves comparing the level of each risk identified and its significance to the project’s ability to achieve its objectives. The risks can then be prioritised based on those with the highest likelihood (i.e. unlikely, possible, likely, almost certain) and level of impact (i.e. low, medium, high, extreme)

on the project.

**Stage 4: Addressing the risks** – this involves selecting one or more options for modifying or mitigating the most serious risks selected in the previous evaluation stage. The four options for addressing risks are:

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| **TOLERATE** | Tolerating (accepting or retaining) a given risk means accepting the risk as-is and accepting it based on an informed decision. This means that exposure to the consequences of the risk may be tolerable without taking further action e.g. remote management |
| **TREAT** | Treating (controlling or reducing) a given risk is achieved by taking actions aimed at containing the risks at an acceptable level e.g. replacing a vendor if there is a risk of delay |
| **TRANSFER** | This involves partly or fully transferring risks to a third party. Typical examples include insuring against security risks or fraud. |
| **TERMINATE** | This involves disengaging from an activity which presents a risk that is beyond an acceptable level. This option may be severely limited for UNHCR due to obligations under its mandate. |

Some of the common factors or sources of risks that Partners and UNHCR will need to consider when identifying, assessing and evaluating the risks of a project are set out in **Table 18** below. It is also important to consider the interrelation between the sources and impact of risks, as the effect of one risk can compound the likelihood of another. For example, a combination of a large scale sudden onset emergency in a country with weak government capacity and less experienced Partners will give a higher overall risk of project shortfalls than one or two of these factors in isolation.

**Table 18: Sources of Risks Related to The Operating Context**

|  |  |
| --- | --- |
| **Environmental Risks** | |
| * Types of operation (i.e. emergency, protracted, phase-out) * Country profile including existing political, economic and security situation * Other environmental factors that may affect achievement of the project | |
| **Partner Risks** | |
| **Performance:**   * Capacity and experience (managing similar projects, internal controls, financial management, etc) * Historical performance working with UNHCR / other UN organizations * Outcome of previous project monitoring and audit | **Project Profile**   * Level and type of UNHCR resources provided for the project * Project activities (e.g. cash-based initiatives, construction activities, high value procurement) * Sub-delegation of implementation to third parties |
| **UNHCR Risks** | |
| * Timely support and guidance to Partners and project (signing Partnership Agreement, release of funds, verification and feedback) * Policies, procedures and controls * Presence in project locations | |

**Project Risk Register**

Partners may be required to participate in developing and maintaining a Project Risk Register under a Partnership Agreement as part of UNHCR’s risk management procedures. The register is developed during project planning and acts as a live document which is updated and reviewed throughout the course of a project.

Responsibility for maintaining the Project Risk Register is shared between UNHCR and the Partner allowing those involved in the project to be kept aware of risks and provides a means of tracking the response to risks.

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| **RESOURCES** | ***Framework for Implementing with Partners (FIP)***   * **A range of background information and guidance on the Framework for Implementing with Partners**   [https://partner.unhcr.org/partner portal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **Partner Portal – providing comprehensive guidance and training in relation to the Framework for Implementing with Partners and working in partnership with UNHCR**:   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Risk Based Management***   * **MANGO Risk Register template and sample:**   <https://www.mango.org.uk/guide/riskregister> |

# 3.2 Due Diligence Partner Registration

### 3.2.1 Pre-Requisites for Partnership

UNHCR collaborates with a diverse range of Partners in fulfilling its mandate, including governmental bodies and institutions, other United Nations organizations, not-for-profit organizations, private sector organisations, research bodies and academia.

Before being considered for partnership, a prospective Partner must register on the [**UNHCR Partner Portal**](#Sec3_2_3) and demonstrate that it meets the five core prerequisites (or eligibility criteria) for partnering with UNHCR.

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| Table 3.6:  **Pre-Requisites for Partnership** | **1** | 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**](https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list). |
| **2** | 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, including failure to appropriately address incidents of Sexual Exploitation and Abuse (refer to [**Section 1.3.3**](#Sec1_3_3)). |
| **3** | The prospective Partner must confirm that it will not discriminate against any refugee or Person of Concern, regardless of their race, religion, nationality, political opinion, gender or social groups. |
| **4** | The prospective Partner must confirm that it is committed to abiding by the Principles of Partnership (equality, transparency, a results-oriented approach, responsibility and complementarity). |
| **5** | The organization confirms that it will comply with all clauses of the UNHCR Project Partnership Agreement when implementing UNHCR-funded projects. |

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| **TIPS** | UNHCR and its Partners must be fully aware of who they are working with to mitigate the risk of negative consequences, including potential harm to Persons of Concern.  **Review the Sanction list** issued by the UN Security Council’s Committee on Sanctions pursuant to resolutions 1267 (1999), 1989 (2011).  [https://scsanctions.un.org/](https://scsanctions.un.org/fop/fop?xml=htdocs/resources/xml/en/consolidated.xml&xslt=htdocs/resources/xsl/en/al-qaida.xsl) |

### 3.2.2 Project Partnership Arrangements

Within a project, parties to the partnership play specific roles and undertake clearly defined tasks as stipulated in a **Project Partnership Agreement** (PPA)[[44]](#footnote-44). Comprehensive guidance on the content and process for developing a Partnership Agreement is covered in Chapter 5.

The guidance in this Handbook relates specifically to the types of partnership through which UNHCR shares resources (financial or in kind) with a Partner. These include:

1. Standby Partnerships
2. Operational Partnerships
3. Implementing Partnerships

**Standby Partnerships**

UNHCR has several standby Partnership Agreements in place with government agencies, NGOs, and private sector organizations, to improve the efficiency and predictability of emergency response. Standby Partners, after signing an agreement with UNHCR, maintain a standby capacity of personnel or equipment which can be rapidly deployed upon request to enhance UNHCR’s capacity to respond to humanitarian crises.

**Operational Partnerships**

In an operational partnership, UNHCR and a governmental, inter-governmental or non-governmental body, United Nations organization, not-for-profit organization, or academic institution collaborate to achieve a common objective. However, there is no transfer of funds or resources between the parties. Rather, both parties use their own resources to work towards achieving their shared objective. The broad areas of cooperation are defined through a global Memorandum of Understanding.

**Implementing Partnerships**

In an implementing partnership, UNHCR and a governmental, inter-governmental or non-governmental body, United Nations organization, or other not-for-profit organization partner to achieve a common objective. The Partner must share UNHCR’s core values and principles as set out in [**Section 1.3.1**](#Sec1_3_1). UNHCR and the Partner contribute financial and other resources for specific activities which are defined in a Partnership Agreement (PPA) (refer to [**Section 5.1.1**](#Sec5_1_1)).

The Partner in an implementing arrangement with UNHCR has full responsibility for the delivery of results as set out in the Partnership Agreement, as well as accountability to UNHCR for the effective and timely use of resources. UNHCR remains solely responsible to the donor(s) for the effective and efficient use of resources entrusted to UNHCR to meet the needs of Persons of Concern.

UNHCR implements much of its programming through this type of partnership arrangement. However, this does not mean that Partners are simply contracted to implement projects on behalf of UNHCR. Rather, they should engage from the early stages in development of UNHCR’s Operations plan, as well as any specific project activities. Similarly, and in the spirit of partnership, UNHCR should contribute to the development of their Partner’s strategies and plans. Partners can also propose initiatives that address the needs that UNHCR is mandated to assist.

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| **TIPS** | The mechanisms for joint monitoring and review, verification and audit are an essential part of the implementing partnership arrangements for both UNHCR and its Partners in meeting their mutual responsibilities to each other, Persons of Concern, and their donors. Refer to Chapter 6 for further details. |

**Partnering for Advocacy**

For UNHCR and its Partners, advocacy includes influencing decision-making at all levels through the development of coalitions and alliances, research and publications, diplomacy, public campaigning, common messaging; conferences and events, communications and media work, and the facilitation of social mobilization and self advocacy by Persons of Concern. The selection of activities, targets and implementers should be tailored to the specific context and maximise the use of complementary strengths, resources and mandates of each Partner.

A key recommendation from the UNHCR High Commissioner’s Structured Dialogue in 2012, centred on the need for increased collaboration in developing advocacy positions and strategies:

**“Acknowledging the complementarities in roles, expertise and relationship to other stakeholders in the response to refugees and stateless persons, UNHCR, the IFRC and NGOs will enhance their collaboration in developing advocacy positions and strategies at field level on issues of mutual concern.”**

This led to development of the [**Guidance Note on Partnership in Advocacy for Protection**](http://www.unhcr.org/Partner%20s/Partner%20s/57348bc57/guidance-note-Partnership-advocacy-protection.html). Its purpose is to guide Partners through the process of advocacy in partnership, to increase the impact and strategic nature of advocacy initiatives. While the focus of the Guidance Note is on joint advocacy, this does not preclude Partners from undertaking independent advocacy activities. **Annex A** of the Guidance Note sets out guiding questions to help inform the understanding, development and implementation of protection advocacy partnerships with UNHCR (refer to the **Resources box** at the end of this section for details).

Despite this guidance, continued concerns have been voiced through the UNHCR-NGO consultation mechanism [[45]](#footnote-45), about the need for greater collaboration and engagement between UNHCR and its Partners in advocating for the protection and rights of Persons of Concern. Such initiatives are not restricted to those organizations having a Partnership Agreement with UNHCR, nor to activities that are led or resourced by UNHCR. It is the responsibility of all organizations with shared commitment to achieving the best protection and assistance for Persons of Concern.

**Ongoing Development of Partnerships**

UNHCR’s approach to partnering is likely to further develop in response to three major commitments:

1. **The Grand Bargain - A Shared Commitment to Better Serve People in Need** which wasagreed at the World Humanitarian Summit in 2016. Within this, UNHCR joined over 30 other donors and international organizations in committing to ten work streams aimed at improving the effectiveness and efficiency of humanitarian action through:
2. Greater transparency
3. More support and direct funding to local and national responders
4. Increased use and coordination of cash-based programming
5. Reduced duplication and management costs with periodic reviews
6. Improved joint and impartial Needs Assessments
7. Better including people receiving aid in the decisions which affect them
8. Increased collaborative humanitarian multi-year planning and funding
9. Reduced earmarking of donor contributions
10. Harmonized and simplified donor requirements
11. Enhanced engagement between humanitarian and development actors[[46]](#footnote-46)

This has already resulted in an increase in the number of UNHCR partnerships with local and national organizations under this partnership modality. The Grand Bargain process is supported by a one-person Secretariat hosted by the IASC. Further details on the Grand Bargain can be found through links in the **Resources box** at the end of this section.

1. **The New Way of Working** which wasagreed by the UN Secretary General, the Heads of eight UN agencies, IOM and the World Bank at the World Humanitarian Summit in 2016. It is intended to bring humanitarian, development, and peace actors closer together to work towards collective outcomes based on their comparative advantage. It requires broader partnerships among UN organizations, NGOs, private sector, civil society, and governments, and is meant to reinforce existing national and local capacities. A significant part of the ‘New Way of Working’ involves getting UN organizations to work more effectively together, despite their sometimes overlapping and competing mandates.
2. **The IASC Task Team on Strengthening the Humanitarian / Development Nexus with a focus on protracted contexts** was established in February 2016. It was created following recognition by IASC Principals that a significant shift is needed in the way that humanitarian and development actors work together and with other stakeholders. Specifically:

* how these communities of practice (their policies, systems, and tools) interact, and where the context allows, even integrate in the most complex protracted crisis settings and fragile contexts;
* how to ensure that their collective engagement contributes to ending needs in both the short and long term.[[47]](#footnote-47)

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| **The Humanitarian/Development Nexus**  Final input to be provided by UNHCR  Rather than responding to refugee displacement through a purely, and often underfunded, humanitarian lens, the elements of the CRRF are designed to provide a more systematic and sustainable response that benefits both refugees and the communities that host them. It engages a much broader group of stakeholders: government at national and local levels, international and regional financial institutions, UN Agencies and NGO Partners, refugees themselves, the private sector, and civil society actors.  It seeks to ensure more sustainable responses by linking humanitarian and development efforts early on in a crisis, and by strengthening and making more inclusive service delivery, including through investment in national and local systems wherever possible. It also calls for more robust and expanded planning and opportunities for durable solutions[[48]](#footnote-48).  UNHCR commits to prioritized ‘helping to connect’ refugees, IDPs and stateless people to local systems and communities, reducing their dependency on aid, enabling them to progress realization of their rights and to better prepare them for eventual solutions.  Practical ways partners can help ensure this happens:   * Promote the inclusion of refugees, IDPs and stateless in National Development Frameworks and the plans of international development actors; * Discourage approaches that locate people in camps, separate settlements or contribute to exclusion in other ways; * Increase the emphasis on cash-based forms of assistance to promote inclusion of displaced people and benefit local communities and economies; * Help develop an evidence-based case for enabling displaced and stateless people to contribute to the communities in which they live. |

### 3.2.3 Web-based Partner Portal

The UNHCR [**Partner Portal**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) is a web–based interactive tool that supports communication and collaboration between UNHCR and Partners. [**IPMS Guidance Note No. 6: UNHCR Partner Portal**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) provides step-by-step guidance on use of the Partner Portal.

The **purpose** of the Partner Portal is two-fold:

1. To strengthen UNHCR partnerships and achieve the best protection and assistance for Persons of Concern.
2. To facilitate the Framework for Implementing Partners, including registration, verification and maintaining a database of Partner information.

The portal enables Partners to present their organizational profile to UNHCR and manage their own access for registration. It also assists UNHCR in vetting and recording new Partners and provides a repository of consistent and updated information on funded partnerships. All prospective Partners must register on the Partner Portal and will be vetted by UNHCR, before they can respond to a ‘Call for Expressions of Interest’.

Services provided through the portal include:

* A mechanism for registration and uploading a Partner Profile;
* A dashboard highlighting the status of Partnership Agreements and funds disbursements for each Partner;
* Access to UNHCR policies, procedures, guidance and updates;
* Notification of ‘Calls for Expressions of Interest’ and mechanisms for submitting Concept Notes;
* A facility for requesting Pre-qualification for procurement (PQP) and use of pool bank accounts
* Invitations to UNHCR-organized workshops, meetings and conferences;
* E-learning and capacity building tools and notification of training
* E-mail notifications.

**Usage by UNHCR Partners**

To access the Partner Portal, Partners need to complete the on-line registration process outlined in [**Section 3.2.4**](#Sec3_2_4) below. The person completing the registration process will automatically be granted the role of **Organization Primary User**.

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| **TIPS** | When **registering via the Partner Portal**, select the most appropriate staff member for the role of Organization Primary User. This person will need the authority to upload and update information as and when needed and have administrative responsibility for setting up other users. |

Once registration is completed and activated, the Organization’s Primary User will be able to create additional user accounts within the organization. These user accounts should fit into one of the following roles:

* **Organization User:** These users are created by the Organization Primary User and can alter or add to the organization profile. However, they cannot create or edit country profiles or create and administer other user accounts.
* **Country User:** These users are also created by the Organization Primary User, but their accounts must be attached to an existing country profile. Country Users can only edit their own country profile.

Guidance on using the Partner Portal is available through the portal itself or through links provided in the **Resources box** at the end of [**Section 3.2**](#_3.2_Due_Diligence) below.

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| **The new UN Partner Portal (UNPP)**  To be checked by UNHCR  As co-convenor of the Grand Bargain work stream on reducing management cost, UNHCR is leading development of a UN partner portal, with UNICEF and WFP. When complete, this single portal will benefit Partners by:   * providing easy access to information about the various agency partnerships; * reducing the assessment burden on partners; and * serving as a common library of partnership information from participating agencies and a common platform for funding calls/expression of interests.   The portal is being created with significant reference to the existing UNHCR partner portal, which was developed in a highly consultative manner with NGO Partners. A term of reference making possible joint audits of Partners for these UN agencies is also being created.[[49]](#footnote-49). |

Building on the success of the UNHCR Partner Portal, a broader **UN Partner Portal (UNPP)** is being launched[[50]](#footnote-50). This will reduce the assessment and administrative burden for Partners and the relevant UN agencies, provide a shared library of Partner information, facilitate opportunities for coordination and collaboration around partnership activities and provide a common platform for funding calls/expressions of interest.

### 3.2.4 Process for Registering for Partnership

The process for prospective Partners to register with UNHCR is undertaken through UNHCR’s Partner Portal (see [**Section 3.2.3**](#Sec3_2_3)). [**IPMS Guidance Note No. 6: UNHCR Partner Portal**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) provides step-by-step guidance on the registration process and use of the Partner Portal. Partner compliance with this Guidance Note is mandatory.

**Figure iv: Process for Registration[[51]](#footnote-51)**

1. **Application:** Prospective Partners should approach UNHCR through the Partner Portal at: <https://Partner.unhcr.org>. To apply, follow the ‘Registering as a Partner’ button, and follow a few simple steps through to the page for ‘Identifying the organisation and Creating an ID’.

At this stage, the following information needs to be submitted:

* Legal organizational name and authorized person
* Copy of statute or constitutional document
* Copy of legal registration with national authorities
* Two recommendation letters from reputable organizations. If recommendation letters are not available, the UNHCR Country Representative may request the registration of a prospective Partner

If there are problems accessing the Partner Portal, an application can also be made via email at: [ePartner@unhcr.org](mailto:ePartner@unhcr.org)

1. **Verification:** UNHCR’s Implementing Partner Management Service (IPMS) will verify the information provided and if the initial requirements are met, the prospective Partner will be granted further access to the Partner Portal to complete a ‘Partner Declaration’ form (refer to the **Resources box** at the end of [Section 3.2](#_3.2_Due_Diligence)).
2. **Declaration:** The Partner Declaration is used to determine whether the Partner is committed to UNHCR’s core values and its commitment to Persons of Concern. An organization must have answered ‘yes’ to all five statements to engage in a partnership with UNHCR (refer to [**Section 3.2.1**](#Sec3_2_1)).
3. **Full access:** Following a successful review, UNHCR will invite the prospective Partner to complete a detailed ‘Partner Profile’ on the Partner Portal and set up ‘Country profiles’ for each of its operations relevant to their partnership with UNHCR. Once completed, the Partner will be assigned a ‘Partner Code’ in MSRP[[52]](#footnote-52) permitting the Partner to participate in the Partner selection process.

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| **TIPS** | Read through **Guidance Note No. 6: UNHCR Partner Portal**in detail and gather all the required documentation before starting the registration process. |

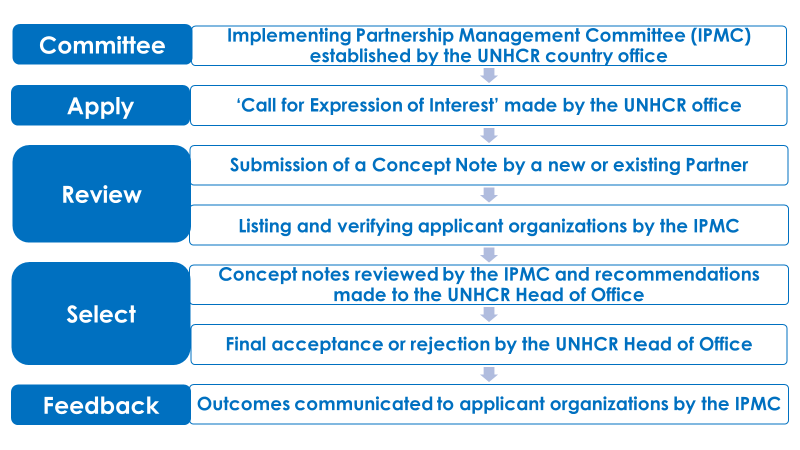
|  |  |
| --- | --- |
| **RESOURCES** | ***Global Processes Linked to Partnership***   * **The New York Declaration** [http://www.un.org/NewYorkDeclaration](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/71/1) * **Grand Bargain**   <https://IASC/hosting-grand-bargain>  [https://www.icvanetwork.org/Grand\_Bargain\_Explained](https://www.icvanetwork.org/system/files/versions/Grand_Bargain_Explained_ICVAbriefingpaper.pdf)   * ICVA Briefing Paper on **The New Way of Working**, Oct 2017   [https://www.icvanetwork.org/NWoW\_Briefing\_paper](https://www.icvanetwork.org/resources/new-way-working-examined-icva-briefing-paper)   * UNHCR **Guidance Note on Partnership in Advocacy for Protection**   [http://www.unhcr.org/guidance-note-Partnership-advocacy](http://www.unhcr.org/Partner%20s/Partner%20s/57348bc57/guidance-note-Partnership-advocacy-protection.html)   * **IASC Humanitarian Development Nexus Task Team**   [https://iasc/TT-Humanitariandevelopment-nexus](https://interagencystandingcommittee.org/iasc-task-team-strengthening-humanitariandevelopment-nexus-focus-protracted-contexts)  ***Partner Registration and Partner Portal***   * **IPMS Guidance Note No. 6: UNHCR Partner Portal** [https://partner.unhcr.org/Partner portal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) * IPMS Guidance Note No. 1: Selection and retention of Partners for Project Partnership Agreements, Refer to **Annex A - Partner Declaration**   [https://partner.unhcr.org/Partner portal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **UNHCR Partner Portal**   [https://partner.unhcr.org/Partner portal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **UNHCR Partner Portal User Guide**   [http://unhcrpk.org/Partner-Portal-User-Guide](http://unhcrpk.org/wp-content/uploads/2013/10/Partner-Portal-User-Guide.pdf) |

# 3.3 Partner Selection and Retention

### 3.3.1 Identifying Best Fit Partners

The [**IPMS Guidance Note No. 1: Selection and Retention of Partners for Project Partnership Agreements**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) outlines UNHCR’s policy on selecting and retaining its Partners. Recognizing that each Partner brings distinctive attributes and that UNHCR operates in a range of different environments, the **objective of the policy** is to ensure that UNHCR establishes partnerships with the most suitable organizations in order to provide quality protection, assistance and solutions for Persons of Concern.

**Figure x: Partner Selection and Retention Process at Country Level**

****

Compliance with the policy is **mandatory** where the value of the Partnership Agreement is more than USD50,000, and it applies to the following types of Partner:

* Non-Government Organizations (NGOs)
* Red Cross and Red Crescent Societies
* Other not-for-profit entities

The process for the selection outlined is not required when:

* The Partner is a United Nations agency
* The Partner is a governmental institution with a unique mandate that cannot be assumed by another organization

UNHCR offices are required to demonstrate due diligence and select and retain Partners in a manner which:

* Best addresses the protection and/or assistance requirements for Persons of Concern, while taking into account the operating context;
* Builds on partnership principles, complementarities and comparative advantages;
* Demonstrates transparency, objectivity, timeliness and accountability;
* Demonstrates sound stewardship of funding provided by donors.

UNHCR’s **process for selecting and retaining Partners** involves five main steps, set out in **Figure x above**. Each step is covered in the subsequent sections of this chapter and further guidance is provided in a [**Frequently Asked Questions**](http://www.unhcr.org/ngo-consultations/ngo-consultations-2015/IPMS-Annex-Partner-Selection-FAQ.pdf) document in support of the Guidance Note.

### 3.3.2 The Implementing Partnership Management Committee

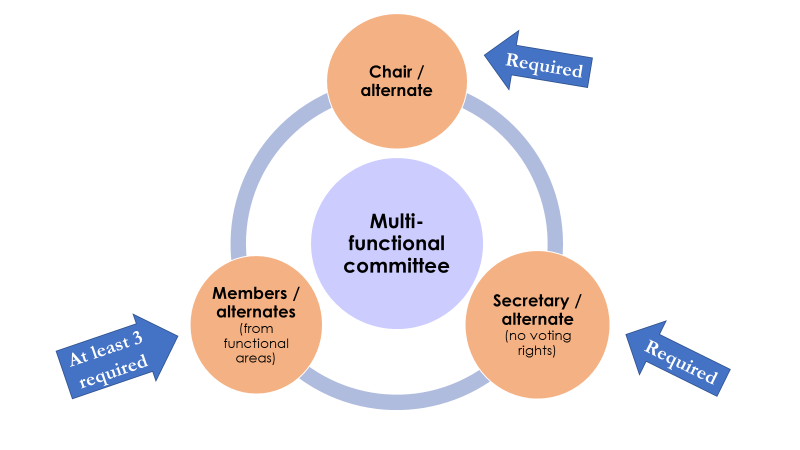
An Implementing Partnership Management Committee (IPMC) is established by a UNHCR Country or Regional Office with responsibility for making informed and objective recommendations to the Head of the UNHCR Country Office on the selection or retention of Partners for all Partnership Agreements.

Membership of the IPMC is limited to UNHCR staff, and all Committee documentation and deliberations are confidential to UNHCR. The IPMC can vary in size but should have a minimum of five members, as shown in **Figure xi.** Normally, the Head of Office appoints a Chairperson, Secretary, members (e.g. from programme, protection, finance, supply, community services, or technical sector) and alternates.

The role of the IPMC is to ensure that:

* Selection processes are followed in accordance with UNHCR policies, procedures and guidance notes.
* Work undertaken by the Secretary on behalf of the IPMC is conducted in a transparent, objective manner and in compliance with relevant UNHCR guidance.
* Criteria used to select the ‘Best-fit Partner(s) are aligned with functional and operational requirements.
* The processes and deliberations for decision making are conducted in an objective, fair and professional manner.
* Potential risks of working with specific Partners are highlighted in recommendations to UNHCR.
* Feedback to the Head of Office is prepared in case a Partner requests feedback on selection decisions.
* All processes and decisions are clearly documented and maintained on Agreement files.

**Figure xi: IPMC Composition**



The Chairperson and IPMC members vote on the selection and retention of Partners. The Secretary has no voting rights. Terms of Reference for the IPMC are set out in **Annex B** of Guidance Note 1: Selection and Retention of Partners (Refer to the **Resources box** at the end of Section 3.3).

### 3.3.3 Call for Partner Expression of Interest

**Call for Expression of Interest**

The next step in selecting and retaining Partners involves the relevant UNHCR Country Office announcing a ‘Call for Expression of Interest’ via the Partner Portal. This can be done at any time of year, but the proposed activities will always need to be completed by 31st Dec in line with UNHCR’s Operation management cycle (see [**Section 4.1.1**](#sec4_1_1)). The UNHCR Office may also use other appropriate and available media to communicate the information, such as internet, newspapers, flyers, meetings, radio, taking into account the local context, to reach out to as many potential Partners as possible.

The **purpose of the ‘Call for Expression of Interest’** is to broaden opportunities for existing and new Partners to express their interest in partnering with UNHCR to implement specific activities in a given location. Interested organizations are expected to contribute complementary resources to achieve the specified objectives (e.g. human resources, knowledge, funds, in-kind contributions, supplies, equipment).

The UNHCR Country Office will provide background information, including:

* project goals and specifications
* predefined and relevant selection criteria for Partner assessment
* deadlines for submission of interest
* date of decision and any other essential details.

The ‘Call for Expression of Interest’ is a **mandatory part** of the selection process. However, the format of the ‘Call’ is at the discretion of the relevant UNHCR Country Office. A sample is included in **Annex C** of the Guidance Note 1: Selection and Retention of Partners (refer to the **Resources box** at the end of Section 3.3).

A new or existing Partner can also submit a Concept Note at any time on their own initiative. If this is within the scope of UNHCR’s Operation Plan and the value is greater than USD50,000, the relevant UNHCR office will issue a ‘Call for Expression of Interest’ in relation to the suggested intervention, to ensure fair selection among all interested Partners (see [**Section 3.3.4**](#_3.3.4_Review_of) below for further guidance).

**Selection Criteria**

The selection criteria should be set out in the ‘Call for Expression of Interest’ so that prospective Partners are aware of the criteria that their Concept Note will be judged against. These criteria also form the basis on which the IPMC and UNHCR Head of Office assess and evaluate each applicant organization’s Concept Note. The IPMC select and/or adapt criteria for each specific situation. Examples of some of the more common criteria are outlined in **Table 18** below.

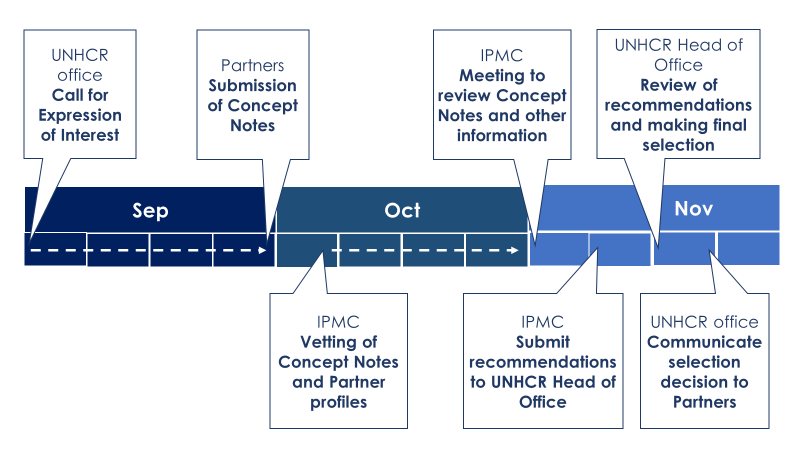
**Table 18: Examples of Selection Criteria**

|  |  |
| --- | --- |
| **Criteria** | **Description** |
| **Sector Expertise** | The specific skills, sector specialists, knowledge and human resources to undertake the required activities. |
| **Project Management** | Ability to deliver project objectives, accountability mechanisms and sound financial management, considering past performance and previous audit results. |
| **Local Experience, Presence** | Local knowledge, trust and engagement with Persons of Concern.  Local presence and ongoing activities in the area of operation.  Other factors that would facilitate local access, understanding and reduce administrative and security difficulties. Registration with the host government is not normally a pre-condition for selection but if required by the host government, it will be the Partner’s responsibility to secure the necessary permissions. |
| **Partner Contribution** | Cash or in-kind contribution of resources by the Partner to supplement UNHCR resources for the required activities. |
| **Security Considerations** | Evidence of policies, procedures and practices related to security risk management, and ability to operate in the security conditions associated with the operating area. |
| **Cost Effectiveness** | Level of proposed direct costs and administrative costs in relation to project deliverables. |
| **Experience Working with UNHCR** | Global and/or local partnerships including knowledge of UNHCR policies, practices and programmes, and the ability to work within UNHCR’s funding limitations. |
| **Partner Capacity in Procurement** | Functioning procurement unit in the area(s) of operation.  Previous procurement experience, value and ability to undertake large scale procurement.  Effective internal-controls and Pre-Qualification for Procurement (PQP) status (USD100,000 and above) – refer to [**Section 5.4.2**](#Sec5_4_2) for detailed guidance on Procurement. |

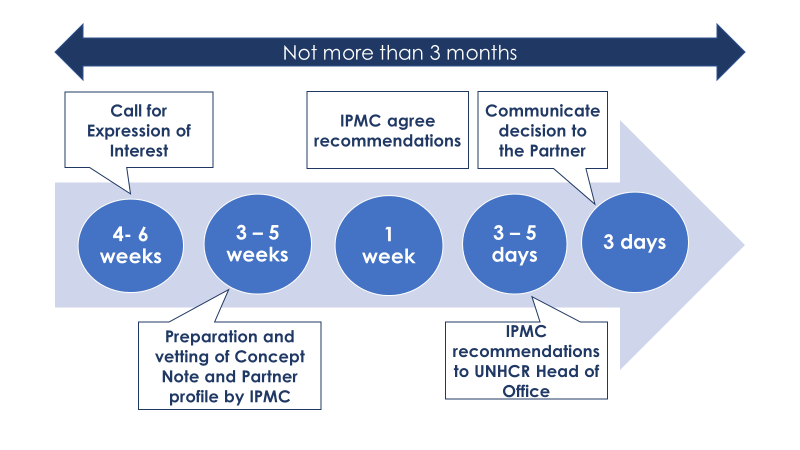
**Timeframe for Partner Selection**

UNHCR’s policy on the Selection and Retention of Partners stresses the importance of partnership selection and engagement as early as possible in the programming cycle. Ideally, this should take place in October once the UNHCR Office knows the outline of their **Operations Plan** and the **Operating Level** budget is set for the following year when implementation by the Partner will take place (refer to [**Section 2.1.4**](#_2.1.3_Global_Strategic)). Sufficient time is also needed to allow Partners to prepare for the outcome. **Figure xii** provides an indicative timeline for the key decision-making stages[[53]](#footnote-53), assuming a Call for Expression of Interest is launched at the start of September.

**Figure xii: Indicative Timeline for Selection and Retention of Partners**



**Figure xiii: Timeframe for the Partner Selection and Retention Process**



The period from issuing the Call for Expression of Interest to communicating the final selection decisions to Partners should not exceed **three months**, as illustrated in **Figure xiii**.

|  |  |
| --- | --- |
| **TIPS** | When submitting a Concept Note outside a UNHCR ‘Call for Expression of Interest’, **timing of the submission** should ideally be done in July / August to link in withUNHCR’s programming cycle. |

**Selection of Partners in An Emergency**

Guidance on the process for selecting and engaging Partners in an emergency is provided in the **UNHCR Special Measures for Management of Partnerships in Emergencies.**Full details can be found in the **Resources box** at the end of Section 3.3.

**Table 19** below provides an overview of the special provisions for selecting Partners in an emergency. The timeframe for Partner selection or retention may need to be compressed and UNHCR may conduct Partner selection in advance as part of contingency planning, to identify and prepare Partners on standby. Details of the special provisions for partnership agreements in emergencies are covered under [**Section 5.1.1**](#Sec5_1_1).

**Table 19 Special Provisions for Selection of Partners in An Emergency**

|  |  |  |
| --- | --- | --- |
| **Subject** | **Non-emergency situation** | **Emergency (L3)[[54]](#footnote-54)** |
| **Registration of New**  **Partners** | Registration and due diligence review through Partner Portal | Registration through Partner Portal is not required before signing Partnership Agreement (Letter of Mutual Intent / project Partnership Agreement / Small Scale Agreement) – refer to [**Section 5.1.1**](#Sec5_1_1) |
| **Acceleration of the**  **Selection Process** | Undertake selection process for the Partners. Ideally the process takes 2-3 months. (refer to Figure viii) | Expedite the selection process to complete it in 1-2 weeks.  Create a roster of selected Partners in advance as part of emergency preparedness. |
| **Engaging Partner in**  **Small Scale Project** | The ceiling of the threshold for discretionary undertaking of selection of Partners has been raised from USD50,000 to USD100,000 (as of 2017). | |
| **Waiver from Selection** | In case of urgency a waiver of the selection process may be requested by Field Operations. | Decentralization of the waiver request/approval process to the Field Operations, during the first 6 months of a Level 3 emergency. |

## 

### 3.3.4 Review of Partner Concept Notes

**Submitting a Concept Note**

To partner with UNHCR, new or existing Partners must submit a Concept Note as a **mandatory** requirement. This is done either in response to a Call for Expression of Interest by UNHCR, or to propose their own initiative which can be done at any time of the year. Concept Notes should be submitted through the Partner Portal.

Prospective Partners that are not yet registered with UNHCR will need to complete the registration process set out in [**Section 3.2.4**](#Sec3_2_4), prior to submitting a Concept Note.

The **purpose of the Concept Note** is to enable:

* a Partner to express interest and demonstrate its unique advantage and value added for undertaking the Partnership Agreement;
* UNHCR to better understand and select the Best-fit Partner for a specific project.

It is intended to allow the Partner to:

* Set out its objectives in undertaking a project or intervention;
* Briefly describe how it will achieve the desired outcomes;
* Demonstrate the unique advantage it brings to the partnership;
* Demonstrate how it will complement UNHCR’s capacity and resources.

