

The Danish Regions of Origin Initiative

Part 2 Programme Management

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Table of contents

<i>I N T R O D U C T I O N</i>	3
<i>P R O G R A M M E M A N A G E M E N T</i>	3
Guiding principles.....	3
Division of responsibilities.....	4
Table 1: Programmes above 33 million in programme countries.....	4
Table 2: Programmes above 33 million in non-programme countries	7
Table 3: Programmes below 33 million in programme countries	9
Table 4: Programmes below 33 million in non-programme countries.....	11
Effectiveness of the design and approval process.....	12
Feed Back Loops and Results Reporting	13
Annex 1 Abbreviations.....	14
Annex 2 Region of Origin Partnerships.....	15

I N T R O D U C T I O N

Forced migration is one of the most visible manifestations of armed conflict and human rights violations. Areas in and around conflict-ridden countries are due to their proximity to the conflicts, particularly exposed to massive problems of forced migration, being it the presence of refugees or internally displaced persons (IDPs). These areas, typically in the world's poorest regions, are in the following referred to as "*Regions of Origin*".

Experience has shown that access to effective international assistance during protracted emergencies in the Regions of Origin is often hampered by lack of flexibility in conventional aid modalities to address the real needs in the particular contexts. In such situations the required types of international aid often fall in a "grey zone between humanitarian action and development interventions". Furthermore, meeting the needs in these situations often requires the use of a range of other policy instruments in addition to aid. The Danish "*Regions of Origin Initiative (ROI)*" has been developed to address some of the particular issues pertaining to the delivery of aid in affected areas.

These programme management guidelines have been developed to facilitate future planning, design, implementation and monitoring of the ROI for the next four year period: 2008 - 2012. They should be seen and read in connection with the strategic framework for the same period.

P R O G R A M M E M A N A G E M E N T

G U I D I N G P R I N C I P L E S

The Aid Management Guidelines (AMG) of the Ministry of Foreign Affairs (MFA) constitute the primary guidance document for Danish development assistance as a whole and consequently also applies to the management and implementation of the ROI. Together with the update of this document, key documents in the AMG have been revised to capture the special nature of the initiative.

It is important that the MFA presents a consistent set of requirements to partner organisations regardless of funding modality. Therefore partner agreements and reporting requirements as well as other documents used in the interface between the MFA and partner organisations will be consistent with those found in the guidelines and rules applied to humanitarian assistance; the General Guidelines for Grant Administration through Danish NGOs; and the Multilateral Performance Management Framework where cooperation with multilateral organizations are involved.

By way of introduction, it is important to quote the introduction to AMG: "In situations with a high degree of alignment with partner systems and/or a high degree of harmonization with other donors, Denmark will not require the use of particular Danish formats and procedures for preparation, implementation and monitoring of activities... [and] ...possibilities arising to improve harmonization with other donors should be pursued also in situations where this implies deviation from procedures described in the guidelines".

The first guiding principle therefore is commitment to the principles of the Paris Declaration: where possible harmonization and alignment will be sought and efforts be made to minimize transaction costs and make use of existing partner documents and systems.

MFA initiated in 2003 a decentralization process intended to improve the effectiveness of Danish development assistance. The ROI will be implemented in a number of different countries, programme countries and non-programme countries alike. The basic principle should be consistent with the decentralization drive and the aim for higher effectiveness and including - where relevant - complementarity with other Danish supported activities.

The second guiding principle is a principle of decentralization: Where relevant Danish embassies or representations will be responsible for implementing ROI activities, as agreed in the VPA.

This notwithstanding, it should also be recalled that the ROI is a special programme, sometimes with a requirement for great flexibility and speed, where procedures and complex rules must not slow down the timely delivery of much needed assistance. Therefore the third guiding principle addresses this point.

The third guiding principle is one of flexibility and pragmatism: Within a clear accountability framework - exception to rules and procedures must be allowed!

DIVISION OF RESPONSIBILITIES

The point of departure for defining roles and responsibilities related to programme management is the Guidelines for Programme Management, a cornerstone of the AMG. Tables 1, 2, 3 and 4 describe the division of responsibility for different types of programmes:

Because of the complexity of the development cooperation process, the sequence of programme preparation presented in the table should be a considered a general overview of the elements in the programme process rather than a strict chronological order of the various steps.

TABLE 1: PROGRAMMES ABOVE 33 MILLION IN PROGRAMME COUNTRIES

Key Documents	Programme process	Process execution	Approval / clearance
Identification report including Process Action Plan	Identification / preparation¹	Embassy ²	HUM
Concept paper	Concept paper	Embassy	Programme Committee
Appraisal Report	Appraisal³		

¹ The Programme process for ROI does not follow the same process as bilateral projects, but is guided by the Strategic Framework and Operational Guidelines for the Regions of Origin initiative, which also leans on the guidelines for humanitarian assistance, grant administration through Danish NGOs, or multilateral guidelines depending on the nature of the programme. All proposals must be approved by HUM.

