



# UNHCR Asylum Capacity Development (ACD) Evaluation

## An Independent Evaluation of UNHCR's Support for Strengthening National Asylum Systems

ANNEX I

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## Annex 1 Terms of Reference



### TERMS OF REFERENCE

#### **UNHCR Asylum Capacity Development (ACD) Evaluation: An independent evaluation of UNHCR's support for strengthening national asylum systems**

#### Abstract

In 2019, there were over 26 million refugees worldwide. Yet, in just over one third of countries, there was either no national asylum system or a system that was not operational. UNHCR has been working with, and building the capacity of, national systems since the 1990s across a large number of the 134 countries in which it works. Where are the success cases, and what does success look like? Where have asylum systems not been built or where have they been rolled-back and why? Critically, what can we learn about UNHCR's role in support national systems development, to guide the organization and its partners in the future. Find out in this independent evaluation of UNHCR's support for national asylum systems, due out in September 2021.

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## I. INTRODUCTION

1. Only nation-states can ensure comprehensive protection and robust, long-lasting solutions for refugees. Therefore, supporting the development of States' capacity to manage asylum, specifically refugee status determination (RSD)<sup>1</sup>, is, and has been, an important priority for UNHCR.
2. Despite considerable progress over the past few decades, as of July 2020, in just over one-third of all countries (35%) there is either no national asylum system or there is a system that is not fully operational. In 49% of all countries<sup>2</sup>, newly arriving asylum-seekers do not have access to state-run reception arrangements. Even in states where there is government control of asylum, there are cases where the rights of asylum seekers are not being upheld in line with international law.
3. It is in this context that senior UNHCR staff raised the issue of UNHCR's support for national asylum systems as an important topic for evaluation<sup>3</sup>. The particular interest shown was in understanding the effectiveness of the organization's work in this area, to identify challenges and good practices, lessons and recommendations moving forwards.
4. These Terms of Reference (TOR) provides key information to UNHCR staff and external stakeholders about the proposed evaluation, as a central component of the Request for Proposals for the hiring of a suitable evaluation team, and to guide this team on the expectations that the evaluation should address. It outlines the operational context; an overview of UNHCR's work in national asylum capacity development; the purpose, specific objectives and key questions that the evaluation seeks to address; the approach, management and timeline for the study.

## II. OPERATIONAL CONTEXT

5. This section outlines the state of asylum management worldwide. It describes changes in the number of asylum seekers and the complexity of asylum practices as a precursor for understanding the demands on, and requirements for developing national asylum systems. It goes on to provide an overview of UNHCR's work in supporting asylum capacity development, the areas that UNHCR has focused on, and the investments made. It concludes with some evidence from prior studies on the subject, and the related work of other institutions.

## ASYLUM TRENDS

6. The number of refugees has increased in every region of the world over the last decade. Consequently, asylum applications have also risen (Figure 1). Between 2010 and 2019, nation-states or UNHCR registered more than 16.2 million individual asylum applications globally, with two-thirds of these asylum-seekers registering their claims in the last five years<sup>4</sup>.

<sup>1</sup>RSD is one component of an asylum system, typically addressing entry and reception, registration, and RSD (including diversified case processing modalities) all the way to the issuance of decisions and, in many cases, referral to appropriate services of recognized refugees and return of finally rejected applicants.

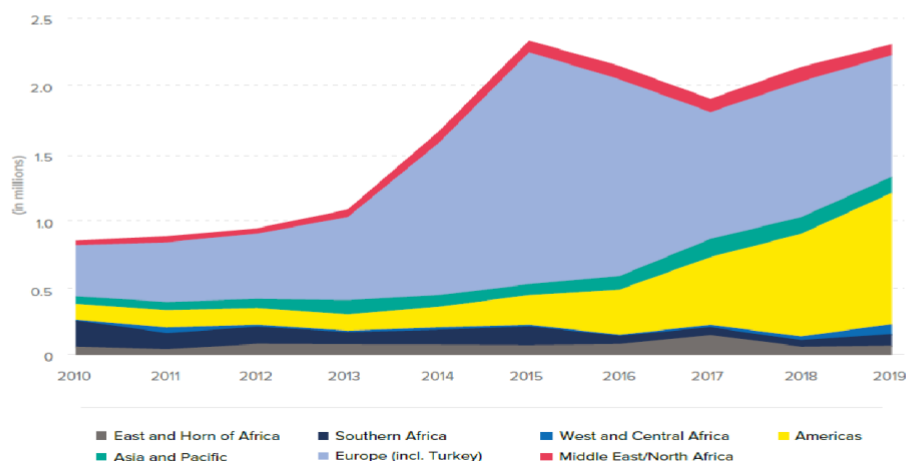
<sup>2</sup> Excluding 10-15% of countries in which there is insufficient information.

<sup>3</sup> Through an internal survey on evaluation issues carried out in 2018. The survey was sent to all D1 staff upwards, and a limited random sample of P-level staff in 2018. Of 66 responses, over 90% of those surveyed stated that it was a high or medium priority topic for evaluation.

<sup>4</sup> Statistical information on outcomes of asylum appeals and court proceedings is under-reported in UNHCR's statistics, particularly in industrialized countries, because this type of data is often either not collected by States or not published.

7. In 2019 alone, two million new asylum applications were registered, making up 12 percent of the total for the entire decade<sup>5</sup>. Roughly five million individuals received refugee or other protected status in 183 countries or territories as a result of their asylum claim over the past ten years, and about 15 million more people received refugee or temporary protection status through group procedures.

Figure 1. New asylum applications registered by region



Source: UNHCR Global Trends, 2019, p. 38

8. Given the vast numbers of individuals fleeing violence and persecution who seek international protection, the process of determining whether a person with international protection needs should receive protective status is crucial. Under the Global Compact on Refugees (GCR), the Asylum Capacity Support Group (ACSG) mechanism<sup>6</sup> has been established by UNHCR to provide support to the concerned national authorities to strengthen their asylum systems to increase their efficiency, fairness, adaptability, and integrity. This special initiative introduced in the GCR aims to bring more coherence and consistency to asylum capacity support by matching support offers with needs or resources. This mechanism will, among others, aim at helping States adapt their asylum systems to emergencies or other circumstances like a pandemic (such as COVID-19) or mixed movements.

## STATE OF NATIONAL ASYLUM SYSTEMS

9. As member states of the UNHCR Executive Committee (81/1997) noted, “Refugee protection is primarily the responsibility of States, and UNHCR’s mandated role in this regard cannot substitute for effective action, political will, and full cooperation on the part of States”<sup>7</sup>. The importance of State responsibility is underscored by several more specific considerations in the area of RSD. Only States are in a position to integrate the

<sup>5</sup> As some countries have not yet released all of their national asylum data at the time of writing, this figure is likely to be revised later this year.

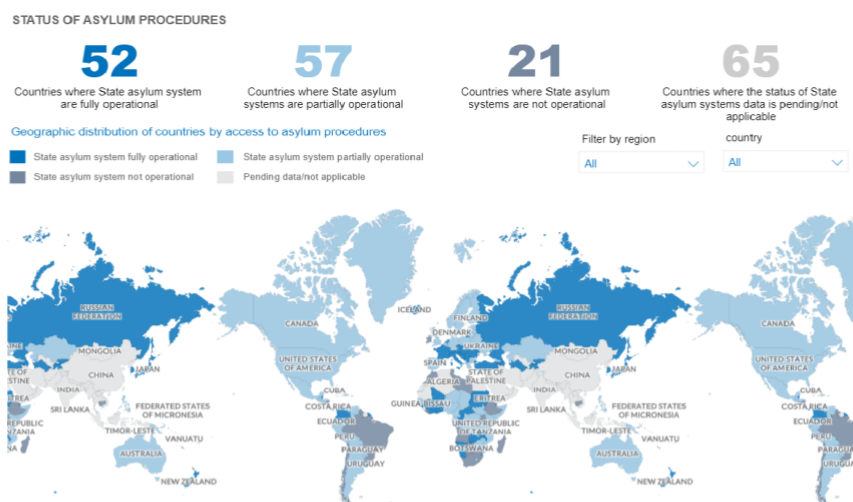
<sup>6</sup> [https://globalcompactrefugees.org/article/asylum-capacity-support-group#:~:text=To%20ensure%20that%20States%20have.%20Refugee%20Status%20Determination%20\(RSD\).](https://globalcompactrefugees.org/article/asylum-capacity-support-group#:~:text=To%20ensure%20that%20States%20have.%20Refugee%20Status%20Determination%20(RSD).)

<sup>7</sup> UNHCR, *General Conclusion on International Protection*, 17 October 1997, No. 81 (XLVIII)-1997, available at: <http://www.refworld.org/docid/3ae68c690.html>, para (d).

identification of persons with international protection needs in a broader framework of rule of law, adequate reception conditions and durable solutions. States also have technical capabilities and diplomatic avenues to verify exclusion issues and security threats, which UNHCR does not necessarily have. States are in a position to ensure independent appeals against negative RSD decisions, whereas internal UNHCR appeal decisions are beyond “the reach of legal review.”<sup>8</sup> In practice, while UNHCR is sometimes called to assume State functions, only the States themselves are able, in a durable manner, to provide physical protection and the range of services they owe towards people seeking protection in their territory, under their international obligations.

10. Despite a number of successes, many states have yet to establish national RSD systems or have systems that are not fully accessible. As outlined in the introduction, and Figures 2 and 3 (below)<sup>9</sup>, the scale of the challenge is considerable. Clearly, this situation has not been aided by the spread of the COVID-19 pandemic. States have, in many cases, put measures and policies in place that might limit certain human rights, with the aim of controlling its spread. As of 6 July, 168 countries had fully or partially closed their borders to contain the spread of the virus. At least 90 States make no exception for people seeking asylum, severely limiting their rights<sup>10</sup>. While this may be a temporary set-back when viewed from the long-term trajectory of building asylum systems, there is evidence to suggest that some states might be reappraising their asylum policies and hence, their asylum systems.

Figure 2. State of National Asylum Procedures as of July 2020



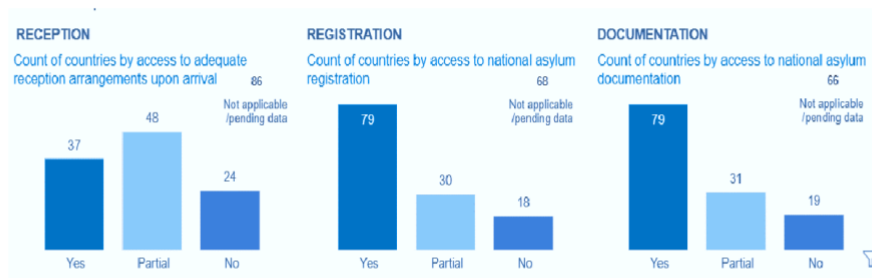
Source: UNHCR Covid19 Platform, [https://im.unhcr.org/covid19\\_platform/](https://im.unhcr.org/covid19_platform/), 07 July 2020

<sup>8</sup> Michael Kagan, *The Beleaguered Gatekeeper: Protection Challenges Posed by UNHCR Refugee Status Determination*, in: *International Journal of Refugee Law* (2006) 18 (1), p. 1-29.

<sup>9</sup> Noting that these data are produced during COVID-19, which has impacted on national systems and practices.

<sup>10</sup> [https://im.unhcr.org/covid19\\_platform/](https://im.unhcr.org/covid19_platform/)

Figure 3. National Asylum Procedures



Source: UNHCR Covid19 Platform, [https://im.unhcr.org/covid19\\_platform/](https://im.unhcr.org/covid19_platform/), 07 July 2020

11. In some situations, UNHCR may conduct RSD under its mandate, either in the absence of a national system or, more rarely, in parallel or jointly with one. In some countries, UNHCR conducts RSD jointly with the government. In the last decade, the number of states and territories implementing national asylum procedures rose from 108 in 2010 to 116 in 2019. Some of the States that hosted the largest number of refugees implemented national asylum procedures during this period, including Kenya and, more recently, Turkey.
12. States' assumption of responsibility is also evident in the percentage of worldwide individual applications for refugee status received by UNHCR. In 2010, UNHCR received 11 per cent of the world's individual applications for refugee status and in 2013, 19 per cent. By 2019, the percentage fell to 5 per cent. Although these trends are encouraging, the number of States in which UNHCR conducted RSD continued to remain stable (with some yearly variation). In 2019, UNHCR was registering new asylum-seekers in the same number of countries, 53, as it had in 2010. This could be explained in part by RSD applications made in small (often island) countries that rarely received asylum applications. But UNHCR also continued to conduct RSD in countries with national asylum systems characterized by persistent protection gaps or challenges.
13. In countries where not even rudimentary asylum structures exist, difficulty in generating political will and interest to adopt national frameworks and/or accede to the 1951 Convention and 1967 Protocol or other relevant instruments remain major constraints. Asylum may well have a low priority on the political agenda or may be too politically sensitive to address overtly. In some countries the unfortunate perception prevails that an effectively functioning asylum system may constitute a "pull-factor" for asylum-seekers, even leading to the qualification of a country as a "safe country of asylum" and therefore furthering the fear that it will stimulate an increase in asylum applications.
14. In those countries with well-established asylum systems, the focus is on public awareness and support as a basis for establishing refugee protection in national legislation, policy and practice. In these states, Governments also seek to develop strong partnerships with civil society and non-governmental bodies to provide support, foster integration, and sustain public support. Countries with well-established institutions of their own, have become important partners for UNHCR in efforts to build and strengthen protection capacities where systems are still being set up.
15. Developing protection capacity is often a lengthy and complex process, particularly where initial capacity is weak. It is also a participatory process that needs to adapt flexibly to



changing circumstances and different scenarios. Its success hinges on a number of factors, including the need for national ownership and for strengthened coalitions between a range of partners.