It is important that the selected Partner participates in the design and detailed budgeting of the project in concluding the Partnership Agreement. Therefore, the Concept Note is not expected to include a full and well-defined description and budget for a project.

**Annex D** of Guidance Note 1: Selection and Retention of Partnersprovides an outline of the information to be included in a Concept Note (refer to the **Resources box** at the end of Section 3.3). A different template format may be used by a UNHCR Country Office. However, all Partners must be given the same format and submission guidelines to ensure consistency and objectivity.

**Review of Applications by the IPMC**

All submissions from prospective and existing Partners are compiled by the IPMC Secretary and checked to verify:

* Partner compatibility with the eligibility criteria for partnering with UNHCR (refer to [**Section 3.2.1**](#Sec3_2_1) for details)
* that the applicant organization is not on any of the sanctions lists established and maintained by the United Nations Security Council.

Once these checks are completed, the documents are submitted to members of IPMC for detailed review and assessment.

### 3.3.5 Selection of Partners for a Project Partnership Agreement

**IPMC Review and Recommendations**

The IPMC is required to:

* Verify that the IPMC Secretary adhered to the procedures
* Examine and evaluate the Concept Notes and other information submitted by all prospective Partners, the results of technical and other assessments, and any other related documents compiled by the IPMC Secretary
* Analyze and review the Concept Notes, considering the selection criteria and project specifications outlined in the ‘Call for Expression of Interest’.

**Annex E** of Guidance Note 1 provides examples of scoring scales and evaluation matrices that can be used during this process, but it is at the discretion of the IPMC to decide the process to be used. The IPMC’s deliberations and recommendation(s) along with all justifications must be documented in a consistent format by the Secretary. The recommendations of the IPMC are then presented to the UNHCR Head of Office within 3-5 working days of the IPMC meeting.

**Final Decision on Partner Selection**

UNHCR’s Head of Office may endorse or reject the recommendation of the IPMC. If the Head of Office disagrees with the recommendation, s/he must fully document the rationale for that rejection.

If the Head of Office agrees with the recommendation, s/he will grant the Partner an Agreement which covers engagement in project implementation with UNHCR for two consecutive years of the programme cycle. Specific details of the proposed intervention will be discussed prior to signing the Partnership Agreement (full details of modalities for signing a Partnership Agreement can be found in[**Section 5.5.1**](#Sec5_1_1)).

If there is a substantive change to the project from one programme cycle to the next, a complete new selection process (Call for Expression of Interest) must be undertaken by the UNHCR Office. Examples include: substantial change in the needs of a population group (i.e. repatriation vs. asylum seeking); changes in the operation (i.e. from emergency to maintenance), change of sector (i.e. from health to education); or substantial variation in project size and budget (i.e. increase of the project budget by over 40- 50%).

If there are no substantial changes to the project activity that a Partner has already been selected for (in the previous year), the UNHCR Office will proceed with retaining and signing a new Partnership Agreement for the subsequent year (refer to [**Section 3.3.7**](#Sec3_3_7) for details of the process for Partner retention).

If an agreement cannot be reached on the selection/retention of a Partner, UNHCR’s Head of Office may select the next Best-fit Partner or ask for re-advertisement of the ‘Call for Expression of Interest’.

### 3.3.6 Feedback on Selection Decisions

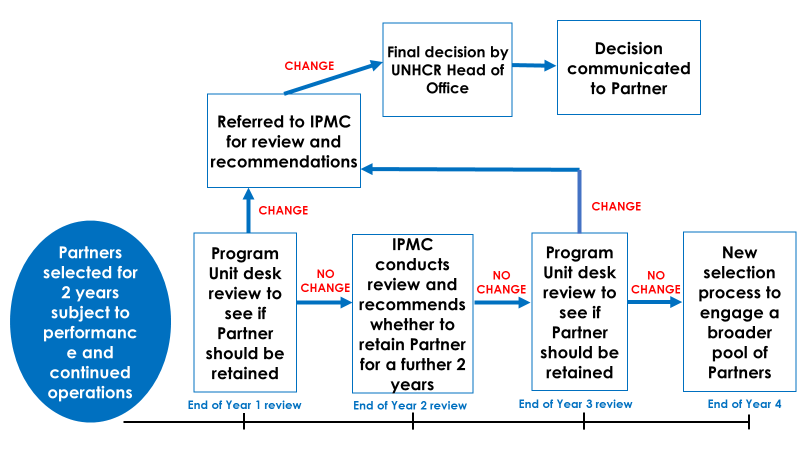
Once the Partner selections have been made, the relevant UNHCR Country Office must inform each applicant organization of the outcome. This is a **mandatory** requirement and should be done in writing, within three working days of the decision date. However, it is at the discretion of the UNHCR Head of Office to decide the level of detail provided in the feedback. Sample wording for the feedback to be provided is included in **Annex G** of Guidance Note 1: Selection and Retention of Partners*.*

A Partner can request clarification on the decision, and getting sufficient feedback is important for building effective partnerships in the future. If clarifications are requested, the UNHCR Head of Office must provide a response. However, details of why a Partner has notbeenselected may not necessarily be given. Applicant organizations that are not satisfied with the feedback they receive can escalate their concerns to the Implementing Partnership Management Service at UNHCR Headquarters for further consideration.

### 3.3.7 Retention of Partners

While the selection of a Partner is normally for two consecutive years of the UNHCR programme cycle (as outlined in [**Section 3.3.5**](#Sec3_3_5)), UNHCR’s Programme Unit (or other designated unit) will conduct a review to verify that the operation requires retention, and that the Partner performance is adequate, before entering a Partnership Agreement for the second year.

**Figure xiv: Process for Retention of Partners**



If the desk review indicates that the Partner should not be retained, this is referred to the IPMC. The IPMC will then review the findings and make a final recommendation to the UNHCR Head of Office, who makes the final decision. This decision must then be communicated in writing to the Partner. If the desk review concludes that the Partner should be retained, the UNHCR Head of Office can proceed with signing a Partnership Agreement for the second year.

The Partnership Agreement may be extended for up to four years depending on Partner performance, continuity of operations and availability of funding. After 4 years, the Partner will need to re-apply for selection by responding to a new Call for Expression of Interest.

The overall time frame for the retention process, as illustrated in **Figure xiv** above, comprises of a 4-year cycle with:

* Desk review after Year 1
* IPMC review after Year 2
* Further desk review after Year 3
* Repeat of the complete selection process after Year 4

**Annex H** of Guidance Note 1: Selection and Retention of Partners contains a template for Partner retention.

|  |  |
| --- | --- |
| **RESOURCES** | ***Partner Selection and Retention***   * **IPMS Guidance Note No. 1: Selection and retention of Partners for Project Partnership Agreements, including Annexes A-L, July 2013**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * Selection and Retention of Partners for Project Partnership Agreements - **Frequently Asked Questions, Aug 2014**   [http://www.unhcr.org/Annex-Partner-Selection-FAQ.pdf](http://www.unhcr.org/ngo-consultations/ngo-consultations-2015/IPMS-Annex-Partner-Selection-FAQ.pdf)   * **Special Measures for the Management of Partnerships in Emergencies, July 2017**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

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| Chapter 4: Assessing and Planning Operations at Country Level |
| Chapter 4 introduces UNHCR’s Operations Management cycle which is the mechanism used for assessing, planning, implementing, monitoring and reporting on its operations at country level.  Guidance is included on the assessment, planning and budgeting processes with specific attention to the role and contributions made by Partners at each stage. The final section introduces the Partnership Agreement as the mechanism for implementing activities in partnership. The details of which are covered in Chapter 5. |

# 4.1 Operating at Country Level

Most humanitarian organizations have some form of internal project management process. While conceptually this process generally operates in a ‘cycle’, in reality some stages in the process may happen simultaneously (such as implementation and monitoring), and other stages are iterative due to complex and changing nature of many humanitarian situations (e.g. assessment and review).

In addition, the multitude of actors in the humanitarian sector and complexity of operations means that organizations responding to humanitarian crisis need to be actively engaged in wider inter-agency and sector programming, as well as their own operations, e.g. through the Refugee Coordination Model in refugee settings (refer to [**Section 2.2.2**](#Sec2_2_2)) or Humanitarian Programme Cycle in IDP situations (refer to [**Section 2.2.3**](#Sec2_2_3)).

### 4.1.1 UNHCR’s Operation Management Cycle

The Operations Management Cycle (OMC) (refer to **Figure xv** below) is the process by which a UNHCR office organizes its programming for refugees and other Persons of Concern, including determining which activities to undertake directly and which to undertake in partnership. Although UNHCR’s engagement with Persons of Concern lasts for several years, the cycle is aligned to UNHCR’s global planning, budgeting and reporting processes (see [**Section 2.1**](#_2.1_Structure_and)) and takes place on an annual basis from 1 January to 31 December.

Consequently, UNHCR and its Partners may be involved in undertaking activities linked to three consecutive planning cycles at the same time. For example, in February a field operation would normally be reporting on the past year’s results, implementing current-year activities and planning strategies for the next year.

The cycle is dynamic reflecting the changing nature of the environments in which UNHCR and its Partners operate. In addition, building on Partner feedback from annual and individual consultations there is significant attention to the importance of participation by Persons of Concern, ideally through self-representation in as many parts of an operation as possible, including but not limited to assessment, planning and monitoring.

**Figure xv: Operations Management Cycle**



The rest of this chapter provides guidance for Partners on the different stages of the cycle and how these relate to the Partner’s role in working with or alongside UNHCR.

In emergency situations where it is essential to respond rapidly, the phases of the operations management cycle tend to be initiated and undertaken more quickly. They emanate from contingency planning and preparedness measures that are already in place, allowing for rapid review and decision making.

|  |  |
| --- | --- |
| **TIPS** | **Operating in Emergencies**  To respond quickly, UNHCR’s Partners can:   * Draw on contingency plans and emergency preparedness actions during all stages of the operations or project cycle. * Gather assessment data that is critical for programming and reasonably easy to obtain in order to expedite activities quickly. * Start preparing an initial budget and sources for other resources as early as possible. * Keep the results chain simple (within the Partnership Agreement) with a limited number of objectives, outputs and indicators (refer to [**Section 2.1.3**](#_2.1.3_Global_Strategic)). * Ensure there is sufficient capacity (trained personnel, knowledge and skills) to cover all phases of the operation and clearly allocate and agree roles and responsibilities with UNHCR and other stakeholders. * Undertake frequent reviews to validate initial assessments and response to changes in the situation. |

|  |  |
| --- | --- |
| **RESOURCES** | * **UNHCR Operations Management Cycle in an emergency**   [https://emergency.unhcr.org/operations-management-cycle](https://emergency.unhcr.org/entry/117648/unhcr-operations-management-cycle#2,1516621511798) |

# 4.2 Needs Assessment

The purpose of needs assessment is to help those responding to a crisis to better understand a situation and the conditions faced by the affected populations. Where possible, assessments should be conducted with the active involvement of Persons of Concern and be an ongoing activity that feeds into regular adjustments to program design and resource allocation.

|  |  |
| --- | --- |
| **TIPS** | **Needs Assessments**  Needs assessments seek to do some or all of the following:   * Identify the different protection needs and risks of diverse women, men, girls, and boys of concern, and establish priorities. * Estimate the severity of conditions faced and establish priorities. * Create a common understanding of the differences in needs and reflect the diversity of conditions faced by relevant groups. * Identify existing capacities and resources of government, Partners, other agencies and Persons of Concern, including positive and negative coping mechanisms. * Engage with government-led coordination mechanisms and reflect and build on national development plans. * Inform emergency or longer-term program responses and address gaps between an affected population’s current status and the desired state. * Support operational and strategic decision-making, including targeting. * Avoid causing harm with humanitarian interventions. * Inform future assessment design based on identified information gaps. |

In addition to assessing immediate needs, the needs assessment process should build on national priorities and coordination mechanisms. In particular giving consideration to the [**Humanitarian-Development nexus**](#IASC_TT_HDN) and long term solutions for Persons of Concern. At the heart of this approach is the idea that refugees should be included in communities from the very beginning. When refugees gain access to education and labor markets, they can build their skills and become self-reliant, contributing to local economies and fueling the development of the communities hosting them. Allowing refugees to benefit from national services and integrating them into national development plans is essential for both refugees and the communities hosting them and is consistent with the pledge to “leave no one behind” in the 2030 Agenda for Sustainable Development.[[55]](#footnote-55)

Comprehensive guidance on how UNHCR approaches assessments in different emergency contexts can be found in UNHCR’s [**Needs Assessment Handbook**](http://needsassessment.unhcr.org/media/downloads/2017-05_NAH_BOOK_lowres_2017-08-14_part1.pdf) in the **Resources box** at the end of this section. This section draws out some of the key points from that guidance which are of relevance for Partners in undertaking their own assessments or participating in joint assessments with UNHCR and other humanitarian actors, including government.

### 4.2.1 Depth and Timing of Assessments

The timing, type and depth of an assessment depends on the scale, nature and complexity of the humanitarian situation including considerations such as the security and access to the affected population(s**).** Refer to **Table 20** for more information. Different types (depths) of assessment are commonly used at different stages of a humanitarian crisis or operations/program cycle, with each type designed to address specific information and decision-making requirements.

**Table 20: Summary of Assessment Types[[56]](#footnote-56)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Initial Assessment** | **Rapid Assessment** | **In Depth Assessment** |
| **Type of Decision to Inform** | * Initial response decisions * Design of rapid assessment * Emergency funding appeals. | * Initial response planning * Focus for in-depth assessments * Recommendations for strategic planning | * Planning of relief, early recovery, and durable solutions * Adjustments to ongoing response * Operational requirements |
| **Time Frame** | 3-5 days | 2-4 weeks | 1-4 months |
| **Design** | * Secondary data analysis only. * A few field visits, if feasible. * Data gathered at provincial, district or community level | * Secondary /primary data analysis * Data gathered at community level * Qualitative research methods | * Secondary/primary data analysis * Data gathered at community, household, or individual level * Quantitative and qualitative research methods |
| **Resources Required** | Very limited resources | Limited resources | Can involve significant resources |

### 4.2.2 Assessment Modalities

**Coordinated assessments** help to ensure complementarity in data coverage and avoid duplication of effort. The [**IASC Operational Guidance for Coordinated Assessments in Humanitarian Crises**](https://interagencystandingcommittee.org/system/files/legacy_files/ops_guidance_finalversion2012.pdf) are followed by UNHCR and other humanitarian agencies to facilitate effective coordination, produce comparable data, and promote a shared vision of needs and situations. Coordinated assessments range from formalized joint assessments to a harmonized approach to single-agency assessments – refer to **Table 21** below.

**Table 21: Coordinated Assessment Modalities**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Joint Needs Assessment** | **Harmonised Needs Assessment** | |
| **Characteristics** | Single assessment form, single methodology, single report | Multiple assessments with common indicators, Standardized approach, joint analysis |
| **Definition** | A single process for data collection, processing, and analysis among several agencies. | Separate data collection, processing, and analysis, adhering to agreed standards, e.g. common indicators, CODs, geographical standards |
| **Output** | A single report with agreed interpretation and analysis of needs by multiple agencies | Multiple assessments, reports or databases that can be used for a shared or joint analysis. |

In contrast,assessments that are carried out in isolation run the risk of duplication, lack of interoperability and potential harm to populations of concern, who may be asked about their needs by multiple actors, including potentially about sensitive or traumatic issues.

Part 2 of [**UNHCR’s Needs Assessment Handbook**](http://needsassessment.unhcr.org/media/downloads/2017-05_NAH_BOOK_lowres_2017-08-14_part1.pdf) provides step by step guidance on the process and tools that can be used in assessing the needs and capacities of Persons of Concern, across a variety of different situations. The [**Guidance for Profiling Urban Displacement Situations**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) gives practical tips on developing methodologies that are appropriate to the added complexity of urban contexts and the [**Alternative to Camps policy**](http://www.unhcr.org/5422b8f09.html)provides guidance on settlement options that reduce the risk of dependency (see Chapter 7 for further guidance and the **Resources box** at the end of this section for links to both).

**Assessment in Refugee Settings**

As lead agency in refugee emergencies, UNHCR is responsible for coordinating needs assessments, in collaboration with a government counterpart where feasible. The assessment activities themselves may be shared between humanitarian partners.

UNHCR commits to ensuring that the necessary tools, skills, and leadership are in place to facilitate coordinated needs assessments. Several assessment methodologies can be used depending on the timing and nature of the emergency and operating context. The findings are used to inform UNHCR and inter-agency response planning, including [**Refugee Response Plans**](#sec4_3_1). Refer to the summary and links to further guidance in **Table 22**.

**Table 22: Main Approaches to Assessment for Refugee Situations**

|  |  |  |
| --- | --- | --- |
| **Joint Assessment Mission** | **Needs Assessment for Refugee Emergencies (NARE)** | **Rapid Protection Assessment** |
| A joint UNHCR/WFP mission to assess the food security and nutrition situation, needs, risks, and vulnerabilities of refugees, returnees and host populations.  [https://www.wfp.org/joint-assessment-missions](https://www.wfp.org/content/unhcrwfp-joint-assessment-missions-jam-guidelines) | An initial multi-sectoral needs assessment checklist for joint rapid assessments in refugee emergencies.  <https://emergency.unhcr.org/entry/50209> | A common protection assessment methodology to help protection staff, agencies and clusters identify key protection concerns and information gaps following an emergency. |

**Assessment in Mixed Settings**

In situations of displacement that include both refugees and IDPs, either in the same geographic area or in separate areas within a country, UNHCR will coordinate needs assessments relevant to the refugee response and lead inter-agency assessments relevant to IDPs in the clusters that it leads (refer to [**Section 2.2.1**](#Sec2_2_1)).

**Assessment in IDP Settings**

In an IDP related emergency, the Humanitarian (or Resident) Coordinator oversees the implementation of needs assessments as a critical stage in the **Humanitarian Programme Cycle** (refer to [**Section 2.2.3**](#Sec2_2_3)). Where feasible, this is done through supporting the government in leading a coordinated assessment process.

There are several assessment methodologies that may be used, including a Multi-Cluster/Sector Initial Rapid Assessment (MIRA) at the start of an emergency, or an assessment to determine the overview of humanitarian needs during more protracted crises. **Table 23** below provides further details of these approaches. Findings from the assessment and subsequent analysis are used to inform the development of a **Humanitarian Response Plan (HRP)**, cluster strategies, and Flash Appeals (see [**Section 4.3.1**](#sec4_3_1)).

**Table 23: Approaches to Multi-Cluster/Sector Assessment for IDP Situations**

|  |  |
| --- | --- |
| **Multi Cluster/Sector Initial Rapid Needs Assessment (MIRA)** | **Humanitarian Needs Overview (HNO)** |
| Carried out during the first weeks following a sudden-onset crisis. Covers multiple sectors therefore information gathered tends to be broad rather than deep.  Should be led by the government, supported by the Humanitarian/Resident Coordinator.  Aims to provide a comprehensive overview of the needs of affected populations taking account of age, gender and diversity, and help to inform strategic priorities.  Helps facilitate a common understanding of the situation and its likely evolution, across all participating agencies.  [http://www.globalprotectioncluster.org/MIRA-2015](http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/IASC%20Guidance%20and%20Tools/transformative_agenda_protocols/MIRA-2015.pdf) | Aims to promote a shared understanding of the impact and evolution of a crisis within the HCT and informs strategic response planning.  The HNO document describes the impact of the crisis, provides strong analysis of protection needs drawing on inputs from the affected population, and provides an estimate of which groups have been affected, where. It also analyses their situation; identifies their diverse perspectives, risks, capacities, and vulnerabilities; and gives an overview of the operational environment.  [https://reliefweb.int/report/HNO](https://reliefweb.int/report/syrian-arab-republic/2018-humanitarian-needs-overview-syrian-arab-republic-enar) |

**Single Sector Assessments**

Humanitarian organizations are expected to engage in undertaking, coordinating or participating in single sector or cluster assessments. These allow for more in-depth investigation of key issues, risks, and capacities at sector or cluster level. Guidance on UNHCR’s approach to assessment in those sectors within which it has an active involvement (cash programming, shelter, health, nutrition, WASH, food security and people with specific needs) can be found in the UNHCR Emergency Handbook at the following link:

[https://emergency.unhcr.org/assessments](https://emergency.unhcr.org/topic/14426/assessments#2,1516792540834)

As cluster members, UNHCR and its Partners also have responsibilities related to assessment, in their capacity as operational agencies. They should share information on their own assessments, as well as sharing findings from monitoring, tracking, and reporting.

### 4.2.3 UNHCR’s Comprehensive Needs Assessment (CNA) Process

|  |  |
| --- | --- |
| **DEFINITIONS** | **Comprehensive Needs Assessment:** the annual exercise that takes place to identify the needs of Persons of Concern in each UNHCR operation.  It consolidates information on the risks, protection gaps and capacities of Persons of Concern gained from assessments and regular monitoring and reporting, carried out through the year. This allows UNHCR to design appropriate responses, prioritize available funding and highlight the consequences, if the required funding is not available.  The **Global Needs Assessment** aggregates findings from Comprehensive Needs Assessments in each UNHCR operation and provides a comprehensive global picture of the humanitarian needs of Persons of Concern to UNHCR. |

Each year UNHCR conducts a [**Comprehensive Needs Assessment**](#CNA)process in each of its operations to determine the total needs that UNHCR could realistically meet, either directly or in collaboration with its Partners, subject to available funding. The Comprehensive Needs Assessment is normally conducted during the period January-March and forms the basis for the following year’s Operations Plan (see [**Sections 2.1**](#_2.1_Structure_and) and [**4.3**](#sec4_3_3)**.3**). In a multi-year planning situation, the assessment findings will inform the multi-year strategy. Any major changes found in the assessment results relative to previous years, will trigger revision of the multi-year strategy.

The Comprehensive Needs Assessment process depends on extensive consultation with Persons of Concern, Partners and other stakeholders to be effective. It also draws on data from ongoing monitoring and reporting of UNHCR and Partner activities, other assessments and other secondary sources. This exercise provides an important opportunity for Partners to contribute to UNHCR’s planning process and build up a comprehensive understanding of the needs and priorities of the affected population.

|  |  |
| --- | --- |
| **RESOURCES** | ***UNHCR Assessment Resources***   * **UNHCR Needs Assessment handbook**   [http://needsassessment.unhcr.org/](http://needsassessment.unhcr.org/media/downloads/2017-05_NAH_BOOK_lowres_2017-08-14_part1.pdf)  UNHCR Needs Assessment E-learning modules are also available on Learn and Connect   * **UNHCR Emergency assessments and tools**   [https://emergency.unhcr.org/assessments](https://emergency.unhcr.org/topic/14426/assessments#b,1516621511798)   * **UNHCR Tool for Participatory Assessment in Operations**   [http://www.unhcr.org/participatory-assessment-operations](http://www.unhcr.org/uk/publications/legal/450e963f2/unhcr-tool-participatory-assessment-operations.html)  ***Humanitarian Assessment Resources***   * **IASC Operational Guidance on Coordinated Assessments in Humanitarian Crises,** 2012   [https://interagencystandingcommittee.org/Coordinated\_assessments](https://interagencystandingcommittee.org/system/files/legacy_files/ops_guidance_finalversion2012.pdf)   * **Humanitarian Needs Overview**   [https://reliefweb.int/report/HNO](https://reliefweb.int/report/syrian-arab-republic/2018-humanitarian-needs-overview-syrian-arab-republic-enar)   * **Assessment Capacities Project** (ACAPS)   <https://www.acaps.org/>   * **Guidance for Profiling Urban Displacement Situations,** JIPS,June 2014.   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **UNHCR Policy on alternatives to camps, 2014**   <http://www.unhcr.org/5422b8f09.html>   * **Multi cluster/sector Initial Rapid Needs Assessment (MIRA)**   <http://www.globalprotectioncluster.org/MIRA-2015>   * **REACH**: tools and products to inform assessments and planning   <http://www.reach-initiative.org/tag/needs-assessment> |

# 4.3 Planning and Budgeting

Planning is the process by which findings from assessments and ongoing monitoring and reporting are translated into the design of a response to the needs and vulnerabilities of Persons of Concern.

### 4.3.1 Inter-agency Planning

The humanitarian response to large scale refugee, IDP or mixed emergency situations is guided by inter-agency response plans. These aim to build on existing national and international preparedness measures and contingency plans and draw on evidence-based findings from the coordinated assessments described in the previous section.

**Planning in Refugee Settings**

Humanitarian organizations operating in refugee settings should be aware of and contribute to achievement of the priorities set out in the relevant [**Refugee Response Plan**](#RRR) **(RRP)** through linking their own projects and proposals to these priorities and areas of activity. This expectation reflects the coordination requirements of the Refugee Coordination Model.

The development of a collective Refugee Response Plan aims to support government leadership and coordination, through mobilization of international support and funding. Where more than one country is involved in hosting refugees, a regional Refugee Response Plan may be prepared incorporating the individual country-level inter-agency response plans.

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| **DEFINITIONS** | **Refugee Response Plan (RRP) -** is acomprehensive inter-agency plan for responding to refugee emergencies. It provides the footprint for leadership and coordination of a refugee response and builds on national preparedness measures and contingency plans. The Refugee Response Plan describes the needs for protection, assistance and solutions of refugees and other Persons of Concern, and sets out the priorities, actions and resources required to address them. |

A Refugee Response Plan is prepared in two stages:

1. An **Initial Refugee Response Plan** is developed within two weeks to guide immediate priority interventions over a timeframe of 3-6 months depending on the context. An on-line inter-agency Refugee Response Plan portal (<http://www.data.unhcr.org/>) is also be established.
2. After 2-3 months (or later depending on the timeframe), a **Consolidated Operational Refugee Response Plan** is developed which sets out a detailed strategy and implementation plan for all humanitarian organizations, including UNHCR’s Partners that are involved in the response.

**Planning in IDP Settings**

Humanitarian organizations operating in IDP settings should be aware of and contribute to achieving the agreed inter-agency sector priorities and standards set out in all relevant [**Humanitarian** **Response Plan**](#HRP)**s** through linking their own projects and proposals to these priorities and areas of activity. This process is directed by the Humanitarian Country Team and guidance in the Humanitarian Programme Cycle.

|  |  |
| --- | --- |
| **DEFINITIONS** | **Humanitarian Response Plan (HRP) -** is required for any humanitarian crisis requiring the support of more than one agency. The Humanitarian Response Planis prepared by the Humanitarian Coordinator together with the HCT, based on findings from a joint assessment (such as a [**Multi cluster/sector Initial Rapid Needs Assessment**](http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/IASC%20Guidance%20and%20Tools/transformative_agenda_protocols/MIRA-2015.pdf)) which are summarized in the [**Humanitarian Needs Overview**](https://reliefweb.int/report/syrian-arab-republic/2018-humanitarian-needs-overview-syrian-arab-republic-enar). The Humanitarian Response Plansets the direction of the response and provides a framework for planning and designing humanitarian actions and programs, coordination, and monitoring outcomes and results. |

Humanitarian Response Plans are developed in two stages:

1. A **Preliminary Response Plan** is developed 3-5 days after onset of the emergency. This sets out the immediate priorities of the response. If an up-to-date contingency plan exists, it will provide the foundation for the Preliminary Response Plan.
2. 30 days after the Preliminary Response Plan, a more detailed **Humanitarian Response Plan** is completed. This sets out the direction of the response and provides a specific framework for humanitarian actions and programs, coordination, and monitoring outcomes and results.

UNHCR and its Partners should demonstrate similar engagement and alignment with response plans for any specific sector and/or cluster in which they are planning to implement activities.

### 4.3.2 UNHCR’s Planning Process

UNHCR’s operational planning runs concurrently at field and HQ levels from January to December. The main planning exercise takes place in field operations and HQ in February – March, resulting in a series of [**Operations Plans**](#OP)that form the basis of the global plan submitted to the ExCom for approval, in October. Over the period October - December, detailed planning and budgeting then takes place.

UNHCR operations are planning constantly throughout the year as new developments unfold, monitoring and implementation reveals that certain planning assumptions were incorrect and resource availability changes.

**Principles Guiding UNHCR Programming**

The planning and design of UNHCR programs is underlined by several core principles[[57]](#footnote-57) summarized in **Table 24**. These are relevant for Partners in contributing to UNHCR’s operational planning process and in developing their own proposals.

**Table 24: Guiding Principles for Designing UNHCR Programs**

|  |  |
| --- | --- |
| **Provide Protection** | - be guided by UNHCR’s mandate as a protection agency. |
| **Strengthen Capacity** | - support host governments and build on existing national and local capacities and systems (e.g. education and health systems). |
| **Facilitate Participation** | - engage Persons of Concern in meaningful ways at all stages of the Operations Management Cycle, while not putting people at risk of harm and taking account of age, gender and diversity needs. |
| **Promote Partnership** | - work through Partners with shared values and objectives for collaboration and in a way that promotes synergy and value for money. Seek opportunities to work with and develop the capacity of national Partners that have local knowledge and access to Persons of Concern. |
| **Use Local Skills & Resources** | - draw on local capacities, particularly among Persons of Concern to facilitate an active role in influencing design, implementation and decision making, promote dignity and livelihood opportunities and contribute to more efficient and sustainable use of resources. |
| **Focus on Solutions** | –focus on ways to develop the self-reliance of Persons of Concern meet their own basic needs. |
| **Enable Integration** | - build links between host communities and Persons of Concern and strengthen local capacity to integrate and promote peaceful co-existence and mitigate the risks of conflict or harm. |
| **Adopt Clear Targeting Criteria** | - design and deliver programs based on clear targeting criteria. For example, protection vulnerabilities, socio-economic factors, geographical location or the presence and capacity of other actors, to focus on those most in need among Persons of Concern. |

Outcomes from annual consultations between UNHCR and its NGO Partners have reiterated the importance of an open planning process which engages a ‘whole-of-society’ pool of stakeholders to achieve maximum coordination and delivery of effective protection, assistance and solutions for Persons of Concern. The process should contribute to establishing a shared vision and understanding of UNHCR’s operations and determine which actions will be undertaken by UNHCR directly, and which in collaboration with its Partners.

**Planning Timeline**

Instructions for the planning exercise are issued annually in December as part of the consolidated reporting, implementation and planning instructions. In February, the High Commissioner then communicates the [**Indicative Operating Level budget**](#OL) for the following year, based on projected income available. Refer to [**Sections 2.1.3**](#_2.1.3_Global_Strategic) and [**2.14**](#_2.1.4_UNHCR’s_Funding) for detailed guidance on the overall process and timeline.

Operations Plans are then developed by each UNHCR office in collaboration with their Partners, government and Persons of Concern, and submitted for review in late March. In October, the final Operating Levels are agreed and instructions for the **detailed planning and budgeting** are issued.This detailed process takes placeover the period October - December and includes identification of specific implementation modalities.

**Implementation of the Operations Plans** commences from January, although individual projects may commence at any time during the year depending on the situation and needs.

The overall timeline is broadly aligned with UNHCR’s process for selecting program Partners (refer to details in [**Section 3.3**](#_3.3_Partner_Selection)).

**Figure xvi: Steps in Planning and Selection of Implementation Modalities[[58]](#footnote-58)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Feb** | **Feb-Mar** | **Mar** | **Apr-May** | **Oct** | **Oct-Dec** | **Jan** |
| Indicative Operating Level | Design  Ops Plan | Submit Ops Plan | UNHCR Annual Program Review | UNHCR confirm Operating Levels | Detailed planning and Partner selection\* | Implement programs |

\* Partner selection is one of the implementation modalities that may be chosen by UNHCR for implementing their Operations Plans. Projects may also be implemented directly by UNHCR.

### 4.3.3 The Operations Plan

The Operations Plan (also known as a Country Operations Plan) represents UNHCR’s plan of action for the coming year. It contains the following elements:

* **Population of Concern** – this defines the population that UNHCR is seeking to support. Population planning figures need to be agreed with government and other regional UNHCR offices to facilitate a consistent approach to planning. The population of concern is broken down into [**Population Planning Groups**](#PPG) **(PPG)** which are considered to be homogenous for use in planning and budgeting purposes (refer to [**Sections 2.1.2**](#Sec2_1_2) and [**2.1.4**](#_2.1.4_UNHCR’s_Funding) for further guidance).
* **Protection and Solutions Strategy** - This outlines a vision of what UNHCR expects to achieve, including well defined priorities, concrete targets, and how it proposes to achieve these objectives. The strategy should be developed with input from Partners, government, Persons of Concern and other stakeholders, and particularly those with a good understanding of the operational context.
* **Results Chain** - Each Population Planning Group in the Operations Plan requires an individual results chain consisting of at least one goal, at least one rights group, various objectives with impact indicators and various outputs with performance indicators. This is illustrated in [**Section 2.1.2**](#Sec2_1_2).
* **Office Structure and Staffing** – this summarizes the staffing and office structure needed to achieve the objectives and deliver the targets in the Operations Plan.
* **Coordination and Partnership Strategy** – this outlines UNHCR’s involvement in different coordination mechanisms in country and set out its strategy for coordination with its Partners, including the government.
* **Comprehensive and Prioritized Budgets** – refer to [**Sections 2.1.4**](#_2.1.4_UNHCR’s_Funding) **and** [**4.3.4**](#sec4_3_4)**.**

**Changes to Operations Plans**

Due to the dynamic nature of refugee and other emergencies, Operations Plans often need to be updated to reflect changes in the operating context. This is particularly so as plans are normally developed a full nine months prior to implementation. Changes that would necessitate updating of an Operations Plan include a sudden influx of refugees, new opportunities for local integration, unexpected improvement in the country of origin enabling large scale returns or funding constraints that necessitate reprioritization of activities.

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| **TIPS** | **Internal Prioritization in Planning Operations**  UNHCR has an internal process for prioritizing the planned activities in its annual Operations Plan. These may be useful for Partners to consider in developing their own proposals. They may include:   * Links to UNHCR’s global strategic priorities. * Links to other global and regional priorities relevant to the operation e.g. eradicating statelessness by 2024. * Consistency with the operation’s Protection and Solutions strategy. * The need to sacrifice some planned activities in order to prioritize others that are considered more critical to implementing the protections and solutions strategy. * The ability to plan and budget for prioritized activities for the full term (12 months) of the Operations Plan without relying on the possibility of further funding from elsewhere. * Giving priority to activities that are already earmarked for donor funding. * Giving priority to activities that can be readily achieved within the constraints of available resources, capacity and the operating context. * Looking at the budgetary requirements across administration, operations and staffing elements holistically, rather than prioritizing one over another. |

### 

### 4.3.4 Developing an Operating Budget

As part of the process for developing an Operations Plans in February – March, UNHCR and its Partners determine and specify the comprehensive budget requirements for each output in the [**Operations Plan**](#sec4_3_2). The Operations Plan budget reflects the total resources required to meet all the identified needs. As needs almost always exceed the resources available, each UNHCR office also builds up an **Operating Level Budget** based on the prioritized activities set out in the Operations Plan.