² TAS can provide advice during programme preparation and identification if agreed upon in the Annual Business Plan (VPA)

³ Appraisals are not called for where the programme is developed and implemented by a partner who is listed on the list of pre-appraised partners, attached to the Strategic Framework. If the proposed partner is not included on the approved list, the proposal, including an as-

	<p><i>i) Drafting of TOR</i></p> <p>Partner options:</p> <p>a) government</p> <p>b) pre-approved partner</p> <p>c) new partner</p> <p><i>ii) Carrying out appraisal(for a and c only)</i></p> <p><i>iii) Ensure integration of recommendations into final programme document</i></p>	<p>i)</p> <p>a) Embassy</p> <p>b) N. a.</p> <p>c) HUM (in consultation with embassy)</p> <p>TAS</p>	<p>Embassy ensures integration of appraisal recommendations into final programme document</p>
Appropriations Note	<p>Approval</p> <p><i>i) presentation of appropriations note to Danida Board</i></p> <p><i>ii) presentation to the Finance Committee</i></p> <p><i>iii) preparation of draft and final programme document and partner agreement</i></p>	<p>Embassy</p> <p>UDV</p> <p>Embassy prepares draft and final programme document and finalizes partner agreement</p>	<p>Danida Board⁴</p> <p>Finance Committee</p> <p>Embassy signs partner agreement</p>
	Inception Phase⁵	Embassy	Embassy
Inception report	Implementation and monitoring:		
Review reports	I&M	Embassy	Embassy
	Reviews	TAS	Team Leader signs Review Aide Memoire, Steering Committee (or similar body) endorses review recommen-

assessment of the capacity of the proposed partner, is made by TAS. If it is included and no appraisal is made, TAS will prepare the Inception Review.

⁴ In South Africa the Finance Committee must approve all programmes above 30 million. UDV is responsible for the presentation. In all other programme countries, programmes are presented only to the Danida Board.

⁵ During the inception phase, the responsibility matrix for the project must be decided and approved by all parties.

			dations
Programme Completion Report	Programme completion	Embassy	EVAL
	Evaluation	External consultants	EVAL

TABLE 2: PROGRAMMES ABOVE 33 MILLION IN NON-PROGRAMME COUNTRIES

Key Documents	Programme process	Process execution	Approval / clearance
Identification report (including Process Action Plan)	Identification / preparation⁶	HUM ⁷	HUM
Concept paper	Concept paper	HUM/Embassy	Programme Committee
Appraisal Report	Appraisal⁸		TAS
Programme Document	<i>i) Drafting of TOR</i> Partner options: a) pre-approved partner b) new partner <i>ii) Carrying out appraisal (b only)</i> <i>iii) Ensure integration of recommendations into final programme document</i>	i) a) N.a. b) HUM (in consultation with Embassy) TAS	HUM (in consultation with Embassy)

⁶ The Programme process for ROI does not follow the same process as bilateral projects, but is guided by the Strategic Framework and Operational Guidelines for the Regions of Origin initiative, which also leans on the guidelines for humanitarian assistance, grant administration through Danish NGOs, or multilateral guidelines depending on the nature of the programme. All proposals must be approved by HUM. During identification the division of responsibility between HUM and the embassy is decided and reflected in the Concept Paper.

⁷ TAS can provide advice during programme preparation and identification if requested by HUM and agreed upon in the Annual Business Plan (VPA)

⁸ Appraisals are not called for where the programme is developed and implemented by a partner who is listed on the list of pre-appraised partners, attached to the Strategic Framework. If the proposed partner is not included on the approved list, the proposal, including an assessment of the capacity of the proposed partner, is made by TAS. If it is included and no appraisal is made, TAS will prepare the Inception Review.

Appropriations Note	Approval		
	<i>i) presentation of appropriations note to Danida Board</i>	HUM/Embassy	Danida Board ⁹
	<i>ii) presentation to the Finance Committee</i>	UDV	Finance Committee
	<i>iii) preparation of draft and final programme document and partner agreement</i>	HUM/Embassy	HUM/Embassy approves and signs partner agreement
	Inception Phase¹⁰	HUM	HUM
Inception report	Implementation and monitoring:		
Review reports	I&M	HUM/Embassy	HUM
	Reviews	TAS	Team Leader signs Review Aide Memoire, Steering Committee (or similar body) endorses review recommendations
Programme Completion Report	Programme completion	HUM/Embassy	EVAL
	Evaluation	External consultants	EVAL

⁹ In South Africa the Finance Committee must approve all programmes above 30 million. UDV is responsible for the presentation. In all other programme countries, programmes are presented only to the Danida Board.