16. Despite the political and technical challenges, and the fact that a third of countries still do not have functioning systems, there is some (pre-COVID) evidence that an increasing number of states are keen and willing to assume responsibility for RSD and/or improve their asylum systems under the auspices of the GCR. At the first Global Refugee Forum (GRF) in 2019 over 55 States made pledges either to improve their own asylum systems or to support other national systems, including in some instances through the ACSG mechanism which was officially launched at the Forum. A large number of civil society organizations and other actors also pledged to support this process, including through advocacy for using the ACSG mechanism.

#### DIMENSIONS OF A NATIONAL SYSTEM / SYSTEM STRENGTHENING

17. There are no established or agreed parameters of what a comprehensive, fully functioning national asylum system is, due in-part to differences in legal systems, administrative and cultural tradition, distribution of labour between and in ministries, political factors and, importantly, the number of asylum applicants and refugees in each country. However, a number of the principles and elements have been outlined in the context of the work under the quality assurance initiatives (see next section for more information); and more recently, in the GCR references to the ACSG mechanism. In this, a “quality” national system (where RSD is carried out as part of a national system), encompasses, amongst other elements, the “laws and policies, institutions, structures and resources that, taken together, form a crucial part of a State’s response to the arrival of people seeking international protection.”<sup>11</sup> The cited paper goes on to briefly highlight four tenets of a strong system:
  - a) Fairness – which in this context means that the outcomes of decisions on claims for international protection are in accordance with the rule of law.
  - b) Efficiency means that no process is more elaborate than required to reach a fair decision.
  - c) Adaptability – it must be possible to adapt processes easily in a timely manner, in response to or in anticipation of changes in circumstances (such as a large influx or a sudden change in the composition of the group of persons seeking international protection).
  - d) Integrity – meaning not only that the people behind the system design and operate the system with integrity, and as a result there is no fraud in the system, but also that any fraud is detected, reported and acted upon.
18. While these tenets do not map directly or in detail to the different facets of a system, like any set of institutions, there are political and administrative dimensions. On the political/institutional side, these dimensions include political support, an absence of corruption, adequate funding, democratic control, relationships with non-state institutions and public support – all to ensure the fairness and integrity of the system, the process and the outcome. On the administrative side, a system requires infrastructure (IT, data management, premises, continued investment/ renewal); strong management, and capable, trained and motivated staff (addressed inter alia through the processes of recruitment, training, retention, benefits and career prospects) to ensure efficiency and adaptability in responding to need.

<sup>11</sup> UNHCR, 2018, Non-Paper on the Asylum Capacity Support Group, 4 June 2018, p.1

19. These four tenets and two dimensions, and the criteria that fall under each, provide – in sum – the elements of a strong asylum system, and hence provides a framework against which UNHCR’s contribution can be assessed. This is discussed in more detail in the section of this TOR on approach and methodology.

#### UNHCR’S ASYLUM CAPACITY STRENGTHENING WORK

20. UNHCR has been actively involved in strengthening national asylum authorities, legal and policy frameworks to enable proper handling of asylum issues for more than three decades<sup>12</sup>. Under the auspices of the 2002 global consultations on international protection, five core components or strategies were identified to strengthening protection capacities. While broader than asylum, the focus on supporting the establishment of adequate national legal frameworks; facilitating the establishment of national protection structures (notably including institutions to implement asylum procedures); fostering civil society networks and building awareness and public support are all facets of establishing a robust national system<sup>13</sup>.
21. While the actual scope of capacity work has varied considerably depending on the approach and needs, a UNHCR review of 2014 found that assistance has tended to focus on legislative advice; systems and procedures; capacity building through training and coaching; quality assurance; and in a number of cases financial support to new asylum/RSD structures (PDES/2014/1/37)<sup>14</sup>. To explore the scope of UNHCR’s capacity development work more fully, the following sub-section provides further details on each of the key areas, and the expenditures over the past decade, as a basis upon which this evaluation will build.
22. The concept of capacity development itself; how it’s defined, what it includes and excludes and how to apply it has been discussed and outlined in various notes over the past two decades by UNHCR, from a practical guide for humanitarian programming (1999) to an approach in the context of RSD (2019)<sup>15</sup>. These notes and guides agree on the basic premise that capacity goes beyond the individual, to address institutional and organizational dimensions and the enabling environment. Guidance has been provided as to what types of capacity support are required in which types of programming, how to go about it, and who to involve.
23. Capacity Needs Assessments. UNHCR, with government and other partners, has carried a structured identification of capacity gaps and needs out in a number of countries. However, the 2014 review found that these assessments were not always as systematic or comprehensive as might be expected<sup>16</sup>. Diagnostic work, were carried out, tended to focus on gaps in the legislative framework and training needs, and not a fuller or wider set capacities required in a functioning system (PDES/2014/1/38). The review was also

<sup>12</sup> UNHCR has supported the development of national asylum systems in the majority of the 134 countries<sup>12</sup> in which it operates, over the greater than 30 years. Over this period, the landscape change significantly with the fall of the ‘iron curtain’ and ensuing capacity development activities in central/eastern European countries and elsewhere in the broader region. It was also around that time that UNHCR had started setting up all these eligibility commissions in e.g. Africa. <https://www.unhcr.org/ph/around-the-world>

<sup>13</sup> The five strategies outlined were: 1) Creating or adapting adequate national legal frameworks; 2) Facilitating the establishment of national protection structures; 3) Fostering the growth of “protection networks” in civil society; 4) Enhancing capacity to achieve self-reliance and to realize durable solutions, and 5 ) Public support to create a receptive and positive climate (EC/GC/01/19 - <https://www.unhcr.org/3b95d78e4.pdf>)

<sup>14</sup> At least up until 2014. No subsequent reviews or evaluations have been identified on asylum / RSD capacity development in UNHCR since 2014.

<sup>15</sup> Capacity Building Working Group, UNHCR, A Practical Guide to Capacity Building as a Feature of UNHCR’s Humanitarian Programming, 1999, unpublished; Capacity Development Approach in the context of RSD: A Cheat Sheet, UNHCR, 2019 (estimated date), unpublished.

<sup>16</sup> For example, through UNHCR’s Strengthening Protection Capacity Project led in several countries to a structured effort at gap and needs identification.

unable to find examples of forward-looking appraisals of a country's capacity to adequately implement the RSD function with all its challenges, concluding that "in countries where the government wishes to resume national RSD after an unsuccessful transition, the reasons for the earlier difficulties would need to be analyzed to avoid their re-occurrence." (PDES/2014/01/35). A positive example of this was identified in Benin in 2005, where a protection gap analysis was conducted with the government, leading to agreement on a number of concrete steps for the phased transfer of all RSD responsibilities to the national authorities<sup>17</sup>.

Lobbying and advocacy to relevant state and non-state actors are critical facets of UNHCR's overall strategy and is considered part of the approach to encouraging states to take up and properly resource asylum systems. Genuine state interest at the political level is one of the best vehicles for the creation of properly capacitated asylum systems. In this context, activities have ranged from building in-country staff's awareness and engagement to prepared visits of the High Commissioner with national political leaders.

24. Legislative Advice. The adoption of national legislation on asylum and the system for identifying persons with international protection needs is central to the development of a state asylum system and where applicable, enables the provisions of the 1951 Convention and 1967 Protocol to be implemented effectively. Throughout the years, UNHCR has been providing expert advice and technical support for the preparation and drafting of national legal frameworks in all regions. Examples of UNHCR's work in this area can be found in UNHCR's Notes on International Protection and Refworld<sup>18</sup>, including UNHCR inputs to draft legislations on RSD procedures. Where required, UNHCR's technical support has been provided through the deployment of national experts embedded in relevant ministries in order to ensure that the future national asylum/RSD system takes account of the state's particular legal tradition and resources.
25. UNHCR's support for institutional arrangements has focused on how best to organize the national RSD function as part of an asylum system. This has included providing technical, staffing, logistical and administrative assistance to the technical secretariat function; advising states on issues such as i) the number and profile of staff required for RSD processing; ii) the organization of supporting functions such as interpretation services; iii) appropriate management structures and the selection of suitable premises. UNHCR has also provided advisory services on the requirements for fair and efficient RSD procedures, based on minimum requirements prepared by the organization. This has included UNHCR staff worked in government offices, on a secondment basis, as an additional resource in the national procedure including as supervisors; in a UNHCR mentoring capacity; or in the context of joint activities. UNHCR has also provided free legal assistance through NGOs as operating partners.
26. Provision of Infrastructure and Systems. Technical support has been provided through (modules of) UNHCR's ProGres registration system. There are also examples where UNHCR has loaned out interpreters to governments or have provided support for the translation of protection and country of origin information.

<sup>17</sup> See UNHCR, *Rapport des consultations régionales sur le renforcement des capacités de protection des réfugiés au Bénin et au Burkina Faso*, October 2005, available at: <http://www.refworld.org/docid/472896ff0.html>. The project was co-financed by the European Commission, Denmark, Germany, Netherlands and the UK. The gap analysis had been supported by Australia.

<sup>18</sup> Examples include: IPU/UNHCR "A guide to international refugee protection and building state asylum system" (<https://www.unhcr.org/3d4aba564.pdf>). In Angola, UNHCR and partners have provided training and capacity building support to the Government at central and provincial level on legal and refugee protection issues which have created awareness of various tools and international standards. However, the Country Portfolio Evaluation of 2019 found that these have not led to changes in behaviour or actions on the ground due to a lack of political commitment (ES/2019/10, p. 36)

27. Individual Capacity Development. Training represents a major part of UNHCR's investment in strengthening national asylum systems. UNHCR's training has included training prior to authorities starting RSD; formal and informal training; on-the-job coaching (e.g. Kenya) often support by DIP, regional RSD officers and external consultants. Training has often had the dual purpose of skills building and reinforcing, temporarily, the processing capacity of the new RSD structure<sup>19</sup>. Comprehensive training programmes have been established for government caseworkers in some cases, with reviews carried out by UNHCR personnel<sup>20</sup>.
28. Quality Assurance. UNHCR's collaboration with asylum authorities has in some contexts extended to the joint development of mechanisms to regularly monitor and review asylum decisions and related processes to maintain high-quality standards. Such cooperation often takes the form of dedicated 'quality assurance projects' which usually are jointly run by asylum authorities and UNHCR, often with the involvement of dedicated project staff. Quality assurance projects have been undertaken in a number of countries and regions since the first 'Quality Initiative Project' was started in the United Kingdom in 2003. Since then, UNHCR has supported QA projects in Central and Southern Europe<sup>21</sup> from 2008-13 focusing on the particular difficulties and challenges faced by vulnerable asylum-seekers to improve identification and response. Building on this work, QA projects in Eastern Europe from 2013 focuses on the improvement of asylum procedures and refugee protection in six EU neighbouring countries<sup>22</sup>, firstly through a pilot (2013-15) and then a second phase (2015-2017) with the participation of the first instance decision-makers, judges involved in asylum-related cases and the border guards from each participating country, structured around quality assurance, capacity building and country of origin information.
29. In 2011, UNHCR worked in collaboration with the Swedish Migration Agency on 'first instance' procedure, followed by technical assistance in a larger quality assurance project until the end of 2014; and similarly in Iceland, in 2013, building on the Swedish work, UNHCR carried out a two-part process involving a review of efficiency and later the quality of the first instance asylum procedure. A Quality Assurance Initiative (QAI) was also initiated in the Americas in 2014, aimed at progressively harmonizing asylum systems in accordance with the Brazil Plan of Action adopted in 2014 by States in South and Central America and the Caribbean. QAI in the Americas has focused specifically on improving eligibility procedures, increasing the knowledge and capacity of asylum authorities on asylum issues and introducing efficient management of RSD procedures<sup>23</sup>.
30. Expenditures on Asylum Capacity. Given the breadth of UNHCR's assistance for national asylum systems, the sources of expenditures also vary. Drawing on the available data from 2012 to 2019 across a range of key outputs indicates that UNHCR has spent, on average, just under 50 million USD per annum<sup>24</sup> over the past decade on asylum system capacity.