The Operations Plan is therefore broken down into two elements:

* activities and budgets that fall **within the operating level**
* activities and budgets that are **above the operating level**

**All Partner costs must be fully covered within UNHCR’s Operating Level budget before a Partnership Agreement can be signed**.

|  |  |
| --- | --- |
| **RESOURCES** | ***UNHCR Planning and Budgeting Processes***   * **Operations Plan in an emergency**   [https://emergency.unhcr.org/operations-plan-in-emergencies](https://emergency.unhcr.org/entry/55210/unhcr-operations-plan-in-emergencies)  ***Refugee and Humanitarian Response Planning***   * **Refugee Response Planning process and tools**   [https://emergency.unhcr.org/refugee-response-plans](https://emergency.unhcr.org/entry/109720/refugee-response-plans-rrps-interagency#1,1516902287516)   * **Humanitarian Response Plans**   [https://www.humanitarianresponse.info/strategic-response-planning](https://www.humanitarianresponse.info/en/programme-cycle/space/page/strategic-response-planning) |

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| Chapter 5: Implementing in Partnership |
| Chapter 5 provides guidance on the modalities for project implementation with emphasis on projects that are implemented in partnership by UNHCR with its Partners. It sets out the contractual arrangements involved including the content and provisions of standard Agreements for different Partners and situations. Key considerations are highlighted, along with links to detailed Guidance Notes, policy documents and standard templates.  This chapter also sets out the requirements for planning, budgeting and managing financial and other resources, as part of the process in negotiating and finalizing a Partnership Agreement with UNHCR. |

# 5.1 Partnership Agreements

Implementation of projects and activities identified by UNHCR and its Partners at the planning and design stage are outlined in the Operations Plan and may be implemented directly by UNHCR or in collaboration with its Partners. The modalities for implementation may also be combined. For example, UNHCR might procure core relief items directly, while a Partner distributes them. Or, UNHCR may advocate directly for improved access to refugee status determination for asylum-seekers, while a Partner delivers legal assistance.

The selection of appropriate Partners for undertaking a UNHCR project or other activities is detailed in [**Section 3.3**](#_3.3_Partner_Selection)**.** Once selected, the relevant UNHCR Office will enter into detailed negotiations with the selected Partner(s) to fully define the project and the terms of the Project Partnership Agreement (PPA) under which the activities will be delivered. The Partnership Agreement is used to confirm and document the agreed understanding of the negotiations, including formation of strategies and objectives of the project, the expected outcomes, performance indicators, budget and duration.

[**IPMS Guidance Note 8: Management of UNHCR-Funded Partnership Agreements**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) provides policy guidance which should be followed by UNHCR and the selected Partner(s) in drawing up an Agreement.

### 5.1.1 Introduction to Partnership Agreements

**Purpose of Partnership Agreements**

A Project Partnership Agreement (PPA) is a legally binding document between UNHCR and the Partner(s), stipulating the terms, conditions, responsibilities, obligations and accountabilities of the parties for undertaking specific activities to provide protection and assistance to Persons of Concern.

Under the Partnership Agreement, UNHCR is authorized to contribute financial and other resources for specific programmatic activities, while the Partner assumes full responsibility for the delivery of agreed results, as well as accountability to UNHCR for the effective use of resources, in accordance with the UNHCR Financial Rules. Consideration should be given to the operational and/or governance capacity strengthening needs of smaller or less experienced Partners in meeting these requirements, particularly where they have the access, trust and contacts needed at community level to achieve the desired results (see [**Section 2.3.3**](#_2.3.3_Capacity_Strengthening) for further guidance).

The Partnership Agreement is used to

* conclude and confirm the agreed understanding of previous negotiations;
* stipulate the shared principles and common goals setting out terms, conditions, obligations and accountabilities of all parties;
* outline the expected results and implementation arrangements for providing protection and solutions for the Persons of Concern, including the budget and duration.
* recognize the contributions of all parties;
* govern the transfer of financial and other resources for undertaking the intervention.

All Partnership Agreement are created and recorded by UNHCR in their MSRP[[59]](#footnote-59) to ensure that UNHCR’s commitments are recorded and any Partner risks are minimized. A Partnership Agreement can only be formulated and signed in English, French or Spanish. Translations into other languages are unofficial documents and may be used only for assisting readers to understand the content of the Partnership Agreement.

**Types of Partnership Agreement**

UNHCR offices can sign bipartite or tripartite agreements with local, national, regional or international NGOs or not-for-profit organizations, host Governments, inter-governmental organizations, and UN agencies. There are various types of Partnership Agreement and only the version applicable to a specific type of Partner, or nature of Partnership should be used (e.g., the standard Agreement for a UN entity cannot be used for an NGO Partner). The table below sets out the six main types of Partnership Agreement used by UNHCR.

**Table 25: Types of Partnership Agreement**

|  |  |
| --- | --- |
| **Letter of Mutual Intent to Conclude an Agreement (LOMI)** | A LOMI is a **simplified start up Agreement** that is used by UNHCR with any type of Partner **in urgent or emergency situations**. It is a temporary mechanism that allows for kick-starting the delivery of protection and assistance while the full project details are being formulated, and a standard Partnership Agreement is prepared and finalized. It:   * can be used as a one-off or bridging arrangement; * requires completion of the Agreement and Project Budget (Annex B). All other annexes are optional * can be used for a duration of up to maximum of six months.   Once the standard Partnership Agreement is signed, this will immediately supersede the LOMI.   * **Sample LOMI:**   [https://emergency.unhcr.org/LOMI](https://emergency.unhcr.org/entry/47067/project-partnership-agreements-ppas) |
| **Bipartite Agreement between UNHCR and a Non-Governmental or Not-for-Profit Organisation** | This is the standard format Partnership Agreement used by UNHCR when the Partner is a Non-Governmental (NGO) or Not-for-Profit Organization.  Further detail of the provisions within a Partnership Agreement and guidance on how to complete the Agreement can be found in [**Sections 5.1.2 – 5.1.4**](#Sec5_1_2) of this Handbook, and the documents linked below.   * Implementing Partnership Management Service: **How to Guide on Standard Format Bipartite Project Partnership Agreement** (NGO and other not for profit Partners) v3, May 2015:   [https://www.icvanetwork.org/HowToCompletePPA](https://www.icvanetwork.org/resources/how-guide-standard-format-bipartite-project-partnership-agreement)   * Additional short **Operational Guidance for Individual Specialized Activities:**   [https://www.icvanetwork.org/HowToPPAAnnex](https://www.icvanetwork.org/resources/ipms-annex-bipartite-how-complete-2)   * **Standard Format Bipartite Project Partnership Agreement** (UNHCR with Non-governmental and other not-for-profit Partners):   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |
| **Bipartite Agreement between UNHCR and a Governmental Partner** | Used when the Partner is a governmental organization   * **Standard Format Bipartite Project Partnership Agreement** (UNHCR with Governmental Partner):   [https://cms.emergency.unhcr.org/PPAGovernment](https://cms.emergency.unhcr.org/documents/11982/47020/Bipartite+PPA+-+Government/1d3441e8-e05f-4573-943b-a18535ea6e71) |
| **Tripartite Agreement between UNHCR and a Non-Governmental or Not-for-Profit Organisation and Host Government** | Used when the Partner is a non-governmental or other not-for-profit organization, and the host government is a signatory endorsing the engagement of the Partner.   * **Standard Format Tripartite Project Partnership Agreement** (UNHCR with Non-governmental and other not-for-profit Partners and host government):   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |
| **Small Scale Agreement** | The Small Scale Agreement (SSA) allows **small scale interventions** with limited scope or a single objective. It is used with governmental, non-governmental, community based or not-for-profit entities. A SSA:   * + can only be used when the UNHCR contribution is under USD 100,000 (or equivalent) for one or more Agreements with the same Partner in each operation, during one budget year.   + requires completion of the Agreement, a basic project description and the budget (Annex B), at the time of signing. * **Small Scale Agreement** (UNHCR with Governmental, non-governmental, community-based organization and other not-for profit entity)   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |
| **Agreement between UNHCR and a UN Agency** | Used when the Partner is another UN agency. The template is based on an agreed format between the UN Development Group and can only be used for programme-related activities, not administrative arrangements such as cost-sharing or secondments.   * **UNHCR to UN Partnership Agreement**:   [https://cms.emergency.unhcr.org/PPA UNHCR+UN](https://cms.emergency.unhcr.org/documents/11982/47020/Template+for+Project+Partnership+Agreement+in+MSRP/1fe8f08a-1339-4c66-9cd0-72f027fb1daf) |

Several [**additional agreements**](https://emergency.unhcr.org/entry/177118/mous-and-lous-with-un-agencies-and-ngos) are used by UNHCR for partnering with specific organisations such as IFRC, or for specific purposes.

**Elements of a Partnership Agreement**

Each Partnership Agreement consists of several elements that contain the terms, conditions, responsibilities, obligations and accountabilities of participating parties. Collectively, these elements form a valid Agreement:

* **Main Agreement document** - see guidelines in [**Sections 5.1.2 – 5.1.4**](#Sec5_1_2)**).**
* **Appendix 1: Definitions** - defines terms used in the Agreement.
* **Appendix 2: Standards of managing misconduct** - lists the responsibilities of the Partners for managing misconduct (see [**Section 1.3.4**](#Sec1_3_4)).
* **Annex A: Project Description** - a standard format detailing the proposed intervention and its link to the Operations plan (see [**Section 5.2.1**](#Sec5_2_1)).
* **Annex B: Project Budget** - a standard format which sets out detailed financial provisions for the project (see [**Section 5.3.1**](#Sec5_3_1)**).**
* **Annex C-1: Project Work Plan** - a standard outline which describes project activities and the timelines for achieving them (see [**Section 5.2.2**](#Sec5_2_2)).
* **Annex C-2: Indicative Instalment Plan** - details the financial resources required by output and budget line and assists in the calculation of instalments (see [**Section 5.4.3**](#Sec5_4_3)).
* **Annex D: Project Report formats** - standard templates for the submission of periodic project reports (see [**Section 6.2.1**](#Sec6_2_1)).
* **Annex E: Partner Personnel List** - details the human resources engaged by the Partner to implement the Project and indicates UNHCR’s contribution towards Partner personnel costs (see [**Section 5.3.2**](#Sec5_3_2)).

In urgent or emergency situations, the Project Budget (Annex B) and Result Matrix (Section 6.0 of Project Description) must be completed by the time of signing the Agreement. Other Annexes, including the full Project Description (Annex A) should be concluded within 1 month of Agreement signature.

For LOMIs, the Budget (Annex B) is required at the time of signing the LOMI. Preparation of other Annexes is optional depending on the requirements of the specific operation and UNHCR Office.

Templates for the Annex documents can be found in the **Resources box** at the end of Section 5.1. Further guidance on the modalities and timeline for signing, amending and terminating Partnership Agreements are set out in [**Section 5.5**](#Sec5_5).

### 5.1.2 General Provisions of a Partnership Agreement

UNHCR staff and Partners must be fully aware of General and Specific provisions set forth in the main body of the Partnership Agreement before starting the detailed negotiations. Only after understanding and accepting the Agreement terms can UNHCR and the Partner finalize the Project Description, Budget, Work plan and other Annexes to the Partnership Agreement. With the preparation and signature of the Partnership Agreement, UNHCR and the Partner commit to fulfill their respective obligations under the provisions of the Partnership Agreement.

The General Provisions make up Section 2 of a Partnership Agreement (Articles 9 – 17) and are common to all Partnership Agreements issued by UNHCR. They cannot be removed or amended in any way.

**Table 26: General Provisions of a Partnership Agreement**

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| **Article 9** | **Participation of Population of Concern** | |
| All parties, wherever possible, to fully consult with, and mobilize Persons of Concern throughout the project. Refer to [**Section 1.2**](#Sec1_2)**.** | | |
| **Articles 10 and 11** | **Participation and Obligations of UNHCR and of Partner** | |
| **UNHCR Obligations** | | **Partner Obligations** |
| Articulate Global Strategic Priorities (refer to [**Section 2.1.3**)](#_2.1.3_Global_Strategic) and country plans | | Support UNHCR mandate, Global Strategic Priorities and country plans |
| Engage Partner in joint drafting | | Participate in joint project drafting |
| Timely negotiations, concluding and signing the Agreement | | Timely negotiations, concluding and signing the Agreement |
| Compliance with terms, including:  1. Timely release of resources  2. Timely consultations and effective coordination with Partner and others  3. Support through implementation  4. Review and feedback on reports  5. Joint mid and end of year review and feedback  6. Verification and monitoring  7. Transparency on resources  8. Ethics and conduct | | Compliance with terms, including:  1. Project implementation and delivery of expected results  2. Partner and other donor contributions  3. Efficient use of resources  4. Timely consultations  5. Timely and accurate reporting  6. Participation in joint reviews  7. Making changes / improvements required by UNHCR or auditors  8. Ethics and conduct |
| **Monitoring** (11.4)  Partner to establish and maintain a robust system for monitoring. Refer to **Section 6.1** | | |
| **Use of Resources** (11.5 – 11.10)  Restricts use of resources to the purposes specified in the Partnership Agreement. | | |
| **Article 12** | **General Responsibilities of the Parties** | |
| **Joint Monitoring and Review** (12.1)  All parties to conduct and record regular individual and joint monitoring and reviews. Refer to [**Section 6.1**](#_6.1_Monitoring_and)**.** | | |
| **Communication to Other Parties** (12.2)  Reinforces that the Partner is a separate legal entity from the UN, UNHCR, and the need to reflect this in all communications, etc. | | |
| **Transfer of Monies due UNHCR from Partner** (12.3 – 12.9)  Restricts the use of miscellaneous, unspent or overpaid revenue | | |
| **Maintenance of Project Records** (12.10)  Partner to protect, keep and retain Project records | | |
| **Goods and Property** (12.11 – 12.17)  Partner to record, maintain, protect, insure and repair or replace goods and property, supplied by UNHCR or acquired by the Partner through Project funding. See [**Section 5.4.2**](#Sec5_4_2) for further guidance | | |
| **Inspection, Monitoring and Audit** (12.28 – 12.21)  Sets out the basis for operational and financial audits of the Project. Refer to [**Section 6.3**](#_6.3_Project_Audit) and [the **IPMS Guidance Note 5: Risk-based Audit of UNHCR-Funded Projects**](http://www.unhcr.org/ngo-consultations/ngo-consultations-2016/Guidance-Note-5.pdf) for further | | |
| **Investigation and Ethical Considerations** (12.22 - 12.28)  All parties to demonstrate high ethical and professional standards in their work. Refer to [**Section 5.1.5**](#Sec5_1_5) for further guidance | | |
| **Partner Personnel** (12.29 – 12.40)  Partner to comply with applicable employment law and highlights that Partner personnel have no contractual link to UNHCR. Refer to [**Section 5.3.2**](#Sec5_3_2) **and** [**IPMS Guidance Note 7: Partner Personnel**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) | | |
| **Assignment to a Third Party - Non-commercial Entities** (12.41 – 12.42)  Partner not to delegate any part of the Project without written approval in advance.  Ideally the identification and costing of proposed third party activities should be discussed and agreed with UNHCR when negotiating the Agreement, then recorded and corresponding details incorporated in the Project description, Budget and work plan. | | |
| **Article 13** | **Other provisions** | |
| **No Party to Benefit** (13.1)  All parties to act with transparency and integrity, so that no party gains direct or indirect benefit arising from the Partnership Agreement. Refer to [**Section 5.1.5**](#Sec5_1_5) and the [**IPMS Draft Guidance Note on Ethical Considerations and Professional Conduct.**](http://www.unhcr.org/ngo-consultations/ngo-consultations-2016/Guidance-Note-Ethical-Conduct-and-Investigation-Draft.pdf) | | |
| **Anti-Corruption and Anti-Fraud Practices** (13.2 – 13.3)  All parties to demonstrate zero tolerance for corrupt or fraudulent practices. Refer to [**Section 1.3.4**](#Sec1_3_4) and the UNHCR Strategic Framework for the Prevention of Fraud and Corruption for further guidance. | | |
| **Compliance with Legislation** (13.4)  Partner to respect the laws of the country where it is operating. | | |
| **Taxation and Customs** (13.5)  Partner to maximize possible tax exemptions and benefits from applicable instruments for tax and custom duties. | | |
| **Copyright, Patents and Other Proprietary Rights** (13.6 – 13.10)  Addresses who keeps the proprietary rights for studies, evaluations, reports etc. | | |
| **Confidentiality** (13.11 – 13.16)  Partner to respect the confidentiality of all information pertaining to a project. Information can only be released to persons authorized by UNHCR. Non-compliance could have important and serious protection implications. | | |
| **Personal Data Protection** (13.17 – 13.25)  Partner to keep confidential all information of a biographic nature on Persons of Concern. At the end of Partnership Agreement, the Partner should return all personal data (in electronic and/or hard copy) to UNHCR. Refer to [**Section 2.2.5**](#_2.2.5_Personal_Data) and the [**UNHCR Guidance Note on Data Protection**](http://www.refworld.org/pdfid/55643c1d4.pdf). | | |
| **Visibility** (13.26 – 13.30)  Where security allows, the Parties should provide visibility for the activities implemented under the Partnership Agreement (and in some cases project donors) in project-related materials. Refer to the UNHCR Brand Book in the [**Resources**](#RES5_3) box at the end of this section for further guidelines on UNHCR visibility. | | |
| **Responsibility for Claims** (13.31- 13.32)  Partner to take sole responsibility for all claims from personnel or third parties | | |
| **Privileges and Immunities** (13.33)  Safeguards other legal instruments relating to UNHCR's privileges and immunities | | |
| **Force Majeure and Other Changes in Condition** (13.34 – 13.37)  Recognizes that the operating environment may change and sets out the process for reviewing, changing or stopping a Project. | | |
| **Amicable Settlement and Arbitration** (13.38 – 13.41)  Seeks to promote amicable settlement of disputes and sets out basis for arbitration (if required) under the rules established by the United Nations Commission on International Trade Law | | |
| **Termination** (13.42 – 13.49)  Sets out process for termination and the obligation of both parties to minimize the risk of negative impact on Persons of Concern. | | |
| **Article 14** | **Amendments** | |
| Written agreement by all parties required for modification or amendment to the Partnership Agreement. Refer to the **Resources box** at the end of this section. | | |
| **Article 15** | **Contact Data** | |
| Contact details of the persons designated to manage the Partnership Agreement by each party. | | |
| **Article 16** | **Appendices and Annexes** | |
| Details of all appendices and annex documents | | |
| **Article 17** | **Language** | |
| Limited to English, French or Spanish | | |

### 5.1.3 Specific Provisions of a Partnership Agreement

The Specific Provisions make up Section 1 of a Partnership Agreement (Articles 3 – 8) and are specific to each individual Project based on its scope, duration and budget. They follow on from the Preamble within the Partnership Agreement (Articles 1 – 2), which sets out the spirit of the Agreement and common principles underpinning the Partnership.

**Table 27: Specific Provisions of a Partnership Agreement**

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| **Article 3** | **Duration of the Project** |
| Defines the **Project start and completion dates**. The start date cannot normally be before the dates of signing the Partnership Agreement and the completion date cannot be later than 31st December in the same calendar year. Defines the **liquidation period** which is the period beyond the completion date within which any commitments entered into during the Project period must be settled. | |
| **Article 4** | **Project Identification** |
| Contains relevant information generated from UNHCR’s MSRP such as the Agreement number, Partner code, Budget year, Cost Center, Pillar, Operation, etc. | |
| **Article 5** | **Project Reporting** |
| Sets out the requirements for periodic reporting to demonstrate performance, progress and utilization of resources. All reporting formats are provided in Annex D to the Partnership Agreement and the minimum requirements are set out in [**Section 6**.2](#_6.2_Reporting)**.** | |
| **Article 6** | **Resource Requirements and Financial Arrangements** |
| Sets out both UNHCR and the Partner contributions to the Project budget and resources, the planned financing arrangements, and the commitment of all parties to seek additional resources if needed. Details eligible costs and budget restrictions, and the requirements in managing Project funds. See [**Section 5.3.1**](#Sec5_3_1) below | |
| **Article 7** | **Procurement** |
| Sets out the procurement requirements and status (Pre-Qualified for Procurement) status required of Partners. See [**Section 5.4.1**](#Sec5_4_1) and [**IPMS Guidance Note 4 Rev1: Procurement by Partners with UNHCR Funds**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) for further guidance. | |
| **Article 8** | **Articles Specific to Specialized Project Activities** |
| Details any specialized activities that are part of the Project. See [**Section 5.1.4**](#Sec5_1_4) | |

### 5.1.4 Articles Specific to Specialized Projects

Article 8 of the Partnership Agreement outlines specific provisions for specialized project activities. These include:

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| * Building, shelter and construction * Cash and Voucher assistance * Education * Environment * Food and non-food items distribution * Fuel Supply /Storage Infrastructure * Heavy Duty Vehicles * Livelihoods | * Protection of children * Public Health and nutrition * Revolving Loan funds * Sexual and Gender Based Violence * Vehicle Workshop in the Field * Warehouse and inventory management * Water, Sanitation and Hygiene |

In preparing the Partnership Agreement in MSRP, UNHCR is responsible for selecting the specialized activities that are part of the Project. It is only these activities that should then appear in the Partnership Agreement. UNHCR is also responsible for ensuring consistency throughout the Partnership Agreement with respect to these activities. For example, if the ‘Public Health and Nutrition’ specialized activity is included in the Partnership Agreement, the Project description should have outputs and indicators for Public Health (as provided in the UNHCR Results Based Management Framework) and the budget should have provisions for such activities.

The provisions outlined in Article 8 for each of the Specialized Project Activities that have been selected will detail the Partner’s obligations in relation to that area of specialization, along with reference to the existing UNHCR strategies, policies, operational and other guidance (refer to **Chapter 7** for links to sector-specific strategies and guidance). The [**Additional Short Operational Guidance Note for Individual Specialized Activities**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) also provides reference to relevant UNHCR polices and guidance.

### 5.1.5 Ethics and Professional Conduct

As articulated through the Principles of Partnership (see [**Section 2.3.1**](#Sec2_3_1)), both UNHCR and its Partners are expected to undertake their activities to the highest ethical and professional standards, both within their respective organizations and externally. This includes efficient and cost-effective management and transparent, timely reporting and communications, to maintain credibility, reputation and integrity and to attain the best results for Persons of Concern. In developing a Partnership Agreement, consideration should be given to the capacity strengthening needs of less experienced Partners in areas such as financial management, governance and monitoring and evaluation in meeting these requirements (see [**Section 2.3.3**](#_2.3.3_Capacity_Strengthening) for further guidance).

Article 12 of the Partnership Agreement reflects this obligation and [**Appendix 2 of the Partnership Agreement**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)details the Partner’s **responsibilities for managing misconduct** and having appropriate minimum standards in place. The appendix provides:

* A listing of types of misconduct;
* A set of recommended minimum investigation standards;
* Standards on ensuring protection from sexual exploitation and abuse; and
* Procedures for reporting of misconduct.

For agreements that do not have a separate appendix on managing misconduct (e.g., LOMI, SSA) the relevant clauses on managing misconduct are inserted directly into the agreement. [**Section 1.3**](#_1.3_Shared_Principles) of this Handbook provides detailed guidance on reporting, managing and investigating allegations of misconduct or abuse.

**Sharing of Sensitive Information**

Under a Partnership Agreement, the Partner commits to complying with the standards set out in the Policy on the Protection of Personal Data of Persons of Concern to UNHCR when processing personal data. Refer to [**Section 2.2.5**](#_2.2.5_Personal_Data) for further guidance on these requirements.

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| **TIPS** | **Key Points to Consider When Entering an Agreement**   * Partners must be registered in the Partner Portal. * A Partner may sign several Partnership Agreements within the same Operation (e.g. one for IDPs, one for refugees, or across different costs centers in the same Operation), or for multiple Operations. * The articles of a Partnership Agreement cannot be changed. * The content and annexes of a Partnership Agreement should be carefully checked by both parties before signing. * Those signing the Partnership Agreement on behalf of each party (i.e. UNHCR and the Partner) must have the appropriate level of authority. * Only Partnership Agreements that have been created and recorded in UNHCR’s MSRP constitute a legal document. * By signing a Partnership Agreement, the Partner assumes full responsibility for the effective use of resources and delivery of agreed results. UNHCR agrees to provide resources and other support in a timely manner. * Partners should have access to all relevant background information such as the Operations Plan, Results Framework, Partnership Agreement template, guidance notes and associated policies. * All parties should understand the provisions of the Partnership Agreement before starting negotiations and preparing the project description, budget, and other annexes. * All parties should be involved in preparing the project description, budget, work plan and instalment plan. * Project monitoring and reporting arrangements should be agreed jointly and clearly reflected in the Partnership Agreement. |

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| **RESOURCES** | ***Partnership Agreement Guidance***   * IPMS Guidance Note No. 8: **Management of UNHCR-Funded Partnership Agreements**, Dec 2017   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Partnership Agreement Annex Documents for NGOs and Other Not-For-Profit Partners***   * **Annex documents** to the Bipartite Project Partnership Agreement (UNHCR with non-governmental and other not-for-profit Partners):   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Ethics and Professional Conduct***   * UNHCR **Investigation Resource Manual**   <http://www.unhcr.org/uk/investigation-resource-manual.html>   * **Strategic Framework for the Prevention of Fraud and Corruption**, July 2013   <http://www.refworld.org/pdfid/5433a4e54.pdf> |

# 5.2 Preparing a Project Description and Work Plan

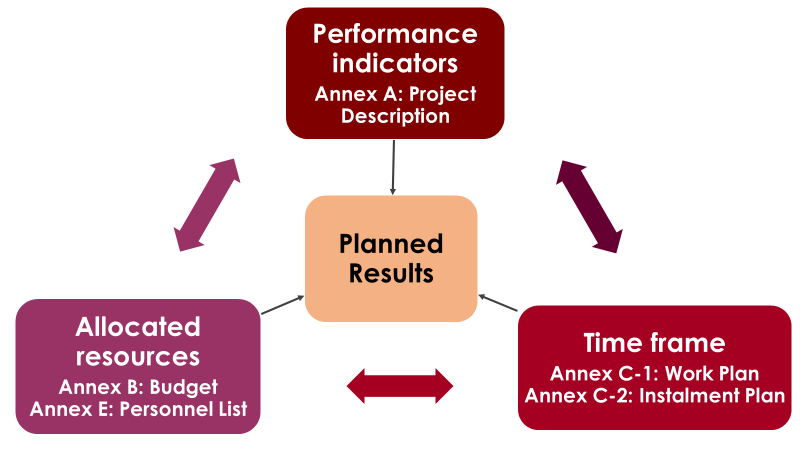
### 5.2.1 Project Description and Results

**Project Scope**

All projects or interventions must be formulated in line with UNHCR’s Operations Plan and priorities for that Operation (refer to [**Section 4.3.2**](#sec4_3_2)) and should link the project goal(s), objectives, and outputs with corresponding resource requirements. Consideration should also be given to strengthening the humanitarian-development nexus, particularly in protracted crises (see [**Section 3.2.2**](#Sec3_2_2)).

Defining the project scope within a Partnership Agreement ensures that a project is designed to provide protection, assistance and solutions for Persons of Concern, within a **defined timeframe**, clearly **allocated resources** and according to **specific performance indicators**. The three elements must relate to each other, and directly contribute to achieving the **expected results** (outputs, impact). This relationship between the different project elements is illustrated in the diagram below, along with the Partnership Agreement annex templates / documents in respect of each element.

**Figure xvii: Project Scope**



**Project Description**

Formulating an accurate description of the project or intervention is the joint responsibility of UNHCR and the Partner organization. The **Project Description** follows a standard narrative format which forms [**Annex A**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) for all types of Partnership Agreement and is made up of the following sections:

**1.0 Project Overview**

Brief project statement and description of the operational context, problem, main objectives and intended impact.

**2.0 Population of Concern/Other Supported Entities**

Detailed demographic profile of the population of concern including gender, age, children, people with disability, people living with HIV/AIDs, the elderly, and other vulnerable groups, along with information on any other entity the project aims to assist, e.g. through capacity building.

**3.0 Implementation Arrangements**

Implementation strategies and activities to deliver the expected objectives, outputs and intended impact, identification of key project risks and mitigation activities, coordination mechanisms, monitoring and reporting mechanisms and visibility.

**4.0 Related Inputs and Projects**

Partner and/or third-party contributions of financial and in-kind resources

**5.0 Agreement Amendment History**

Listing of any agreement amendments and description of main changes.

**6.0 Log Frame for Planned Results**

Description of the problem, and project objective, impact, outputs and selected performance indicators, all corresponding to UNHCR’s Operations Plan (see [**Section 4.3.3**](#sec4_3_3)) but adapted to the project context, where needed. Also includes an indication of the budget (by output) and identification of project-specific performance targets. Additional outputs can be added if the associated activities are fully funded by the Partner.

The Log Frame is based on UNHCR’s Results Framework (see [**Section 2.1.2**](#Sec2_1_2)**)** and needs to be completed for all forms of Partnership Agreement. Most of the information required can be extracted from FOCUS, UNHCRs results-based management software, by UNHCR. However, the Partner should work with UNHCR to ensure that this information is adapted to the specific context that they will be operating in.

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| **TIPS** | The Log Frame should be streamlined and simplified as much as possible, focusing on the key results that the intervention expects to achieve. It is advisable to select a limited number of outputs covering a wider range of activities and select only one indicator per objective and output. This will assist in facilitating timely project reporting and managing any potential variations or later revisions. |

### 5.2.2 Project Work Plan

The **Work Plan** is a standard outline which forms [**Annex C-1 of the Partnership Agreement**](https://www.icvanetwork.org/resources/unhcr-bipartite-project-agreement). It defines the timeline for implementation of the planned project or intervention. Bear in mind the time needed for negotiating and signing the Partnership Agreement when developing the Work Plan to avoid the need for review and re-scheduling (see [Section **5.5.1**](#Sec5_5_1)).

Partners need to include the detailed activities for each output in a matrix indicating the start and end date of each activity. This Work Plan also forms the basis for:

* Development of the Indicative Instalment plan (see [Section **5.4.3**](#Sec5_4_3)) and the release of remittances after the first instalment is paid;
* Development of a Project Performance Monitoring Plan, together with UNHCR (see [**Section 6.1.1**](#_6.1.1_Monitoring_and)**).**

|  |  |
| --- | --- |
| **RESOURCES** | ***Relevant Annex Documents to the Partnership Agreement***   * **Annex A: Project Description** * **Annex C-1: Work Plan**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

**5.3** Determining the Financial Provisions for a Partnership Agreement

### 5.3.1 Budget Requirements

Project budgets are negotiated in the field between the Partner organization and relevant UNHCR office. UNHCR can only establish a Partnership Agreement within the Operating Level Budget of a relevant Country Operations Plan (refer to [**Section** **4.3.4**](#sec4_3_4)).

Budgets negotiations can be difficult and time consuming. This may be due to insufficient guidance on budget provisions from UNHCR, lack of sufficient detail from Partners, or challenges for both parties in translating the budget requirements into the required format.

Timely, joint preliminary meetings will help to fully and accurately identify the budgetary requirements and plan the budget, thereby reducing the risk of later difficulties. UNHCR should communicate to Partners the funds that are actually available for a proposed project and those expected to be made available in due course. Partner organizations should ensure that costings are accurate, and that the best possible cost effectiveness is being proposed.

**Budget Contributions**

When UNHCR and its Partners enter into an Agreement, there is an expectation that both parties will endeavor to raise complementary funds and resources to support the proposed intervention in meeting the needs identified for Persons of Concern. Partners are also encouraged to use the ‘Partner Contribution’ to describe how the proposed project would leverage contributions from whole-of-society actors who are not themselves UNHCR Partners.

UNHCR normally contributes funds for some or all the operational costs (direct costs for implementing the activities set out in the Partnership Agreement), and some of the support costs (the costs for supporting and managing a project). Under the terms of the Agreement, Partners are also obliged to inform UNHCR in quantifiable terms of their contribution to the project. This may include funding raised by the Partners, contributions from its own funds, or in-kind contributions.

In instances where other donors or supporters are contributing towards the Partner’s budget, the Partner should include these details when negotiating the cost sharing arrangements in relation to all relevant budget lines with UNHCR. Any contribution being made by the Partner, either directly or through other sources of funding, should be stated in the project description (Partnership Agreement Annex A) and in the main body of the Partnership Agreement (Article 6.3). It must also be reflected in the Project Performance Report (section 4- Related Inputs and Projects / Other Parties). UNHCR’s contribution to the overall budget will be detailed in the Project Budget (Partnership Agreement Annex B).

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| **Budgeting for In-kind contributions by UNHCR**  UNHCR to provide details |

**Budget Details**

The exact level of detail needed in budgeting for proposed activities should be agreed collaboratively between the Partner and the UNHCR Office, depending on the operational circumstances. Budgets should reflect a careful assessment of needs, available resources, and the appropriate standards required within the local context. This will enhance the likelihood of agreement to the proposed budget with minimum delays.

It is important that these discussions allow sufficient time for the Partner to review and adjust their proposed budget submission, if needed (see [**Table 34**](#Table5_11) for an indicative timeline for implementing a Partnership Agreement). While it is acknowledged that the UNHCR Office may not have final details of its budgetary envelope, it is beneficial for both parties if as much detail as possible on the expected budget for the project can be given to mitigate the risk of delays and re-working of the budget requirements.

Some proposed budget items may be examined more closely by UNHCR. These include the administrative costs within a project and the amounts budgeted for Partner personnel costs. Significant expenditure for large capital items or infrastructure will also be scrutinized. Further guidance on budgeting for these items is covered in [Sections **5.3**](#Sec5_3). and [**5.4**](#Sec5_4) below.

**Budgeting According to Results**

UNHCR budgets follow the principle of results-based management, by which the allocation of resources (type, quality, quantity, frequency) is directly linked to the outputs to be delivered by the Partner, and the objectives to be achieved through the project (as illustrated in [**Figure** **5.4**](#Fig5_4); the Project Scope diagram).

As such, while budgets are formulated at the lowest level following UNHCR’s account codes (e.g., Account 623050 “Construction Contracts-buildings for operations” as illustrated in the box below, each budget line must relate directly to an output and objective in the project’s log frame (Annex A).

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| **Example of allocation of accounts codes**  For a project including the construction of primary schools, the output (Educational Infrastructure Constructed, improved or maintained) may be budgeted as a single item in which the calculation could be relatively simple, i.e. number of schools’ x the cost of the building construction contract (the cost of the school) = the total of the budget line.  The amount would be coded as  420AZ623050 where:  ‘420’ = Population has optimal access to education (Objective);  ‘AZ’ = Educational Infrastructure Constructed, improved or maintained (Output);  ‘623050’ = “Construction Contracts-buildings for operations (account)  Alternatively, the same Activity could be budgeted according to the various materials and supplies needed for construction, such as roofing materials, timber, cement, electrical supplies, workshop supplies, etc., represented as separate Accounts. |

Considerations to bear in mind when preparing the budget for a Partnership Agreement include:

* If project activities are spread across more than one of UNHCR’s budget pillars (refer to [**Section** **2.1.4**](#_2.1.4_UNHCR’s_Funding) for details), either a separate Partnership Agreement for each pillar, or one Partnership Agreement for all pillars can be concluded.
* Partnership Agreements can include projects related to different [**Population Planning Group**](http://reporting.unhcr.org/glossary/p)**s (PPG).**
* It is possible to budget for and carry out activities for a UNHCR Country Office and Sub Office within the same Operation, under one Partnership Agreement.
* When budgeting for a multi-objective project, support costs should be budgeted as far as possible under the relevant output/objective. However, costs that cannot be attributed to a specific objective should be apportioned across the relevant outputs/objectives of the project.
* Depending on operational reality, a UNHCR office may want the Project Budget to be prepared with a further breakdown by cost center and site for internal management and tracking purposes. For example, this additional detail may be very useful for UNHCR if they are required to report on these expenses in donor reports.
* All costs should be budgeted under clearly identifiable budget line items and not as lump sums (e.g., Account 657100 - Stationary and Other Office Supplies; Account 608455 - Registration Supplies etc).
* Only eligible costs according to the specifications of the Project can be included in the budget.
* The Partner should budget, spend and report in the ‘currency of project implementation’. UNHCR will transfer funds (instalments) in the same currency, as stipulated in the Project Budget.
* Partner Expatriate Personnel Costs should be budgeted and reported in USD and National staff costs should be budgeted and reported in local currency. The Partner may budget for PHSC in local currency or USD, and this should be clearly shown in the budget.
* Expenditure in a currency other than the currency of project implementation should be limited to necessary circumstances only, or as authorized by UNHCR.