¹⁰ During the inception phase, the responsibility matrix for the project must be decided and approved by all parties.

TABLE 3: PROGRAMMES BELOW 33 MILLION IN PROGRAMME COUNTRIES

Key Documents	Programme process	Process execution	Approval / clearance
Identification report including Process Action Plan	Identification / preparation ¹¹	Embassy ¹²	HUM
Appraisal Report	<p>Appraisal¹³</p> <p><i>i) Drafting of TOR</i></p> <p>Partner options:</p> <p>a) government</p> <p>b) pre-approved partner</p> <p>c) new partner</p> <p><i>ii) Carrying out appraisal (for a and c only)</i></p> <p><i>iii) Ensure integration of recommendations into final programme document</i></p>	<p>i)</p> <p>a) Embassy</p> <p>b) N. a.</p> <p>c) HUM (in consultation with embassy)</p> <p>External consultants undertake appraisal</p>	<p>Embassy</p> <p>iii) Options:</p> <p>a) Embassy</p> <p>b) N.a.</p> <p>c) Embassy</p>

¹¹ The Programme process for ROI does not follow the same process as bilateral projects, but is guided by the Strategic Framework and Operational Guidelines for the Regions of Origin initiative, which also leans on the guidelines for humanitarian assistance, grant administration through Danish NGOs, or multilateral guidelines depending on the nature of the programme. All proposals must be approved by HUM.

¹² TAS can provide advice during programme preparation and identification if agreed upon in the Annual Business Plan (VPA)

¹³ Appraisals are not called for where the programme is developed and implemented by a partner who is listed on the list of pre-appraised partners, attached to the Strategic Framework. If the proposed partner is not included on the approved list, the proposal, including an assessment of the capacity of the proposed partner, is made by TAS. If it is included and no appraisal is made, TAS will prepare the Inception Review.

Appropriations Note	Approval i) presentation of appropriations note to Danida Board ii) preparation of draft and final programme document and partner agreement	Embassy Embassy	Danida Board ¹⁴ Embassy signs partner agreement
	Inception Phase¹⁵	Embassy	Embassy
Inception report Review reports	Implementation and monitoring: i) I&M ii) Reviews	i) Embassy responsible for implementation and monitoring ii) Embassy prepares TOR for reviews to be carried out by external consultants	Embassy Team Leader signs Review Aide Memoire, Steering Committee (or similar body) endorses review recommendations
Programme Completion Report	Programme completion	Embassy	EVAL
	Evaluation	External consultants	EVAL

¹⁴ In South Africa the Finance Committee must approve all programmes above 30 million. UDV is responsible for the presentation. In all other programme countries, programmes are presented only to the Danida Board.

¹⁵ During the inception phase, the responsibility matrix for the project must be decided and approved by all parties.

TABLE 4: PROGRAMMES BELOW 33 MILLION IN NON-PROGRAMME COUNTRIES

Key Documents	Programme process	Process execution	Approval / clearance
Identification report including Process Action Plan	Identification / preparation¹⁶	HUM ¹⁷	HUM
Appraisal Report	<p>Appraisal¹⁸</p> <p><i>i) Drafting of TOR</i></p> <p>Partner options:</p> <p>a) pre-approved partner</p> <p>b) new partner</p> <p><i>ii) Carrying out appraisal (b only)</i></p> <p><i>iii) Ensure integration of recommendations into final programme document</i></p>	<p>i)</p> <p>a) N. a.</p> <p>b) HUM (in consultation with embassy)</p> <p>TAS undertake ¹⁹appraisal</p> <p>iii) Options:</p> <p>a) N.a</p> <p>b) HUM</p>	<p>TAS</p> <p>HUM</p>
Appropriations	Approval		

¹⁶ The Programme process for ROI does not follow the same process as bilateral projects, but is guided by the Strategic Framework and Operational Guidelines for the Regions of Origin initiative, which also leans on the guidelines for humanitarian assistance, grant administration through Danish NGOs, or multilateral guidelines depending on the nature of the programme. All proposals must be approved by HUM.

¹⁷ TAS can provide advice during programme preparation and identification if agreed upon in the Annual Business Plan (VPA)

¹⁸ Appraisals are not called for where the programme is developed and implemented by a partner who is listed on the list of pre-appraised partners, attached to the Strategic Framework. If the proposed partner is not included on the approved list, the proposal, including an assessment of the capacity of the proposed partner, is made by TAS. If it is included and no appraisal is made, TAS will prepare the Inception Review.