<sup>19</sup> In Benin for example, UNHCR protection staff actively assisted and coached the first eight national eligibility staff working for two years (2005-2007) in the UNHCR office in Cotonou.

<sup>20</sup> However, the attrition rate of government staff, rotating to other positions or getting more lucrative jobs in the UN, NGO or private sectors has proven problematic. It has also been noted that UNHCR staff playing a dual role of direct protection activities and training can be challenging in terms of the ability to do both effectively. As noted from Kenya, if operational RSD staff are under pressure to carry major training responsibilities as well as their RSD-related tasks, a direct conflict is likely to arise between these two activities, both of which are essential for a successful transition (PDES, 2015, Formative Evaluation of the Refugee Status Determination Transition Process in Kenya, PDES/2015/1)

<sup>21</sup> Austria, Bulgaria, Germany, Hungary, Poland, Romania, Slovakia and Slovenia

<sup>22</sup> Termed the Quality Initiative in Eastern Europe and South Caucasus (QIEE), covering Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine

<sup>23</sup> There are no QA initiatives in sub-Saharan Africa or Asia/Pacific that the author is aware of.

<sup>24</sup> The data is indicative, as it reflects a limited set of outputs where state capacity development can be easily identified. Within these outputs are activities that are not capacity development related and also other outputs not identified which may include

The variance between regions (Fig 4.) reflects in part the balance of states where national systems exist (less so in Asia/Pacific for example), and the scale and nature of UNHCR's engagement.

Figure 4. UNHCR (Mean) Per Annum Expenditures on Asylum Capacity Development over period 2012-2019

	SSA	MENA	AP	EUROPE	AMERICAS	TOTALS
Access to Legal Assistance	324,841	414,745	504,546	600,886	197,684	2,042,701
Access to the Territory improved	274,513	420,645	64,176	805,193	377,993	1,942,520
Admin. Insts. & Practice	698,921	11,477,921	310,029	1,153,521	244,659	13,885,050
Individual documentation	137,673	22,868	14,317	0	31,095	205,952
Intl. and regional instruments	75,226	0	22,072	17,708	66,797	181,802
Law and Policy developed	1,922,033	806,168	503,975	564,033	812,595	4,608,804
Quality of registration and profiling	663,653	1,034,023	548,918	3,408,523	251,987	5,907,104
Reception conditions improved	58,672	24,734	8,284	3,135,370	22,400	3,249,459
Refugee Status Determination	4,406,070	377,672	794,258	7,161,279	1,535,046	14,274,324
Total	8,561,601	14,578,775	2,770,574	16,846,511	3,540,255	46,297,716

Source: DSPR/UNHCR

31. The bulk of expenditure falls under the outputs on "Refugee Status Determination" and "Administrative Institutions and Practice developed or strengthened". In the former, the support has ranged widely from supporting the analysis of substantive RSD decisions, training, infrastructure and supervisory support for the status determination process, advocacy, support of capacity development, provision of information to persons of concern, and the handing-over of RSD to governments. In the latter, under the Objective "administrative institutions and practice developed and strengthened", expenditures have included assessment, analyses, capacity support, training, workshops and seminars.
32. Additional Evidence. In addition to the points raised previously, the PDES review of 2014 identified that UNHCR country offices tend to focus their support to transitions on legislative advice, capacity building through training and coaching, and, if necessary, financial support to the new RSD structures, with much less advisory activity on how to best organize the national RSD function. (PDES/14/01/37). The review also ascertained that UNHCR tended, in planning and strategizing, to give much less attention to issues of sustainability than to the legal and practical configuration of the new RSD procedure at any given moment (PDES/14/01/36).
33. Evidence from UNHCR Country Portfolio Evaluations (Angola and Morocco, 2019) outline UNHCRs work in support of legal frameworks and the drafting of refugee law in these countries; seconding staff to work within relevant Ministries to support the development of the national asylum system (Morocco); and support awareness-raising about asylum and refugee-specific issues with the public (ES/2019/5; ES/2019/10). Annex 4. provides a list of sources with additional evidence, and a thorough review of secondary evidence regarding UNHCRs capacity development work (from within UNHCR and external sources) will form part of the first phase of the evaluation.
34. Beyond UNHCR initiatives. Aside from UNHCR, the strengthening of asylum system capacity, and the development of national asylum systems has been supported by a range of actors in many regions, whether State, non-State or intergovernmental. Examples include the technical support provided by the European Asylum Support Office (EASO) to States inside or outside the European Union; by Canada, Denmark, Mexico, Sweden or other

capacity development work. The evaluation team will look into this data during the inception phase to delineate the types and levels of expenditure more carefully.

individual States to countries in their respective regions or beyond; training and other activities organized by the by the International Association of Refugee and Migration Judges (IARMJ), to mention but a few. This diversity of actors willing and able to provide support in this area is more recently reflected in the number of pledges in the area made by States and other stakeholders from different regions, at the first GRF.

### III. PURPOSE, OBJECTIVES AND SCOPE OF THE EVALUATION

35. The UNHCR Evaluation Service has commissioned this evaluation to study the relevance, effectiveness and outcomes of UNHCR's capacity development efforts in strengthening national asylum systems to guide future UNHCR policy and practice. Through this, it will provide evidence of what has and what hasn't worked and in which contexts as an input to UNHCR's ongoing work, and its support of the ACSG mechanism under the GCR.
36. The primary audience for this evaluation is the Division for International Protection, and all Protection Staff in UNHCR, as input to their ongoing capacity development support for asylum systems, and where applicable, in their support of the work of the ACSG. The secondary audience are governments and competent authorities in asylum and host countries interested in developing or further strengthening national asylum systems as well as civil society actors with advocacy or other relevant activities in this area. The evaluation is aimed at providing lessons on how to structure UNHCR support in this area, in a sustainable manner.
37. The objectives of the evaluation are as follows:
  - a) To determine how well established and clear UNHCR's concept of capacity development is in the context of strengthening national asylum/RSD systems.
  - b) To establish how coherent and strategic UNHCR's overall approach to capacity development in national asylum systems has been.
  - c) To determine where and how UNHCR has effectively built national asylum/RSD capacity that has resulted in an effective and sustainable system.
  - d) To assess the extent to which UNHCR's own capacity, structures and processes are aligned and fit-for-purpose in supporting national capacity development
  - e) To highlight best practices and lessons, and to generate recommendations that provide a clear direction for UNHCR's future role in national asylum/RSD capacity development.
38. The scope of this evaluation will be delineated as follows:
  - a) Inclusion of a range of scenarios, including States in which:
    - i. The authorities have not assumed responsibility for RSD under national law but where there is a movement towards assuming responsibility, and where UNHCR has started to initiate capacity-related work in support of this transition.
    - ii. UNHCR may fund eligibility committees and also be involved in activities such as registration, interviewing and/or making recommendations to the authorities (and/or where there are not UNHCR staff in case processing but UNHCR fund it). UNHCR may continue to do RSD in parallel for certain caseloads.
    - iii. UNHCR officials may be embedded or otherwise support national authorities for a limited period of time or to a limited degree with a sole view of strengthening national capacity etc. further to which UNHCR would play a supervisory role primarily.
    - iv. UNHCR plays a supervisory role primarily. The State is in full control of the RSD process (UNHCR may also have staff embedded in the system).



In each of these cases, there are lessons to be learned about how and why UNHCR has got involved, the nature and strength of that involvement, and outcomes of that work (where they are evident).

- b) The geographical scope will include all regions, weighted by those which have a greater presence of state-run asylum systems (as opposed to UNHCR-run RSD<sup>25</sup>), and where UNHCR has invested the most (see Figure 4).
- c) While UNHCR's support for national asylum systems development dates back to the 1990s<sup>26</sup>, there has been strategic engagement since 2015. Over the past five years the organization has revisited its approach to RSD, and started to outline a series of approaches to capacity development<sup>27</sup>, culminating in the GCR and the establishment of the ACSG<sup>28</sup>. While national systems development can be a long-term commitment, for practical reasons the evaluation cannot assess a 30-year period. The evaluation will, therefore, focus, in particular, on the post-2015 period of activity, building on and from the evidence generated in the 2014 review, but drawing on country cases that, themselves, may pre-date 2015, in order to draw lessons from actual change, both positive and negative.
- d) The evaluation will build from the definition of capacity development outlined by the RSD section in 2019 in the cheat sheet (see footnote 15), which itself draws from the UNDG, namely *"the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time, in order to achieve development results"*.<sup>29</sup> A framework will be developed based on this note, and the process outlined, to evaluate UNHCR's asylum capacity support.

## KEY AREAS OF INQUIRY

- 39. These areas of inquiry will be further developed during the inception phase of the evaluation to produce key questions that will guide the research.

- a) How does UNHCR understand capacity development for national asylum systems?
  - i. How well has UNHCR built a clear, shared and agreed (with key partners) definition of capacity development for asylum across the organization?
  - ii. How well has UNHCR applied the definition and concept of capacity

<sup>25</sup> In the Asia-Pacific region, for example, very few countries (less than half) are signatories to the 1951 Convention.

<sup>26</sup> See, for example, 1996, UNHCR Inspection and Evaluation Service, A Review of Capacity Building in Central and Eastern Europe: <https://www.unhcr.org/research/evalreports/3ae6bcf44/review-capacity-building-central-eastern-europe.html>

<sup>27</sup> 2016, UNHCR, Refugee Status Determination, EC/67/SC/CRP.12, <https://www.refworld.org/docid/57c83a724.html> (re strategic engagement; 2017, IPU and UNHCR, A guide to international refugee protection and building state asylum systems, <https://unhcr365.sharepoint.com/teams/dip-rsdpp/Strengthening%20Asylum%20Systems%20Library/A%20guide%20to%20international%20refugee%20protection%20and%20building%20state%20asylum%20systems%20Handbook%20for%20Parliamentarians%20No.%202027.%20122017.pdf>; Internal resource available on the RSD Practitioners Platform: Capacity Development Approach in the Context of RSD – A Cheat Sheet (draft); Issues and Considerations relating to State RSD Systems (draft); Internal resource available on the RSD Practitioners Platform: Institutional Set Up – RSD Typologies (draft)

<sup>28</sup> <https://www.unhcr.org/publications/legal/5b1558104/non-paper-asylum-capacity-support-group-4-june-2018.htm>; <https://www.unhcr.org/5cc1aba44.pdf>

<sup>29</sup> UN Development Group, *Capacity Development - UNDAF Companion Guidance*, 2017, <https://undg.org/wp-content/uploads/2017/06/UNDG-UNDAF-Companion-Pieces-8-Capacity-Development.pdf>, p.5. [hereinafter *UNDAF Companion Guidance*]. This report cites: Baxter, Angela, *A report prepared for the United Nations Department of Economic and Social Affairs for the 2016 Quadrennial Comprehensive Policy Review*, 2016 <http://www.un.org/en/ecosoc/acpr/pdf/sgsr2016-deskreview-capdev.pdf>.

- development in practice?
- iii. How effectively has UNHCR measured its capacity development work?
- b) How strategic has UNHCR's response to national demands for asylum capacity building been?
  - i. Does UNHCR have a clear overall vision for its role in state-run asylum/ RSD?
  - ii. What triggers UNHCR engagement and exit strategy in capacity development? Does UNHCR have clear rules of engagement and disengagement when things outcomes are / are not being realized?
  - iii. What distinguishes between different asylum contexts, and how clear and consistent has UNHCR's response been in support, or not, of national system development?<sup>30</sup>
  - iv. In the context of the Global Compact on Refugees, to what extent has UNHCR been effective at convincing states to see asylum/RSD as their responsibility? Where has UNHCR been effective at this, and what are influencing factors?
  - v. To what extent does UNHCR systematically assess the political economy to determine the likely effectiveness and sustainability of its capacity building work?
  - vi. Is UNHCR's commitment to national asylum system development and taking over RSD consistent across countries and regions, and what are the implications of this?
  - vii. What impact has COVID-19 had on the asylum system support needs, and how strategically has UNHCR responded?
- c) How effective has UNHCR been at addressing both technical and political aspects of asylum capacity building in a joined-up manner?
  - i. What are the types of UNHCR capacity support and what determines what type of support is provided, in what form and for how long?
  - ii. How effectively has capacity development been designed as part of a wider context of state support for asylum / RSD?
  - iii. Has UNHCR focused too much on certain aspects of capacity development and not enough in other areas?
  - iv. How clear and effective are the specific operational strategies; how well have they been planned, costed, implemented, monitored and evaluated?
  - v. What are the outcomes of these strategies, and what has the organization learnt about the effectiveness and sustainability of different approaches in different contexts?
  - vi. Which other organizations are involved in capacity development for asylum/RSD and what is UNHCR's comparative advantage compared to them?
  - vii. How effectively does UNHCR build partnerships in this arena - engaging with other actors (within the government concerned, non-state actors in the country concerned, others), both in terms of the overall approach to state system development, and in relation to the division of labour over support for areas like training.
- d) How fit-for-purpose has UNHCR's internal staff capacity been to ably support national asylum capacity building?
  - i. To what extent does UNHCR have a structured approach to capacity development at a global and decentralized level? What can be learnt from this?
  - ii. Does it have adequate resources (staff, budget etc.) to ensure that it can support

<sup>30</sup> This should include looking at where UNHCR has chosen and not to provide support for developing national systems in countries transitioning from UNHCR-run RSD (including those are non-signatories to the 1951 convention); the support of legal stay arrangements which may affect asylum systems development.