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| **Guidelines on currency fluctuations**  UNHCR to review  UNHCR will not bear any costs due to exchange rate fluctuations (loss/gain). However, in the event of concerns around extreme currency fluctuations, Partners should seek guidance from UNHCR on the appropriate remedial actions to take. |

**Budget Format**

* There is a standard format for the Project Budget under a Partnership Agreement. This is generated from the MRSP system by UNHCR.
* While the Project Description and Work Plan are prepared offline (outside of Focus and MSRP), the Project Budget must be entered in Focus by UNHCR, as part of the Partnership Agreement process. The content of project budgets is automatically aggregated to objectives, rights groups, goals and pillars at UNHCR Country and global levels within Focus.

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| **TIPS** | **Important Pointers for Budgeting**   1. Conduct timely, preliminary discussions with UNHCR to clarify the format, content and specific budget requirements. 2. Calculate and submit all budgets in the currency of implementation. 3. Use current unit costs, with no projections for possible inflation. 4. Use current population figures when determining quantities, unless adequate justification can be presented for using a higher or lower figure. 5. Do not include unspecified support costs or administrative overheads in the budget. 6. Do not include a “contingency reserve” in the budget. 7. Consider the financial reporting requirements while budgeting to determine a budget structure and level of details that will be easier to report against. 8. Avoid splitting the budget across objectives where possible as this can create very long budgets which complicates monitoring, analysis and reporting. |

**Budget Variations**

During project implementation, a Partner may make discretionary movements of funds between budget lines (without consulting UNHCR), provided that:

* they are at the account levels within an output;
* the change at output level does not exceed 20 per cent;
* the delivery of the expected results at the output level remains the same as earlier agreed, and;
* there is no change in Partner personnel costs and the overall project budget.

The justification for any transfer must be included in documentation maintained by the Partner and should be made available for UNHCR verification and audits. Any other budgetary transfers require an advanced written authorization from UNHCR.

### 5.3.2 Partner Personnel Costs

UNHCR’s Partners are obliged to comply with [**IPMS Guidance Note 7 covering Partner Personnel**,](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) effective from 1st January 2017. The Guidance Note sets out applicable rates for International Expatriate Personnel, and the standard functional categories, approach and guidance on setting applicable rates for National Personnel, who are employed by Partners. It also explains the terms of Partnership Agreements related to obligations and responsibilities towards Partner Personnel.

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| **DEFINITIONS** | **Partner personnel** include, but are not limited to:   * Permanent employees * Fixed-term personnel * Temporarily assigned or deployed personnel * Consultants or paid advisors * Paid “volunteers” or community workers * Persons of Concern hired by partner for performing services * Other individual service providers   See IPMS Guidance Note 7: Partner Personnel for further definitions |

UNHCR and its Partners are required to jointly set reasonable personnel levels and associated costs (i.e. numbers of personnel, competencies, skills, and affordable costs), to maximize benefits for Persons of Concern in an effective and timely manner.

If the proposed intervention includes hiring of Persons of Concern or other community workers, it is important to consider the potential impact this could have on:

* their access to other livelihood opportunities;
* their entitlement to other forms of assistance at individual and household level i.e. will the benefits from employment extend to other family members;
* social relations and/or the risk of conflict between Persons of Concern;
* social relations and/or the risk of conflict between Persons of Concern and host communities;
* local markets and the environment, particularly where the role of Persons of Concern or other community workers relates to the supply of local resources or produce.

**Detailing and Reporting on Partner Personnel**

A detailed breakdown of Partner personnel roles and costs should be included in the Partnership Agreement [**Annex E: Partner personnel list**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx). The standard table requires details of:

* The name, position and function of each member of personnel
* The employment period and full or part time nature of engagement
* The actual monthly cost of engagement, along with the split of costs between UNHCR and the Partner organization

UNHCR’s contribution towards Partner Personnel Costs is based on a flat rate (lump sum) per person which must be adjusted for part time personnel, or personnel whose costs are partly borne by the Partner and/or other donors. The way that this flat rate is broken down for different entitlements (e.g. salaries, allowances, insurance, termination benefits, and end-of-service costs) is at the discretion of the Partner. While the Partner may provide this breakdown, budgeting at the Partnership Agreement level shall remain as a lump sum.

**Table 28: Account Codes for Partner Personnel Costs**

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| **Account Code** | **Description** | **Comment** |
| **622250** | Expatriate International Partner Personnel Costs (engaged by international or national Partners) | Partner Personnel of all types of Partners (except United Nations organizations which have other specific codes) |
| **622300** | National Partner Personnel Costs (engaged by international or national Partners) |
| **665200** | Partner travel (all Partner Personnel) |
| **622650** | Persons of Concern hired for performing professional services | When engaging Persons of Concern for hired professional services or casual labor. |
| **622750** | Persons of Concern hired for performing casual labor |

Partner Personnel Costs must be budgeted for the applicable number of months at an applicable rate and using the Account Codes in table above. International Expatriate Personnel costs must be budgeted, transferred and reported in US Dollars, and National Personnel costs must be set out in local currency.

UNHCR’s contribution to personnel costs must be included in the Project Budget. The Partner contribution to personnel costs also needs to be reflected in the Partnership Agreement. The Partner should also document UNHCR’s and other donors’ contributions towards the cost of any personnel engaged in project activities for review and audit purposes.

Partners are required to complete a Partner Personnel Report as part of the standard reporting requirements (see [**Section 6.2.4**](#_6.2.4_Goods_and)), and maintain accurate supporting documentation (Human Resource policies, employment contracts, engagement time records, breakdown of payment and transaction records, etc.) for UNHCR verification, audit and review purposes.

**Rates Payable for Partner Personnel**

In line with the main principles advocated by the UNHCR-NGO Network Organizations Group, UNHCR’s contribution for **International Expatriate Partner Personnel** is pegged to the International Civil Service Commission index at a fixed grade level (P4 Step 5 at gross rate). This grade is considered to be commensurate with the skills and profile of most International Expatriate Personnel engaged in UNHCR-funded projects. An additional contribution will be paid to cover Rest and Recuperation for Partner Personnel based in high-security locations. Refer to Guidance Note 7 for detailed guidance on these provisions.

**Table 29: Standard Categorization of the National Personnel Functions**

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| **Category** | **National personnel functions (or positions)** |
| **A** | Support (Guards, Helper, Driver, casual labor etc.) |
| **B** | Junior Assistants (Clerks, Data Entry, Secretaries, etc.) |
| **C** | Senior Assistants (Senior Finance Assistants, Program Officers, Nurse, Social Workers, etc.) |
| **D** | Senior Officer (Senior Program Officers, Doctors, Engineers, etc.) |
| **E** | Managers (Team Leaders, Senior Managers, Deputy Directors, Directors, Presidents, etc.) |

Given the diversity of **National Personnel of Partners** and their functions, UNHCR’s contribution to these costs is based on a scale of local rates for standard functions, as categorized by UNHCR above. The rates are established through UN Country Teams (not the UN staff salary scale) or, through a survey commissioned by the UNHCR Country Office in consultation with Partners. These rates are periodically reviewed (every two to three years or when there is a notable change in the local labor market or prevailing resources).

**Recruitment, Remuneration, and Contractual Obligations**

Article 12 of the Partnership Agreement sets out specific terms and conditions related to the recruitment, employment, and conduct of Partner personnel. Key points include:

* There is neither an employment relationship nor a contractual link between Partner personnel and UNHCR. Partner personnel cannot be considered in any respect as being UNHCR staff members.
* Partners have a responsibility to ensure that their staff and contractors adhere to the standards of conduct set out in Appendix 2 of the Partnership Agreement (refer to [**Section 5.1.5**](#Sec5_1_5) and [**1.3.2**](#Sec1_3_2) for further guidance on standards of conduct). UNHCR has zero tolerance for Sexual Exploitation and Abuse and expects Partners to have appropriate measures in place for detecting, preventing, reporting and addressing such acts (refer to [**Section 1.3.3**](#Sec1_3_3) for further details).
* Partners are also responsible for vetting of personnel before recruitment to ensure they are have not been involved in any misconduct or other activities contrary to UN values, and for sharing details of any incidents of misconduct with the relevant UNHCR Office should they arise (refer to [**Section 1.3.4**](#Sec1_3_4)).
* UNHCR has no right to dictate or engage in selection and recruitment of Partner personnel, unless the Partner and UNHCR have reached a specific understanding which should then be reflected in the Project Description. They can however encourage partners to promote inclusion and diversity, specifically local staff, women, people with disabilities and other under-represented groups.
* Written employment agreements between Partners and their personnel must comply with applicable national regulations and legislation.
* Partners must meet all the costs for employing personnel, including salaries/wages and other entitlements (such as overtime, social security, taxes, allowances, termination costs, etc.) based on applicable legislation.
* UNHCR will not cover the cost of remuneration and other entitlements, benefits or compensation accrued over the years of engagement of Partner personnel, other than the contribution stipulated in the Project Budget.
* Partners are responsible for insuring all relevant personnel against work-related accidents, the costs of which can be included in the Project Budget.
* Partners are responsible for recruiting competent personnel, in a professional and transparent manner, as specified in the Project Description and in consultation with UNHCR. The Partner should respect equal opportunities and take all necessary measures to oppose and guard against child labor and exploitation.
* Partner Personnel must observe the standards of conduct set out in the Partnership Agreement (refer to [**Sections 1.3**](#_1.3_Shared_Principles) and [**5.1.5**](#Sec5_1_5)), including respecting the confidentiality of Persons of Concern. Further, they should not take instruction from any external authority regarding activities under the project.

### 5.3.3 Project Headquarters Support Costs (PHSC)

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| **DEFINITIONS** | **Project Headquarters Support Cost (PHSC) -** is theUNHCR contribution provided to an international Partner that enters a Partnership Agreement to implement a Project in countries other than where its headquarters is located. PHSC are paid to assist with indirect headquarters costs related to overseeing and supporting the Project under a Partnership Agreement.  The term PHSC supersedes the term ‘Headquarters Overhead Costs’ that was previously used by UNHCR and may be more familiar to some NGOs.  **Bulk Procurement** is the procurement of goods and/or services (worth above USD 100, 000 in single or collection of individual purchases at account level) such as non-food, core relief items, fuel, spare parts, food, rental of warehouse, construction of buildings material, and sub-contracting for commercial services.  The cost of office rental by the Partner, personnel costs, purchase of office supplies or travel costs are not considered bulk procurement and are thus not excludable from the calculation of PHSC. |

UNHCR’s Partners are obliged to comply with [**IPMS Guidance Note No. 3 (rev 1): UNHCR’s Contribution towards Project Headquarters Support Costs**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx), effective from 15th March 2015. The Guidance Note and supporting Frequently Asked Questions on PHSC set out the provisions and required procedures related UNHCR’s contribution and support to Partners’ Project Headquarters Support Costs (PHSC).

**Eligibility for PHSC**

To be a recipient of PHSC, Partners must:

* enter into Partnership Agreement and comply with its terms and provisions;
* be an international organization, i.e. International NGO, United Nations agency, an Intergovernmental or other Not-for-Profit Organization that is implementing a project in partnership with UNHCR in a country other than the country where its headquarters is located;
* use the resources for humanitarian purposes for achieving the overall goals of the Partnership Agreement.

National Partners are not eligible because their headquarters are based in the country where they implement projects. Therefore, additional costs are not incurred in managing and supporting a project located in another country.

Partner contribution to project costs is desired but it is no longer a pre-requisite for receiving UNHCR’s contribution for PHSC.

**Calculation of PHSC Allocations**

PHSC is calculated as a percentage of direct eligible costs. All project costs under a UNHCR-funded agreement are classified as direct costs, except for PHSC which are classified as indirect costs. The exclusions (ineligible costs) and percentage allocations for calculating PHSC vary for different UNHCR Partners, as set out below.

For international NGOs, the PHSC is set at 7% of the direct cost of the approved Project Budget, excluding the items below:

* Bulk Procurement of Goods and/or Services through commercial contracts of above USD 100,000 of a single budget line at account level
* Voucher/cash assistance
* Micro-credit assistance
* Any items of large volume and bulk, which would result in a similar impact on the Project costs as the items outlined above.

**Table 30: PHSC Allocations for Different Partner Organizations**

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| --- | --- | --- |
| **Partner** | **% of Direct Eligible Costs** | **Exclusions** |
| **INGOs** | 7% | Exclusions apply (see below) |
| **UN Partners including UNOPS for projects. UNDP, UNICEF, and UN Women\*** | 7%  8%\* | Exclusions apply |
| **National Partners (NNGO, Government)** | Not applicable | Not eligible |

A basic example for calculating PHSC for an INGO Project is illustrated in **Table 31** below and several further examples explaining how to interpret the exclusions listed above can be found in the [**Frequently Asked Questions**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) guidance for PHSC.

The financial allocation for PHSC must be included in the Project Budget (Annex B) of the Partnership Agreement. If the Project Budget is in two currencies, the allocation for PHSC will be made in proportionate amounts for the same two currencies. If the Project Budget is revised upwards or downwards, the PHCS must be amended accordingly.

UNHCR will disburse the allocation for PHSC in an amount proportionate to the instalment being transferred. Reporting expenditure against PHSC is treated as a single budget line without requirement for a detailed breakdown or reporting at an itemized level.

**Table 31: Sample PHSC Calculation for an INGO Project**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Budgetary Level** | **Description** | **Chart Field Code** | **Budget in $USD** | **Amount Eligible for PHSC in USD** |
| Objective | 314 – Protection of children strengthened |  |  |  |
| Output | 314AC – Capacity building undertaken |  |  |  |
| Accounts: | Rental of office premises | 624110 | 120,000 | 120,000 |
|  | Utilities (electricity, water, etc.) | 624260 | 174,400 | 174,400 |
|  | Maintenance, repair service contract (equipment) | 624691 | 425,000 | 100,000 |
|  | Partner National Personnel Costs | 614020 | 125,000 | 125,000 |
| **Sub-total at Output level** | |  | **844,400** | **519,400** |
| Objective | 410 – Health |  |  |  |
| Output | 410AH – Access to essential drugs provided |  |  |  |
| Accounts: | Drugs | 608210 | 150,000 | 100,000 |
|  | Other supplies | 608998 | 35,000 | 35,000 |
| **Sub-total at Output level** | |  | **185,000** | **135,000** |
| Objective | 511 – Peaceful coexistence with local communities promoted |  |  |  |
| Output | 511AC – Projects benefiting host and displaced communities implemented |  |  |  |
| Accounts: | Partner National Personnel Costs | 614020 | 164,206 | 164,206 |
|  | Books and student supplies | 612040 | 726,611 | 100,000 |
| **Sub-total at Output level** | |  | **890,817** | **264,206** |
| **TOTAL AMOUNT SUBJECT TO PHSC** | |  | **1,920,217** | **918,606** |
| Objective | 811 – Operations management, coordination and support optimized |  |  |  |
| Output | 811AH – General project management service provided |  |  |  |
| Accounts: | Total PHSC (7% of eligible amount) | **611000** | **64,302** |  |
| **TOTAL PROJECT BUDGET INCLUDING PHSC** | |  | **1,984,302** |  |

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| **RESOURCES** | ***General Guidance on Budgeting***   * **MANGO**   https://www.mango.org.uk/guide/budgeting  ***Relevant Annex Documents to the Partnership Agreement***   * **Annex C-2: Indicative Instalment Plan** * **Annex E: Partner Personnel List**   All Annex documents can be found at:  [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Guidance on Costing Project Personnel***   * IPMS **Guidance Note 7: Partner Personnel,** 1st Jan 2017:   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Guidance on Costing Headquarters Costs***   * IPMS **Guidance Note No. 3 (Rev. 1):** **UNHCR’s Contribution towards Project Headquarters Support Costs,** March 2015 (revised)   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * UNHCR **Policy and Procedures on UNHCR’s Contribution towards Project Headquarters Support Costs**, FAQ, 11 May 2016   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

# 5.4 Finance and Resource Management Requirements

### 5.4.1 Financial Management

UNHCR is accountable to its donors and its Executive Committee for the funds entrusted to provide protection, assistance and solutions for Persons of Concern. To fulfil this obligation and comply with [the **Financial Regulations and Rules of the United Nations**](https://hr.un.org/handbook/index/8254), UNHCR requires specific financial accountability on the part of its Partners.

The minimum requirements for financial accounting and record keeping by UNHCR’s Partners are specified in the Partnership Agreement and related Annex documents: Annex B, C-2 and E. Provision is also made to allow UNHCR to audit Partner accounts and conduct visits to Partner offices to verify the content of project reports by inspecting the Partner’s accounting records.

UNHCR prefers its Partners to maintain a separate bank account for recording and controlling the funds received from UNHCR. However, if, for legal, administrative or economic reasons, the use of separate accounts is not feasible and use of a pooled account is warranted, the Partner will need to seek approval from the relevant UNHCR Head of Office before signing the Partnership Agreement. The approved use of a pooled account should be reflected in the Agreement and all income and expenditure from UNHCR funds must be clearly traceable and auditable.

Partners are expected to maintain accounting records in sufficient detail to allow all receipts, commitments and disbursements of Project funds to be readily identifiable. Accounting records should include a general ledger accounting system (hard copy or computerized), bank statements and reconciliations, a cash book to record receipts and disbursements, inventories of non-expendable Goods and Property, staffing records and employment contracts, purchasing contracts, building contracts and sub-contracts. Documentation should also include back-up material to substantiate the accounting records, such as receipt and payment vouchers (identifying who paid/received money to/from whom, when, how much and for what), commitment records, bid documents and analyses, receiving and distribution reports, project reports and audit reports.

Partners should maintain their accounting records in a way which facilitates the required reporting to UNHCR, i.e. the accounting system should be detailed enough to provide the receipt, commitment and disbursement information necessary for each budget line item at Account level, in the Project budget.

### 5.4.2 Procurement

**Procurement** is undertaken to provide the required quantity and quality of goods and services required in addressing the identified needs of Persons of Concern at the time and place that they are needed and in the most cost-effective and efficient manner. The **procurement process** includes specification of requirements, sourcing, evaluation of offers/proposals, contract award, inspection, delivery, installation and commissioning resulting in the provision of the required goods and/ or services.

It is UNHCR’s policy to limit procurement by Partners to those occasions when the Partner has a clearly proven advantage, such as awareness of local conditions, specific technical expertise, operational efficiency, cost saving, or compelling urgency. The procurement of core relief items, medicines and vehicles is normally done centrally by UNHCR and not delegated to Partners.

**Determining Procurement Requirements**

UNHCR plans its procurement requirements well in advance. This involves two stages:

1. As part of the operational planning process, the IPMC and UNHCR Office undertake a comparative advantage analysis to determine whether procurement through partnership is more advantageous than direct procurement. Authority to approve the entrusting of procurement to a Partner sits with the UNHCR Head of Office.
2. If procurement through Partners is recommended, it should be included in the Call for Expression of Interest to Partners during the Partner selection process. As part of the selection process for Partners, the IPMC will then need to assess whether potential Partners have the required human and logistics capacity to undertake procurement of the required type and scale (see [**Section 3.3.3**](#_3.3.3_Call_for)). For procurement values of more than USD 100,000 under one Partnership Agreement, potential Partners are required to have pre-qualification for procurement (PQP) status with UNHCR (see further details below).

Once the Partner selection process is completed and the UNHCR Head of Office has made a decision to entrust procurement to a Partner, the requirements must be included in the Partnership Agreement and supporting project procurement plan. The UNHCR office should also make every effort to support the Partner in obtaining exemption from the relevant authorities for all relevant taxes and duties for the purchase and importation of goods and property for humanitarian purposes.

**General Requirements for Partners to Undertake Procurement**

A Partner can undertake procurement under a Partnership Agreement subject to UNHCR’s assessment of its procurement capacity, and when:

* It brings added value in addressing needs of Persons of Concern (e.g. local conditions, specific technical expertise, operational efficiency, cost savings)
* There are compelling circumstances (e.g. urgency)

Partners are obliged to comply with the [**IPMS Guidance Note No. 4 Rev1: Procurement by Partners with UNHCR Funds**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) in relation to all procurement activities that they are authorized to carry out. Furthermore, they must have:

* The capacity and capability to procure the required goods and services in the quantity, quality, location and time frame needed, and in a cost effective and efficient manner;
* Successfully completed the process of selection or retention for a Partnership Agreement;
* Have a signed Agreement with UNHCR detailing the procurement requirements, and stipulating the mutually agreed responsibilities, obligations and terms, including clauses on delegated authority for procurement by the Partner;
* Adopt standards comparable with UNHCR’s principles, policies and practices for procurement (a summary is provided in **Table 32** below) and comply with the policy and procedures outlined in [**Guidance Note 4 Rev1**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx). Annex 2 of the Guidance Note sets out the key criteria for assessing compatibility.

When UNHCR is assessing whether to entrust procurement to a specific Partner, it must verify that the Partner’s procurement rules, regulations and practices are compatible with:

* UN/UNHCR Key Procurement Principles,
* UNHCR ethical standards in procurement; and
* A systematic approach that maintains control measures for effective management of procurement processes.

When a Partner contracts goods and services from a supplier, the Partner will be fully responsible for all work and services performed by that supplier, and for all acts and omissions committed by the supplier or its employees.

**Table 32: Summary of UNHCR Procurement Principles, Ethics, Conduct and Accountability Requirements[[60]](#footnote-60)**

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| --- |
| **Procurement Principles** |
| Procurement is undertaken based on the following principles:   * Best value for money; * Fairness, integrity and transparency through effective competition; * Effective international competition; and * Best interests of the organization |
| **Compliance of Procurement Solicitation with the Procurement Principles** |
| **Distinct Thresholds -** the threshold applied by Partners to trigger a formal solicitation method (e.g. competitive bidding) should not be materially higher than the threshold set by UNHCR. Clear triggers for all forms of formal and informal solicitation must be in place.  **Informal Solicitation Method -** does not require a formal competitive bidding process i.e. a simple Request for Quotation is sufficient. At least three valid quotes are required, vendors should be given at least 3 days to submit a quote which must be in writing. Quotes may only be opened after the deadline for submissions.  **Formal Solicitation Method -** involves the submission of sealed/secure bids/proposals submitted by a publicly announced deadline. Tender documentation should be publicly available, promoting fair access to all potential suppliers in the market and provide clear guidance on the solicitation provisions, including evaluation criteria.  **Exception to the Effective Competition Principle -** may apply in circumstances such as the absence of a competitive marketplace, price fixing through regulation or legislation, use of recent comparable competitive bidding results, specific standardized requirements – see Guidance Note 4 Rev 1 for full details. Any such waiver of competitive solicitation must be taken by the Partner Head of Office and fully justified and documented in writing. |
| **Ethics in Procurement** |
| Procurement must be undertaken in an ethical manner, with total impartiality, and without any preferential treatment. Partners must not condone corrupt and fraudulent practices or any other form of misconduct including:   * **Conflict of Interest -** where the private or personal interests of Partner staff interfere or appear to interfere with performance, obligations or impartiality. * **Breach of Confidentiality -** where confidential information is disclosed putting vendors at an advantage or disadvantage and/or harming the reputation of the Partner organization and/or UNHCR. * **Gifts and Hospitality -** where the acceptance of gifts by Partner staff constitutes or suggests the provision of favourable treatment to a vendor or other entity. * **Proscribed Practices -** which can occur at any stage of the acquisition process and include fraud, corruption, collusion, bribery, coercion, extortion, bid rigging, unethical behaviour. Refer to Guidance Note 4 Rev 1 and the UNHCR Handbook on Fraud and Corruption Prevention, Detection and Reporting (in **Resources box**) for further guidance. * **Suppliers Code of Conduct -** Partners have standards for their vendors, along with sanctions to reduce the risk of corrupt practices in procurement. Suppliers should only be contracted if they perform satisfactorily and ideally in accordance with the principles in the UN Supplier Code of Conduct regarding labour, human rights, environment and ethical conduct. |
| **Other Essential Requirements** |
| * **Segregation of Duties -** all actions in the procurement process, contract management and payment processes are properly authorized, and appropriate segregation of duties is ensured. * **Proper Vendor Management -** proper evaluation, pre-qualification and registration and effective management of vendors are carried out. * **Customs and Taxation -** maximize the use of any tax exemptions available under the Partner’s charitable status. * **Documentation of Procurement Actions -** all actions to be fully and transparently documented. |
| **Organizational Structure and Duties** |
| The Partner must have a clear organizational structure delineating and assigning the authority, responsibility and accountability for procurement. Partner employees assigned such delegated authority for procurement, finance and other relevant functions must be properly trained.  A Partner Committee on Contracts must be established. The acquisition processes followed must comply with the applicable policy and procedures for procurement of goods and services. The organizational structure as well as the authority, responsibility and accountability of each function must be documented. |

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| **TIPS** | * Partners should refer to the **IPMS Guidance Note No. 4 Rev1: Procurement by Partners with UNHCR Funds** for full details of their obligations in relation to undertaking any procurement activities. * Partners are advised to use the [**Partner Procurement Self-Assessment Checklist**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) (Annex 1 of Guidance Note 4 Rev1) to review and verify whether they have the required procurement policies and procedures in place, and whether these meet the required standards for compliance with Guidance Note 4 Rev1. |

**Requirements for Partners to undertake procurement values of more than USD100,000 under one Partnership Agreement**

If the expected procurement value under a single Partnership Agreement is USD 100,000 or more, then any Partner being considered the Agreement and this level of procurement must:

* demonstrate sufficient capacity (actual or potential human and logistics resources for undertaking procurement at the required scale) and experience in undertaking effective and efficient procurement of similar size, specification and within the same or similar operating environment; and
* have current PQP status covering the country in which the Partnership Agreement is to be signed, unless the Partner falls under the exemptions of paragraph 19 of Guidance Note 4 Rev1.

**Table 33: Partner Requirements for Pre-Qualification for Procurement**

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| **Procurement of Goods and Services**  **Below USD100,000** | **Procurement of Goods and Services**  **Above USD100,000** |
| The Partner does not need to be  pre-qualified for procurement. | The Partner needs to be prequalified  for procurement i.e. has PQP status |
| Partner signs the agreement and in doing so:   * Confirms that it has the capacity to undertake procurement up to a value of USD100,000; * Commits to conduct procurement in line with UNHCR procurement principles and standards outlined in Guidance Note 4 Rev1; * Complies with the terms of the Partnership Agreement | Partner signs the agreement and in doing so:   * Confirms that it has the capacity to undertake procurement of a value of USD100,000 or more; * Confirms that it has a valid Prequalified for Procurement (PQP) status granted by UNHCR that covers the country in which the Partnership Agreement is signed; * Complies with the terms of the Partnership Agreement * Informs UNHCR if its procurement rules, policies or procedures change. |

There are two types of PQP status that could be obtained by Partners, depending on the extent of their activities:

1. Partners carrying out activities on an international level with entities in several countries might be entitled to gain the global PQP status that is applicable to all countries where the Partner operates;
2. Partners that only carry out activities at a country level – even if members of an international Family/Federation, are only entitled to gain the PQP status to operate in a single country.

**Process for Attaining Pre-qualification for Procurement (PQP) Status**

To be considered for a project involving procurement values in excess of USD 100,000, Partners that do not already have either international PQP status, or PQP status in the country of project implementation, will need to apply for PQP status. Assessment of PQP status for a Partner is conducted independently from the Partner selection and retention process and is conducted by UNHCR’s Procurement Service.

To apply for PQP status, a Partner:

* must be registered in the Partner Portal;
* must submit a request for Pre-qualification;

Partners may also request and be granted PQP status even if no Partnership Agreement is currently envisioned. This PQP status can be a valuable contingency measure in emergency-prone areas.

The evaluation process to determine the granting of a PQP status involves review by UNHCR’s Procurement Service, of the compatibility of the Partner’s procurement policies and procedures with the provisions of [**Guidance Note 4 Rev1 (Annex 2)**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx). It is not an evaluation of the Partner’s capacity and capability to perform effective procurement in a given operation. Such a capacity and capability assessment is conducted separately by the UNHCR Country Office as part of the Partner selection process.

To apply for PQP status, the Partner must submit the following documents via email, the Partner Portal, or via the UNHCR Head of Office if there is poor internet connectivity:

1. Scanned version of completed “Partner Procurement Self-Assessment Check List for Application for Pre-qualified for Procurement (PQP) Status” signed by an authorized person (Head of Supply or Representative of the Partner Organization) (see [**Annex 1 of Guidance Note 4 Rev1**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)).
2. A copy of their Procurement manual detailing procurement policy and procedures as well as any procurement related sample forms for evaluation.

In emergency situations, a Partner can submit an urgent request for pre-qualification in accordance with the procedure described above. In this situation, the submission should be accompanied by a declaration by the UNHCR Office confirming the urgency of the situation, together with any other comments on the application.

If the evaluation determines that the applicant’s procurement manual, policies and procedures are compatible with the provisions of this Guidance, the applicant will be granted the PQP status for a period of maximum five years. The Partner will also be added to the list of Partners with PQP status recorded on UNHCR’s intranet, on the Partner Portal and on the UNHCR public website [www.unhcr.org/supply](http://www.unhcr.org/supply).

If there are changes to a Partner’s Procurement manual or procedures, or if their PQP status expires, the Partner must submit a request to renew its pre-qualification status. In the event of expiry, this request must be submitted before 1st March of the 5th year.

### 5.4.3 Goods and Property Management

**Goods and Property** refers to any tangible or intangible items which are in the custody of the Partner to support implementation of agreed activities in addressing the needs of Persons of Concern. These may consist of:

* **UNHCR Goods and Property**: items provided in-kind by UNHCR to the Partner (known as ‘UNHCR Assets’ and recorded in UNHCR’s accounts and MSRP system).
* **Project Goods and Property**: items acquired by the Partner with UNHCR funds. [**IPMS Guidance Note 4 Rev1: Procurement by Partners with UNHCR Funds**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) provides guidance on the procedures for procurement.

Such items may include any or all the following:

* **Property, Plant and Equipment** (e.g. vehicles, structures, buildings, etc.) Tangible items with a unit value of US10,000 or more, and a useful life of at least one year;
* **Serially-Tracked Items** (e.g. desktop computers, network printers, satellite transmitters, etc.) Tangible items used for day-to-day business with a unit value of less than USD10,000, that do not fit in with the category of ‘Property, Plant and Equipment’ or ‘Inventories’;
* **Inventories** (e.g. tents, blankets, kitchen sets, etc.) All items intended for distribution to the Population of Concern irrespective of their value; or
* **Intangible Assets** (e.g. software, licenses and rights, copyrights, etc.) Identifiable non-monetary value assets without physical substance.

In addition to the standard clauses in the Partnership Agreement (under Article 12), there are two types of Project Property Agreement which must be completed as appropriate to the proposed use of the Property. The appropriate Agreement must be signed by UNHCR and the Partner at the time of finalising the Partnership Agreement. Depending on the circumstances, separate Agreements may need to be signed for different items:

* **[Agreement for the Receipt and Right of Use of UNHCR Assets](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) (RoU) -** which serves to record receipt of UNHCR Goods and Property by the Partner and outlines specific clauses in relation to their use. The Partner must sign the Agreement as acknowledgement of receipt of the correct Goods and Property. Their value should not be included in the Project Budget. However, they must be recorded and tracked by the Partner.
* [**Agreement on Transfer of Ownership of UNHCR Assets and/or Project Goods and Property**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) **-** which sets out the conditions for transfer of ownership of Goods and Property to the Partner or a third party.

UNHCR retains the right to recall its property or assets at any time, should they be required in another project, in case of breach (e.g. misuse of the asset for other purposes than the intended) or termination of the contract.

**Partner Responsibilities in Relation to Goods and Property**

* The Partner is responsible for the proper custody, maintenance and any damage and loss, theft and third-party liability in respect of Goods and Property. Any costs for repair/replacement which are more than what is provided in the Project Budget will require written authorization from UNHCR.
* The Partner should acquire the appropriate type and level of insurance coverage in accordance with local legislation and practice. Adequate budgetary provisions should be made for such insurance
* UNHCR must be informed of any compensation awarded from a claim against any insurance policy funded by UNHCR. The amount received should be treated as miscellaneous revenue received by the Partner.
* Any vehicles provided in-kind by UNHCR as part of UNHCR Goods and Property will remain part of UNHCR Global Fleet Management (GFM). These vehicles will have UNHCR GFM Vehicle Insurance. The UNHCR Office should make any necessary provisions to reflect vehicle rental and insurance charges for UNHCR vehicles in the Project Budget.
* The Partner is responsible for tracking, verification and maintaining proper records for both UNHCR and Project Goods and Property.
* The Partner is required to provide information about UNHCR and Project Goods and Property twice a year through the [**Goods and Property Report**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) (Annex D to the Partnership Agreement). Guidelines on the full reporting requirements can be found in the document. UNHCR should in turn regularly monitor and verify this information as part of their monitoring activities.

**Return, Disposal and Transfer of Goods and Property**

In all cases, unless UNHCR opts to transfer the ownership of specific items, all Goods and Property acquired or received by the Partner must be transferred back to UNHCR:

* upon completion of the Project
* at the request of UNHCR
* upon termination of the Partnership Agreement, unless otherwise agreed upon in writing.

The return, transfer or disposal of Goods and Property, including items that are damaged or broken, must be approved by UNHCR. Whatever decision is taken by UNHCR in relation to the return, disposal or transfer of Goods or Property, it must be approved, documented and copied to the Partner (refer [to **Section 6.4.2**](#_6.4.2_Retention_or) for reporting details).

### 5.4.4 Transfer of Instalments to Partners

The transfer of funds (instalments) to Partners by UNHCR is made in line with the planned activities, as described in the Work Plan (Annex C-1). During preparation of the Partnership Agreement, the details and timing of the financial resources required to implement the project should be negotiated and agreed between UNHCR and the Partner and should be documented in the Indicative Instalment Plan (Partnership Agreement Annex C-2). As the scope of different Partnership Agreements varies, there is no standard or typical Instalment Plan. Some projects can have 4 instalments, while others may have only 2 or 3.

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| **TIPS** | * Align the timing of instalments with key outputs in the Work Plan to ensure that there is sufficient funding in place for contracting the services or procuring the goods required * Ensure there are sufficient instalments planned to meet cash flow requirements, for example for cash-based interventions * Regularly monitor the receipt of instalments from UNHCR and follow up promptly in the event of delays * Allow at least one additional month lead time for each period that a given instalment tranche is expected to cover to ensure adequate cash flow. For example, if an instalment is planned for the first quarter, it should cover the funding requirements for 3 months of the first quarter, plus funding for an additional month’s activities to allow sufficient lead time before release of the next instalment. |

The Instalment Plan forms the basis for calculating the remittances to be transferred to the Partner’s nominated bank account, Instalments can only be transferred in the currency of the project budget and to the nominated bank account which must bear the official name of the Partner as it appears on the Partnership Agreement.