¹⁹ For programmes less than 10 million DKK TAS is not involved and HUM may either undertake the appraisal as a desk appraisal or hire external consultants for the task

Note	<i>i) presentation of appropriations note to Danida Board</i>	HUM	Danida Board ²⁰
	<i>ii) preparation of draft and final programme document and partner agreement</i>	HUM	HUM
	Inception Phase²¹	HUM	HUM
Inception report Review reports	Implementation and monitoring: i) I&M ii) Reviews	i) HUM responsible for implementation and monitoring ii) HUM prepares TOR for reviews to be carried out by external consultants	HUM Team Leader signs Review Aide Memoire, Steering Committee (or similar body) endorses review recommendations
Programme Completion Report	Programme completion	HUM	EVAL
	Evaluation	External consultants	EVAL

EFFECTIVENESS OF THE DESIGN AND APPROVAL PROCESS

The importance of ROI as an instrument of Danish development policy cannot be over-emphasised; and effectiveness of the processes around the planning and programme is therefore critical. Thus, to the extent possible, the guidelines in the AMG, complemented by other relevant guidelines, including humanitarian guidelines, should be followed. By and large, these have proven to be adequate with minor adjustments and clarifications, in particular relating to distribution of responsibility. The review has, however, revealed a need in the planning and programming phase for a new procedure to better leverage the capacity and knowledge of partners and avoid unnecessary transaction costs.

The programme's unique approach includes a strong reliance on partners, partners with whom Danida has co-operated for years and with whom mutual trust has developed, partners of which Danida has thorough knowledge and experience, partners who have proven their effectiveness in

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²¹ During the inception phase, the responsibility matrix for the project must be decided and approved by all parties.

this unique type of programme. These include Danish and International NGOs, international organizations, UN organizations, and local NGOs. These partners are well known and respected, and their capacity and quality assurance processes are recognized and regularly assessed. In the interest of effectiveness, therefore, these constitute privileged partners with whom the programme can enter into cooperation without preliminary assessments and appraisals. The list of these partners is attached in annex 2.

The criteria for inclusion on this list are:

Multilateral organizations with an updated organization strategy

NGOs with a Framework agreement²²

Humanitarian NGOs, which over a period of minimum five years of cooperation with the MFA have demonstrated the necessary capacity for implementation and with whom MFA holds annual consultations.

The list will be updated annually by HUM. As the programme evolves, new partners may emerge, as candidates for inclusion on the list. Any partner fulfilling the above criteria will be automatically included when the list is updated; other partners that may be eligible will be assessed by HUM. For NGOs the procedure used for NGO partners with framework agreements (reference to relevant document) will be followed, for multilateral partners, due process consistent with the Multilateral Performance Management Framework will be used.

FEED BACK LOOPS AND RESULTS REPORTING

Learning the lessons from the implementation of the programme and feeding them back into the planning and programming phase is essential to maintain the quality and relevance of the programme. It is also a key aspect of the Principles of Good Practices of Humanitarian Donorship.

In the pilot period of the programme, this has been ensured through a number of meetings to examine and share preliminary lessons, and after four years of existence, a desk review was carried out, including a dialogue with the main partners. Such peer reviews, knowledge sharing, and dialogue events will be continued to ensure the continued high quality of the programme as well as the sense of ownership among all stakeholders.

The results reporting will be consistent with Danida's Performance Management Framework (PMF).

²² Quality assurance of these organisations have been assessed as satisfactory by the Danish General Auditor: 8/06. "Udenrigsministeriets administration af NGO-bistanden".

ANNEX 1 ABBREVIATIONS

AENEAS	EC programme for financial and technical assistance to third countries in the areas of migration and asylum
AMG	Aid Management Guidelines – www.amg.um.dk
EU	European Union
FKN	Folkekirkens Nødhjælp
HUM	Department for Humanitarian Policy and Assistance and NGO Co-operation
IDP	Internally Displaced Persons
KVA	Department for Quality Assurance of Development Assistance
LWF	Lutheran World Federation
NGO	Nongovernmental Organization
PRSP	Poverty Reduction Strategy Paper
ROI	Regions of Origin Initiative
UNHCR	The Office of the United Nations High Commissioner for Refugees

ANNEX 2 REGION OF ORIGIN PARTNERSHIPS

Strategic and operational partnerships of the ROI:

UNHCR

UNICEF

UNDP

European Commission

IOM

Danish Refugee Council

Dan Church Aid

MS

Save the Children Denmark

Dansk Røde Kors