- capacity development while also carrying out other RSD duties (notably in countries where both systems are active one way or another)?
  - iii. How effective and sustainable are UNHCR training strategies/plans for national officials (resourcing of plans, attrition rates of trainees, dedicated time available to train (often with other RSD responsibilities)?
  - iv. What has the impact to date been of UNHCR's decentralization process been on a common approach to support capacity?
- c) What lessons can we draw to inform UNHCR's asylum capacity strengthening strategies and practices in the future?
- i. To what extent does UNHCR learn from evidence on what works in capacity development, either from each other (within and between regions) and from outside?
  - ii. What are the implications of COVID-19 for future asylum capacity development support?
  - iii. How are good practices and lessons learnt documented and used?
  - iv. What are the steps undertaken to ensure (to the extent possible) that outcomes are sustainable?

#### IV. APPROACH AND METHODOLOGY

40. The evaluation will be structured around two inter-related frameworks:
- a) Characteristics of a national asylum system. Principles, characteristics and metrics of a fully functioning asylum system in different contexts – what they look like, how they work, measures of success, resource requirements etc. This will unpack and develop the four common principles of fairness, efficiency, adaptability and integrity; and from this recognize and (if suitable, typologies) by recognized areas of legitimate difference; legal systems, administrative and cultural traditions, distribution of labour between and in ministries, political factors and, importantly, the number of asylum applicants and refugees in the country.
  - b) Theoretical framework of capacity development building from the UNDG definition outlined in *para 40d.* and the concept and process outlined by UNHCR in 2019; further work will be done based on literature and practice in this area; adjusted to the asylum/RSD context, and calibrated according to different circumstances/needs in line with the five contexts laid out in the background section above.

These two frameworks will be used to guide the evaluation. The status of the national asylum systems reflects the outcomes to which the UNHCR capacity support contribute. The type, quantity and quality of that support will be judged alongside external factors – critical amongst these being the role (political and administrative) of the state itself, and the contribution of other actors and factors. An initial desk review should be prepared that should inform the formulation of the above two frameworks (see Annex 2 for a non-exhaustive list of key documents).

41. The evaluation cannot look at all cases of national asylum support, given the breadth and depth of the assistance UNHCR has provided over the past three decades. Therefore, the study will take a T-shaped approach, looking at the overall strategies, patterns of expenditure, and activities at a macro-level. Then it will deep-dive into a selected set of case studies where there is something to learn that may resonate with other, similar, asylum systems and UNHCR operations.
42. A set of criteria have been established to help guide the selection of national systems to

study as cases in the evaluation. It is anticipated that six to eight cases will be selected in total. Three categories and five criteria have been established to guide the case study selection, as follows:

1 Type, percentage change, and nature of refugees flows as measured by the average volume of asylum applications over the past ten years and the degree of heterogeneity of asylum seeker caseloads over the same period. Together, these three metrics are indicative of the scale of the asylum pressure in the receiving country, which in turn is indicative of the challenges faced by the asylum system.

2 – State of the asylum system as measured by the state/ characteristics of the national system (from no system to a fully developed system). Cases that fall into several categories here will be of interest.

3 Role and contribution of UNHCR to the asylum system's development reflecting the nature and scope of engagement UNHCR has with the asylum system and competent authorities. This also overlaps with the State and transition of the system (above), but it's separated to reflect that the evaluation will need to distinguish between UNHCR's contributions and the systems development itself. The second metric looks at total expenditure on activities related to asylum capacity development outputs per country over the past decade, as one measure of level of investment.

43. Through categorizing the countries against these criteria, it will be possible to determine patterns of which countries fall where, and from these take a sample. The sample will be based on cases within the categories. The aim is to be both purposive, selecting from bracketing cases<sup>31</sup>, special interest cases and also those that are representative to the extent to which they can speak to common 'types' of systems where UNHCR has made a considerable investment. Practical considerations will also be made, to ensure that the countries sampled have not been 'over-studied' but are also representative.
44. In terms of data design, the evaluation will be primarily qualitative and deductive e.g. benchmarking UNHCR performance against normative models and existing policies and strategies. Some quantitative components around resources applied, numbers trained, etc. may be feasible. The evaluation team will detail the methodological approach in the inception report, dictated by the final set of evaluation questions, the types of data required and practical issues such as travel availability/restrictions (COVID-19 related), and the like.
45. UNHCR welcomes innovative, and participatory, data collection methods. Considering the continuing limitations in access to locations, and populations, as a result of the COVID-19 pandemic, evaluators will be asked to include alternative methods to ensure effective engagement of both staff and persons of concern in affected areas.
46. A Reference Group will be created comprising members from UNHCR (DIP, Assistant High Commissioner-Protection, Regional Bureaux, DRS, DSPR), representatives of up to four key member states who have robust asylum/RSD systems and are key partners of UNHCR under the auspices of the ACSR, academia (both asylum and institutional strengthening-related) and non-government actors (NGOs and or CSO representatives). The main role of the Reference Group will be to provide strategic input and constructive feedback based on their organizational perspective during the inception and report review stages of the evaluation.
47. The evaluation should also conduct a series of data sensemaking and validation workshops aimed at helping to strengthen data interpretation and analysis of the evaluation findings.

<sup>31</sup> See Annex I for typology of bases for case study selection

The first workshop would be aimed at validating the findings from the country case studies and would include UNHCR staff from HQ, Regional Bureaux and case study countries. The second workshop would focus on the synthesized findings from global, regional and country levels and would include UNHCR Division of International Protection, Division of Resilience and Solutions and Regional Bureaux. The third would be a meeting to discuss the synthesized findings with the Reference Group. A final in-person presentation is envisaged for the High Commissioner, Deputy High Commissioner, Assistant High Commissioner of Protection and the Assistant High Commissioner of Operations (Senior Executive Team). Other opportunities to share key findings externally will be actively sought towards sharing learning and good practices more widely.

48. UNHCR welcomes the use of diverse, participatory, and innovative evaluation methods. The methodology – including details on the data collection and analytical approach(es) used to answer the evaluation questions – will be designed by the evaluation team during the inception phase and presented in an evaluation matrix. Given the potential disruptions of COVID-19, the evaluation team should propose methodological options for maximizing virtual data gathering.
49. The evaluation methodology is expected to reflect an Age, Gender and Diversity (AGD) perspective in all primary data collection activities carried out as part of the evaluation – particularly with refugees, as appropriate. This includes, referring to and make use of relevant internationally agreed evaluation criteria such as those proposed by OECD-DAC and adapted by ALNAP for use in humanitarian evaluations<sup>32</sup>; referring to and make use of relevant UN standards analytical frameworks; and be explicitly designed to address the key evaluation questions – considering evaluability, budget and timing constraints.
50. The evaluation team is responsible to gather and make use of a wide range of data sources and triangulate data (e.g. across types, sources and analysis modality) to demonstrate the impartiality of the analysis, minimise bias, and ensure the credibility of evaluation findings and conclusions.

## V. EVALUATION QUALITY ASSURANCE

51. The Evaluation Team is required to sign the UNHCR Code of Conduct, complete UNHCR's introductory protection training module, and respect UNHCR's confidentiality and Data Protection policy requirements.
52. In line with established standards for evaluation in the UN system, and the UN Ethical Guidelines for evaluations, evaluation in UNHCR is founded on the inter-connected principles of independence, impartiality, credibility and utility, which in practice, call for: protecting sources and data; systematically seeking informed consent; respecting dignity and diversity; minimising risk, harm and burden upon those who are the subject of, or participating in the evaluation, while at the same time not compromising the integrity of the exercise.
53. The evaluation is also expected to adhere with the 'Evaluation Quality Assurance' (EQA) guidance, which clarifies the quality requirements expected for UNHCR evaluation processes and products. All evaluation products will be shared with an external QA provider for their comment, in addition to being reviewed by the Evaluation Manager and Reference Group. Evaluation deliverables will not be considered final until they have received a satisfactory review rating and have been cleared by the Head of Evaluation

<sup>32</sup> See for example: Cosgrave and Buchanan-Smith (2017) [Guide de l'Evaluation de l'Action Humanitaire](#) (London: ALNAP) and Beck, T. (2006) [Evaluating Humanitarian Action using the OECD-DAC Criteria](#) (London: ALNAP)

Service. The Evaluation Manager will share and provide an orientation to the EQA at the start of the evaluation. Adherence to the EQA will be overseen by the Evaluation Manager.

#### ETHICAL CONSIDERATIONS

54. The evaluation process should support and respect ethical and meaningful participation of stateless and formerly stateless persons and meet the standards and ethics of UNHCR and the UN Evaluation Group. As the scope of the evaluation includes the participation of stateless persons, who are considered a vulnerable population, the evaluation protocol and tools pertaining to the collection and management of data pertaining to stateless and formerly stateless persons should be reviewed by an institutional ethics review board (IRB) and receive clearance prior to commencing. The evaluation firm will also need to confirm and receive any necessary country-specific ethical review requirements in the case study countries in addition to their own organisational IRB requirements.
55. The evaluation should adhere to UNHCR's Data Protection policy to ensure personally identifiable information is adequately safeguarded.

#### VI. ORGANISATION, MANAGEMENT AND CONDUCT OF THE EVALUATION

56. UNHCR Evaluation Service will serve as the Evaluation Manager. They will be responsible for: (i) managing the day to day aspects of the evaluation process; (ii) acting as the main interlocutor with the evaluation team; (iii) providing the evaluators with required data and facilitating communication with relevant stakeholders; (iv) reviewing the interim deliverables and final reports to ensure quality with the support from the RSD Section in the Division of International Protection and a Reference Group.

The Evaluation Team should comprise a senior team leader who is also a specialist in asylum systems, an evaluation specialist with strong institutions / social policy / political economy background, 3-4 evaluation specialists with geographical knowledge and relevant language expertise; and 1 data analyst with the ability to draw upon additional resources and expertise as identified during the evaluation. The team is expected to produce written products of high standards, informed by evidence and triangulated data and analysis, copy-edited, and free from grammatical errors. The team balance should reflect the principles of equality of gender and race and incorporate expertise from each of the relevant geographical regions, in line with the Paris Declaration Principles. Expected qualifications and experience of key Evaluation Team members can be found in Annex 3.

57. The language of work for this evaluation will be English, French and Spanish. The country case reports will be in English and French or Spanish as appropriate. The overall evaluation report will be in English<sup>33</sup>.

#### EXPECTED DELIVERABLES AND EVALUATION TIMELINE

58. The evaluation should be carried out from October 2020 to August 2021 with management response and dissemination occurring September – November 2021 and will be managed following the timeline tabled below and will be contracted to an evaluation firm.
59. The key evaluation deliverables are as follows:

<sup>33</sup> The final evaluation report will be in English and should include an executive summary in French, Spanish and English.

- a. Inception Report
  - b. Country case study evaluation reports (internal)
  - c. Executive summary briefs for each country
  - d. Overall evaluation report
  - e. Standalone Executive Summary (3 languages)
60. The Head of the Evaluation Service will send a formal communication to the Senior Management Committee, announcing the commencement of the evaluation. The evaluation process will include an inception phase, a period for data collection followed by data analysis and a series of sensemaking and validation workshops with stakeholders at various levels of the organization. After the preliminary findings have been validated, the report will be drafted, reviewed for quality assurance and finalized. A final presentation will be made to the Senior Executive Team of the findings, conclusions and recommendations from the evaluation. The Head of Service gives the final sign-off on the evaluation report; thereby, determining it as final. Additional information on each phase is provided as follows:
  - a) Inception phase: The evaluation team will conduct an inception mission to IIQ Geneva to meet with the Evaluation Service, RSD Section, senior management in DIP, and the Assistant High Commissioner for Protection to discuss the purpose and objectives of the evaluation. It is important for the evaluation team to understand how UNHCR plans to use the evaluation and how the evaluation can benefit external stakeholders as a public good. The inception phase will also include document review, key informant interviews and review of existing data sources internally and externally concerning asylum. The final deliverable from this phase are a finalized inception report that has incorporated comments from the Evaluation Service, UNHCR HQ, country case studies and the Reference Group, including findings from the desk review, the evaluation matrix, proposed data collection tools and analytical framework.
  - b) Data collection phase: The evaluation team will collect data and information at multiple levels of the organization. This will include gathering documentation from UNHCR HQ, Regional Bureaux and country case studies; key informant interviews and focus group discussions with UNHCR staff, key partners and other relevant stakeholders at the global and regional levels including governments in the country case studies. The final deliverables for this phase are the completion of data collection in each country case study and at global and regional levels and PPT-based debriefs to country and regional UNHCR management following each mission, and to the Evaluation Manager and Head of Evaluation (virtually).
  - c) Data analysis and sensemaking phase: The evaluation team will then analyse the data and information collected based on their analytical framework, which was reviewed and discussed with the Evaluation Service. A series of sensemaking/validation workshops will be held with the RSD Section in DIP, country case studies, Regional Bureaux and the Reference Group. These workshops are an important step in the evaluation process for confirming the interpretation of data and strengthening the evaluation's analysis and contextual understanding. This will help the evaluation to hone their findings, conclusions and recommendations before they draft the evaluation report, helping to minimize low quality reports with weak analysis. The final deliverables in this phase are virtual sensemaking workshops completed with all country case studies and Reference Group along with meeting notes.
  - d) Report drafting and finalization: The evaluation team drafts the country case study reports and synthesis report, which may go through review. Generally, the report will have one substantive round of comments. Reviewers will include the case study countries, Regional Bureaux, RSD in DIP, the Reference Group and the Evaluation Service providing quality assurance. The Head of Service will provide final clearance on the report. The final

deliverables include the evaluation report and an executive summary in English, French and Spanish. It is to be determined whether the case study reports will be kept internal or made public. The evaluation team will present the findings, conclusions and recommendations to the Senior Executive Team based on a PPT slide-deck.