The first instalment payment is made by UNHCR upon signature of the Partnership Agreement by all parties and within ten working days following the date that the Agreement comes into force i.e. date of the last signature. (Refer to [**Section 5.5.1**](#Sec5_5_1) for guidance in relation to exceptional circumstances when a project may have to start prior to signing an Agreement by all parties).

Subsequent instalments will be made subject to:

* availability of funds;
* receipt, verification and approval of the project financial report(s) (see [**Section 6.2.3**](#_6.2.3_Project_Finance));
* receipt of a duly justified request from the Partner for a cash transfer to be made;
* checking that the amount of the requested instalment is commensurate with the Partner’s actual performance;
* checking that the payments made are in line with the rate of implementation.

Any unauthorized or ineligible expenditures and unsubstantiated reports may be rejected by UNHCR and the respective funds recovered. At the end of the project period, any unspent balance remaining from previous instalment(s) must be reimbursed to UNHCR (refer to [**Section 6.4.1**](#_6.4.1_Project_Closure) for further information on project closure).

Project implementation can lead to changes in the planned activities and funding requirements, necessitating revisions to the Instalment Plan. However, such changes do not require an amendment of the Partnership Agreement.

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| **RESOURCES** | ***Financial Management and Controls***   * UNHCR **Strategic Framework for the Prevention of Fraud and Corruption**, July 2013   <http://www.refworld.org/pdfid/5433a4e54.pdf>   * **Partnership Agreement Annex C-2: Instalment Plan**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **Financial Regulations and Rules of the United Nations, 2015**   <https://hr.un.org/handbook/index/8254>   * **MANGO Financial management toolkit for NGOs**   <https://www.mango.org.uk/guide>  ***Procurement***   * IPMS Guidance Note 4 Rev1: **Procurement by Partners under Partnership Agreement,** Jan 2018:   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **UN Procurement Manual**, v7, 2013   [https://www.un.org/ProcurementManual](https://www.un.org/Depts/ptd/sites/www.un.org.Depts.ptd/files/files/attachment/page/pdf/pm.pdf)   * **UN Supplier Code of Conduct**   <https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct>  ***Goods and Property***   * **Agreement for the Receipt and Right of Use of UNHCR Assets (RoU)**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **Agreement on Transfer of Ownership of UNHCR Assets and/or Project Goods and Property**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **Partnership Agreement Annex D: Goods and Property Report**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

# 5.5 UNHCR Modalities for Managing Partnerships

### 5.5.1 Managing a Partnership Agreement

Comprehensive guidance on the correct formats and requirements for managing a Partnership Agreement are set out in the [**IPMS Guidance Note 8: Management of UNHCR-Funded Partnership Agreements**](https://partner.unhcr.org/partnerportal) which must be referred and adhered to by UNHCR staff and shared with all relevant Partners.

**Signing a Partnership Agreement**

Partnership Agreements are normally signed for a calendar year from 1 January to 31 December. They may be signed at different times or for shorter periods depending on the specific requirements and operating context. However, in all cases the completion date of the Partnership Agreement can be **no later than 31 December** of the budget year. Refer to **Table 34** for guidance on the recommended completion, submission, and approval timing for different elements of the Partnership Agreement cycle.

**Table 34: Timing for Main Elements of the Partnership Agreement Cycle[[61]](#footnote-61)**

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| **Activity** | **Timing** | **Responsibility** |
| Partner participates in development of Operations plan | February/March | Partner and UNHCR |
| Partner selected for project implementation | Recommended latest by October | UNHCR |
| Agreement reached on project activities, including: objectives, budget, performance targets, etc. | Recommended by November | Partner and UNHCR |
| Partnership Agreement documents finalized (main body and annexes) | Recommended by December | Partner and UNHCR |
| Partnership Agreement signed | Latest by 31 December for implementation as of 1 January | Partner and UNHCR |
| First instalment paid | Within 10 days of signing Partnership Agreement | UNHCR |
| Subsequent instalments paid | As per the instalment plan (see [**Section 5.4.3**](#Sec5_4_3)) | UNHCR |
| Monitoring of project activities and project goods and property | Ongoing, as outlined in the Partnership Agreement | UNHCR and Partner |
| Joint monitoring | In accordance with requirements specified in Partnership Agreement | Partner and UNHCR |
| Preparation and submission of project reports (see **Table 6.3)** | Quarterly and/or as specified in the Partnership Agreement and when instalments are requested | Partner |
| Verification of Partner reports and follow up, documentation | In a timely manner following submission of reports | UNHCR |
| Verification of goods and property (where applicable) | Final quarter of project implementation | Partner and UNHCR |
| Finalization of implementation | 31 December (unless the project duration is shorter, or an extension is authorized) | Partner and UNHCR |
| Project liquidation (see [**Section 6.4.1**](#_6.4.1_Project_Closure)) | 31 January (unless the project duration is shorter, or an extension is authorized) | Partner and UNHCR |
| Final project reporting (see [**Section 6.4.1**)](#_6.4.1_Project_Closure) | Not later than 15 February (unless the project duration is shorter, or an extension is authorized) | Partner |
| Project audit reports submitted to Headquarters | Not later than 30 April | Partner, UNHCR, auditors |

UNHCR and the Partner organization are jointly responsible for finalizing and signing the Partnership Agreement in a timely manner. Before any activities begin, the Partnership Agreement must be signed by duly authorized personnel from both parties. However, in exceptional cases and if agreed and stated in ‘Project Implementation Period’ clause of the Agreement (Article 3.2), implementation of the project may start earlier than the signature date. In this case, the Agreement comes into force from the date specified in Article 3.2 as the effective start date of implementation. Payment of the first instalment from UNHCR should also be paid within ten working days of the date that the Agreement comes into force.

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| **TIPS** | **Getting an Agreement Signed**  UNHCR to provide details |

Timely signing of Partnership Agreement is very important. Delays in signing the Agreement and releasing funds can generate risks for Partners, delay project implementation, and have a negative impact on Persons of Concern. Significant delays may also affect cash flow, lead to losses or requests for recovery of additional costs from UNHCR or, render parts of the Partnership Agreement such as planned activities invalid, requiring revision of the Agreement. Where there is a risk of delays, it is advisable to agree a timeline reflecting the actual situation with realistic lead times, benchmarks and deadlines, for authorizations and other potential challenges.

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| **TIPS** | **Avoiding Delays in Project Implementation**   * Agree realistic reporting requirements ([**refer to 6.2.1**](#_6.2.1_Reporting_on)). Ensure that these are clearly stated in the Partnership Agreement, scheduled well in advance and the Partner has blank copies of all templates. * All changes to the Partnership Agreement project description, work plan or budget should be made before 31st December to avoid delays. * Conclude signing of the Partnership Agreement in December to ensure timely commencement of activities from January. * Assign responsibilities for timely monitoring and verification of activities in line with the plan. * Ensure both parties have an original signed copy of the Agreement * Transfer instalments to Partners in a timely manner with the first instalment paid no later than 10 days after signing the Agreement. |

**Implementing in Emergencies**

There are several special measures which allow UNHCR to respond rapidly and flexibly through its Partners in a sudden onset emergency.

* Mapping of current and potential Partners as part of preparedness or contingency planning;
* Issuing of a Letter of Mutual Intent to Partners to kick start project implementation while a standard Partnership Agreement is being prepared (refer to [**Section 5.1.1**](#Sec5_1_1) for templates and further details);
* Issuing of a waiver by the UNHCR Controller if there is insufficient time for a full Partner selection process (refer to [**Section 3.3**](#_6.3_Project_Audit));
* Direct procurement of goods or services by UNHCR for a joint intervention by a Partner and UNHCR.

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| **TIPS** | **Mitigating Risks to Successful Partnership Engagement[[62]](#footnote-62)**  Thoroughly review and check that:   * Project rationale and implementation arrangements are well articulated and understood by UNHCR and the Partner. * Deliverables and expected results are well-defined. * All inputs have been fully and realistically costed and they are clearly linked with the expected deliverables. * Potential project risks have been fully assessed and mitigation measures are integrated into the project management arrangements. * Planning and timing of project activities is accurate and realistic, and appropriate resource requirements are identified. * There is sufficient clarity and understanding of the terms and conditions of the Partnership Agreement across relevant UNHCR and Partner staff. |

### 5.5.2 Amending and Terminating a Partnership Agreement

**Amending a Partnership Agreement**

An amendment to a Partnership Agreement will be needed if any of the following situations arise:

* the scope of the project changes (e.g., PPG, goal, rights groups, objectives, sites or situations change);
* there is a significant increase/decrease in the number of beneficiaries;
* there is significant modification of the budget within the Partnership Agreement value (e.g., certain budget lines increase or decrease substantially);
* the budget is increased beyond the Partnership Agreement value; and/or
* the project implementation period requires adjustment.

In such cases, a Partnership Agreement amendment must be issued by UNHCR to formally recognize and record the agreed modifications, using the standard [**Partnership Agreement Amendment template**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx). All parts of the original agreement that are unchanged remain valid. Amendments must be signed by the duly authorized personnel of UNHCR and the Partner organization. If the project implementation period needs to be extended into the following year, additional approval is needed from the UNHCR Controller.

**No Cost Extension**

The UNHCR budget period ends on 31 December. Therefore, no expenditure or commitments can be made beyond this date. Any further commitment of funds or implementation of Project activities beyond this date requires written authorization from the UNHCR Controller.

In exceptional circumstances a **no-cost extension** of the **project implementation period** and/or **liquidation period** beyond the dates specified in the Partnership Agreement could be authorized by the Controller. If such extension is granted, it should be recorded in a Partnership Agreement Amendment before the end of the Partnership Agreement implementation period (not later than 31 December).

Requests for extension of the Project Implementation Period and/or Liquidation Period must be put forward by UNHCR Offices to the Controller during the

last quarter of the Project Implementation Period. The deadline for such requests is usually specified in the UNHCR year-end accounts closure internal instructions.

Once the extension of the Project Implementation and/or Liquidation Period is authorized, the requesting UNHCR Office will be informed by IPMS about the approved extension dates, including the date the final reports and Project audit reports are due.

**Terminating a Partnership Agreement**

**Termination** is the cessation of a Partnership Agreement prior to the end of its implementation period, the details of which are set out in Article 13 of the Partnership Agreement. Termination may be initiated by UNHCR or the Partner organization **without cause** at any time by giving 90 days advance written notice. Such a termination is extremely rare, given the potential impact on the other party – and both parties must ensure that there is no negative impact on the Persons of Concern. UNHCR may terminate a Partnership Agreement **with cause**, at any time and with immediate effect. Situations that may lead to the termination of a Partnership Agreement by UNHCR**[[63]](#footnote-63)** with cause, include:

* A partner is sanctioned by the United Nations Security Council Committee on Sanctions pursuant to resolutions 1267 (1999) or the partner is proven to have been supporting, directly or indirectly, individuals and entities associated with those sanctioned by the Sanctions Committee.
* A partner is charged or found to be complicit in corrupt activities, including crimes against humanity and war crimes, or becomes involved in activities that would render the organization unsuitable for working with Persons of Concern.
* A partner discriminates against Persons of Concern, including discrimination due to race, religion, nationality, political opinion, gender or affiliation with social groups.
* A partner demonstrates behaviour that is found to be in gross violation of humanitarian and partnership principles, including a violation that damages the credibility or reputation of UNHCR.
* A partner misuses or misdirects UNHCR resources (financial and property) and fails to take appropriate remedial action.
* A partner fails to carry out all or parts of the agreed work in the Partnership Agreement.
* A partner’s financial status leads to any one of the following: appointing a receiver; being judged as bankrupt, is liquidated or becomes insolvent; and/or the partner makes an assignment for the benefit of its creditors.
* A partner is found in violation of laws, using of child labour, related to corruption or involved in anti-personnel mine manufacture.
* A partner is found to be in gross violation of the terms, conditions or requirements of the Partnership Agreement and fails to take remedial action.
* A partner fails to take all possible measures to prevent its personnel from exploiting and abusing Persons of Concern or fails to investigate allegations of the same and to take disciplinary and corrective actions when misconduct is found to have occurred (see [**Section 1.3.3**)](#Sec1_3_3).
* A significant curtailment or termination of UNHCR’s mandate or funding mandate in the country of operation. UNHCR must inform the partner without delay in the event of such a situation.

The process of termination is complex and sensitive. It requires that both parties develop a joint action plan for winding down the Agreement, and all subsequent steps are jointly agreed and recorded.

In the event of termination, the Partner will be reimbursed by UNHCR for all reasonable costs incurred prior to the notice of termination, provided these costs are not more than the funds made available under the signed Partnership Agreement and they relate to work and services conforming to the terms of the Partnership Agreement. UNHCR is not liable for any expenditure or obligations made in advance, or in excess of remittances disbursed, unless expressly authorized by UNHCR.

When a Partnership Agreement is terminated, UNHCR no longer has any obligations under the Agreement or liabilities for compensation. Moreover, the Partner must return all unspent funds and any UNHCR property in its possession. The Partner should be informed of these matters in writing to avoid any misunderstanding or disputes.

It is important to note the difference between the termination of a single Partnership Agreement and termination of partnership between UNHCR and a Partner organization. Termination of a single Partnership Agreement does not automatically result in the termination of partnership with that organization in all other projects and locations. While the termination of a Partnership Agreement is at the discretion of a UNHCR Representative, a decision on cessation of a partnership can only be taken at UNHCR Headquarters.

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| **RESOURCES** | ***Checklist for Preparing a Partnership Agreement***   * **IPMS Guidance Note 8: Management of UNHCR-Funded Partnership Agreements,** Dec 2017   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)  ***Amending a Partnership Agreement***   * **Project Partnership Agreement Amendment**:   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

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| Chapter 6: Monitoring, Reporting, Audit and Closure of Projects |
| Chapter 6 explains the ongoing requirements for project monitoring, verification and reporting by both Partner organizations and UNHCR. It describes the modalities for monitoring and review and sets out the timing and content for reports covering project performance, finance, personnel and use of assets and resources.  The chapter also provides guidance on UNHCR’s risk-based approach to audit and explains the purpose, steps and timeline for the auditing process. Guidance is also provided on other aspects of project closure including final reporting, liquidation of funds and return or transfer of assets. |

# 6.1 Monitoring and Review

Project monitoring enables humanitarian organizations to assess whether their activities are on track and achieving the desired results for Persons of Concern. This helps informed timely decision making and provides opportunities for building the capacity of those involved.

UNHCR and its Partners are responsible for monitoring their own activities in refugee and IDP and mixed situations. UNHCR also has an obligation to monitor all activities implemented with UNHCR funds. In addition, UNHCR and its Partners should participate in and support inter-agency monitoring initiatives in refugee situations, as set out in the **Refugee Coordination Model and** IDP or mixed situations, as covered in the 2016 [**Humanitarian Response Monitoring Guidance**](https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance). In both cases, every effort should be made to ensure consistency between inter-agency and UNHCR indicators and data collection mechanisms in order to simplify the monitoring process.

In an IDP context, UNHCR is responsible for coordinating inter-agency monitoring within the clusters it leads (refer to [**Section 2.2.1** for](#Sec2_2_1) details). Similarly, in a refugee situation, in line with the Refugee Coordination Model, UNHCR has a responsibility to coordinate the monitoring of the whole response, including the inter-agency dimension, as well as its own activities.

### 6.1.1 Monitoring and Review of UNHCR Projects

**Purpose and Scope**

UNHCR uses a process of monitoring and verification with Partners to measure progress and results at two levels **– impact and performance level** – corresponding to the objectives and outputs in UNHCR’s **Results Framework**. The purpose is to:

1. Determine whether UNHCR and its Partners are achieving the expected results, in line with the allocated resources, timeframe and terms of the Partnership Agreement. This reflects the **project scope** described in **Section 5.2.1**.
2. Improve the quality and results of programming for Persons of Concern by generating the evidence required to adjust ongoing programming and make improvements for the future.
3. Report to donors, governments, Persons of Concern and other stakeholders.

The frequency, methods and schedule for project monitoring and verification should be informed by:

* The **risks** associated with the context, nature of project and nature of organization (UNHCR, Partner, others);
* The **likelihood** and impact of these risks to the project should they occur;
* The **criticality** of a project to the success of an operation.

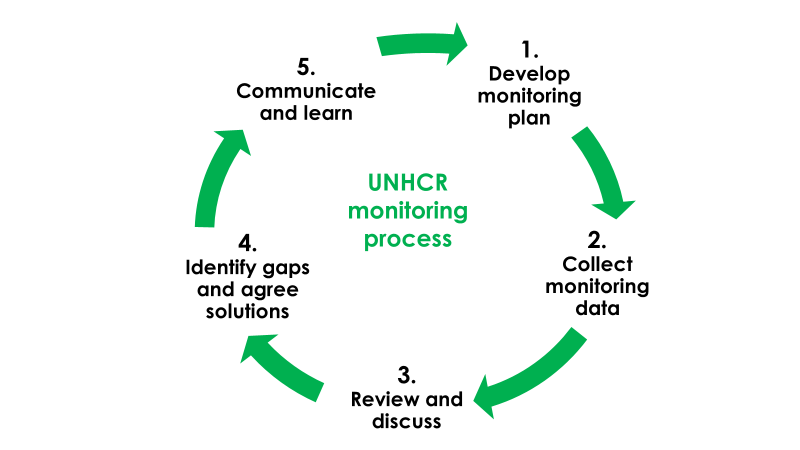
Extensive monitoring and verification are likely to be needed for critical high-risk projects. For example, where the critical needs of Persons of Concern will not be met if the project fails to deliver. [**Section 3.1.3**](#_3.1.3_Managing_Project) provides further guidance on managing project risk.

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| **DEFINITION** | **Verification** refers to establishing and obtaining reasonable assurances on the accuracy of the expenditures and performance delivery reported by the Partner to UNHCR. In order words, reported expenditure and use of resources are sufficiently supported by evidence to demonstrate that objectives or outputs have been met and delivered in accordance with set targets and indicators. |

### 6.1.2 UNHCR Project Monitoring Process

UNHCR follows five steps in the monitoring and review of projects that are implemented through its Partners[[64]](#footnote-64), as illustrated in **Figure xviii**. Individual Partners may have alternative steps or procedures that they use monitoring and review of their own projects, including those they are implementing in partnership with UNHCR.

**Figure xviii: UNHCR Monitoring Process**



**Step 1: Developing a Project Performance Monitoring Plan**

UNHCR recommends that a Project Performance Monitoring Plan is developed jointly for any project that is being implemented in partnership. The plan should be completed within one month of signing a Partnership Agreement and can be implemented individually or jointly. It specifies how, when and by whom the performance and impact of a project will be monitored and verified and how the outcomes will be used. Clear channels of communication must be established to facilitate coordination between UNHCR and its Partners for monitoring and verification activities.

It is important that the Project Performance Monitoring Plan is realistic and considers the time and financial and human resources required by both parties. The Plans are reviewed by the UNHCR Head of Office and help to inform the overall monitoring of UNHCR’s Operations Plan. Key components of a Project Performance Monitoring Plan are outlined in **Table 35** below.

**Table 35: Key Components of a Project Performance Monitoring Plan[[65]](#footnote-65)**

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| --- | --- |
| **Component** | **Key considerations** |
| **1. Establish the purpose for monitoring and target audience for the outcome** | * How will progress against delivery of results within agreed budget and time frame be monitored? * How will cross cutting issues such as gender mainstreaming, protection mainstreaming, and child protection be monitored? * How will compliance with the general terms and conditions of the Partnership Agreement be monitored? * Who requires information on the results of monitoring and review activities? * Does the Project Performance Monitoring Plan require any tailored activities to meet these needs? |
| **2.**  **Select methods for monitoring and review** | * What are the most appropriate monitoring and review methods and tools suited for the project, Partner and operational environment? * What data collection methods are most relevant, effective, credible and useful? * How will collected information be recorded systematically, stored safely and reported? |
| **3. Consider the frequency and time required** | * How much time will be required to prepare for, undertake and document the monitoring and review activities? * What is the planned frequency for each type of project monitoring and review activity? * What events will trigger an increase or decrease in planned monitoring and/or review? |
| **4. Identify the required skills, human resources, participants, funding and other resources** | * Who will undertake the monitoring and review activity and report on results? * What skills are required for these duties? Is training required? * Do UNHCR and the Partner have sufficient expertise to monitor all elements of the project? What external expertise might be needed? * What other resources will be required to support monitoring and review activities (ex. vehicles, escorts, drivers, equipment, etc.)? |
| **5. Discuss and jointly prepare Project Performance Monitoring Plan** | * Who should be involved in developing the Project Performance Monitoring Plan? * Who must be informed of the project monitoring results for overall country implementation and coordination purposes? * What inputs and agreements does the Partner need to provide? * What coordination and communication channels are needed? |
| **6. Regularly review the monitoring plan** | * When and how frequently should the Project Performance Monitoring Plan be reviewed? * What process should be followed for making any required adjustments? |

Project monitoring must take account of both financial and programmatic aspects of a project. It is important to review previous project reports (performance and financial), mission reports, audits and reports on the management of supplies and assets. Time is also needed to ensure all relevant UNHCR and Partner staff have a thorough understanding of the Partnership Agreement. Table 36 below indicates how each section of the Partnership Agreement relates directly to a monitoring objective.

**Table 36: Understanding monitoring requirements of the Partnership Agreement**

|  |  |  |
| --- | --- | --- |
| **Section** | **Description** | **Monitoring objective** |
| **Project Description**  (refer to **Section 5.2.1**) | Stipulates performance specifications, such as baseline data, objectives, planned results, and indicators | To establish **actual performance against plans**, e.g. the project is achieving the expected results for the intended population |
| **Project Resources (Budget; Personnel)**  (refer to **Section 5.3**) | Describes the agreed resources allocation for delivering the expected outputs | To establish that **delivery of project results and expenditure are achieved within the allocated resources**, and resources have been used as intended. |
| **Project Work Plan and Instalment Plan**  (refer to **Sections 5.2.2** and **5.4.4**) | Shows the planned activities within timeline and resource requirements | To establish **delivery of project results and rate of implementation are within the planned time frame** |
| **General Provisions**  (refer to **Section 5.1.2**) | Describes the project standard provisions | **Compliance** with the ethics, terms, responsibilities and obligations of the PPA and **adherence** with financial rules and regulations |

**Step 2: Collecting monitoring data**

Monitoring and verification should be undertaken by Partner organizations and UNHCR, individually and jointly over the life of the project. For example, monitoring early in the year supports the management of programming already underway. Whereas monitoring closer to year-end assists with effective reporting and planning for future interventions.

Ideally this process should also include Persons of Concern and other stakeholders directly or indirectly impacted by the project. This is important in considering different perspectives and building ownership and commitment for follow up actions and resolutions. Tools for participatory monitoring include one-to-one informant interviews, group interviews, focus group discussions and specific monitoring committees.

Partners are generally responsible for collecting and validating data. This is shared with UNHCR through the reporting schedule specified in the Partnership Agreement (see [**Section 6.2.1**).](#_6.2.1_Reporting_on) UNHCR’s role is generally to verify the data to ensure quality and accuracy.

Effective **data management** is also an important part of the monitoring system. UNHCR is responsible for specifying any specific formats required for capturing data i.e. whether quantitative (numerical), qualitative (narrative), or both. Also, how the data should be organized (e.g., by location, by date, by objective). In addition, clear guidance should be given in relation to data storage, access controls required, and other data protection requirements (see [**Section 2.2.5**](#_2.2.5_Personal_Data) for further information).

**Joint monitoring**

The [**IPMS Guiding Note on Joint Monitoring and Partner Feedback**](http://www.unhcr.org/ngo-consultations/ngo-consultations-2013/Implementing%20Partnership%20Management%20Guidance%20Note%20Joint%20Monitoring%20and%20Partner%20Feedback.pdf)  incorporates ‘Joint Monitoring Terms of Reference – Guiding Principles and Key Considerations’ which has been developed to assist in defining the terms for joint monitoring and verification. Also refer to the Tips box below.

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| **TIPS** | **Joint Monitoring and Verification**   * All parties to the Partnership Agreement have a thorough understanding of the Agreement and the project results before commencing joint monitoring activities. * Appropriate staff is designated from UNHCR and the Partner for all technical and/or financial and accounting matters. * Before starting, all relevant primary sources of information (e.g. baseline thematic data, population information, project reports, etc.) are consolidated and shared. * Recognized community/beneficiary structures are actively engaged in the process. * Consideration is given to essential cross cutting issues including gender mainstreaming, protection mainstreaming, and child protection (refer to Chapter 7 for further guidance). * A well-structured and agreed checklist is used which covers multidisciplinary as well as thematic /sector-specific issues. * Joint activities include review and analysis of relevant data and reports as well as on-site visits. * Scheduling of activities allows time for gathering the appropriate staff and documentation, is convenient to all participating agencies, and in line with any requirement for programmatic adjustments. * Precautions are put in place to avoid raising unnecessary expectations which may arise from joint monitoring activities. * Clear time frames are agreed for follow ups, action plans, responses, clarifications and requirements for additional information arising from the monitoring process. |

**Verification of Data by UNHCR**

Verification of Partner reports should be initiated within five working days of receipt of a report. The relevant UNHCR Office must then verify, seek evidence and certify that the contents of project reports are based on facts before accepting them. Verification is a precondition to accepting the report, clearing expenditure accounts and releasing funds to the Partner.

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| **TIPS** | **Actions Conducted by UNHCR in Verifying Project Reports**   * Inspection of project sites and facilities and collection of evidence by technical specialists and project control and program staff. * Correlation of reported performance delivery and expenditures with actual outputs. * Checking reported expenditure against financial reports and accounting records to substantiate reported figures. * Assessing the quality and accountability of Partner internal financial control mechanisms (such as segregation of duties, accounting procedures, cash management, procurement, governance, fraud prevention, auditing, refugee compliant mechanisms, etc.). * Reviewing the management of goods and property provided by or financed by UNHCR to verify their location, use and condition. * Reviewing human resource management procedures and records and checking compliance with legal requirements and terms of the Partnership Agreement. * Checking compliance with ethics, standards of conduct, laws, regulations and rules applicable to the Partnership Agreement. |

UNHCR uses three main methods to verify data[[66]](#footnote-66):

* **Document review:** includes analysis of project progress reports (financial and narrative), monthly reports by UNHCR offices, official records (e.g., schools, hospitals) and reports prepared by other actors that contain secondary data relevant to UNHCR’s objectives.
* **On-site monitoring:** involves generating primary data to verify the goods or services provided to Persons of Concern through key informant interviews, focus group discussions, surveys and field visits. This is the most robust method of data collection for project monitoring and verification and may be conducted directly by UNHCR or jointly with Partners.
* **Remote monitoring:** used in cases where it is impossible to make field visits due to unacceptable security risks or denial of access (see box below for alternative methods). This can include indirect monitoring through multiple Partners or stakeholders with access to Persons of Concern, feedback from Persons of Concern, and the use of various tracking and information technologies (e.g. GPS, satellite monitoring)

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| **Remote Monitoring Methods**  **Web-based Remote Project Monitoring** – used in high security threat environments. Involves Partners uploading photographs with GPS information as evidence of project implementation  **Quality Assurance Team for Remote Management Accountability** – involves UNHCR team with background in relevant technical fields and access to operational areas.  **Third Party Monitoring** – provides an independent account of progress and quality of project implementation. Typically takes place after project completion limiting the scope for corrective actions  **Triangulated Local Monitoring** - (Persons of Concern / local community group monitoring / local government officials) - uses a combination of local actors where all parties must sign off on each project milestone. Risk of local actors lacking the technical skills required and/or a full understanding of the project. Generates local ownership, accountability and a good source of local information but can present risks to the monitors and local population. |

**Step 3: Reviewing and discussing findings**

Once data has been verified, it should be reviewed on a regular basis by UNHCR and the Partner organization to assess progress and results, identify gaps and recommend adjustments to programming in response to changing needs. The review should consider all pertinent issues identified during the development of the Project Performance Monitoring Plan.

Under the terms of the Partnership Agreement, as a minimum, a formal joint monitoring and review meeting must be conducted at the end of the project. This meeting along with any interim monitoring and review meetings should consider:

* progress of the project;
* working relationship between UNHCR and the Partner;
* compliance with the Partnership Agreement;
* success and challenges for the Partner in meeting the agreed objectives.

**Step 4: Identifying Gaps and Agreeing Solutions**

Once a summary of the findings and recommendations from the monitoring and review process has been shared, UNHCR and the Partner, together with other parties (where applicable) work jointly to:

* Identify solutions and remedial measures for identified gaps and risks;
* Acknowledge accomplished objectives and progress made;
* Identify challenges and constraints;
* Recommend solutions, changes and adjustments to current and future programming; and
* Agree an action plan and develop commitment and ownership for the implementation of required changes.

Examples could include: moving resources from another project to address critical gaps; more regular follow-up or a change in implementation modalities to speed up or mobilize new or alternative resources.

**Step 5: Communicating and Learning from Monitoring and Review Process**

Findings from the project monitoring and review process are also used to support institutional learning and inform internal and external stakeholders about strengths or weaknesses in the project that have been identified. The use and follow up of findings is valuable in improving project implementation and enabling the achievement of project outputs and objectives. They can be used in several ways:

* To mentor, train and support UNHCR and Partner staff to enhance capacities and avoid recurrent weaknesses;
* To highlight lessons learned for institutional knowledge;
* To adjust the project budget, allocated resources, plans, targets and results, and implementation arrangements, as applicable;
* To identify monitoring measures and follow-up actions by UNHCR and/or the Partner, and progress to be reported in subsequent project reports; and
* To inform project auditors of weaknesses in management of the project and/or use of financial and other resources that have been identified.

Any evidence of misconduct and misuse of UNHCR funds must be reported immediately to the UNHCR Controller and Inspector General’s Office.

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| **Implications of the New Way of Working for monitoring and reporting**  UNHCR to provide details |

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| **RESOURCES** | ***Joint Monitoring***   * IPMS Guidance Note on **Joint Monitoring and Partner Feedback**, 4th June 2013   [http://www.unhcr.org/IMPS-GN-Joint-Monitoring](http://www.unhcr.org/ngo-consultations/ngo-consultations-2013/Implementing%20Partnership%20Management%20Guidance%20Note%20Joint%20Monitoring%20and%20Partner%20Feedback.pdf)   * **Humanitarian Response Monitoring Guidance**   [https://www.humanitarianresponse.info/response-monitoring](https://www.humanitarianresponse.info/en/programme-cycle/space/document/humanitarian-response-monitoring-guidance)  ***Project Monitoring and Review***   * PHAP accreditation in Monitoring, Evaluation, Accountability and Learning (MEAL)   <https://phap.org/credentialing-program-meal>   * INTRAC Monitoring, Evaluation and Learning resources   [https://www.intrac.org/monitoring-evaluation-learning/](https://www.intrac.org/what-we-do/monitoring-evaluation-learning/)   * Using Sphere for Monitoring and Evaluation   [http://www.sphereproject.orgmonitoring-and-evaluation/](http://www.sphereproject.org/news/sphere-for-monitoring-and-evaluation/) |

# 6.2 Reporting

Reporting is the process of documenting what has been achieved, based primarily on data gathered from monitoring and verification. Reporting documents whether the expected performance and impact targets have been met and explains the challenges faced during implementation. Moreover, reporting informs stakeholders (e.g. staff, donors, Partners, Persons of Concern) about what has been achieved and any associated learning.

### 6.2.1 Reporting on UNHCR Projects

**Table 37** below outlines the standard reporting requirements under a Partnership Agreement. However, these will vary from one project to another depending on the type of project, operating context, nature of partnership etc., and should be agreed between UNHCR and the Partner when developing the Partnership Agreement.

Once agreed, it is important that the reporting requirements and associated arrangements for monitoring and review are clearly documented in the Agreement to allow the Partner sufficient time and resources for preparation and submission of the reports and overcome any risk of misunderstanding at a later stage. Furthermore, consideration should be given to the capacity strengthening needs of less experienced Partners to help facilitate effective completion of monitoring, verification and reporting activities (refer to Section 2.3.3 for further guidance on capacity strengthening). Templates and guidelines for completing the required reports can be found in the **Resources box** at the end of this section.

Partners may also be required to submit other reports, such as specialized technical reports or reports for earmarked project funding. In such cases, the Partners must be informed in advance to allow sufficient time for preparation and submission. Furthermore, UNHCR, other UN agencies and several donors have, as part of the **Grand Bargain** committed to harmonizing their reporting templates. This is likely to affect the UNHCR template and content for Partner reports in the future.

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| **TIPS** | **Reporting Requirements**  The type and frequency of reporting required under a Partnership Agreement depends on the needs and risks associated with any specific project. This forms an important part of the negotiation between Partners and UNHCR at the stage of developing the Partnership Agreement.  Partners are only required to fulfil the reporting requirements stipulated in their Partnership Agreement with UNHCR.  Tips on getting reports signed in a timely manner to be added in |

**Table 37: Partner Reporting Schedule**

**Note:** International Partners are allowed up to 10 more days (than the dates specified) for the consolidation and submission of these reports.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Report Type | Reporting Period (as of) | Due Date | Mandatory | Optional |
| Project Performance | 31 March | 10 April |  | ✓ |
| **30 June** | **15 July** | **✓** |  |
| 30 September | 10 October |  | ✓ |
| **31 December** | **15 February** | **✓** |  |
| Project Financial | 31 March | 10 April |  | ✓ |
| **30 June** | **15 July** | **✓** |  |
| 30 September | 10 October |  | ✓ |
| **30 November** | **10 December** | **✓** |  |
| **31 December** | **15 February** | **✓** |  |
| Goods and Property | 31 March | 10 April |  | ✓ |
| **30 June** | **15 July** | **✓** |  |
| 30 September | 10 October |  | ✓ |
| **31 December** | **15 February** | **✓** |  |
| Project Personnel | 31 March | 10 April |  | ✓ |
| **30 June** | **15 July** | **✓** |  |
| 30 September | 10 October |  | ✓ |
| **31 December** | **15 February** | **✓** |  |
| Others Reports as required | **As specified in the Partnership Agreement** | | | |

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| **TIPS** | **Partner Declaration**  When a Partner signs and submits a report, it is important to note that they are declaring that:   1. The reported expenditures and performance delivery are genuine and accurate; 2. The expenditures and performance are conducted in accordance with the Agreement, and any misrepresentation of reports might be considered fraud; 3. UNHCR Goods and Property in the custody of the Partner are being properly used and safeguarded; and 4. The Partner is aware that unauthorized/ineligible expenditures and unsubstantiated reports may be rejected by UNHCR and funds recovered. |

### 6.2.2 Project Performance Reports

The Project Performance report is the main narrative report that Partners are required to complete. It records actual progress in performance and impact against agreed objectives and indicators in the Partnership Agreement. The report consists of the sections outlined in **Table 38** below which should be monitored by the Partner and UNHCR concurrently with the Project Financial Report.