- c) Communication: The evaluation and its findings will be communicated to a range of internal audiences and to critical and interested parties outside UNHCR. Evidence will be made available in formats and styles appropriate for each of the priority stakeholders. This ‘repurposing and repackaging’ will be mindful of the communications preferences of the target audience, and the efficiency and effectiveness of reaching and engaging priority audiences in different ways. A mix of analogue and digital products will be generated e.g. printed evaluation reports and separate executive summaries; hosted webinars and attendance at web-conferences; (potentially face-to-face) validation workshops; brown bag lunches etc.

Communication opportunities will be identified throughout the life of the evaluation, not just at the end. There will be engagement of key audiences around emerging findings to help with ‘sensemaking’ and ownership over the findings and to finetune recommendations in concert with those who will be expected to implement them. A suite of messages will be identified that resonate with the interests and priorities of our primary internal audience (those working on protection inside UNHCR) with a view to generating both visibility of and interest in the evidence generated.

The main communication pathways will also comprise of direct contacts to UNHCR’s International Protection Department, national partners, civil rights groups targeted media groups and others. A more detailed communication and engagement framework with a breakdown by audiences, methods of engagements and timing is attached in Annex 5.

The finalized report will be published on UNHCR’s external website and disseminated via ALNAP, UNEG and other relevant communities of practice. Two brown bag presentations will be held – one for all-staff in HQs as well as webinars for Regional Bureaux and country offices and a second brown bag for UN agencies, civil society organizations and diplomatic missions located in Geneva. A presentation could also be made to the S20M Club and ACSG to disseminate findings and recommendations from the evaluation. Last, several digital communication products will be developed for different external audiences to share learning more broadly.

- f) Management response: A management response will need to be completed within two months of receipt of the evaluation report by the SET. The Evaluation Service will then publish the response online together with the report. After a year, the Evaluation Service will follow-up with the SET on the key actions that were listed in the response.

61. A detailed timeline can be found in Annex 2.

## Annex 2 Typology of ACD activities

The following table was agreed with UNHCR during the inception phase of the evaluation in order to describe the possible range of ACD activities.

Table 1: Description of ACD activities

ACD Activity: Legislative and Policy Advice	Actions/Processes
<b>Advice and support for the development of policy and legislation related to asylum</b>	Advice on policy and/or legal frameworks (creation, revision, etc.)
	Supporting the inclusion of asylum systems in National Development Plans
	Deployment of national and international experts to government to work on policy and/or legislative reform processes (e.g. coordination, technical assistance, engaging other stakeholders in reform process, advocacy)
	Developing COI processes
ACD Activity: Advocacy and Lobbying	Actions/Processes
<b>Encouraging states to increase their commitment to developing ACD and to take ownership of, and properly resource high-quality asylum systems</b>	Influence national authorities to establish a robust asylum system (e.g. sensitisation sessions, informal and formal discussions, workshops, coordination activities, media campaigns)
	Influence national authorities for respect of relevant international and national legal obligations
	Influencing the sufficient level of funding of asylum systems (from national budgets and external donor financing)
	Influencing public opinion in favour of granting asylum to those needing protection, and advocating for individual cases/case groups that do not have access or experience differential treatment in the asylum system
	Pressing for increased security for asylum-seekers (security of legal status; having a fair and predictable process; physical security; prevention of refoulement)
ACD Activity: Institutional Support	Actions/Processes
<b>Helping to build or advising on the development of institutional capacity for reception, registration and RSD, with technical, logistical and administrative assistance</b>	Technical support/providing advice to government and government bodies on asylum systems development and developing institutional/organisational/administrative structures for an asylum system
	Assessments: identifying gaps in policy, institutional and staffing capacity; capacity needs assessments
	Advising on human resource development: e.g. hiring staff, participating in recruitment exercises, developing job descriptions, feeding into functional reviews, providing incentives (through PPA agreements) to government staff

	Forming partnerships with other asylum capacity stakeholders, e.g. CSOs, experts, donors, legal advisers
	Forming partnerships with other asylum system and protection stakeholders – donors, NGOs/CSOs, legal advisers
<b>ACD Activity: Infrastructure and Systems</b>	<b>Actions/Processes</b>
<b>Technical support to information systems</b>	Advice and technical, managerial and operational systems support for information and data management, e.g. ICT, file management and filing, advising on the development of case management systems
	Advising on and financing better infrastructure and logistical assistance, e.g. buildings, facilities, IT equipment, transportation
	Supporting the development of a government case management system (including articulating business needs, procurement, development, testing and operationalisation)
	Supporting in the rollout, customisation and operation of proGres v4 system
<b>ACD Activity: Individual Capacity Development</b>	<b>Actions/Processes</b>
<b>Improving national counterparts' capacity in asylum processes, protection, RSD – skills, knowledge, motivation, leadership</b>	Training and induction programmes, e.g. training by UNHCR, by other trainers; funding participation in training; providing training materials. Training of officials, e.g. border guards, immigration officials, case workers, bar, police, interpreters. Trainings on e.g. working with asylum-seekers, interviewing, legal analysis, country of origin information research, decision drafting. Development of training curricula
	Coaching and mentoring programmes e.g. for legal aid lawyers and NGOs on e.g. above topics
	Exchange visits – see also QA below
<b>ACD Activity: Quality Assurance</b>	<b>Actions/Processes</b>
<b>Technical support to achieve high quality in asylum processes</b>	QAI and diagnostics
	Capturing learning and applying this to increase performance
	Regional exchange visits and workshops where ACD may be the focus or a component



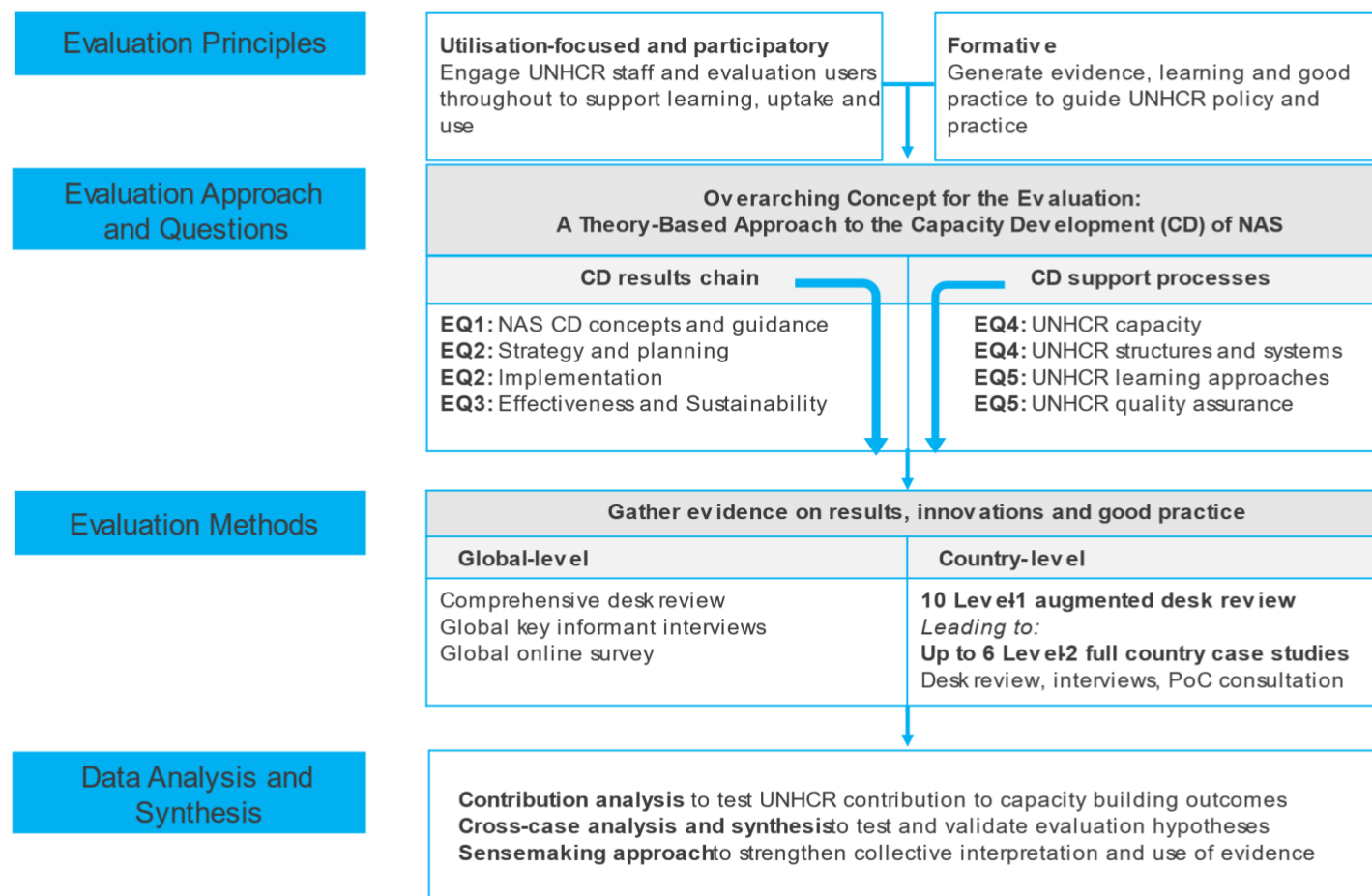
## Annex 3 Further detail of the evaluation questions and approach

The analytical framework provides a basis for exploring how and why different approaches to strengthening national asylum system capacity can be effective, and the contribution UNHCR has made to observed changes. The five EQs provide entry points for understanding UNHCR's performance:

- **EQ 1. How well has UNHCR developed a structured and systematic approach to capacity development of national asylum systems?** This question focuses on UNHCR's understanding of NAS CD concepts and guidance and whether UNHCR has developed and applied a NAS CD model based and guidance on good practice and shared experience.
- **EQ 2. How strategic has UNHCR's response been to national demands for asylum capacity development?** This question focuses on the relevance and consistency of UNHCR approaches and strategies to addressing NAS capacity needs across a range of contexts.
- **EQ 3. How effective has UNHCR been in developing national asylum systems capacity?** This question explores the effectiveness and sustainability of UNHCR strategies in building capacity, and observed outcomes around strengthened NAS capacity and performance.
- **EQ 4. How well has UNHCR equipped itself to support national asylum systems capacity development?** This question explores the strength and suitability of UNHCR capacity, systems, and processes for ACD.
- **EQ 5. How well has UNHCR captured and used its learning to improve its asylum capacity strengthening strategies and practices?** This question focuses on UNHCR's own internal generation and use of learning, and how this supports improvements in UNHCR's ACD strategies, approaches and delivery.

The evaluation questions were addressed within the overall evaluation approach as illustrated in Figure 1 below.

Figure 1: Overarching evaluation approach



## Annex 4 Evaluation matrix

Table 2 shows the evaluation questions and sub-questions, the evaluation criteria, indicators, data collection and analysis methods as agreed at the inception stage of the evaluation and subsequently implemented. Any deviations and limitations experienced are discussed in the main report, in particular in Section 3.