**Table 38: Key Sections of the Project Performance Report[[67]](#footnote-67)**

To be reviewed in line with simplified Project Performance Report template from June 2008

|  |  |
| --- | --- |
| **Section** | **Objectives** |
| **1. Project objective** | Provides a concise review of progress achieved in meeting the overall project objective |
| **2. Population of concern** | Records the actual persons assisted against the Planned Population Group.  It is also advisable to identify the population demographic including; gender, age, children, people with disability, people living with HIV/AIDs, the elderly, other vulnerable groups. |
| **3. Implementation arrangements** | Gives a brief explanation to show whether the implementation arrangements and approach have been according to plan, any modifications made and proposed changes, if applicable |
| **4. Related inputs** | Details any resources contributed by the Partner and others for the same population, in addition to UNHCR’s inputs for the project |
| **5. UNHCR support** | The support provided from UNHCR, e.g. midterm and annual reviews; coordination, consultation meetings; instalments, etc. |
| **6. Conclusions and lessons learned** | Highlights relevant information on lessons learned during implementation. |
| **7. Recommended action plan** | Outlines any corrective or remedial measures taken, and any adjustments needed in response to evolving needs, changes in the situation or other challenges. |
| **8. Actual progress achieved**  **towards planned results** | For each activity in the Project Description:   * Details achievements and progress towards the planned outputs using the performance indicators (e.g. 83% of school aged girls attended schools out of the planned 95%); * Details the impact of any activities directed towards the PPG group at objective level using the impact indicators (e.g. extent to which Persons of Concern have access to primary health care); * Explains reasons for delays, shortcomings or failures where planned outputs/objectives were not, or only partly met. |

### 6.2.3 Project Finance Reports

The Project Finance Report is prepared by Partners to report on all financial aspects under the Partnership Agreement:

* It demonstrates financial resources received and expended including any variance in expenditure against budget/disbursed funds;
* Gives advance alert of any unplanned or unacceptable variations that have occurred or are likely to occur;
* Provides a useful indication of the rate of expenditure.

The template for the Project Finance Report for each period is generated by UNHCR, for the Partner, from UNHCR’s web-based Enterprise Resource Planning system (MRSP). The template is automatically populated with all previous financial reporting information that has been submitted and approved. **Table 39** provides an outline of the content required.

**Table 39: Key Sections of the Project Finance Report**

|  |  |
| --- | --- |
| **Section** | **Objectives** |
| **Reporting period** | – indicates the period covered by the report |
| **Currency** | – indicates the currency for the budget and expenditures recorded |
| **Description** | – describes expenditures by cost center, situation, PPG, goal, objective and output and should follow the same format as the approved budget |
| **Instalment released** | – indicates the amount released to date per output |
| **Accumulated expenditure** | – records all previous approved expenditure recorded by account line |
| **Expenses as % of budget** | – indicates what proportion of each budget line has already been spent by account line |
| **New expenditure** | – this needs to be populated by the Partner with details of all new expenditure incurred for the current reporting period |
| **Unused instalment** | – indicates any remaining balance from the previous instalments paid, per output. It is used to determine whether a new instalment is needed (refer to **Section 5.4.4** for guidance on instalments) |
| **Cash flow forecast** | – UNHCR to provide details |

Once the Partner completes and submits its Project Finance Report, UNHCR must verify the accuracy of the content. This should be done against all relevant monitoring data and the narrative project performance report. Once verified, UNHCR must certify acceptance of the report and clearance of the expenditures account, before payment of the next instalment of funds to the Partner can be authorized. Four different people are required to sign off on a Project Finance Report before it can be accepted, and further instalments released:

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| * Partner representative accountable for the Partnership Agreement * UNHCR representative accountable for the Partnership Agreement | * UNHCR Programme Officer * UNHCR Project Control Officer |

### 6.2.4 Goods and Property and Personnel Reports

The remaining two reports that Partners are required to complete in accordance with the Partnership Agreement are:

[**Goods and Property Report**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)(Partnership Agreement Annex D)

* A standard report which is used to report on the status of any Goods and Property provided or funded by UNHCR.
* Provides an inventory and key data on all Goods and Property.

[**Partner Personnel Report**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)(Partnership Agreement Annex E)

* A standard report that includes the actual details of Partner Personnel engaged in the project against those planned in the Partnership Agreement.
* Provides details for the UNHCR and Partner contribution towards the cost of Partner personnel under the Partnership Agreement.

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| **RESOURCES** | ***Partner Reporting Forms***   * Partnership Agreement Annex D: **Project Performance Report** (Periodic Progress Report), June 2018 * Partnership Agreement Annex D: **Goods and Property Report,** 2013 * Partnership Agreement Annex E: **Partner Personnel Report**   All found in the Project Partnership Agreement  [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx) |

# 6.3 Project Audit

### 6.3.1 Assurance and Accountability

The main purpose of an audit is to ensure the accountability of UNHCR and its Partners for the use of donor funds, but it is also a useful management tool which facilitates efficient and effective programming.

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| **DEFINITION** | **An audit** is a formal oversight process whereby, through a systematic and independent examination of data, statements, records, activities and performance (financial or otherwise) of an organization for a specific purpose, an opinion is given on the accuracy of records or accounts and/or independent assurance is provided that an organization's risk management, governance and internal control processes are effective.[[68]](#footnote-68) |

Audits provide assurance to donors, Persons of Concern, staff and other stakeholders and supporters of sound stewardship and appropriate use of entrusted funds within UNHCR’s projects as illustrated in **Figure xix**[[69]](#footnote-69).

**Figure xix: Process for Assuring Appropriate Use of Resources**

|  |  |  |
| --- | --- | --- |
| **UNHCR remains accountable to its stakeholders** |  | UNHCR provides funds for Partners to undertake projects under a Partnership Agreement |
|  |  |  |
| **UNHCR is required to demonstrate sound stewardship** |  | The United Nations Board of Auditors is mandated to audit the overall UNHCR funds and its annual financial statements |
|  |  |  |
| **Reasonable assurance over appropriate use of funds** |  | UNHCR funds including the funds spent through partnership are subject to audit |

UNHCR operations facilitate accountability and assurance over the appropriate use of funds through a range of complementary due diligence measures including:

* vetting and selection of Partners
* monitoring project progress
* verification of progress and financial reports
* physical and spot checks of performance
* implementation of internal controls
* project audits

### 6.3.2 Risk-based Audit Approach

In 2015, UNHCR adopted a risk-based approach to auditing. This involved a shift from setting the thresholds for auditing based on the financial value of a project to a more holistic approach based on the risks associated with a project.

**Table 40: UNHCR Risk-based Audit Policy Objectives**

|  |  |
| --- | --- |
| **Objectives** | **Description** |
| **Use of resources** | Resources spent through partnerships are utilised for the intended purposes and in accordance with the terms of the Partnership Agreement. |
| **Reduction of risks** | Risks inherent in implementing projects through partnership are reduced. |
| **Quality of audit** | The quality of audit is improved through centralized contracting of a limited number of qualified external audit service providers following a rigorous selection procedure. |
| **Quality of audit report** | The quality of audit reports is consistent and improved. |
| **Deadlines** | The compliance and timeliness of submission of reports is improved. |
| **Due diligence** | Due diligence of audit procedures is strengthened through segregation of duties. |
| **Responsibility** | The administrative burden on field operations is reduced, while the efficiency of the audit process is enhanced. |

This approach was introduced to enhance the management, stewardship and accountability of funds spent through partnerships as well as the assurance provided to UNHCR senior management, the UN Board of Auditors, donors, governing bodies and other stakeholders through better aligning of project verifications and audit with principles of risk management and audit compliance. The overall objectives of UNHCR’s policy on risk-based project auditing are set out in **Table 40** above and are used to guide the audit process with Partners.

**Mandate and Responsibility for Audits**

The [**Office of Internal Oversight Services**](https://oios.un.org/page?slug=audit) is the internal oversight body of the United Nations. It facilitates oversight in respect of the resources and staff of the UN through the provision of audit, investigation, inspection, and evaluation services.

All audits are mandated and regulated by the Financial Rules for Voluntary Funds administered by the High Commissioner. This includes all funds, including those spent through partnerships. The United Nations Board of Auditors is mandated to audit the overall UNHCR funds and its annual financial statements.

### 6.3.3 Project Audit Requirements

**Audit Requirements under a Partnership Agreement**

UNHCR provides funds to Partners under a Partnership Agreement but remains accountable to its stakeholders for the way in which these funds are spent. UNHCR and its Partners when entering into a Partnership Agreement are required to establish appropriate controls to mitigate risks, ensure appropriate and proper utilization of funds, and submit periodic and end-of-Project reports, including the Project Financial Report, demonstrating accurate expenditures against the project budget and performance delivery under the Partnership Agreement.

Guidance for Partners setting out their audit obligations as a condition of partnering with UNHCR are explained in the [**IPMS Guidance Note No. 5 Risk based Audit of UNHCR-funded Projects**](http://www.unhcr.org/ngo-consultations/ngo-consultations-2016/Guidance-Note-5.pdf) which is based on UNHCR’s risk-based approach. This guidance applies to all types of partnership agreement.

The provisions and terms for a Project Audit are stipulated in the Partnership Agreement. These include the Partner’s obligation to:

* maintain relevant project document up to six years, following the closure of the project;
* provide unfettered and timely access to all information, documents, books, records, transactions, sites, persons for audit purposes to UNHCR authorized staff or agents, including auditors;
* undertake timely and appropriate measures to address and resolve audit observations and recommendations including refund of ineligible costs.

Projects implemented by NGOs, Governmental partners, Red Cross and Red Crescent Society partners, and national fundraising partners are all subject to audit under their Partnership Agreements. For projects implemented by other UN agencies, a separate audit is not required as they are covered by the Single Audit Principle[[70]](#footnote-70).

UNHCR and its assigned Auditors also have obligations to Partners when preparing for, undertaking and completing an audit. These are set out in IPMS Guidance Note No. 5 and outlined in **Table 6.5.** Audit costs are borne by UNHCR, not the Partner.

**Selection of Projects for Audit**

Under the risk-based approach, UNHCR selects the projects for auditing based on a set of risk criteria including the following (also refer to **Section 3.1.3**):

* Operational risks;
* Project profile and partner performance risk;
* Specific UNHCR management needs and donor requirements.

Within these criteria, a wide range of factors are considered such as performance record, internal controls, financial management capacity, project profile and value, type of operation, length of partnership, previous audit results, and nature of outstanding recommendations.

This means that not every project is audited every year. It depends on the risks associated with both the Partner and the project. However, projects implemented by new Partners in particular, are subject to audit in their first year of operation. Furthermore, all Partners are audited at least once every four years.

**Purpose and Outputs of a Project Audit**

Project audits are undertaken by a limited number of qualified auditors (three to four global/regional audit firms) contracted centrally for multiple years by UNHCR Headquarters. On completion of the audit, the auditor will provide an Audit Certificate in summary form, consisting of an Audit Report, Management Letter and Internal Control Questionnaire. Details of the content of each element are set out in **Table 41** below[[71]](#footnote-71).

**Table 41: Composition of an Audit Certificate**

|  |  |
| --- | --- |
| **Audit Certificate** | |
| **Audit Report** | The auditor expresses an opinion on whether the Project Financial Report for a project is presented fairly and the eligible expenditure incurred to implement activities conforms with the terms of the Partnership Agreement  **Unqualified Audit Report -** is issued when the auditors conclude that the Project Financial Report fairly presents the receipts collected and expenses paid by the Partner during the [**implementation period**](#PIP) and includes any transactions during and up to the [**liquidation period**.](#PLP)  **Modified Audit Report -** is issued when the auditor is not satisfied that the Project Financial Report is fairly presented or believes that the report contains a material misstatement.  **Qualified opinion -** is given when the auditor believes that misstatements in the Project Financial Report are material but not pervasive (widely spread). Or when the auditor is unable to obtain sufficient appropriate evidence on which to base an opinion but concludes that the possible effects of undetected misstatements (if any) could be material but not pervasive.  **Adverse opinion -** is given when misstatements in the project Financial Report are both material and pervasive (widely spread).  **Disclaimer of opinion -** is made when the auditor is unable to obtain sufficient appropriate evidence on which to base an opinion and concludes that the possible effects on the Project Financial Report of could be both material and pervasive.  The Audit Report must quantify the monetary value of the audit observations and clearly identify the reasons for qualifications, if the audit opinion is qualified, adverse or disclaimer. |
| **Management Letter** | The Management letter contains the major findings, points related to compliance with critical terms of the Partnership Agreement, assessment of the Partner and UNHCR’s internal control mechanisms including competent completion of the Internal Control Questionnaire and identified weaknesses and recommendations of how to address them. |
| **Internal Control Questionnaire** | The Internal Control Questionnaire is used to assess internal controls and financial management. The auditor reviews the Partner’s practices with respect to the following areas and reports whether they are Satisfactory or Unsatisfactory:   * Cash management * Procurement * Management of activities contracted to third parties * Personnel engagement and payments * Managing misconduct * Other areas of compliance with the Partnership Agreement |

UNHCR requires that the conduct of the audit and the format of the Audit Report are in accordance with the International Standards on Auditing[[72]](#footnote-72). The auditor is required to present the Audit Report in a standard template designed by UNHCR to ensure high quality and consistency.

### 6.3.4 Audit Process

The IPMS is responsible for overall management of the audit process including design of the risk-based approach to audit, engagement of auditors, monitoring compliance with the policy and timely completion of audits and compilation of the overall audit reports for review by UNHCR senior management and the UN Board of Auditors.

**Audit Timing**

Project audits generally take place on an annual basis during the closure and audit of UNHCR’s financial statements. A Project is subject to audit upon the completion of the project period and the submission of final Project Financial and Performance reports by the Partner (refer to [**Section 6.2.1**](#Sec6_2_1)). However, in some exceptional cases, audit and subsequent reviews may take place during the project implementation period or up to six years following the completion of the project.

An interim audit can be initiated in the third quarter of the implementation year in certain operations to expedite the process and comply with annual deadlines. The results of an interim audit are then carried forward into the final project audit reports. Exceptions may also be granted in the event of an extension of project implementation and liquidation periods (refer to [**Section 6.4.1**](#Sec6_4_1)). Considerations for such cases will be made when scheduling the audit.

Timely submission of the Audit Certificates to the UN Board of Auditors is essential for the Board to draw its opinion on UNHCR’s financial statements. This period is very limited, so the schedule set out in **Table 42** above must be strictly respected.

**Table 42: Project Audit Timeline**

|  |  |
| --- | --- |
| **30 September** | The [**preliminary indicative lists of projects**](#SelectProj) subject to audit are issued by UNHCR Headquarters. |
| **30 November** | Auditors are assigned to each project and contacts between UNHCR focal persons, Partners, and the auditors are established to prepare the audit schedule. |
| **10 January** | The final list of projects subject to audit, including those with an extended project period, is issued by UNHCR Headquarters. |
| **15 February** | The Final Project Financial and Performance Reports are submitted by respective Partners (except for those authorized for extension). |
| **28 February** | The final Project Financial Reports are entered into MSRP by UNHCR Offices |
| **March-April** | Audit field work by the assigned auditors is undertaken and Audit Certificates are issued. |
| **May-June** | Audit field work for exceptional extensions and all audits (if outstanding) are completed and final Audit Certificates are issued by the auditors to UNHCR and copied to Partners. |
| **15 June** | All the results of the audit, unsatisfactory reports and noncompliance are submitted by DFAM/IPMS to the Controller, Bureau Directors and the Assistant High Commissioner (Operations). |
| **30 June** | The UN Board of Auditors issues its Annual Audit Report, including its assessment of the project Audit Certificates. |

**Sequence of Audit Activities**

The audit process follows a series of milestones which depend on UNHCR, the assigned auditor and the Partner meeting their communication, coordination and information sharing obligations as set out in **Figure xx** below.

**Figure xx: Indicative Timing and Milestones in the Audit Process**

|  |  |  |
| --- | --- | --- |
|  | **Assignment of an auditor by IPMS** | Upon assignment of an auditor, the UNHCR Office must notify the respective Partner(s) in writing and invite the Partner(s) to the entry meeting with the auditor. |
| **Entry meeting** | The auditor provides a briefing to the UNHCR Office and respective Partner(s) |
| **Start of audit work** | On starting the audit, the auditor issues a formal letter to the UNHCR Office and respective Partner(s) outlining the audit schedule, required documentation, a copy of the Internal Control Questionnaire, etc. After this, communication with the Partner(s) is conducted directly. |
| **Draft audit certificate** | The draft Audit Certificate is presented to the Partner(s) for comments, factual corrections and resolutions before completion of the field work. |
| **Comments** | The Partner(s) may submit comments directly to the auditor within a limited time set by the auditor, before the final Audit Certificate is issued. The auditor may disagree with the Partner’s comments but is obliged to include these responses and explain any difference of opinion in the Management Letter of the Audit Certificate. |
| **Exit meeting** | The auditor provides briefings to the UNHCR office and respective Partner(s) at an exit meeting. It informs of the main audit findings, conclusions and recommendations. |
| **Final Audit Certificate** | The final Audit Certificate is issued to the UNHCR Office and copied to the respective Partner(s) within 15 days of completing the field audit work. |
| **Follow ups** | The UNHCR Office reviews the Audit Certificates and identified reasons for qualifications (if any). The UNHCR Office and its Partners are obliged to take timely and appropriate actions to address the observations and recommendations from the audit. |

**Audit Findings**

A draft of the Audit Certificate is presented to the Partner for review, comment on the findings, factual corrections and necessary resolutions, before completion of the field audit work by the auditor. The Partner may submit comments directly to the auditor, within a period set by the auditor (usually about seven days), before the final Audit Certificate is issued. The auditor may disagree with the Partner’s comments but is obliged to include these responses and explain any disagreements in the report, together with any further comments if needed.

The auditor issues the final Audit Certificate to the respective UNHCR Office and a copy to the Partner, within 15 days of completing the field audit work. The UNHCR Office must ensure that the Partner receives the report in a timely manner. These documents are confidential and internal to UNHCR. All parties (UNHCR, Partners and auditors) are obliged to maintain them confidentially and not share them with an external entity.

Significant audit observations such as fraud, misconduct, misappropriation and other risks observed through the audit exercise must immediately be referred to the Bureaus, the Controller/IPMS and the Inspector General’s Office, as relevant and appropriate based on UNHCR’s [**Strategic Framework for the Prevention of Fraud and Corruption**](http://www.refworld.org/pdfid/5433a4e54.pdf)(see [**Section 1.3.4**](#Sec1_3_4) for further guidance in investigating cases of fraud and corruption). Similarly, any significant audit observations and non-compliance may be reported at any time during the audit exercise, as deemed necessary by the auditor.

Audit findings provide useful information on the strengths and weaknesses of the internal control mechanisms for a project that can be used as the basis for further enhancement of project management and Partner capacity.

Feedback from the UNHCR Office and respective Partners on the performance and the quality of the audit field work and services provided by the assigned auditor will also be sought by UNHCR Headquarters.

**Follow Ups**

Before accepting the final Audit Certificate from the auditors, the UNHCR Office must conduct a thorough analysis to ensure that the reports clearly quantify the net financial impact on the audit opinion page and identify the reasons for any qualifications in the audit. Together with the respective Partner(s), the UNHCR Office must then agree timely and appropriate actions needed to address any audit observations and recommendations.

UNHCR retains the right to request a refund of any ineligible expenditure from the Partner that might be identified by the auditor(s) or subsequent review by UNHCR and other oversight bodies. The amount to be recovered will be established by the UNHCR and their Bureaus / Divisions based on review of information in the Audit Certificate.

|  |  |
| --- | --- |
| **RESOURCES** | * **IPMS Guidance Note 5:** **Risk based Audit of UNHCR-funded Projects**, May 2015   [http://www.unhcr.org/Guidance-Note-5](http://www.unhcr.org/ngo-consultations/ngo-consultations-2016/Guidance-Note-5.pdf)   * UNHCR **Strategic Framework for the Prevention of Fraud and Corruption**.   <http://www.refworld.org/pdfid/5433a4e54.pdf>   * **Financial rules for voluntary funds administered by the High Commissioner for Refugees** (A/AC.96/503/Rev.10): <http://www.unhcr.org/4b693d089.pdf> * **MANGO guidance on audits for NGOs:**   <https://www.mango.org.uk/guide/audit> |

# 6.4 Project Closure

### 6.4.1 Project Closure with Partners

To ensure a proper closure and a smooth disengagement that is neither disruptive nor impacts negatively on Persons of Concern, UNHCR and Partners need to engage in a project closure process that includes final performance and financial reporting, payment reconciliation and recoveries, audit and finally, a review and evaluation of what has happened during the year.

For a typical project running from January to December, project closure takes place the following year. An indication of the pre-conditions and timescale applicable to Partners is given in **Table 43.**

**Table 43: Pre-conditions and Indicative Timeline for Project Closure**

|  |  |  |
| --- | --- | --- |
| **Final project reports** | **Feb** | The final project reports covering finance, performance, goods and property and personnel must be submitted to UNHCR no later than 15th February of the year following project implementation. See [**Section 6.2.1**](#Sec6_2_1) for full details of project reporting requirements. |
| **Payment reconciliation and recoveries** | **Feb** | Under the Partnership Agreement; Partners are required to reimburse all unspent balances at the time of submitting their final Project Financial Report. For project closure it is necessary to have a zero balance of unspent funds remaining. |
| **Return or transfer of goods and property** | **Mar** | All Goods and Property acquired or received by the Partner must be returned to UNHCR, unless an Agreements in made and signed for transfer of ownership to the Partner. |
| **Audit reports** | **April** | For project closure, audit reports should have been submitted and observations and recommendations followed up. |
| **Annual Partnership feedback** | **Feb-Mar** | Standard feedback forms are to be completed by UNHCR and the Partner at the end of a project |
| **Review and lessons learned** | **Feb-Mar** | Once feedback forms are received, UNHCR and the Partner should conduct a session to review feedback and draw out lessons learned that could be applied to improving the project or partnership. |

**Annual Feedback**

The joint monitoring and review of project implementation includes a mechanism for UNHCR and the Partner to provide feedback to each other on an annual basis. This is also a pre-condition for project closure, so the annual feedback process should be completed in line with the time frame for final project reporting. Annual feedback forms for both UNHCR and the Partner are included in the **Resources box** at the end of this section.

**Project Liquidation**

|  |  |
| --- | --- |
| **DEFINITION** | **Project implementation period** is the period specified in the Partnership Agreement during which project activities are carried out to achieve the planned results i.e. the period between the effective start date and project end date.  **Project liquidation period** is the period during which the financial commitments entered into during the project implementation period must be settled or paid by the Partner e.g. payment of suppliers, termination of contracts etc. |

The project liquidation period runs for one month from the end of the original Partnership Agreement completion date, and to no later than 31st January of the following year (refer to **Table 5.11** in [**Section 5.5.1**](#Sec5_5_1) for a detailed timeline for the Partnership Agreement process).

The liquidation period is not intended as a period for completion of project activities. New commitments during the project liquidation period are not permitted; if any such commitments are made, they will **not be considered as eligible expenditure**.

Extension of project implementation beyond 31 December, or of project liquidation beyond 31 January will only be authorized by the UNHCR Controller in exceptional situations. If such an extension is needed, a **No Cost Extension** should be requested by the Partner **in the last quarter of the project implementation period**. The agreed extension period must also be recorded in a Partnership Agreement Amendment before the end of the original Partnership Agreement implementation period, and no later than 31 December. Full details of the process for requesting a No Cost Extension can be found in [**Section 5.5.2**](#_5.5.2_Amending_and)**.**

### 6.4.2 Retention or Transfer of Goods and Property

In accordance with International Public Sector Accounting Standards, UNHCR is required to report accurately on all property, plant and equipment in its annual financial statements. This necessitates clarity about the numbers, condition and status of all property and assets that:

* are already owned by UNHCR;
* have been acquired by the Partner with UNHCR funds (and are therefore new assets owned by UNHCR);
* have had ownership transferred from UNHCR to its Partners; or
* have been loaned by UNHCR to its Partners under an [**Agreement for the Receipt and Right of Use of UNHCR Assets**](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx).

At the end of a project, all Goods and Property acquired or received by the Partner must be returned to UNHCR. If an asset is damaged (beyond normal tear and wear), lost or stolen, the Partner must immediately notify UNHCR in writing providing an explanation of the circumstances.

If ownership of UNHCR Goods and Property is to be transferred to the Partner on project completion, then an ‘**[Agreement on the Transfer of Ownership of Goods and Property](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)**’ must be completed and approved prior to the transfer. If there are goods or property to be disposed of, including broken or damaged items, these proposals must be approved by UNHCR prior to disposal.

Upon return of an asset, a joint physical verification of the condition of the asset must be conducted by UNHCR and the Partner to verify that the asset is returned in a similar condition (excluding normal tear and wear) as when it was released to the partner. Refer to [**Section 5.4.2**](#_5.4.2_Procurement) for further guidance on the management of assets.

### 6.4.3 Evaluation and Lessons Learned

In the context of UNHCR partnerships, an **evaluation** is an assessment, conducted as systematically and impartially as possible of an activity, project, program, approach, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability.

An evaluation should provide credible, useful evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes for UNHCR, the Partner and other relevant stakeholders. The overall purpose of evaluation in UNHCR is to contribute to learning and accountability and clarity on whether UNHCR is doing the right thing and in a way that will make a difference.

Any evaluation of projects undertaken through a Partnership Agreement are **decentralized** and commissioned directly by the respective UNHCR Office. They may also be linked to specific donor funding requirements. Evaluations are decided on a case by case basis and tend to review the cumulative impact of several years of policy or programming e.g. around a specific context, approach or problem.

Evaluations are carried out by independent third parties so that their design, implementation, findings and recommendations are free from influences or bias. UNHCR also commissions **centralized** evaluations through the Policy Development and Evaluation Service. These tend to focus on issues of strategic concern and include Real Time Evaluation of major UNHCR-led response to refugee emergencies.

**Partnership Review**

Evaluation of the partnership arrangement between UNHCR and its Partners is done on an annual basis through the NGO-UNHCR and UNHCR-NGO Annual reviews which should be completed as part of the project closure process (see [**Section 6.4.1**](#_6.4.1_Project_Closure)) Once feedback forms are received, UNHCR and the Partner should conduct a session to review feedback and draw out lessons learned that could be applied to improving the project or partnership.

|  |  |
| --- | --- |
| **RESOURCES** | * **Agreement on the Transfer of Ownership of Goods and Property**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * **Agreement for the Receipt and Right of Use of UNHCR Assets**   [https://partner.unhcr.org/partnerportal](https://partner.unhcr.org/_layouts/15/partnerportal/anonymous/landingview.aspx?ReturnUrl=%2f_layouts%2f15%2fAuthenticate.aspx%3fSource%3d%252Fdefault%252Easpx&Source=%2Fdefault%2Easpx)   * IPMS Guidance Note on **Joint Monitoring and Partner Feedback**, 4th June 2013   [http://www.unhcr.org/IMPS-GN-Joint-Monitoring](http://www.unhcr.org/ngo-consultations/ngo-consultations-2013/Implementing%20Partnership%20Management%20Guidance%20Note%20Joint%20Monitoring%20and%20Partner%20Feedback.pdf)   * **ALNAP – general humanitarian evaluation and learning guidance and good practice resources**   <https://www.alnap.org/> |

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| --- |
| Chapter 7: Further Technical Guidance |
| Chapter 7 covers some of the key technical and thematic aspects of UNHCR operations that are of specific relevance to its Partners.  The main purpose of this chapter is to outline the principles and priorities that guide UNHCR’s work in these areas and to provide pointers and links to more comprehensive policy guidance, strategy documents, detailed procedures and good practice. |

# 7.1 Operational Settings

### 7.1.1 Camp-based Settings

The location in which refugees and other Persons of Concern settle is determined primarily by the host government and, in some cases, the preference of Persons of Concern themselves. UNHCR and its Partners are responsible for advocating for sheltering provisions that meet the needs of Persons of Concern and are in their best interests.

Wherever possible, opportunities for settlement other than camps must be pursued. In the [**New York Declaration**](#NYD), Member States recognized that refugee camps “should be the exception,” and a temporary measure in cases of emergency. Instead, refugees should be allowed to live among host communities. Helping refugees to thrive, not just survive, reduces the risk of protracted stays and lessens refugees’ dependence on humanitarian aid.

When camps must be established or already exist, UNHCR and its Partners in camp management should seek opportunities to phase them out or transform them into sustainable settlements at the earliest possible stage. Key considerations for supporting Persons of Concern in camp-based settings include:

* Camps are an option of last resort. They offer temporary protection and assistance in situations of displacement.
* Achieving a long-term solution is key to ending displacement and must be considered from the beginning of a camp-based response to displacement.
* A camp’s life cycle has 3 phases: set-up, care and maintenance and closure.
* The Camp Coordination and Camp Management cluster does not promote camps. It seeks to end encampment through more durable solutions.
* Government authorities, humanitarian agencies, community volunteers, private sector and civil society stakeholders will be involved in the running of a camp, together with the camp population and host community.

Millions of Persons of Concern have settled peacefully outside camps in both rural and urban areas, living on land or in housing that they rent, own or occupy informally or in hosting arrangements with communities or families. Unlike in a camp, this presents opportunities to integrate, generate income and build a better future. But it also presents similar risks to those people living in camps, as Persons of Concern often live in the poorest areas and may not have legal documents that are recognized. They may also be vulnerable to exploitation, arrest and detention and have difficulties in finding safe livelihoods.

### 7.1.2 Urban Settings

When significant numbers of Persons of Concern take up residence in urban areas, difficulties often arise. It places considerable pressure on resources and services that may already be insufficient to meet the needs of the urban poor. Persons of Concern are more likely to be exposed to protection risks such as detention, deportation or harassment, especially if officially, they are excluded from urban areas and the labor market. In response, UNHCR’s [**Policy on refugees in urban areas**](#UrbanPolicy) has two overarching goals and twelve objectives as noted in **Table 44** below:

1. To ensure that cities are recognized as legitimate places for refugees to reside and exercise the rights to which they are entitled; and,
2. To maximize the protection space available to urban refugees and the humanitarian organizations that support them.

**Table 44: UNHCR’s Urban Refugee Policy Objectives**

|  |  |
| --- | --- |
| * Providing reception facilities * Undertaking registration and data collection * Ensuring that refugees are documented * Determining refugee status * Reaching out to the community * Fostering constructive relations with urban refugees | * Maintaining security * Promoting livelihoods and self-reliance * Ensuring access to healthcare, education and other services * Meeting material needs * Promoting durable solutions * Addressing the issue of movement |

|  |  |
| --- | --- |
| **RESOURCES** | ***Camps and Settlements***   * **UNHCR Policy on alternatives to camps**, 2014   <http://www.unhcr.org/5422b8f09.html>   * **Camp Management Toolkit**, NRC   <http://cmtoolkit.org/chapters/view/about-camp-management>  ***Urban Settings***   * **UNHCR Policy on refugee protection and solutions in urban areas**, 2009   [http://www.unhcr.org/protection-urban-areas](http://www.unhcr.org/uk/protection/hcdialogue%20/4ab356ab6/unhcr-policy-refugee-protection-solutions-urban-areas.html)   * **Home Sweet Home: Housing Practices and Tools that Support Durable Solutions for Urban IDPs**, 2015   Available at: [www.internal-displacement.org](http://www.internal-displacement.org)   * **The Implementation of UNHCR’s Policy on Refugee Protection and Solutions in Urban Areas** Global Survey – 2012   <http://www.unhcr.org/516d658c9.pdf>   * **Good Practices for Urban Refugees**   <http://www.urbangoodpractices.org/> |

# 7.2 Protection

Further information on UNHCR’s protection mandate is given in [**Section 1.2.1**](#Sec1_2_1) in this Handbook and guidance on protecting and assisting individuals with specific needs or protection vulnerabilities is covered in [**Section 7.10**](#Sec7_10)**.**

### 7.2.1 Child Protection

Situations of forced displacement and emergency have devastating effects on children's lives, and boys and girls are uniquely vulnerable due to their age and social status. They are at a greater risk of abuse, neglect, violence, exploitation, trafficking or forced recruitment into armed forces or armed groups. They may also have witnessed or experienced violent acts and/or been separated from their families

The international humanitarian system recognizes child protection is a life-saving priority. Child protection responses must be established from the start of an emergency, or children's lives and well-being will be put at risk. The most important outcomes of child protection are to prevent violence and abuse, and to give displaced children access to protection services, by establishing or supporting national and community-level child protection systems.

UNHCR seeks to strengthen systems and mechanisms that contribute to the overall protection of children. This facilitates a holistic approach, avoiding the tendency to react and respond to individual needs or focus on ‘categories’ of children. Working with the whole ‘system’ also highlights the actions for duty bearers at all levels - family, community, national and international actors – in effectively mitigating and responding to the risks faced by children, as well as ensuring girls and boys are fully involved in matters that affect them.

**Table 45: UNHCR Child Protection Framework at A Glance[[73]](#footnote-73)**

|  |  |
| --- | --- |
| **Goals**   1. Girls and boys are safe where they live, learn and play 2. Children’s participation & capacity are integral to their protection 3. Girls and boys have access to child-friendly procedures 4. Girls and boys obtain legal documentation 5. Girls and boys with specific needs receive targeted support 6. Girls and boys achieve durable solutions in their best interests | |
| **Child Protection Systems Components** | |
| * Legal and Policy Framework * Knowledge and Data * Coordination | * Human and Financial Capacities * Capacity-Building * Communication and Advocacy * Integrated approaches * Measurement * Innovation |
| **Guiding Principles** | |
| * State responsibility * Urgency * Non-discrimination * Do No Harm * Partnership | * Family and Community based approach * Child participation * Best interests of the child * Age, Gender and Diversity * Accountability |

UNHCR acts to protect children by responding to their specific needs and the risks they face. It protects, campaigns against all forms of discrimination; prevents and responds to abuse, neglect, violence and exploitation; ensures immediate access to appropriate services; and provides durable solutions in the child's best interest.

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| **Key Considerations for Child Protection in Emergencies[[74]](#footnote-74)**   * Link identification, screening and prioritisation of children at risk to registration processes, so that children who are most in need are identified quickly and efficiently. * Set up a simple, easy to manage Best Interest Determination[[75]](#footnote-75) procedures early on and ensure that they link to referral mechanisms for assistance and support. Consider linking these procedures to registration. * Make sure that child protection programmes engage actively with the community, to identify excluded children who may be in need of assistance. * Involve adolescents and young people in the design and delivery of child protection services. * Design child protection services to be as decentralised as possible. This approach should be taken to community activities at neighbourhood level, centre-based programmes, and activities that link with services in other sectors such as education, nutrition and health. * Consider developing protection activities in urban contexts, using sport and recreation or child friendly spaces as entry points, for example. |

### 7.2.2 Sexual and Gender Based Violence (SGBV)

Persons of Concern are often at heightened risk of [**Sexual Gender Based Violence (SGBV)**](http://reporting.unhcr.org/glossary/s)during emergencies. This can be exacerbated by the sudden breakdown of family and community structures. SGBV may be perpetrated by anyone, including individuals from host communities, Persons of Concern, humanitarian agencies and people in positions of trust or power (e.g. police, security officials, community leaders, teachers, employers, landlords). The stress of displacement and changes in social and gender roles can also contribute to tension in the home, resulting in domestic violence. Harmful customary or traditional practices may also constitute SGBV, such as early marriage, female genital mutilation/cutting, honor killing and maiming, and forced abortion. In situations of armed conflict, sexual violence may also be used as a weapon of war.

SGBV prevention and response interventions are life-saving and as such, UNHCR and its Partners must make SGBV a key element of programming across all sectors. A survivor-centered approach should be adopted to ensure respect, safety, confidentiality and non-discrimination. This helps to promote a survivor’s recovery and reinforces his/her capacity to make decisions about possible interventions.