Table 2: Evaluation matrix

Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
<b>EQ 1. How well has UNHCR developed a structured and systematic approach to capacity development of national asylum systems?</b>				
1.1 To what extent has UNHCR defined and disseminated a corporate approach to capacity development of national asylum systems?	Relevance, Coherence	<ul style="list-style-type: none"> <li>• Existence of documented concepts and/or models for the development of national refugee asylum system capacity development (NAS CD)</li> <li>• Evidence that the concepts/models are shared across organisation</li> <li>• Existence of documentation that explains UNHCR's role in state-run asylum and RSD</li> <li>• Evidence that UNHCR NAS CD approach is based on current good practice</li> <li>• Evidence that UNHCR has set and adapted its NAS CD approach in line with relevant international agreements and Executive Committee decisions</li> <li>• Evidence that UNHCR ACD strategies cover the organisation's commitments on age, gender and diversity</li> <li>• Evidence that UNHCR has a clear vision and messages for supporting the transition to state-run asylum systems and Quality Assurance</li> </ul>	<ul style="list-style-type: none"> <li>• UNHCR NAS CD guidance</li> <li>• KIs with UNHCR staff, CD delivery partners, government officials</li> <li>• Online survey for UNHCR staff</li> <li>• Document review of CD approaches of comparable agencies</li> <li>• International agreements</li> <li>• UNHCR Executive Committee documents</li> <li>• UNHCR CD documentation at country level</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Benchmarking against other CD providers</li> <li>• Survey analysis</li> </ul>
1.2 How well has UNHCR adapted its asylum capacity development approach to different political and operating contexts?	Relevance, Coherence	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has assessed the strengths and weaknesses of national asylum systems</li> <li>• Evidence that UNHCR has a range of approaches to ACD that can be applied in different contexts</li> <li>• Evidence that UNHCR has developed practical guidance for use at country level that can be applied in specific contexts</li> </ul>	<ul style="list-style-type: none"> <li>• UNHCR NAS CD guidance</li> <li>• KIs with UNHCR staff, CD delivery partners, government officials</li> <li>• Online survey for UNHCR staff</li> <li>• Project documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Context analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>

Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
1.3 To what extent has UNHCR built its approach to asylum capacity development on GCR and its follow-up?	Relevance	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has built its ACD strategies and plans on the GCR since its agreement</li> <li>• Evidence that UNHCR has coordinated ACD approaches and capacity with international partners</li> <li>• Evidence that UNHCR is taking advantage of the ACSG to advance ACD</li> <li>• Evidence that UNHCR uses the GCR and associated processes to influence national policy/commitment on ACD</li> </ul>	<ul style="list-style-type: none"> <li>• UNHCR NAS CD guidance</li> <li>• KIIs with UNHCR staff, CD delivery partners, government officials</li> <li>• Online survey for UNHCR staff</li> <li>• Project documents</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>
1.4. To what extent has UNHCR's ACD efforts integrated AGD and been based on the perspectives the needs and priorities of PoCs?	Relevance, Coherence	<ul style="list-style-type: none"> <li>• Evidence that ACD programming and activities take account of diverse, ethnic, gender and other identities in needs assessments</li> <li>• Evidence of UNHCR's ACD efforts being based on continuous and meaningful engagement with PoCs</li> <li>• Evidence of UNHCR – directly or through partners – undertaking AGD-Inclusive Programming for ACD</li> </ul>	<ul style="list-style-type: none"> <li>• Data from consultations with PoC, KIIs with RLOs, CD delivery partners, government officials, UNHCR staff</li> <li>• UNHCR NAS CD guidance</li> <li>• Country operations reports and guidance</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Context analysis</li> </ul>
<b>EQ 2. How strategic has UNHCR's response been to national demands for asylum capacity development?</b>				
2.1 How strategic has UNHCR's decision-making been with regard to determining when to engage with, maintain, or exit from capacity development of national asylum systems?	Relevance, Coherence	<ul style="list-style-type: none"> <li>• Evidence of UNHCR applying criteria for deciding when to engage in, maintain, or exit from NAS CD</li> <li>• Evidence that UNHCR has strategies to progress from supplementing State capacity to supporting and handing over RSD functions</li> <li>• Evidence of UNHCR having analysed political economy, conflict, drivers of migration/displacement, and public opinion</li> <li>• Evidence that UNHCR has made judgements about where CD efforts can make an impact on NAS capacity</li> <li>• Evidence that UNHCR has adapted its CD interventions as national asylum systems evolve</li> <li>• Evidence that decisions on UNHCR engagement in NAS CD are part of UNHCR's overall strategy for raising protection standards in the country or region</li> </ul>	<ul style="list-style-type: none"> <li>• UNHCR NAS CD guidance</li> <li>• Country operations reports</li> <li>• KIIs with UNHCR staff, CD delivery partners, government officials, relevant donors</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Context analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>

Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
2.2 How strategically has UNHCR capacity development been designed to fit the wider context of State support for asylum/RSD?	Relevance, Coherence	<ul style="list-style-type: none"> <li>• Evidence that UNHCR support to ACD is based on prior national capacity needs assessment</li> <li>• Evidence that UNHCR ACD support has been designed with government partners and other relevant actors</li> <li>• Evidence UNHCR ACD support is coordinated with other CD actors</li> </ul>	<ul style="list-style-type: none"> <li>• Review of UNHCR policies, processes, frameworks</li> <li>• KIIs with UNHCR staff, government officials, and partners (NGOs, CSOs, FBOs, relevant donors)</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Policy and risk analysis</li> <li>• Cross-country case study analysis</li> <li>• Benchmarking against other CD providers' experience</li> <li>• Participatory sensemaking analysis</li> <li>• Contribution analysis</li> </ul>
2.3 How successfully has UNHCR balanced its commitments to NAS capacity development and to UNHCR Mandate RSD?	Relevance, Effectiveness	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has balanced differing demands between political engagement, technical support and direct mandate</li> <li>• Evidence UNHCR has been consistent and even-handed in its strategy and effort to ensure the RSD capacity can be developed to the point of handover to States</li> </ul>	<ul style="list-style-type: none"> <li>• Review of monitoring, reporting and learning documents</li> <li>• KIIs with UNHCR stakeholders</li> <li>• Project documents</li> <li>• Executive Committee papers</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Policy analysis</li> <li>• Cross-country case study analysis</li> <li>• Online survey analysis</li> <li>• Contribution analysis</li> </ul>
2.4 How is UNHCR's recent decentralisation process affecting the consistency of its approach and its capacity to support NAS CD?	Efficiency	<ul style="list-style-type: none"> <li>• Evidence that the decentralised roles regarding NAS are understood and adopted by Regional Bureaux and Country Offices</li> <li>• Evidence that UNHCR has deliberately strengthened capacity and resources of Regional Bureaux and Country Offices to take on decentralised responsibilities</li> <li>• Evidence of a common approach to ACD across UNHCR regions and countries</li> </ul>	<ul style="list-style-type: none"> <li>• KIIs with UNHCR stakeholders, partners (including governments) and other actors</li> <li>• Online survey for UNHCR staff</li> <li>• Project reports and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Validation workshops</li> </ul>
2.5 How strategically has UNHCR adapted its asylum support to address the impact of COVID-19 on asylum systems?	Impact	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has analysed the impact of COVID-19 on national asylum demand and system capacity</li> <li>• Evidence that UNHCR has considered the impacts of COVID-19 and has acted strategically to mitigate its effects</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KIIs with UNHCR, government, partners</li> <li>• Online survey</li> <li>• Project documents and reports</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-country case study analysis</li> <li>• Context analysis</li> <li>• Contribution analysis</li> </ul>
<b>EQ 3. How effective has UNHCR been in developing national asylum systems capacity?</b>				

Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
3.1 How successful has UNHCR been in influencing States to take ownership for asylum/RSD?	Effectiveness, Impact	<ul style="list-style-type: none"> <li>• Evidence of UNHCR strategy to increase state ownership of NAS CD</li> <li>• Evidence that states have issued new laws, regulations and policy taking or signalling greater responsibility for asylum/RSD</li> <li>• Evidence that states have assigned resources to asylum systems/included ACD in national development planning</li> <li>• Evidence that UNHCR has been willing to relinquish responsibility for RSD to the state at the appropriate stage in the development of NAS</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KIIs with UNHCR Board members</li> <li>• KIIs with UNHCR HQ, government officials, and partners, including CSO asylum activists</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Online survey analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Context analysis</li> </ul>
3.2 How effectively has UNHCR implemented its capacity development strategies to develop national asylum capacity and address needs of PoCs?	Efficiency, Effectiveness, Impact	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has responded to state requests for NAS CD</li> <li>• Evidence that UNHCR has selected the most effective combination of capacity development strategies in different contexts</li> <li>• Evidence that UNHCR's ACD efforts improve capacity to meet recognised and differentiated needs of PoCs based on age, gender and diversity considerations</li> <li>• Evidence UNHCR has measured NAS capacity before and after CD interventions</li> <li>• Evidence that UNHCR has included CD partners in its ACD implementation</li> <li>• Evidence of progress in asylum systems development (improvements in efficiency and quality)</li> <li>□ Evidence of gender equality efforts in NAS capacity-building</li> <li>• Evidence that CD interventions have been adequately financed</li> <li>• Evidence that UNHCR contribution to NAS capacity is seen to have been effective by UNHCR staff, government and partners</li> <li>• Evidence that NAS are perceived by PoCs to be fair, efficient, adaptable, free from fraud, and sustainable</li> </ul>	<ul style="list-style-type: none"> <li>• KIIs with capacity development actors</li> <li>• Online survey for UNHCR staff</li> <li>• Project plans, budgets and reports</li> <li>• Project evaluations</li> <li>• Consultation with PoCs, RLOs, partners, government, CSOs</li> <li>• Focus Group Discussions (FGDs), phone-based survey/interviews with PoCs</li> </ul>	<ul style="list-style-type: none"> <li>• Strategy analysis</li> <li>• Review of available data against baseline (e.g. backlog)</li> <li>• Benchmarking against other CD providers</li> <li>• Cross-country case study analysis</li> <li>• Survey analysis</li> <li>• Validation workshops</li> <li>• Participatory sensemaking analysis</li> </ul>



Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
3.3 How sustainable has UNHCR's NAS capacity development proven?	Impact, Sustainability	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has followed a well-defined, intentional and long-term strategy in pursuit of state-led NAS CD</li> <li>• Evidence that programmes and financial resources are allocated over sufficiently long periods to ensure capacity is sustained</li> <li>• Evidence that ACD is built into the national development plan and budget</li> <li>• Evidence that national resources progressively replace UNHCR and other sources of external financing</li> </ul>	<ul style="list-style-type: none"> <li>• Documented agreements and support requests between government and UNHCR</li> <li>• Monitoring reports</li> <li>• Project documents, budgets, reports</li> <li>• Online survey for UNHCR staff</li> <li>• KIIs with UNHCR stakeholders, partners (including governments) and other actors</li> </ul>	<ul style="list-style-type: none"> <li>• Document analysis</li> <li>• Contribution Analysis</li> <li>• Validation workshops</li> <li>• Cross-country case study analysis</li> <li>• Financial analysis</li> <li>• Participatory sensemaking analysis</li> </ul>
3.4 How well has UNHCR planned, measured and reported the results of its NAS capacity development work?	Effectiveness	<ul style="list-style-type: none"> <li>• Evidence of capacity assessments and gap analysis in NAS</li> <li>• Evidence that UNHCR CD assessments, plans and performance monitoring are disaggregated by age, gender and diversity</li> <li>• Existence of performance measures for NAS CD</li> <li>• Evidence of collection of data against performance measures</li> <li>• Evidence of operations redesign and management course correction using performance data</li> </ul>	<ul style="list-style-type: none"> <li>• Project records</li> <li>• CD performance indicators and data</li> <li>• HQ/country team meeting minutes</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Analysis of CD performance data</li> </ul>
<b>EQ 4. How well has UNHCR equipped itself to support national asylum systems capacity development?</b>				
4.1 How well has UNHCR invested in human resources via training and recruitment to provide the skills required in 1) asylum and 2) capacity development?	Efficiency, Effectiveness	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has planned and deployed sufficient human resource capacity to support both Mandate RSD and asylum capacity development at HQ, regional and country level</li> <li>• Evidence that UNHCR staff understand good practice in capacity development and its application to NAS CD</li> <li>• Evidence of UNHCR planning and investing to achieve the required staff capacity</li> <li>• Evidence that UNHCR staff are perceived as having the appropriate skills to support the development of asylum systems</li> </ul>	<ul style="list-style-type: none"> <li>• KIIs with UNHCR staff, partners, government officials</li> <li>• Online survey for UNHCR staff</li> <li>• Project documents and budgets</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of staffing records</li> <li>• Survey analysis of staff self-assessment of their capacity in NAS CD</li> <li>• Cross-country case study analysis</li> <li>• Benchmarking against other CD providers</li> </ul>

Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
4.2 How effective and sustainable have UNHCR training strategies/plans for national officials proven?	Effectiveness, Sustainability	<ul style="list-style-type: none"> <li>• Evidence that UNHCR training and other means of development for national officials are appropriate to the context and development needs</li> <li>• Evidence that UNHCR staff development for national officials is planned and resourced over the medium term to allow sustained capacity improvement</li> <li>• Evidence that UNHCR staff have sufficient time to devote to national officer development interventions</li> </ul>	<ul style="list-style-type: none"> <li>• KIIs with UNHCR stakeholders, partners and other actors</li> <li>• Online survey for UNHCR staff</li> <li>• Project reports</li> <li>• Project evaluations</li> <li>• Capacity development needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Survey analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> <li>• Validation workshops</li> </ul>
4.3 How effectively has UNHCR built partnerships for capacity development of national asylum systems?	Coherence, Effectiveness	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has mapped relevant capacity development providers and their comparative advantages relative to UNHCR (NGOs, academics, consultants, private sector)</li> <li>• Evidence that UNHCR has harnessed such actors to support ACD</li> <li>• Evidence that UNHCR has convened relevant actors to agree a common definition and approaches to NAS capacity development</li> </ul>	<ul style="list-style-type: none"> <li>• KIIs with UNHCR staff and partners</li> <li>• CD providers guidance on how to support asylum systems</li> <li>• Online survey of UNHCR staff</li> <li>• Records of workshops for or by partners</li> <li>• Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• Benchmarking against other CD providers</li> <li>• Survey analysis</li> <li>• Contribution Analysis</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>
<b>EQ 5. How well has UNHCR's captured and used its learning to improve its asylum capacity strengthening strategies and practices?</b>				
5.1 How well has UNHCR gathered, documented and applied evidence of what works in NAS capacity development in different contexts, from its own and other organisations' experience?	Relevance, Efficiency	<ul style="list-style-type: none"> <li>• Evidence that UNHCR has sought to learn from and evaluate its NAS CD interventions, and has documented and shared learning</li> <li>• Evidence that UNHCR has captured, stored and used its institutional memory and learning on NAS CD</li> <li>• Evidence that UNHCR is tracking relevant emerging approaches to capacity development</li> <li>• Evidence that UNHCR has convened relevant stakeholders to discuss lessons learned and agree how CD approaches can be improved</li> <li>• Evidence that UNHCR has adjusted its CD strategies in light of lessons learned</li> </ul>	<ul style="list-style-type: none"> <li>• Literature review</li> <li>• KIIs with UNHCR staff, partners and other actors</li> <li>• Online survey for UNHCR staff</li> <li>• UNHCR Learning exercises</li> <li>• Project reports and evaluations</li> <li>• Records of workshops on Protection</li> <li>• Evolving UNHCR NAS CD guidance</li> </ul>	<ul style="list-style-type: none"> <li>• Policy analysis</li> <li>• Benchmarking against other CD providers</li> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>



Evaluation Questions and Sub-Questions	Eval. Crit.	Suggested Indicators/Judgement Criteria	Proposed Data Collection Methods	Proposed Data Analysis Methods
5.2 What are the implications of COVID-19 for the future of UNHCR's support to NAS capacity development?	Relevance, Effectiveness	<ul style="list-style-type: none"> <li>• Evidence that UNHCR is analysing the impact of COVID-19 on national asylum system capacity and its support</li> <li>• Evidence that UNHCR is collating lessons and insights from NAS CD strategies to inform future support</li> </ul>	<ul style="list-style-type: none"> <li>• KII's with UNHCR stakeholders, partners (including governments) and other actors</li> <li>• Online survey for UNHCR staff</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-country case study analysis</li> <li>• Participatory sensemaking analysis</li> </ul>

## Annex 5 Key informants interviewed

Table 3: Key informants, excluding those interviewed in the country case studies

Organisation	Name	Role
UNHCR	Shahrzad Tadjbakhsh	Chef de Cabinet, Office of the High Commissioner
UNHCR	Grainne O' Hara	Director, Division of International Protection (DIP)
UNHCR	Patrick Eba	Deputy Director (Policy and Law Service), DIP
UNHCR	Bernadette Castel-Hollingsworth	Deputy Director (Field Protection Service), DIP
UNHCR	Periklis Kortsaris	Chief, Refugee Status Determination (RSD) Section, DIP
UNHCR	Elise Currie-Roberts	Senior RSD Officer, DIP
UNHCR	Silvia Colombo	Learning Development Officer, Global Learning and Development Centre
UNHCR	Amran Harutyunyan	Head of Transformation and Change Service
UNHCR	Andrew Hopkins	Senior Coordinator, Digital Identity & Registration Section, Global Data Service (GDS)
UNHCR	Christian Oxenboll	Senior Registration and Identity Management Officer, GDS
UNHCR	Gita Swamy Meier Ewert	Senior Monitoring and RBM Officer, Division for Strategic Planning and Results (DSPR)
UNHCR	Noriko Tagati	Business Coordinator, RBM Revision Project, DSPR
UNHCR	Blanche Tax	Senior Policy Advisor, former RSD Section Chief, New York Office
UNHCR	Marije Van Kempen	Senior Policy Officer, Division for Resilience and Solutions (DRS)
UNHCR	Johannes Zech	Senior Partnerships Officer, DRS
UNHCR	Ndeye Marie Cisse	Partnership Officer, DRS
UNHCR	Madeline Garlick	Senior Legal Coordinator, DIP
UNHCR	Richard Grindell	Senior Protection Officer, Regional Bureau East, Horn and Great Lakes
UNHCR	Anne-Birgitte Krum-Hansen	Senior Protection Coordinator, Regional Bureau for Europe
UNHCR	Katherine Harris	Protection Officer, DIP

UNHCR	Katie Drew	Innovation Officer, UNHCR Innovation
UNHCR	Katharina Thote	Head of Operational and Partnership Management Unit
UNHCR	Susannah Friedmann	Head of Strategic Planning and Analysis Unit, DSPR
UNHCR	Sophie Rwehgera Khadhraoui	Temporary Assistance Planning, Division of Human Resources (DHR)
UNHCR	Arman Harutyun	Head of Transformation & Change Service
UNHCR	Lejla Ridanovic	Senior Programme Analysis and Reporting Officer, DSPR
UNHCR	Edgar Scrase	Senior Statistics and Data Analysis Officer, GDS
UNHCR	Annika Sandlund	Head of Partnership & Coordination Service, Division for External Relations (DER)
UNHCR	Roberta Russo	Senior Development & Partnerships Officer, DRS
UNHCR	Patrice Dassou-Ahousansou	Senior Protection Officer, Regional Bureau for West and Central Africa
UNHCR	Juan Ignacio Mondelli	Senior RSD Officer, Regional Bureau for the Americas
UNHCR	Esther Benizri	Senior Protection Officer, Regional Bureau for Southern Africa
UNHCR	Nur Amalina Abdul Majit	Senior Regional Registration & Identity Manager, Regional Bureau for Asia and the Pacific
Asylum Access	Emily Arnold-Fernandez	CEO
DO/Europe Bureau	Nabil Benbekhti	SPO, Europe (non-EU)
DRC	Cecila Vejby Andersen	Asylum & Refugee Rights Division – Legal team head; Head of Unit Europe – Dublin, Asylum Division
EASO	Rachelle Cortis	Head of Training & Professional Development Centre
EASO	Jeroen Jens	Head of Asylum Processes Sector
EASO	Ward Lutkin	Head of Asylum Knowledge Centre
ECRE	Josephine Leibl	Head of Advocacy
ECRE	Julia Zelvenska	Head of Legal Support & Litigation
ICRC	Marte Triggiano	Regional Migration & Returns Specialist

ICRC	Dr Angela Cotroneo	Global Advisor Migration
ICVA	Jérôme Elie	Senior Policy Officer, Head of Forced Migration
ICVA	Loise Dai Rocheteau	Policy Officer on Forced Migration
IOM	Silke Mason	Senior Advisor
IPT, IARIJ	Martin Treadwell	Deputy Chair NZ IPT; President of IARIJ
MPI	Susan Fratzke	Senior Policy Analyst
MPI	Ariel Soto	Policy Analyst
New Zealand Immigration and Protection Tribunal	Bruce Burson	Senior Member
Princeton University	Sylvia Fletcher	Formerly consultant to DIP, 2017
Refugees affairs, immigration, refugees and citizenship Canada (IRCC)	Mathew Myer	Senior Director
World Bank	Xavier Devictor	Practice Manager, FCV
World Bank	Michael Woolcock	Lead Social Scientist

Table 4: Key informants interviewed for the level 1 country case studies

Organisation	Name	Role
UNHCR	Guido Ambroso	Representative, Azerbaijan Country Office, Country
UNHCR	Octavian Mohorea	Protection Officer, Azerbaijan
UNHCR	Samira Allahverdiyeva	Assistant Protection Officer, Azerbaijan
UNHCR	Nabil Benbekhti	Senior Legal Officer, Regional Bureau for Europe
UNHCR	Ariel Riva	Senior Protection Officer, Ecuador
UNHCR	Andrea Leoro	Protection Officer, Ecuador [now Deputy Representative, Protection, Guatemala]
UNHCR	Rep Damtew Dessalegne	Representative, Israel
UNHCR	Rachel Peled	Senior Protection Associate, Israel
UNHCR	Jane Williamson	Senior Protection Officer, Israel
UNHCR	Aurore Lebouchard	Senior Protection Officer, Republic of Korea
UNHCR	Takgon Lee	Associate Legal Officer, Republic of Korea
UNHCR	Margaret Atieno	Assistant Representative, Uganda
UNHCR	Enid Ochieng	Senior Protection Officer, Uganda
RSD Department of the State Migration Service (Azerbaijan)	Aydan Seyidova	Head of Department
BAR Association of Azerbaijan	Farhad Najafov	Chairman of the BAR

## Annex 6 Stakeholder engagement, including sensemaking workshops – programme and participants

The team conducted three validation workshops during a mission to UNHCR in Geneva in November 2021. The lists of participants for these workshops are in the tables below.

*Table 5: List of UNHCR participants – Strategic workshop, 10 November 2021*

Department	Name	Position
DIP Policy and Law Service	Patrick Eba	Deputy Director (Policy and Law Service), DIP
DSPR – Annual Review and Budget Analysis Service	Tayyar Sukru Cansizoglu	Deputy Director - Head of Service
Evaluation Service	Lori Bell	Director
DHR/Director's Officer	Stephan Ulrich Grieb	Deputy Director & Head of HR Op Partnership Service
DHR/GLDC	Mariam Kakkar	Head Of GLDC
DER Partnership & Coordination Service	Annika Sandlund	Head of Partnership & Coordination Service, Division for External Relations (DER)
Regional Bureau for Asia & Pacific	Aurvasi Patel	Head of Bureau Protection Service
Regional Bureau for Asia and Pacific	Aram Fahim Hashemi	Senior Protection Officer
Regional Bureau for Southern Africa	Philip Wamalwa	DIMA Coordinator
Regional Bureau for Europe	Angela Li Rosi	Deputy Director
Regional Bureau for Europe	Anne-Birgitte Krum-Hansen	Senior Protection Coordinator, Regional Bureau for Europe

Table 6: List of UNHCR participants – Operational workshop, 11 November 2021 (morning)

Department	Name	Position
DIP, Geneva	Marije Van Kempen	Senior Policy Officer, Division for Resilience and Solutions (DRS)
DSPR/RBM, Geneva	Noriko Takagi	Associate RSD Officer
Global Data Service	Edgar Scrase	Senior Statistics and Data Analysis Officer, GDS
Global Data Service	Lea Bardakgi	Registration & Identity Management
Italy MCO	Helena Behr	Senior Protection Associate
Regional Bureau for Asia and Pacific	Aram Fahim Hashemi	Senior Protection Officer
Philippines Country Office	Maria Louella Gamboa	Senior Protection Associate
Philippines Country Office	Christine Salinas	Protection Associate
South Africa Country Office	Jesus Perez Sanchez	Senior Protection Officer
South Africa Country Office	Guillaume Potie	Associate RSD Officer
Protection Unit, Kazakhstan	Danijela Popovic-Efendic	Senior Regional Protection Officer

Table 7: List of participants – UNHCR Operational workshop, 11 November 2021 (afternoon)

Department	Name	Position
DSPR/SPPS/MYRPCU	Gita Swamy Meier Ewert	Senior Monitoring and RBM Officer, Division for Strategic Planning and Results (DSPR)
Costa Rica Country Office	Gonzalo Garcia	QAI Expert
DRS Development Partnerships	Jason John Pronyk	Senior Partnership Officer
Regional Bureau Americas	Juan Ignacio Mondeli	Senior RSD Officer, Regional Bureau for the Americas
UK Country Office	Larry Bottinick	Senior Legal Officer
DIP Policy and Law Service	Mari Sveen	Senior RSD Officer
HQ/DRS/Development Partnerships and Analytics Service	Marta Alfes Paula	Intern
DHR	Mathilde Tiberghien	Senior HR Staff
DRS/DPAS/ Development Partnership	Ndeye Marie Cisse	Partnership Officer, DRS
DHR Global Learning and Development Centre	Silvia Colombo	Learning Development Officer, Global Learning and Development Centre



## Annex 7 Online survey report

The online survey formed part of the evaluation methodology. It was sent to the members of the internal UNHCR RSD Practitioner's Forum UNHCR staff only, receiving 191 responses.