UNHCR has moved away from a unique focus on gender inequality affecting women and girls, to a more inclusive definition of SGBV that encompasses protection, health, psychosocial and legal assistance and support for women, girls, men and boys and specifically the protection of children, adolescent girls, persons with disabilities, older persons, lesbian, gay, bisexual, transgender and intersex persons, female heads of household and persons engaged in survival sex (refer to [**Section 7.10**](#Sec7_10) for further information about these groups).

**Protection objectives** in relation to SGBV[[76]](#footnote-76):

* To protect displaced women, girls, men and boys against SGBV at all times, including in the home, school, work, public places, and at aid distributions.
* To ensure that SGBV survivors can confidentially report incidents and access timely and non-discriminatory services and support, including medical, psychosocial, legal and material assistance, and safe spaces.
* To address the specific protection needs of persons at high risk of SGBV.
* To ensure that SGBV survivors can seek a judicial remedy if they wish.
* To encourage and enable Persons of Concern to actively engage in community-based protection networks and initiatives.

### 7.2.3 Community Based Protection

Community-based protection empowers communities to obtain their rights safely and with dignity. Using community-based protection, crisis-affected communities and humanitarian actors can jointly identify a community's most serious protection risks, explore their causes and effects, and decide how to prevent and respond to them. UNCHR and its Partners should adopt a community-based approach to enable communities to meaningfully and substantively engage in all aspects of programs that affect them and play a leading role in driving change.

Some of the key lessons learnt from UNHCR’s experience with community-based approaches[[77]](#footnote-77) to protection include:

* Community-based protection is a process, not a project
* Select community counterparts with care
* Communities are well placed to identify their protection challenges, but external partners also have an important role to play
* Effective protection interventions require accurate diagnosis
* Communities already employ protection measures
* Community work requires expertise and training
* Supportive supervision is essential
* Focus on protection
* Promote sustainability from the start
* Support and work with existing community and national structures
* Develop an advocacy strategy for sustainable change
* Give attention to evaluation and reporting

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| **Benefits of a Community-Based Approach[[78]](#footnote-78)**  **It strengthens the capacity and autonomy of individuals and communities**   * Community members take responsibility for analyzing protection risks and jointly developing protection strategies, assistance responses and solutions. * It recognizes and supports the ways Persons of Concern protect themselves through social networks and community resources while ensuring individual rights.   **It promotes respect for rights and the accountability of leadership structures**   * Community members see that their systems are recognized, reinforced and respected. * Persons of Concern learn about their rights and support change through identifying and addressing practices that violate human rights, particularly in relation to women and children. * It clarifies roles and responsibilities in relation to rights-holders and duty-bearers, including humanitarian agencies and governments.   **It underpins age, gender and diversity mainstreaming**   * It improves understanding of the relations between women and men, different generations and the diverse groups within the community. * It requires participation of all groups in decision-making processes and representative structures that respect the rights of individuals. * It provides for age, gender and diversity analyses of the situation and proposed responses, and for targeted action to address discrimination.   **It improves the quality and effectiveness of UNHCR and Partner operations**   * UNHCR staff and Partners are more likely to be alerted to protection problems in a timely fashion if a relationship of trust is nurtured. * It ensures that activities are appropriate and of direct relevance to the communities and will meet their various protection needs. * It reduces opportunities for exploitation and abuse. * It generates an attitudinal change whereby Persons of Concern are at the center of decisions, responses and solutions, and their skills and contributions are recognized. * It improves UNHCR and its Partners’ accountability to Persons of Concern through participatory monitoring and evaluation.   **It provides the basis for sustainable responses and durable solutions**   * It improves understanding of the local context and links protection interventions with development initiatives and government structures. * It focuses on solutions in partnership with the community from the start, thus reducing the potential for protracted displacement situations. * By involving all members of the community, it leads to greater effectiveness and long-term sustainability of programming. |

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| **RESOURCES** | ***Protection Resources***   * **Protection Mainstreaming Toolkit**, GPC, 2017   [http://www.globalprotectioncluster.org/protection\_mainstreaming](http://www.globalprotectioncluster.org/_assets/files/aors/protection_mainstreaming/gpc-pm_toolkit-2017.en.pdf)   * **UNHCR Protection Manual,** 2013   <http://www.refworld.org/protectionmanual.html>   * **Global Protection Cluster: Tools and guidance**   [http://www.gpc/guidance-and-tools](http://www.globalprotectioncluster.org/en/tools-and-guidance/essential-protection-guidance-and-tools.html)   * **Community based protection**   <http://www.refworld.org/docid/5209f0b64.html>  <https://emergency.unhcr.org/entry/91605>   * **Handbook for the Protection of Internally Displaced Persons,** UNHCR, December 2007   <http://www.unhcr.org/4c2355229.html>  ***SGBV and HIV Resources***   * **Guidelines for Integrating GBV Interventions in Humanitarian Action: Reducing Risks, Promoting Resilience, and Aiding Recovery**, IASC, 2015   [https://gbvguidelines.org/IASC-GBV-Guidelines](https://gbvguidelines.org/wp/wp-content/uploads/2015/09/2015-IASC-Gender-based-Violence-Guidelines_lo-res.pdf)   * **GBV Responders network** (resources and lessons learned)   <https://gbvresponders.org/>   * **Action against SGBV: An Updated Strategy**, UNHCR June 2011   <http://www.unhcr.org/4e1d5aba9.pdf>   * **Working with Men and Boy Survivors of SGBV in Forced Displacement**, UNHCR, July 2012   <http://www.refworld.org/docid/5006aa262.html>   * **Caring for Child Survivors of Sexual Abuse: Guidelines for health and psychosocial service providers in humanitarian settings**, UNICEF, 2012   <http://www.refworld.org/docid/532aa6834.html>   * **Safe from the Start: Reducing Risks - Sexual and Gender-Based Violence In Emergencies**<http://www.unhcr.org/en-us/575a83dd5.html> * **SGBV Prevention and Response – Training package**, Oct 2016   <http://www.unhcr.org/en-us/583577ed4>  ***Child Protection***   * **Global Protection Cluster (GPC), Minimum Standards for Child Protection in Humanitarian Action**, 2012   <http://www.refworld.org/docid/5211dc124.html>   * **UNHCR Child Protection resources and guidance**   <https://emergency.unhcr.org/entry/120177>   * **Child Protection Coordination Handbook**, CPAoR, 2016   [http://www.cpaor.net/Child-Protection-Coordination](http://www.cpaor.net/sites/default/files/cp/Child-Protection-Coordination-Handbook.pdf)   * **Child Protection Issue Briefs**, UNHCR, 2014   <http://www.refworld.org/childprotectionissuebriefs.html>   * **Child Protection and Education in Emergencies**, GPC 2016   [http://cpaor.net/Child-Protection-and-Education-in-Emergencies](http://cpaor.net/sites/default/files/cp/Child-Protection-and-Education-in-Emergencies-Increase-effectiveness_0.pdf)   * **A Framework for the Protection of Children**, UNHCR, 2012   <http://www.refworld.org/docid/4fe875682.html>   * **Field Handbook for Implementation of UNHCR’s Guidelines for Determining the Best Interests of the Child**, UNHCR, 2011   <http://www.refworld.org/docid/4e4a57d02.html> |

# 7.3 Water Sanitation Hygiene (WASH)

UNHCR aims to ensure that Persons of Concern have safe access to water of sufficient quality and quantity, improved sanitation and hygiene and improved WASH services in institutions, including schools and health facilities[[79]](#footnote-79). UNHCR is also committed to WASH solutions which are efficient in reducing long-term operational costs.

The overall objective of UNHCR's Water, Sanitation and Hygiene (WASH) programs with its Partners is to reduce avoidable mortality and morbidity among displaced people as well as reduce the impact on the local environment. In doing this, it also works closely with appropriate local ministries (e.g. Ministry of Water and Natural Resources, Environment, Water Supply, and/or Health). UNHCR and its Partners use a hygiene improvement framework to build effective WASH programs

**Figure xxi UNHCR Hygiene Improvement Framework**

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| **Access to**  **Hardware** | Water supply systems  Improved sanitation facilities  Households technologies and materials   * Soap * Safe Water containers * Effective water treatment | | |  | **Hygiene**  **promotion** | Communication  Social mobilization  Community participation  Social marketing  Advocacy | | |
|  | | | | | | | | |
|  | **Hygiene Improvement**  Diarrheal Disease Prevention | | | | | | |  |
|  | | | | | | | | |
|  | | **Enabling**  **Environment** | Policy improvement  Institutional strengthening  Community organization  Financing and cost-recovery  Cross-sector & PP partnerships | | | |  | |

Key programmatic activities to reduce health risks and prevent epidemics, include:

* Providing an adequate and accessible amount of safe water for drinking, cooking and personal and domestic hygiene;
* Providing adequate and accessible sanitation services (including showers);
* Proper disposal of all waste;
* Control of vectors, including mosquitoes, rats, mice and flies;
* Awareness-raising of water-related diseases and meeting minimum standards for WASH Core Relief Items (e.g. Jerry can, soap, etc.).

Partners that submit WASH proposals should involve UNHCR WASH Officers in developing the Project Description and take account of the following:

* The use of the UNHCR WASH monitoring system;
* The use of UNHCR’s out-of-camp and urban WASH reporting tools;
* Adherence to UNHCR policies, Standard Operating Procedures and tools for WASH programming (refer to the [**UNHCR WASH website**](http://wash.unhcr.org/)in the Resources box below).

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| **RESOURCES** | ***WASH Programming Guidance***   * **UNHCR WASH website and Manual for Refugee Settings**:   [http://wash.unhcr.org/WASH website](http://wash.unhcr.org/#_ga=2.159043327.414344753.1518993865-178474222.1502797355)   * **UNHCR Global Strategy for Public Health 2014-2018** <http://www.unhcr.org//530f12d26.html> * **Sphere Handbook, WASH,** 2018 (draft)   [http://www.sphereproject.org/handbook/revision-wash](http://www.sphereproject.org/handbook/revision-sphere-handbook/draft-ready-for-feedback/wash/)   * **Excreta Disposal in Emergencies: A Field Manual** IFRC, OXFAM, UNHCR, UNICEF, WEDC, 2007   <https://www.alnap.org/help-library/excreta-disposal-in-emergencies-a-field-manual>   * **UNHCR Emergency Hygiene standards and guidance**   <https://emergency.unhcr.org/entry/33096/emergency-hygiene-standard>   * **Camp Management Toolkit, Chapter 14 WASH**, NRC   <http://cmtoolkit.org/chapters/view/water-sanitation-and-hygiene> |

# 7.4 Health, Mental Health and Psychosocial Support

UNHCR is committed to ensuring that Persons of Concern enjoy the right to the highest attainable standards of physical and mental health, including access to quality health services at a level similar to that of nationals of the country. The focus of UNHCR and its Partners’ public health programs is to minimize avoidable morbidity and mortality and should contribute to the following **strategic objectives**:

* Improve access to quality primary health care programs
* Decrease morbidity from communicable diseases and epidemics
* Improve childhood survival
* Facilitate access to integrated prevention and control of Non- Communicable Diseases, including mental health services
* Ensure rational access to specialist referral care
* Ensure integration into national services and explore financing options

### 7.4.1 Primary Health Care

Primary health care incorporates medical diagnosis and treatment, psychological assessment and management, personal support, communication of information about illness, prevention, and health maintenance. A community-based approach is critical, taking into account the disease profile of affected groups.

Depending on the setting, primary health care may be provided by a nurse, family physician or other type of health worker. Services are generally free of charge. However, where Persons of Concern are locally integrated, or the surrounding population pays for health care, different financing options for Persons of Concern may need to be explored. Key interventions include:

* Emergency medical, surgical and trauma care;
* Services for infants and young children, including immunization;
* Reproductive health and prevention of HIV;
* Communicable disease control;
* Non-communicable disease control including mental health;
* Psychosocial support;
* Response to disease outbreaks;
* Nutrition;
* Health education and health promotion;
* Rational use of essential medicines in accordance with UNHCR’s medicine policy (under direct implementation);
* WASH in health facilities.

Partners that submit Public Health proposals should involve UNHCR Public Health Officers in developing the Project Description and take account of the following:

* Use of the UNHCR Public Health Information System ([**TWINE**](http://twine.unhcr.org/app/)) for all refugee camp settings;
* Use of UNHCR’s out-of-camp and urban HIS reporting tools;
* Adherence to UNHCR policies, Standard Operating Procedures and tools for public health programming, namely:
* referral management,
* management of medicines and medical supplies, and
* laboratory quantity control.

### 7.4.2 Reproductive Health and HIV AIDS

In order to prevent morbidity and mortality due to HIV and reproductive health issues among Persons of Concern, UNHCR is committed to promoting and facilitating universal access to HIV protection, prevention, care and treatment services and comprehensive, integrated reproductive, maternal and newborn health services. The **strategic objectives for UNHCR’s Reproductive Health and HIV and AIDS programs** and the work of its Partners in these areas are to:

* Reduce transmission of HIV using a protection and rights-based approach
* Facilitate universal access to antiretroviral therapy
* Facilitate the elimination of vertical (mother to child) transmission of HIV
* Improve access to reproductive, maternal and newborn health services
* Progress the use of innovative and appropriate technologies in women’s health

UNHCR and its Partners should provide a minimum package of HIV services, even during the acute phase of an emergency. Persons of Concern should be included in national HIV and reproductive health strategies and plans, and benefit from the prevention and treatment protocols that are available to other nationals.

Services to prevent and mitigate the risk of mother-to-child transmission should also be provided, including access to confidential voluntary counselling and testing services and Anti-Retro Viral treatment for pregnant women and exposed babies. **Box 7.4** below sets out ten key considerations[[80]](#footnote-80) in protecting and assisting those affected by HIV and AIDS in emergencies.

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| **Ten Key Points on HIV and the Protection of Persons of Concern**   1. **Non-Discrimination:** Persons living with HIV and AIDS are entitled to live their life in dignity, free from discrimination and stigmatization. 2. **Access to HIV and AIDS Health Care**: Persons of Concern have the rights, as any other individual to the highest attainable standard of physical and mental health care, including prevention, treatment, care and support and HIV and AIDS 3. **Access to Asylum Procedures and Protection from Expulsion and Refoulment**: The HIV status of an asylum-seeker does not constitute a bar to accessing asylum procedures. 4. **Protection from Arbitrary Detention and Unlawful Restrictions on Freedom of Movement**: There is no public health justification for restrictions of these rights due to a person’s HIV status alone. 5. **Respect for Confidentiality and Privacy**: Personal data is confidential and should not be shared without the consent of the individual concerned; this includes data on the health and HIV status of the person. 6. **Provision of Voluntary Counselling and Testing**: Persons of Concern should have equal access to Voluntary Counselling and Testing services to help in preventing transmission of HIV. However, care is needed in maintaining confidentiality to prevent protection problems. 7. **Freedom from Mandatory Testing**: UNHCR opposes mandatory HIV testing as it contravenes various human rights standards. Public health interests are best served by promoting Voluntary Counselling and Testing where confidentiality and privacy can be assured. 8. **Access to Solutions**: The attainment of a long-term solution should not be jeopardized by the HIV status of a refugee or a family member. 9. **HIV-related protection needs of women, girls and boys**: Women and girls should be protected against sexual violence and exploitation as they are disproportionately affected by HIV and AIDS. Special attention must be paid to children affected by HIV, including those orphaned or made vulnerable by HIV. 10. **Access to HIV information and education**: The right to health also includes access to HIV and AIDS and sexual and reproductive health related information. |

### 7.4.3 Mental Health and Psychosocial Support (MHPSS)

UNHCR and its Partners need to ensure that appropriate Community Based Organizations and Persons of Concern, including groups with specific needs, are involved in all stages of design and implementation of the MHPSS activities. All MHPSS interventions should prioritize the interests of Persons of Concern, show respect for their decisions, and be guided by the principles of confidentiality, safety, security, respect, dignity and non-discrimination.

UNHCR’s [**Operational Guidance for MHPSS Programming**](http://www.unhcr.org/525f94479.pdf) is based on the following guiding principles to be followed by its staff and Partners:

1. Use Rights-based, Community-based and Participatory Approaches
2. Ensure equity of care and access
3. Assess needs and resources
4. Use a systems approach
5. Strive for integrated service provision
6. Adapt services to the stages of the refugee (displacement) situation
7. Build capacity
8. Use appropriate and systematic monitoring and evaluation
9. Ensure compliance with UNHCR policies and strategies and national and international standards and guidelines
10. Do No Harm

MHPSS is recognized as a crosscutting issue within the humanitarian response and not the sole responsibility of specialist agencies or individuals. Many interventions by humanitarian actors will impact on the mental health and psychosocial wellbeing of Persons of Concern. UNHCR’s operational guidance makes a distinction between a ‘MHPSS approach’ and ‘MHPSS interventions’.

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| **A MHPSS approach** means providing a humanitarian response in ways that are beneficial to the mental health and psychosocial wellbeing of Persons of Concern. This is relevant for all actors, including UNHCR Partners involved in providing protection and assistance to Persons of Concern. | **MHPSS interventions** consist of one or several activities with the primary goal of improving the mental health and psychosocial wellbeing of Persons of Concern. MHPSS interventions are usually implemented by specialists in the sectors for health, protection and education. |

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| **RESOURCES** | * **Global Strategy for Public Health 2014-2018** – Public Health – HIV and Reproductive Health – Food Security and Nutrition – Water, Sanitation and Hygiene (WASH)   <http://www.unhcr.org//530f12d26.html>   * **Sphere Handbook, Health Action**, 2018 (draft)   [http://www.sphereproject.org/revision-health-action](http://www.sphereproject.org/handbook/revision-sphere-handbook/draft-ready-for-feedback/health-action/)   * **Global Health Cluster – health guidelines in emergency response**   [http://www.who.int/list\_of\_guidelines for emergency response](http://www.who.int/hac/global_health_cluster/list_of_guidelines_for_emergency_response.pdf?ua=1)   * **Operational guidance on mental health & psychosocial support programming for refugee operations**, UNHCR, 2013   <http://www.unhcr.org/525f94479.html>   * **UNHCR Essential Medicine and Medical Supplies - Policy and Guidelines**, 2013   <http://www.unhcr.org/527baab09.html>   * **Interagency Field Manual on Reproductive Health in Humanitarian Settings,** IAWG, 2010   <http://www.unhcr.org/4c187e5b6.html>   * **UNHCR Public Health Information System (Twine)**   <http://twine.unhcr.org/app/>   * **All resources for public health programs can be found at**:   <http://www.unhcr.org/pages/49c3646cdd.html> |

# 7.5 Livelihoods

### 7.5.1 UNHCR’s Strategy for Livelihoods

UNHCR seeks to strengthen the livelihoods of Persons of Concern and reduce their vulnerability and long-term reliance on humanitarian or external assistance. By becoming [**self-reliant**](http://reporting.unhcr.org/glossary/s), displaced populations lead active and productive lives and can weave stronger social, economic and cultural ties with their host communities. To achieve this, attention should be given to protecting the skills and productive assets that displaced people carry with them, build the capacities they might need in a new environment, and broaden their opportunities in this new environment. **Table 46** below provides a snapshot of [**UNHCR’s 2014-18 Global Strategy for Livelihoods**](https://cms.emergency.unhcr.org/documents/11982/49760/UNHCR%2C+Global+Strategy+for+Livelihoods+2014-2018/87f6b6bd-7cfe-4df6-b87f-a928154efe84).

**Table 46: UNHCR Strategy for Livelihoods at A Glance**

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| **Strategic Objectives**   1. Promote the right to work and to development 2. Enable people to preserve and protect their productive assets as well as meet their immediate consumption needs 3. Develop and expand proven and innovative ways of supporting peoples’ economic self-reliance 4. Improve planning, learning and practice on successful approaches to livelihoods development and their impact on self-reliance | |
| **Guiding Principles**   * Protection * Age, Gender and Diversity (AGD) * Equity * Access * Sustainability * Community empowerment * Appropriateness and reliability * Enhance local market | **Programming Approaches**   * Partnerships and Coordination * Capacity-Building * Communication and Advocacy * Integrated approaches * Measurement * Innovation |

### 7.5.2 Livelihoods Programming

Livelihoods activities carried out by UNHCR and its Partners may include:

* Advocating for the legal right to work of Persons of Concern and other opportunities for access to markets and resources
* Targeting livelihoods initiatives according to the interests and capacities of Persons of Concern for achieving self-reliance
* Providing training for employment and entrepreneurship appropriate to market opportunities
* Enabling access to financial services and developing innovative income streams
* Creating synergies with other sectors from the onset of an emergency and building a common ethos and practice on market-based livelihoods development
* Drawing on lessons on poverty reduction and livelihoods from the development community, adapting to refugee contexts, and applying good practices
* Capitalizing on new funding opportunities

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| **RESOURCES** | * **UNHCR Global Strategy for Livelihoods 2014-18**   <http://www.unhcr.org/530f107b6.html>   * **Operational Guidelines on the Minimum Criteria for Livelihoods Programming**, UNHCR 2015   <http://www.unhcr.org/54fd6cbe9.pdf>   * **Investing in Solutions: A Practical Guide for the Use of Microfinance in UNHCR Operations**, UNHCR 2011   <http://www.unhcr.org/4eeb17019.pdf>   * **Minimum Standards for Market Analysis**, CaLP; 2016   [http://www.cashlearning.org/min stds Market Analysis](http://www.cashlearning.org/downloads/calp-minimum-requirements-en-rev-web.pdf)   * **Multi-sector Market Assessment: Companion Guide and Toolkit**, UNHCR, 2017   <http://www.cashlearning.org/downloads/multi-sector-market.pdf>   * **Small Enterprise Education and Promotion (SEEP) Network: Minimum Economic Recovery Standards**, Third Edition, 2017   <http://www.unhcr.org/594b7eb27.pdf> |

# 7.6 Energy and Environment

### 7.6.1 Programming for Environment

Protecting the environment that Persons of Concern depend on is a critical cross-cutting issue to UNHCR. This involves ensuring that natural resources such as vegetation, water and wood are continuously available for the protection and well-being of Persons of Concern and host communities. Use of these resources by Persons of Concern can result in tensions with the host community, jeopardizing opportunities for integration and asylum. As such, it is important to consider natural resources around camps and settlements from the onset of an emergency.

Initiatives taken to protect the environment by UNHCR and its Partners should utilize a community-based approach to understand the needs and habits of both Persons of Concern and host communities and assess the carrying capacity of environment to identify appropriate and sustainable solutions. Key activities include:

* Undertaking rapid or comprehensive environmental assessments. These should be undertaken following the [**Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations (FRAME) toolkit**](http://www.unhcr.org/uk/protection/environment/4a97d1039/frame-toolkit-framework-assessing-monitoring-evaluating-environment-refugee.html)**.**
* Developing Community Environmental Action Plans and appropriate awareness raising or advocacy activities. These involve extensive consultation with Persons of Concern, host communities, government representatives and other stakeholders over the life-cycle of a project.

## 7.6.2 Programming for Energy

Meeting the energy needs of Persons of Concern is another critical cross-cutting issue. UNHCR strives to ensure that Persons of Concern are able to satisfy their energy needs for cooking and lighting in a safe and sustainable manner, without fear or risk to their health, well-being and personal security. Without safe access to energy, women and children may spend hours searching for firewood, risking their personal safety and taking time away from educational or livelihood activities. Without light or electricity, students cannot study, and medical and educational institutions cannot refrigerate medication, perform critical operations or power computers.

Programs to help address energy requirements should adopt a community-based approach and fully assess environmental considerations including enabling or disabling factors such as government prohibitions, affecting the use of certain energy types. **Table 47** below provides a snapshot of [**UNHCR’s Global Strategy for Safe Access to Fuel and Energy**](http://www.unhcr.org/530f11ee6.pdf) **(SAFE).**

**Table 47: UNHCR Strategy for Safe Access to Fuel and Energy**

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| **Strategic Objectives**   1. Integrate energy into emergency preparedness and response 2. Develop and implement country level energy strategies 3. Improve access to household fuel and lighting using appropriate technologies and renewable energy 4. Increase access to energy for schools, health centers and other institutions. 5. Establish and manage woodlots for fuel provision and environmental protection. | |
| **Guiding Principles**   * Protection * Age, Gender and Diversity * Equity * Access * Sustainability * Community empowerment * Appropriateness and reliability | **Programming Approaches**   * Partnerships and Coordination * Capacity-Building * Communication and Advocacy * Integrated approaches * Measurement * Innovation |

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| **RESOURCES** | * **UNHCR 2014-18 Global Strategy for Safe Access to Fuel and Energy,** March 2014   <http://www.unhcr.org/energystrategy>   * **UNHCR Environmental Guidelines and Key Principles,** 2005   <http://www.unhcr.org/3b03b2a04.html>   * **Framework for Assessment, Monitoring and Evaluating the environment in refugee-related operations (FRAME) Toolkit,** 2009 (covering Environmental Assessment, Rapid Environmental Assessment, Community Environmental Action Planning, Environmental Indicator Framework, Evaluation)   <http://www.unhcr.org/4a97d1039.html>   * **Camp Management Toolkit, Chapter 6 Environment**, NRC   <http://cmtoolkit.org/chapters/view/environment>   * **ProAct – environmental partnerships for community resilience**   <http://www.proactnetwork.org/proactwebsite_3/index.php/resources> |

# 7.7 Shelter and Settlement

Shelter is a critical factor in survival during the initial stages of a disaster and is one of UNHCR’s global strategic priorities. Beyond survival, shelter is necessary to provide safety particularly for children, women, and other people with specific needs, security, protection from the climate and resistance to ill health and disease. It is also important for human dignity, to sustain family life and to enable those affected to recover from the impact of disaster. Shelter cannot be looked at in isolation; any response must also consider the context, culture and environment in which households are being sheltered, including access to basic services, markets and livelihood opportunities.

Together with the IFRC, UNHCR co-leads the Global Shelter Cluster and, working with Partners, plays an important role in ensuring implementation of the IASC Transformative Agenda. The IFRC leads the Shelter Cluster in disaster situations while UNHCR leads it for conflict-generated internal displacement.

UNHCR’s [**Global Strategy for Settlement and Shelter**](http://www.unhcr.org/530f13aa9.pdf) provides a framework to guide UNHCR and its Partners in addressing the sheltering needs for Persons of Concern, in line with the following mutually-reinforcing objectives:

1. To enable Persons of Concern to access and live in dignity in secure settlements that improve their social, economic and environmental quality of life as a community.
2. To enable Persons of Concern to access shelter solutions that provide privacy, security and protection from the elements, emotional support, and a space to live and store belongings in a dignified manner.

The ever-evolving nature of shelter technology and materials requires a constant investment in research and development to identify a variety of shelter solutions adapted to different climates, cultures and situations. Expanding its pool of technical specialists and building technical capacity for settlement and shelter within UNHCR and its Partners is a cornerstone of the 2014-18 Global Strategy.

Key activities in addressing sheltering needs:

* Integrate settlement strategies and potential layouts in contingency planning
* Develop standard formats and operating procedures for designing and implementing settlement and shelter strategies
* Ensure that other sector strategies support proposed shelter and settlement programs
* Put sufficient senior level expertise in place to guide implementation
* Promote holistic, comprehensive design of settlements (i.e. Master Plans)
* Design, roll out and/or support urban settlement guidelines
* Develop a range of shelter models for all operational phases in urban and rural settlements
* Strengthen UNHCR and Partner capacity to better respond to housing, land and property issues
* Invest in research and development for innovative shelter options
* Enhance settlement and shelter needs assessment methods and tools
* Finalize and roll-out sectoral monitoring and evaluation systems
* Compile and catalogue settlement and shelter good practices

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| **RESOURCES** | * **UNHCR Global Strategy for Settlement and Shelter 2014-18**   <http://www.unhcr.org/530f13aa9.pdf>   * **Global Shelter cluster website and references**   <https://www.sheltercluster.org/>   * **Shelter Design Catalogue** UNHCR, 2016   [http://sheltercentre.org/Shelter\_Design](http://sheltercentre.org/sites/default/files/Selecting%20NFIs%20for%20Shelter_0.pdf)   * **UNHCR Emergency Shelter Standards**   [https://emergency.unhcr.org/emergency-shelter-standards](https://emergency.unhcr.org/entry/86346/emergency-shelter-standard#1,1518986288187)   * **UNHCR Policy on Alternatives to Camps,** 2014 <http://www.refworld.org/docid/5423ded84.html> * **UNHCR Core Non-Food Items Catalogue** (2012 Edition) <http://www.unhcr.org/4d1b34b79.html> * **Transitional Settlement and Reconstruction after natural disaster** (UNOCHA, 2008, field edition),   [http://sheltercentre.org/TransitionalSettlement](http://sheltercentre.org/sites/default/files/TransitionalSettlementandReconstructionAfterNaturalDisasters.pdf) |

# 7.8 Cash Based Interventions (CBIs)

UNHCR’s mandate for protection and its comprehensive, multi-sector assistance programs make cash-based interventions (CBIs) a particularly appropriate tool for addressing the needs of Persons of Concern. Cash-based interventions can:

* bring protection benefits through empowering people to determine their own needs and the best way of meeting them;
* reduce the operational costs associated with delivery of in-kind assistance;
* improve access to assistance and services through money transfer services and new technologies.

CBIs can be used in a variety of settings, as long as there is a stable market and a safe way to provide refugees with cash or vouchers. The flexibility that CBIs offer makes them a more dignified form of assistance, giving refugees the ability to immediately prioritize and choose what they need. Cash-based interventions make the displaced less likely to resort to harmful coping strategies, such as survival sex, child labor, family separation and forced marriage. They also directly benefit the local economy and can contribute to peaceful coexistence with host communities. Risks may be mitigated through careful program design.

### 7.8.1 Partner Roles

The role of partners in CBI programs is important, even where UNHCR is delivering CBI’s directly, partners continue to play a crucial role in the design, analysis and monitoring of CBI programming.

**Table 48** below sets out the roles that UNHCR Partners play in the design, implementation and monitoring of CBIs. See the **Resources box** at the end of this section for further guidance). The Cash Learning Partnership (CaLP) and Markets in Crisis d-groups also offer active communities of practice for sharing ideas, experience and learning on CBIs.

**Table 48: Partner Roles in Design, Implementation, and Monitoring of CBIs**

|  |  |  |
| --- | --- | --- |
| **Role** | **Planning / Design** | **Implementation** |
| **Market Performance** | Demonstrate market capacity through analysis: supply of goods/services, capacity of goods/service providers | Monitor supply, price fluctuations, beneficiary perception of market and service provider performance |
| **Delivery**  **Mechanism** | Understand service provision, beneficiary experience and preferences. If implementing, competitive tender for financial services, and contract in line with UNHCR financial and data  protection requirements | Monitor beneficiary experience and satisfaction, and effectiveness of service provider, timely and efficient reconciliation of transfers |
| **Assessment, Targeting and**  **Verification** | Support the assessment and analysis of target groups and agree on targeting criteria and methods | Verify that the correct beneficiary on the payment lists and is receiving the correct transfer  (type and amount) |
| **Risk Analysis**  **and Mitigation** | Undertake beneficiary, program and financial risk assessment and design risk mitigation plan | Monitor and report on protection risks and benefits |
| **Implementation** | Where partners delivery CBI, Standard Operating Procedures (SOP) should be established outlining: the key steps of the implementation process, the generation of distribution lists, assigned authorized signatories, release of payments, a monitoring system to ensure compliance with the end-to-end use of the CBI transfer; and standardized methods for tracking, recording and reporting transactions, fees for Financial Service Providers and evidence of the release to and receipt by Persons of Concern. | Implement according to the agreed upon SOPs. |
| **Monitoring and**  **Reporting** | Adapt and contextualize UNHCR’s CBI monitoring and reporting framework and ensure mechanisms are in place for each indicator.  Provide information on distribution statistics, including summary statements with the periodic project performance report. | Monitor and report according to the agreed upon process,  performance and results indicators as well as process, output and outcome indicators in the CBI monitoring framework. |
| **Complaints**  **Mechanism** | Establish complaints and response mechanisms acceptable to beneficiaries and communicate procedures to beneficiaries | Report on common complaints and actions taken |
| **Coordination** | Actively participate in the relevant sectoral coordination on basic needs and CBI to maximize synergies.  Ensure needs as defined are agreed to and the response is coordinated. Fill gaps and reduce duplication. Ensure transfer value and delivery mechanism are established in coordination with other key stakeholders, including the government, and in line with recommended rates and methods, considering efficiencies gained through common delivery mechanisms. | |

7.8.2 Programmatic Considerations for Cash Based Interventions[[81]](#footnote-81)

To assess the appropriateness and feasibility of using CBIs to meet humanitarian objectives, consult the UNHCR Cash Feasibility and Response Analysis Toolkit (see below) which provides tools and guidance on the following seven steps which should be considered:

1. **Market Access and Capacity**

Key question: Are existing markets (local, regional, and national) accessible and able to provide the required goods or services at an appropriate price to address the needs? Can these markets respond to increased demand if CBIs are applied?

Main tool: UNHCR Multi-sector Market Assessment: Companion Guide and Toolkit

1. **Protection Risks and Benefits**

Key question: What are the protection risks and benefits of using CBIs compared with alternatives? What are the protection implications at the individual, household and community level? How can these risks be mitigated and managed?

Main tools: UNHCR Guide for Protection in Cash-Based Interventions and Protection Risk and Benefit Analysis Tool

1. **Financial Risks and Benefits**

Key question: What are the potential risks and benefits of using CBIs? How can risks be mitigated and managed?

Main tools: CBI SOP template (see table 7.7 implementation)

1. **Political Context**

Key question: What is the host country Government position on CBIs to people of concern on national and local levels? What are other CBI actors, including the Government, doing? What is the regulatory environment?

Main tools: Best practice summarized in the toolkit

1. **Transfer Mechanisms and Delivery Options**

Key question: Who are the financial service providers and what is their coverage and reliable level of service provision? How long might it take to contract and establish the required services? What is the regulatory environment?

Main tool: Cash Delivery Mechanism Assessment Tool (CDMAT)

1. **Cost-Efficiency**

Key question: What is the cost of delivering CBIs, as compared to using alternative response options? How do the costs vary between different delivery mechanisms?

Main tools: Best practice summarized in the toolkit

1. **Skills and Capacity**

Key question: What is the level of skills and commitment within the operation, across different functions including IT systems and budgetary and accounting requirements? What additional internal capacity is needed?

Main tool: Overview of steps to establish a cash-based intervention

Based on the above, where assuming CBI, or a combination of CBI and in-kind provision of assistance and services, is identified as the most appropriate transfer modality, the CBI should be designed and implemented in accordance with UNHCR guidance and best practice, including the Operational Guidance for Cash-Based Interventions in Displacement Settings. Standard Operating Procedures (SOP), clarifying the processes and controls for CBI,). Completion of the SOP template is required for all CBIs implemented by UNHCR and its Partners.

Monitor the process, performance and impact of the CBI in line with UNHCR's Results Framework and UNHCR CBI monitoring framework and tools, which includes specific tools for Post Distribution Monitoring (PDM).

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| **RESOURCES** | * **All UNHCR CBI publications on:**   <http://www.unhcr.org/cash-based-interventions.html>   * **UNHCR Policy on cash-based interventions,** 2016   [https://cms.emergency.unhcr.org/Policy\_on\_CBIs](https://cms.emergency.unhcr.org/documents/11982/159474/UNHCR%2C+Policy+on+Cash-Based+Interventions/89b1c28c-fb3e-43c1-bd3d-84dd964b566a)   * **Cash Feasibility and Response Analysis Toolkit**, UNHCR, 2017   <http://www.unhcr.org/5a8429317.pdf>   * **Minimum Standards for Market Analysis**, CaLP; 2016   [http://www.cashlearning.org/min stds Market Analysis](http://www.cashlearning.org/downloads/calp-minimum-requirements-en-rev-web.pdf)   * **Multi-sector Market Assessment: Companion Guide and Toolkit**, UNHCR, 2017 * <http://www.unhcr.org/593e856e7> * **Cash Delivery Mechanism Assessment Tool,** UNHCR, 2016   <http://www.unhcr.org/598c69db7>   * **CBI Post distribution monitoring** tool (forthcoming) * **Cash Learning Partnership – community of practice and resources, CaLP:**   <http://www.cashlearning.org> |

# 7.9 Food Security and Nutrition

Displacement is a major shock for people and is often associated with a complete loss of livelihoods and entitlements leading to undernutrition and food insecurity. Encampment policies restrict freedom of movement, including access to markets. Livelihoods can be further restricted by several factors such as, limited access to land, natural resources, attrition of knowledge and skills, limited transport facilities and generalized poverty, thereby negatively affecting food security and nutrition.

To mitigate this, UNHCR and its Partners need to improve the food security and reduce the prevalence of undernutrition among Persons of Concern, especially women, young children and other vulnerable groups, including the elderly and people with special needs. The food security and nutrition sectors also work in close collaboration with livelihoods, to provide longer term solutions and to promote self-reliance among Persons of Concern.

### 7.9.1 Malnutrition

Acute malnutrition among children under five, together with mortality, is the main indicator for the overall health and nutrition of a population. The principal causes of acute malnutrition are inadequate food intake and utilization, sub-optimal infant and young child care and feeding practices, and morbidity often linked to environmental, hygiene and shelter conditions. In addition, micronutrient deficiencies, notably anemia, are common across Persons of Concern, including in post-emergency contexts, largely because of inadequate food intake and communicable diseases, such as malaria.

### 7.9.2 Programming for Food Security and Nutrition

In camp settings, acute malnutrition is one of the major causes of mortality because malnutrition increases vulnerability to disease. A nutrition assessment and implementation of needs-based feeding programs are important initial activities in a camp to ensure that vulnerable groups and those with specific needs receive special attention, as appropriate.

UNHCR’s food security and nutrition interventions aim to improve the immediate food security and nutritional well-being of refugees and other Persons of Concern, mainly by tackling the immediate and underlying causes of malnutrition. In line with its [**Global Strategy for Public Health 2014-2018**](http://www.unhcr.org/530f12d26.pdf)**,** UNHCR has four objectives guiding its programming activities in food security and nutrition, as set out in **Table 49** below.

**Table 49: UNHCR Strategy for Nutrition at a Glance**

|  |
| --- |
| **Strategic Objectives**   1. **Effective prevention of undernutrition and micronutrient deficiencies -** through enabling access to food, cash and/or vouchers and special nutritional products for vulnerable groups, as well as supporting infant and young child feeding and care practices. 2. **Effective treatment of acute malnutrition** – throughquality treatment projects and sufficient coverage. 3. **Effective provision of up-to-date food security and nutrition information and analysis** - thereby enabling appropriate and needs-based programming). 4. **Effective food security and nutrition response in emergencies.** |

|  |  |
| --- | --- |
| **RESOURCES** | * **Global Strategy for Public Health 2014-2018** – Public Health – HIV and Reproductive Health – Food Security and Nutrition – Water, Sanitation and Hygiene (WASH)   <http://www.unhcr.org//530f12d26.html>   * **Global Nutrition Cluster, Moderate Acute Malnutrition: A Decision Tool for Emergencies**, 2014   [https://cms.emergency.unhcr.org/GNC-MAM\_decision+tool](https://cms.emergency.unhcr.org/documents/11982/31888/lobal+Nutrition+Cluster%2C+Moderate+Acute+Malnutrition_+A+decision+tool+for+emergencies%2C+2014/7272bce4-ece6-4c74-84a3-811523529c21)   * **Operational guidance on the use of special nutritional products** **related to reduce micronutrient deficiencies and malnutrition in refugee situations,** UNHCR 2011   <http://www.unhcr.org/4f1fc3de9.html>   * **UNHCR’s policy related to the acceptance, distribution and use of milk products in refugee settings**. UNHCR 2006   <http://www.unhcr.org/4507f7842.html>   * **Emergency Nutrition Network (ENN**): <https://www.ennonline.net/> * **Global Nutrition Cluster, training and resources:**   [http://nutritioncluster.net/harmonized-training-package](http://nutritioncluster.net/training-topics/harmonized-training-package/) |

# 7.10 Age, Gender and Diversity (AGD)

Through the systematic application of an [**Age, Gender and Diversity (AGD) approach**](http://www.unhcr.org/protection/women/5aa13c0c7/policy-age-gender-diversity-accountability-2018.html?query=Policy), UNHCR seeks to ensure that all Persons of Concern enjoy their rights on an equal footing and can fully participate in the decisions that affect their lives.

**Section still to be reviewed in line with March 2018 AGD policy**

By analyzing the AGD dimensions as interlinked personal characteristics, the protection risks and capacities of individuals and communities can be better understood and addressed more effectively. Promoting respect for differences helps to facilitate progress towards full equality. This includes the promotion of equal opportunities for people with different needs and abilities and direct, measurable actions to combat inequality and discrimination. **Table 50** sets out UNHCR’s core commitments to applying a AGD approach.

**Table 50: UNHCR Core Commitments to Age, Gender and Diversity**

|  |  |
| --- | --- |
| **1** | UNHCR acknowledges and reaffirms that the complete realization of gender equality is an inalienable and indivisible feature of all human rights and fundamental freedoms. The systematic promotion of this principle in measurable results is essential to ensuring protection and durable solutions for women and men of all ages and backgrounds served by the Organization. |
| **2** | UNHCR is deeply committed to ensuring that Persons of Concern have equal access to their rights, protection, services and resources, and can participate as active partners in the decisions that affect them. To this end, UNHCR has committed to mainstreaming an AGD approach. |
| **3** | Working in partnership with Persons of Concern and other stakeholders, UNHCR is committed to ensuring that safeguards are in place to prevent any action from inadvertently increasing marginalization, vulnerability, exclusion and stigmatization that may put some people/groups at further risk. |
| **4** | UNHCR is also committed to advocating for the implementation of an AGD approach by other intergovernmental, governmental and non-governmental entities working with Persons of Concern. |

7.10.1 Defining Diversity: One Community, Many People[[82]](#footnote-82)

UNHCR’s AGD policy highlights the diversity at community level and identifies specific vulnerabilities and concerns for staff and Partners in programming.

**Women and girls** - often have fewer opportunities and resources, lower socio-economic status, less power and influence and face multiple layers of discrimination. Through displacement they are exposed to numerous protection risks, including exploitation, enslavement, rape and other forms of SGBV. Women suffering from discrimination and violence face enormous challenges providing for their families and their engagement in improving their own situation has a direct and positive impact on the well-being, livelihood and protection of their families and communities.

The roles of **men and boys** often change in displacement. This can create protection risks that need to be detected and addressed. Boys can be at high risk of trafficking, forced recruitment and sexual exploitation and abuse. Promoting and supporting the positive engagement of men and boys in the many issues related to their community is a fundamental step towards ensuring access to protection and equality for all.

**Children, including adolescents** are exposed, through displacement to neglect, exploitation, and sexual exploitation and abuse. Children are at particular risk due to their dependence on adults to survive, their vulnerability to physical and psychological trauma, and the need to ensure normal growth and development. Education in a safe environment provides children and young people with opportunities for some normalcy, as well as a mechanism for teaching children and young people to respect their diversity. Children have a unique and valuable perspective and their participation in decisions that affect them is essential in facilitating their protection and wellbeing.

**People who are lesbian, gay, bisexual, transsexual or intersex (LGBTI)** are often exposed to discrimination and abuse linked to their sexual orientation and gender identity. These factors are often compounded in situations of displacement. Their participation in decisions affecting them is central to their protection, access to rights and the positive contribution they can make to community life.

**Older women and men** may suffer a heightened risk of marginalization, exploitation and other forms of abuse. While they may be severely challenged, older persons should not be seen only as passive, dependent recipients of assistance. They often serve a key role as community leaders and transmitters of knowledge, offering guidance and advice, and contributing to peace and reconciliation measures.

**Persons with disabilities** may face heightened protection risks, such as exposure to violence and sexual exploitation and abuse, and exclusion from humanitarian assistance, education, livelihoods and health care. Their active participation is essential to identifying and developing appropriate solutions to disability challenges during and because of forced displacement. Including children with disabilities in education is key to promoting an inclusive society and all those with disabilities are to be valued and promoted.

**Women and men belonging to national or ethnic, religious and linguistic minorities or indigenous groups** often experience discrimination and marginalization. Working closely with minority and indigenous groups helps to identify the risks they face as well as strategies to mitigate them. Their active participation in community life is an enriching ingredient to be promoted.

UNHCR and its Partners need to make themselves aware of their own preconceptions or discriminatory attitudes towards different groups to ensure that programs are inclusive and participatory. Prejudice may stem from lack of knowledge about a particular group or their rights. Exclusion of specific groups or individuals during displacement can be inadvertent or purposeful: either way, it is discriminatory.

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| **RESOURCES** | * **Age, Gender and Diversity Policy: Working with People and Communities for Equality and Protection**, UNHCR, June 2011   [http://www.unhcr.org/protection/policy-AGD](http://www.unhcr.org/protection/women/5aa13c0c7/policy-age-gender-diversity-accountability-2018.html?query=Policy)   * **Gender Handbook for Humanitarian Action**, IASC, 2018   [https://interagencystandingcommittee.org/GenderHandbook](https://interagencystandingcommittee.org/system/files/2018-iasc_gender_handbook_for_humanitarian_action_eng_0.pdf)   * **Working with Lesbian, Gay, Bisexual, Transgender and Intersex Persons in forced displacement,** UNHCR, 2011   <http://www.refworld.org/docid/4e6073972.html>   * **Working with National or Ethnic, Religious and Linguistic Minorities and Indigenous Peoples in forced displacement,** UNHCR, 2011   <http://www.refworld.org/docid/4ee72a2a2.html>   * **Protecting Older People in Emergencies**, HelpAge 2012   [http://www.globalprotectioncluster.org/Older\_People](http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/age_gender_diversity/HelpAge_Older_People_Best_Practices_EN.pdf)   * **Working with Older Persons in forced displacement,** UNHCR, 2013   <http://www.refworld.org/pdfid/4ee72aaf2.pdf>   * **Working with Persons with Disabilities in forced displacement,** UNHCR, 2011   [http://www.unhcr.org/persons-disabilities](http://www.unhcr.org/uk/publications/manuals/4ec3c81c9/working-persons-disabilities-forced-displacement.html)   * **Disability Checklist for Emergency Response**, Handicap Intl   [http://www.globalprotectioncluster.org/Disability\_Checklist](http://www.globalprotectioncluster.org/_assets/files/tools_and_guidance/age_gender_diversity/HandicapInt_Disability_Checklist_Emergency_Response_EN.pdf) |

# 7.11 Emergency Preparedness and Response

In order to save lives, ensure protection, deliver assistance, and promote solutions for Persons of Concern, UNHCR's [**Policy on Emergency Preparedness and Response**](https://cms.emergency.unhcr.org/documents/11982/124166/UNHCR+Policy+on+Emergency+Preparedness+and+Response+-+1+July+2017/767b6265-357a-4372-aca2-50e1a97d7cc9) seeks to ensure that UNHCR has sufficient and appropriate capacity and procedures to proactively anticipate, prepare for and achieve an optimal response to emergencies.

The policy sets out UNHCR's internal mechanisms for emergency preparedness and response, including criteria for their activation and deactivation and for determining the level of response. It calls to involve a range of players in design and delivery: governments, civil society, local and international NGOs, UN agencies, development actors, financial institutions, the private sector, the media and refugees, internally displaced people and host communities. The Emergency Policy outlines the key principles for UNHCR and its Partners in guiding emergency preparedness and response activities, including:

* Adopting a whole-of-UNHCR approach
* Putting Persons of Concern at the center
* Overriding duty to act on a Do No Harm and No Regrets basis
* Promoting state responsibility and humanitarian complementarity
* Diversifying partnerships
* Pursuit of solutions in all preparedness and response activities from the onset and links to development
* Maintaining a duty of care
* Being innovative and scanning the horizon

### 7.11.1 Emergency Preparedness

On an annual basis, all UNHCR operations are required to undertake an exercise of refugee emergency risk analysis together with partners and governments and to ensure a minimum level of preparedness following guidance set out in the [**UNHCR Preparedness Package for Refugee Emergencies**](https://emergency.unhcr.org/entry/55576/preparedness-package-for-refugee-emergencies-ppre) **(PPRE)**. Country operations at a medium to high risk of new or escalated emergencies are required to complete additional activities including the designation of a senior Preparedness Focal Point and the development of Preparedness Actions Plans in collaboration with Partners and government counterparts.

Designed to align with the Refugee Coordination Model, the Comprehensive Refugee Response Framework, and other coordination mechanisms established in agreement with governments, the PPRE promotes an inclusive strategic planning process to ensure that the multi-sector response is coordinated and delivered smoothly. The activities described in the PPRE are to be undertaken in partnership with government (including local authorities and line ministries), refugees already in the country, host communities, UN agencies, development partners and private actors, local, national and international NGOs, and other relevant stakeholders. The inclusion of donors at all phases of preparedness helps to ensure that preparedness and early action are adequately understood, supported and funded (where needed).

Where the risks relate to non-refugee situations, UNHCR and its Partners actively contribute to Resident Coordinator/Humanitarian Coordinator-led inter-agency processes and lead or contribute to cluster preparedness plans through the Emergency Response Preparedness approach endorsed by the Inter Agency Standing Committee (IASC).

### 7.11.2 Activation of Emergencies

UNHCR will declare an emergency at one of three levels set out below in order to increase the financial, material and Human Resource support across the organization and from Partners. For sudden onset emergencies, the level will be declared within 72 hours of the initial event. Level 2 and 3 declarations remain in force for 6 months, after which they are reviewed.

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| **UNHCR Emergency Level 1**: Proactive preparedness | Activated to trigger active preparations for a likely humanitarian emergency. |
| **UNHCR Emergency Level 2**: Stepped-up Bureau support | Applies in a situation where additional support resources are required, mainly from the respective regional Bureau, to respond to an emergency in a timely and effective manner. |
| **UNHCR Emergency Level 3:** Whole-of-UNHCR response | Signifies an exceptionally serious situation in which the scale, pace, complexity or consequences of a crisis exceed the existing response capacity of the country operation and respective regional Bureau |
| **IASC System-wide Level 3 Emergencies** | Declared by the Emergency Relief Coordinator following consultation with the Humanitarian Country Team, the Emergency Directors Group and the IASC Principals.  Requires the collective humanitarian sector to mobilize capacity for the accelerated delivery of protection and humanitarian assistance to those affected. |

Simplified procedures apply to Partnership Agreements during the first 6 months of Level 3 emergencies (refer to **Sections 3.3** and **5.1** of this Handbook for further details).

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| **RESOURCES** | * **Emergency Preparedness and Response Policy**, UNHCR, 2017   [https://cms.emergency.unhcr.org/EPR policy 2017](https://emergency.unhcr.org/entry/171151/policy-on-emergency-preparedness-and-response)   * **UNHCR Preparedness Package for Refugee Emergencies**   [https://emergency.unhcr.org/PPRE](https://emergency.unhcr.org/entry/55576/preparedness-package-for-refugee-emergencies-ppre)   * **Online UNHCR Emergency Handbook: Emergency preparedness and response section**   [https://emergency.unhcr.org/policy-ERP](https://emergency.unhcr.org/entry/125155/policy-on-emergency-preparedness-and-response)   * **IASC Emergency Response Preparedness Approach**, 2016   [https://www.humanitarianresponse.info/EP\_approach](https://www.humanitarianresponse.info/system/files/documents/files/at_a_glance_emergency_response_preparedness_approach_july_2016.pdf) |

# 7.12 Security

### 7.12.1 Security of Persons of Concern

The security of Persons of Concern is regularly compromized and they may face physical insecurity, gender violence, exploitation, threats to their health (for example from HIV-AIDS), refoulment (in the case of refugees), and restriction of other basic rights. The [**UNHCR Manual on Security of Persons of Concern**](http://www.refworld.org/pdfid/4f6313032.pdf) describes the threats facing Persons of Concern and sets out a range of responses that can be used in addressing them. A summary of this guidance is given in **Table 51** below.

**Table 51: Security Threats and Responses for Persons of Concern**

|  |  |
| --- | --- |
| **Security Threats** | **Security Responses** |
| * Persons of Concern involved in or affected by protests, demonstrations, group disturbances or gang violence * Tension and conflict between groups of Persons of Concern or Persons of Concern and host communities * Banditry, Kidnapping, Abduction, Disappearances and Hostage Taking * Physical Attacks on Camps and Settlements or Persons of Concern * Presence of Combatants and Armed Elements among Persons of Concern * Abuse of Power by Humanitarian or Peacekeeping Actors or Persons of Concern * Physical harassment, exploitation or corruption * Verbal Harassment or Rumors * Domestic Violence * Human Trafficking and Smuggling * Self-harm * Sexual Violence and Harmful Traditional Practices * Unlawful Killings * Detention * Refoulment and Arbitrary Expulsion * Improvised Explosive Devices, Crossfire, Landmines and Unexploded Ordnance | * Access to Essential Services * Site Selection and Planning * Access to Counselling or MHPSS programs * Enhance the Capacity of National Institutions, Traditional Leaders and NGOs * Access to Justice and Referral Mechanisms * Adherence to International Norms, Standards and Codes in Law and Practice * Security Sector Reform and Disarmament, Demobilization and Reintegration Programs * Training on Human Rights, Refugee and International Humanitarian Law * Effective Screening, Reception, Status Determination, Registration and Documentation * Resettlement, Local Integration and Livelihoods * Community Awareness and Coexistence Measures * Deployment of Security Personnel or Police in Camps, Centers and Settlements * Internal Relocation and Safe Houses |

### 7.12.2 Security of UNHCR and Partner Personnel

Attacks on humanitarian workers and constraints on humanitarian access impact on the capacity of UNHCR and its Partners to provide protection and assistance to Persons of Concern. In response, there has been a shift from risk aversion to risk management. This enabling approach to security focuses on “how to stay” as opposed to “when to leave” and has been adopted in the UN and many other humanitarian organizations.

UNHCR ‘duty of care’ does not extend to Partner organizations and it is not responsible for Partner security management. However, UNHCR Offices and its Partners must work together to increase the joint understanding of security risks and effective ways to mitigate them (refer to [**Sections 3.1.2**](#_3.1.2_Risk_Based) [and **3.1.3**](#_3.1.3_Managing_Project)). This need for shared commitment and collaboration in dealing with security is particularly important as security conditions deteriorate and Partners take on greater roles and risks in project implementation.

UNHCR Offices should, where appropriate consider[[83]](#footnote-83):

* Including Partners in analyzing and assessing threats and security risks in the areas where it will be operating;
* Providing local Partners with basic security awareness training;
* Budgeting for appropriate logistical and security communication; and
* Establishing clear procedures for reporting security incidents to UNHCR**.**

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| **RESOURCES** | * **UN Security Policy Manual, 2017**   [https://www.un.orgsecurity\_policy\_manual](https://www.un.org/undss/sites/www.un.org.undss/files/docs/security_policy_manual_spm_e-book_as_of_29_nov_2017_0.pdf)   * **Security Risk Management: A basic guide for smaller NGOs, EISF, 2017**   [https://www.eisf.eu/Security-Risk-Management-a-basic-guide](https://www.eisf.eu/wp-content/uploads/2017/06/2157-EISF-June-2017-Security-Risk-Management-a-basic-guide-for-smaller-NGOs.pdf)   * UNHCR **Manual on Security of Persons of Concern**, 2011   <http://www.refworld.org/pdfid/4f6313032.pdf>   * **Stay and Deliver – Good Practice for Humanitarians in Complex Security Environments,** OCHA, 2011   [https://reliefweb.int/sites/reliefweb.int/GP guide complex security](https://reliefweb.int/sites/reliefweb.int/files/resources/1D5190B0014508184925784C000737A5-Full_Report.pdf)   * **European Interagency Security Forum** (EISF) resources and advice:   <https://www.eisf.eu/resources-library/> |

# Acronyms

|  |  |
| --- | --- |
| AAP | Accountability to Affected Populations |
| ABOD | Administration budget |
| AGD | Age Gender Diversity |
| AIDS | Acquired Immune Deficiency Syndrome |
| ARA | Accountabilities, Responsibility and Authorities |
| CBI | Cash-based intervention |
| CCCM | Camp Coordination Camp Management |
| CRRF | Comprehensive Refugee Response Framework |
| CNA | Comprehensive Needs Assessment |
| DFAM | Division of Financial and Administrative Management |
| ExCom | UNHCR’s Executive Committee |
| FIP | Framework for Implementing with Partners |
| FOCUS | UNHCR’s results-based management software |
| HCT | Humanitarian Country Team |
| HIV | Human Immunodeficiency Virus |
| HNO | Humanitarian Needs Overview |
| HPC | Humanitarian Programme Cycle |
| HRP | Humanitarian Response Plan |
| IASC | Inter-Agency Standing Committee |
| ICVA | International Council of Voluntary Agencies |
| IDP | Internally Displaced Person |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| IPMC | Implementing Partnership Management Committee |
| IPMS | Implementing Partnership Management Service |
| LGBTI | Lesbian, Gay, Bisexual, Transgender and Intersex Persons |
| LOMI | Letter of Mutual Intent |
| MFT | Multi-Functional Team |
| MHPSS | Mental Health and Psychosocial Support |
| MIRA | Multi cluster/sector Initial Rapid Needs Assessment |
| MSRP | UNHCR’s web-based Resource Planning system known  as Managing for Systems, Resources and People |
| NGO | Non-governmental Organization |
| OCHA | UN Office for the Coordination of Humanitarian Affairs |
| OL | Operating level |
| OP | Operations Plan |
| OPS | Operations budget |
| PHSC | Partner Headquarters Support Costs |
| PPA | Project Partnership Agreement |
| PPG | Population Planning Group |
| PQP | Pre-qualification for Procurement |
| PSEA | Protection from Sexual Exploitation and Abuse |
| RBM | Results Based Management |
| RCM | Refugee Coordination Model |
| ROU | Receipt and Right of Use of UNHCR Assets |
| RRP | Refugee Response Plan |
| RSD | Refugee Status Determination |
| SEA | Sexual Exploitation and Abuse |
| SGBV | Sexual Gender Based Violence |
| SSA | Small Scale Agreement |
| UNHCR | Office of the United Nations High Commissioner for Refugees |
| VCT | Voluntary Counselling and Testing |
| WASH | Water Sanitation Hygiene |
| WFP | World Food Programme |

# Glossary

<http://reporting.unhcr.org/glossary>

1. <http://www.unhcr.org/54621bf49.html> [↑](#footnote-ref-1)
2. 1954 Convention relating to the Status of Stateless Persons and the 1961 Convention on the Reduction of Statelessness. These are complemented by international human rights treaties and provisions relevant to the right to a nationality. [↑](#footnote-ref-2)
3. Resolutions of the Human Rights Council and UN General Assembly on IDPs: <http://www.ohchr.org/EN/Issues/IDPersons/Pages/Resolutions.aspx> [↑](#footnote-ref-3)
4. Operational Review of UNHCR’s Engagement in Situations of Internal Displacement, Sep 2017: [http://www.unhcr.org/op-review-unhcr--internal-displacement](http://www.unhcr.org/uk/protection/idps/5a02d6887/operational-review-unhcrs-engagement-situations-internal-displacement.html) [↑](#footnote-ref-4)
5. from UNHCR Program Manual (chapter 4) [↑](#footnote-ref-5)
6. GPC Brief on Protection Mainstreaming, 2013 <http://www.refworld.org/docid/523976174.html> [↑](#footnote-ref-6)
7. UNHCR’s mandate in relation to assistance to refugees and other people of concern <http://www.refworld.org/pdfid/557050fa4.pdf> [↑](#footnote-ref-7)
8. Refer to Section 3.2.2 for further details [↑](#footnote-ref-8)
9. As defined in the UNHCR Handbook for Emergencies, 2016 [↑](#footnote-ref-9)
10. Misconduct is defined by the United Nations as “any failure by a staff member to comply with his or her obligations under the Charter of the United Nations, the Staff Regulations and Staff Rules or other administrative issuances, or to observe the standards of conduct expected of an international civil servant.” [↑](#footnote-ref-10)
11. <http://www.unhcr.org/uk/admin/policies/422dbc89a/unhcr-code-conduct-explanatory-notes.html> [↑](#footnote-ref-11)
12. Based on an extract from the Plan of Action of The Report of the IASC Task Force on PSEA [↑](#footnote-ref-12)
13. Handbook on Fraud and Corruption Prevention, Detection and Reporting at UNHCR, 2017 [↑](#footnote-ref-13)
14. Based on content from the Handbook on Fraud and Corruption Prevention, Detection and Reporting in UNHCR, 2017 [↑](#footnote-ref-14)
15. As defined by the Core Humanitarian Standard on Quality and Accountability, 2014 [↑](#footnote-ref-15)
16. As defined in the UNHCR Handbook for Emergencies, 2016 [↑](#footnote-ref-16)
17. [https://interagencystandingcommittee.org/2017 Commitments AAP and PSEA](https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-56) [↑](#footnote-ref-17)
18. The Inspector General’s Office provides independent oversight of UNHCR’s activities and operations, including activities undertaken by Partners. It conducts ad-hoc inspections and investigations into misconduct. [↑](#footnote-ref-18)
19. From IASC Task Force on PSEA - Model Complaints and Investigation

    Procedures and Guidance Related to Sexual Abuse and Sexual Exploitation, 2004 [↑](#footnote-ref-19)
20. From the Project Partnership Agreement (UNHCR with Non-governmental and other not-for-profit Partners) Appendix 2: Standards of Managing Misconduct [↑](#footnote-ref-20)
21. Global Appeal 2018-19 [http://reporting.unhcr.org/Global\_Appeal\_2018](http://reporting.unhcr.org/sites/default/files/ga2018/pdf/Global_Appeal_2018_full_lowres.pdf) [↑](#footnote-ref-21)
22. As at 2017, UNHCR works in 130 countries across 468 locations Global Focus: <http://reporting.unhcr.org/operations> [↑](#footnote-ref-22)
23. The Offices, Units and Services listed under each Division are restricted to those of specific relevance to UNHCR Partners [↑](#footnote-ref-23)
24. <http://www.unhcr.org/uk/senior-executive-team.html> [↑](#footnote-ref-24)
25. From UNHCR Programme Manual (Chapter 4) [↑](#footnote-ref-25)
26. SCHR is a voluntary alliance of nine of the world’s leading humanitarian organizations, which come together to support quality, accountability and learning in humanitarian action. [↑](#footnote-ref-26)
27. <https://emergency.unhcr.org/entry/60930/refugee-coordination-model-rcm> [↑](#footnote-ref-27)
28. Sample ToR for the Durable Solutions Working group in Sudan, 2017: [http://www.earlyrecovery.global/DSWG ToR Sudan 2017](http://www.earlyrecovery.global/sites/default/files/20170509_tor_durable_solutions_working_group_final.pdf) [↑](#footnote-ref-28)
29. Preliminary Response Plans and Humanitarian Response Plans [↑](#footnote-ref-29)
30. Policy on the Protection of Personal Data of Persons of Concern to UNHCR, 2015 [↑](#footnote-ref-30)
31. The Principles of Partnership were adopted in 2007 by the Global Humanitarian Platform and humanitarian organizations such as, the UN, the Red Cross and the NGOs [↑](#footnote-ref-31)
32. http://www.unhcr.org/high-commissioner-structured-dialogue-with-ifrc-and-the-ngos.html [↑](#footnote-ref-32)
33. Joint assessment and analysis, prioritization and strategic planning; information-sharing; developing advocacy positions and strategies; IDP; Statelessness; strengthening capacity for collective response; urban; review current for a for dialogue; complaint mechanisms and progress report. [↑](#footnote-ref-33)
34. https://intranet.unhcr.org/content/intranet/unhcr/en/home/support\_services/humanitarian\_partnerships0/bilateral\_and\_multilateral/ngos/\_jcr\_content/mainpar/multidownload\_1/multidownloadItems/multidownloadfile\_0/file/file.res/Guidance%20note%20on%20partnership%20in%20advocacyFINAL.pdf [↑](#footnote-ref-34)
35. UNHCR Partnership Section and ICVA, A Guide for NGOs Participating in UNHCR’s Annual Consultations with NGOs [↑](#footnote-ref-35)
36. [http://www.unhcr.org/unhcrs-strategic-directions-2017-2021](http://www.unhcr.org/excom/announce/5894558d4/unhcrs-strategic-directions-2017-2021.html) [↑](#footnote-ref-36)
37. The Grand Bargain – A Shared Commitment to Better Serve People in Need <https://interagencystandingcommittee.org/grand-bargain-hosted-iasc> [↑](#footnote-ref-37)
38. [https://www.agendaforhumanity.org/TheGrandBargain](https://www.agendaforhumanity.org/sites/default/files/The%20Grand%20Bargain_Everything%20You%20Need%20to%20Know%20%28ICVA%29_0.pdf) [↑](#footnote-ref-38)
39. [http://www.unhcr.org/strengthening-capacity-unhcrngo-partnerships](http://www.unhcr.org/uk/partners/partners/573489497/strengthening-capacity-unhcrngo-partnerships-assist-refugees-other-persons.html) [↑](#footnote-ref-39)
40. <http://www.unhcr.org/5a18304f7.pdf> [↑](#footnote-ref-40)
41. Operational Guidelines for complementary capacity strengthening for UNHCR and its NGO partners, March 2017 [↑](#footnote-ref-41)
42. Drawn from annual UNHCR-NGO consultations and the Operational Guidelines for complementary capacity strengthening for UNHCR and its NGO partners, March 2017 [↑](#footnote-ref-42)
43. Based on Framework for Implementing with Partners Learning Program: Introduction to the Framework for Implementing with Partner s [↑](#footnote-ref-43)
44. Also referred to as Partnership Agreements in this Handbook [↑](#footnote-ref-44)
45. UNHCR Annual Consultations with NGOs 2017 Report [↑](#footnote-ref-45)
46. This has been absorbed within the other workstreams and is being taken forward through the [IASC Task Team on Strengthening the Humanitarian / Development Nexus](#IASC_TT_HDN) with a focus on protracted contexts [↑](#footnote-ref-46)
47. <https://interagencystandingcommittee.org/iasc-task-team-strengthening-humanitariandevelopment-nexus-focus-protracted-contexts> [↑](#footnote-ref-47)
48. <http://www.unhcr.org/events/conferences/584689257/new-york-declaration-faqs.html> [↑](#footnote-ref-48)
49. <http://www.unhcr.org/uk/events/conferences/59ad23da7/final-report-2017-annual-consultations-ngos.html> [↑](#footnote-ref-49)
50. <https://insight.wfp.org/introducing-the-un-partner-portal-9a2b2261bf9f> [↑](#footnote-ref-50)
51. Based on the IPMS Guidance Note 6, Section 4.2 [↑](#footnote-ref-51)
52. MSRP is UNHCR’s web-based Enterprise Resource Planning system [↑](#footnote-ref-52)
53. Based on agreement following the 2017 UNHCR-NGO consultations [↑](#footnote-ref-53)
54. <https://emergency.unhcr.org/entry/42280/humanitarian-systemwide-level-3-emergency-declaration-policy-iasc> [↑](#footnote-ref-54)
55. <http://www.unhcr.org/comprehensive-refugee-response-framework-crrf.html> [↑](#footnote-ref-55)
56. Adapted from UNICEF Needs Assessment Handbook, 2017 [↑](#footnote-ref-56)
57. from UNHCR Program Manual (chapter 4) [↑](#footnote-ref-57)
58. Adapted from UNHCR Program Manual (chapter 4) [↑](#footnote-ref-58)
59. UNHCR’s web-based Resource Planning system known as Managing for Systems, Resources and People [↑](#footnote-ref-59)
60. Extract from Guidance Note 4: Procurement by Partners with UNHCR Funds, Nov 2014 [↑](#footnote-ref-60)
61. Extract from UNHCR Program Manual (Chapter 4) Section 4.8.7 [↑](#footnote-ref-61)
62. From UNHCR Enhanced FIP, Processes, Risks and Solutions, Aug 2015 [↑](#footnote-ref-62)
63. From UNHCR Program Manual Chapter 4, 9th July 2017 [↑](#footnote-ref-63)
64. From the FIP Learning Module 3: Effective Project Partnership Undertaking [↑](#footnote-ref-64)
65. UNHCR Risk-Based Performance Monitoring and Control Toolkit, 2017 [↑](#footnote-ref-65)
66. From the FIP Learning Module 3: Effective Project Partnership Undertaking [↑](#footnote-ref-66)
67. UNHCR Risk-Based Performance Monitoring and Control Toolkit, 2017 [↑](#footnote-ref-67)
68. UNHCR Program Manual (Chapter 4), July 2017 [↑](#footnote-ref-68)
69. From the FIP Learning Module 4: Project Partnership Closure and Smooth Disengagement [↑](#footnote-ref-69)
70. Relates to a system where the control and audit methods are common to both institutions enabling auditors from one institution to rely on the work of auditors from the other [↑](#footnote-ref-70)
71. From the FIP Learning Module 4: Project Partnership Closure and Smooth Disengagement [↑](#footnote-ref-71)
72. International Standards on Quality Control for the Firms that Perform Audits and Reviews of Financial Statements and other Assurance and Related Service Engagements. [↑](#footnote-ref-72)
73. <https://cms.emergency.unhcr.org/documents/11982/43375/UNHCR%2C+Child+Protection+Framework%2C+2012/809dc3dc-6a7d-4ff1-b792-ffc0b37fe47f> [↑](#footnote-ref-73)
74. <https://emergency.unhcr.org/entry/120177> [↑](#footnote-ref-74)
75. A formal process with procedural safeguards to determine the child’s best interests for important decisions affecting the child. It should facilitate child participation without discrimination and involve relevant decision-makers [↑](#footnote-ref-75)
76. <https://emergency.unhcr.org/entry/114080/sexual-and-gender-based-violence-sgbv-prevention-and-response#7,1528533867894> [↑](#footnote-ref-76)
77. Understanding Community Based Protection, UNHCR, 2013 <http://www.refworld.org/docid/5209f0b64.html> [↑](#footnote-ref-77)
78. A Community Based Approach in UNHCR Operations, UNHCR, 2012 [↑](#footnote-ref-78)
79. UNHCR Global Public Health Strategy 2014-18 [↑](#footnote-ref-79)
80. <http://www.unhcr.org/uk/publications/operations/444e20f32/ten-key-points-hivaids-protection-refugees-idps-other-persons-concern.html> [↑](#footnote-ref-80)
81. Guidance Note on Standard Format Bipartite Project Partnership Agreements, Annex V3 Short Operational Guidance for Individual Specialized Activities [↑](#footnote-ref-81)
82. Age, Gender and Diversity Policy: Working with People and Communities for Equality and Protection, UNHCR, June 2011 [↑](#footnote-ref-82)
83. Risk based Performance Monitoring and Control Toolkit, UNHCR, 2017 [↑](#footnote-ref-83)