### Key messages

- Success in Asylum Capacity Development (ACD) depends, above all, on government commitment.
- The end goal is ownership by the authorities of asylum-seekers' rights within the territory, supported where needed by multi-year capacity development plans.
- Training of national officials is a wasted investment when there is limited or no political commitment by the authorities to take ownership of the asylum system.
- For sustainability, asylum institutions need to become part of government and to be funded by government, without being dependent on unpredictable UNHCR programme budgets.
- UNHCR has high-quality guidance and tools on asylum, but less so for capacity development.
- The organisation needs to clarify what ACD involves and provide comprehensive guidance.
- Professional staff narrowly agree that UNHCR equips its personnel to be effective in ACD and that UNHCR training on asylum for national officials is effective.
- There are examples of UNHCR long-term commitment to ACD producing good results. However, there are too many cases of UNHCR funding ACD with little or no positive change and no exit strategy.
- National asylum capacity assessments are happening, but not consistently across operations.
- Individual capacity development (formal and on-the-job training) has been the most successful part of UNHCR ACD; advocacy, lobbying, and influencing have been the least successful.
- UNHCR is not always able to influence authorities to meet their responsibilities for asylum and is not always been successful in seeing that asylum-seeker/migrant rights are respected.
- UNHCR managers should take a stronger lead role in ACD, taking protection gaps more seriously and addressing underperformance in asylum institutions.

- UNHCR needs a more strategic and systematic approach to ACD, setting a clear agenda with government and engaging directors and senior policymakers in national counterparts.
- UNHCR protection officers have strong technical knowledge of asylum processes but are not always sufficiently skilled to lead ACD. More ACD expertise is needed within UNHCR.
- There is no consensus on whether partners should be engaged in ACD. For some this is a function reserved for UNHCR only, but for others UNHCR needs to recognise that other actors have expertise in ACD and should work with them.
- The most important potential partners in ACD are local training institutes, academic/research organisations and regional intergovernmental organisations.
- UNHCR needs to collect more evidence of what works in ACD based on an assessment of asylum outcomes, not just routine reporting.
- The most important external challenge to ACD is the lack of government political will to own and fund the asylum process, and the most important internal challenge is insufficient UNHCR staff skilled in capacity development and RSD.
- Some consider that UNHCR has a strong track record in ACD; it does not need to “reinvent the wheel”. Others want to see significant changes, for example tying funding to government progress in ACD, forming sustainable partnerships for ACD, or moving the negotiation of ACD programming from country to regional level.
- Respondents were neutral on whether UNHCR has successfully adapted its ACD approach to COVID-19, and across the survey there were very few comments concerning COVID-19.

## Introduction

An online survey was part of the agreed methodology for the UNHCR ACD evaluation, its primary purpose being to allow those staff members not otherwise included in interviews and case studies to be able to make inputs to the evaluation. The report tries to provide a balanced and impartial summary of survey respondents' views. The interpretation of the significance of the survey results will form part of Phase 3, the evaluation analysis stage.

As agreed with UNHCR, the survey was developed and issued in English, French, and Spanish versions, with a covering message from the Director of DIP. The survey was anonymous and for UNHCR staff only. It was issued via the email list for the UNHCR RSD Practitioners' Platform (RSD PP). From the just over 1000 forum members, 191 responses were received in total. (The great majority of the responses were to the English version; En=169, Fr=15, Sp=6). This is a good response rate for a survey of this type, given that many members of the RSD PP work in countries where UNHCR primarily exercises "mandate RSD" and may therefore have limited involvement in asylum capacity development.

The survey was divided into two halves, for those able to spend more or less time answering the survey questions, with 20 questions in total. 114 respondents (60% of the total) completed Part 1.<sup>1</sup> 80 (42% of the original participants and 70% of the 114 who reached the end of Part 1) continued to Part 2, with almost all (76) reaching the last question.

Where respondents were asked to indicate their level of agreement with various pre-set statements, their rankings were summed across the three language versions. The percentage agreements used in the report were then generated from these rankings.<sup>2,3</sup>

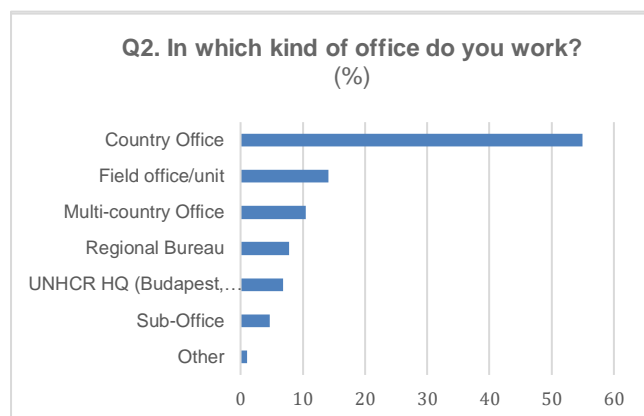
The results were reviewed for any significant differences of response by region, by job grade and by length of service. As discussed below under 'Rankings of UNHCR performance in aspects of ACD', there are significant differences in agreement scores between professional (P) and general (G) staff and a few variations in responses by region. These are minor compared with the grade-based differences (and may overlap with them). Some caution is required in considering variations by region for questions from Part 2 of the survey, given the small number of responses from some regions.

<sup>1</sup> Participation in the survey fell off at the first page where the questions required textual comments to be entered.

<sup>2</sup> As follows: For a four-point scale, Disagree=0%, Slightly disagree=33%, Slightly agree=66%, Agree=100% (and for a three-point scale, Low priority=0%, Medium priority=50%, High priority=100%.) In the four-point scale, a score of 50% is equivalent to 'neither agree nor disagree', which was not an option in the survey.

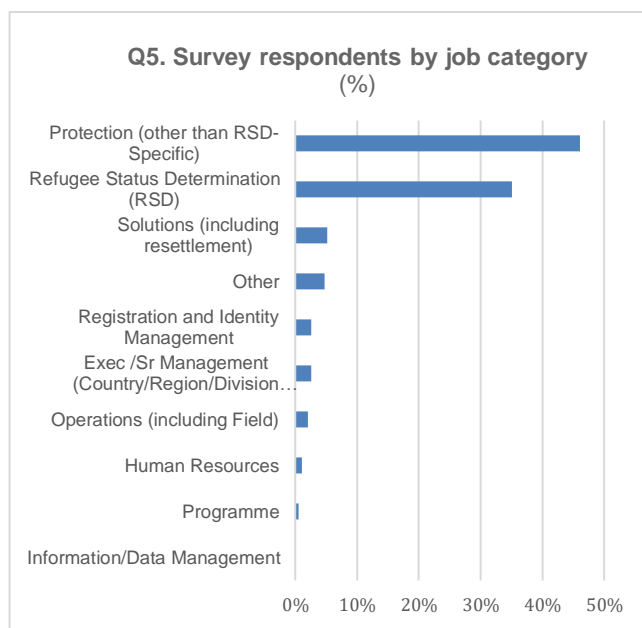
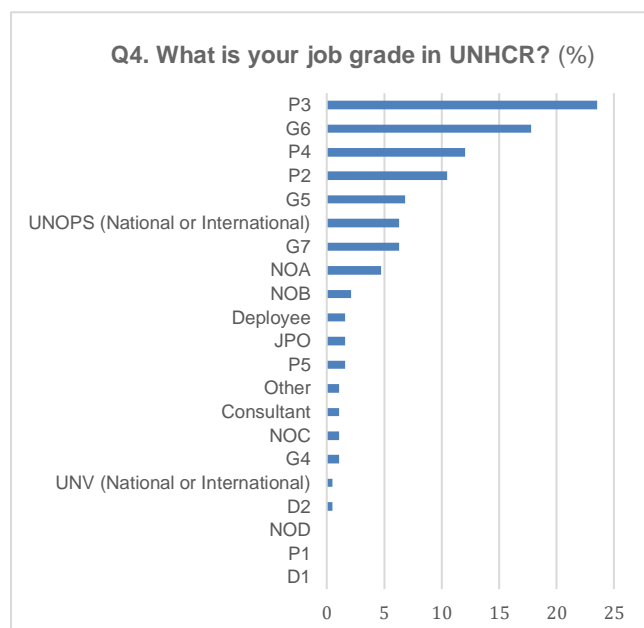
<sup>3</sup> Text with quote marks " " is taken directly from the survey responses. Square brackets [ ] mark clarifying text added by the author.

## Profile of survey respondents

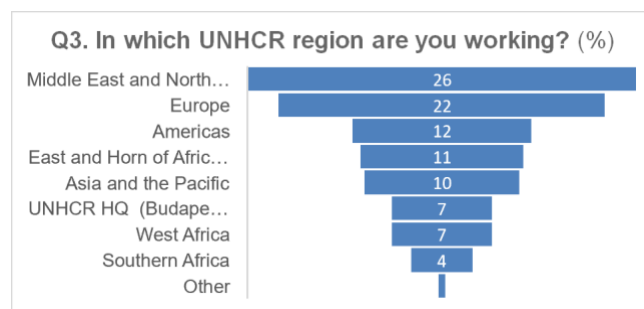


There was a broad range of length of service across the 191 respondents, with a regular distribution curve and an average of approximately ten years' service with UNHCR. Respondents from HQ had a somewhat higher average length of service and those from the Americas slightly less than the average. 55% of respondents were Country Office-based, with 69% of all

respondents based in either FO, CO or MCO. Almost half of all respondents came from MENA and Europe regions, where UNHCR has had relatively little ACD activity since 2015. Other regions were less well represented, especially West and Southern Africa. Mid-grade roles were the most common, with P3 and G6 grades together making up 42% of the total. There were two responses from D2s and none from D1s. Given the subject matter and the membership of the RSD PP mailing list, protection officers predominated, with RSD officers making up 35% of respondents, and protection officers (other than RSD) a further 46%, or 81% in total from Protection. Only 3% were from Registration and Identity Management.



In terms of regional variation, respondents from Europe provided more positive ranking scores than from other regions for almost all ranking questions, and those from West Africa were more positive than average for many.



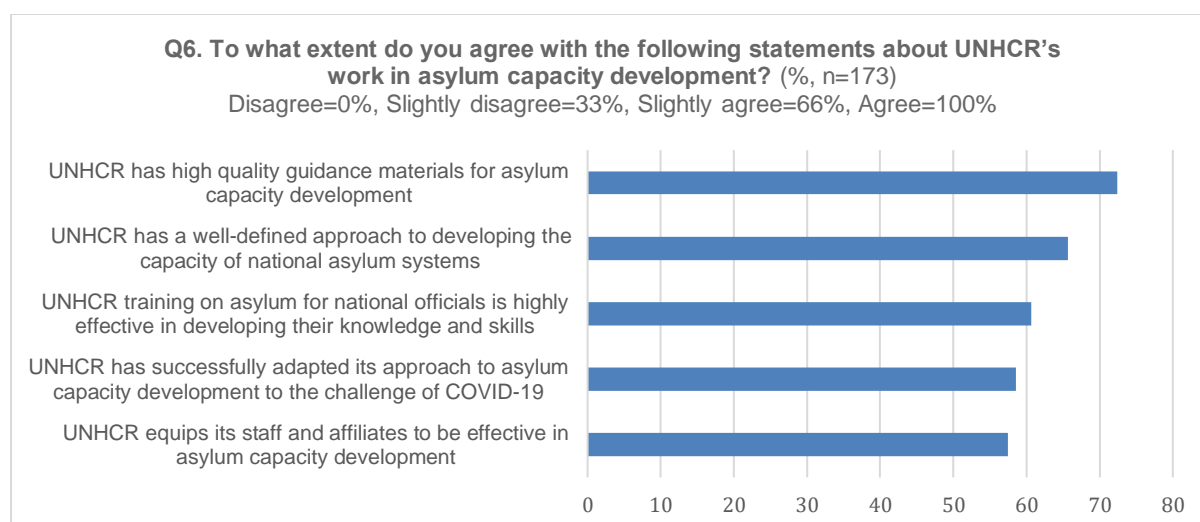
## General characteristics of the survey responses

Given that just over 80% of respondents are protection officers, the survey represents, to some degree, a self-assessment of UNHCR's performance in ACD. UNHCR performance tends to be rated positively overall in the ranking questions, while respondents tended to use the comments sections to highlight their concerns (which is typical for such surveys).

Across all respondents, there is less divergence of view rankings between statements than is typical for such surveys. The relative rankings are as important as the ranking scores themselves, i.e. what the respondents consider more or less important. In the four sets of questions that can be regarded in some sense as a self-assessment, there is no more than a ten-percentage-point difference between the ranked statements in each set, and statements rarely go above an average of Slightly Agree or below the mid-point between Slightly Agree and Slightly Disagree. This makes the comments added after each block of statements all the more important for gauging respondents' underlying perceptions.

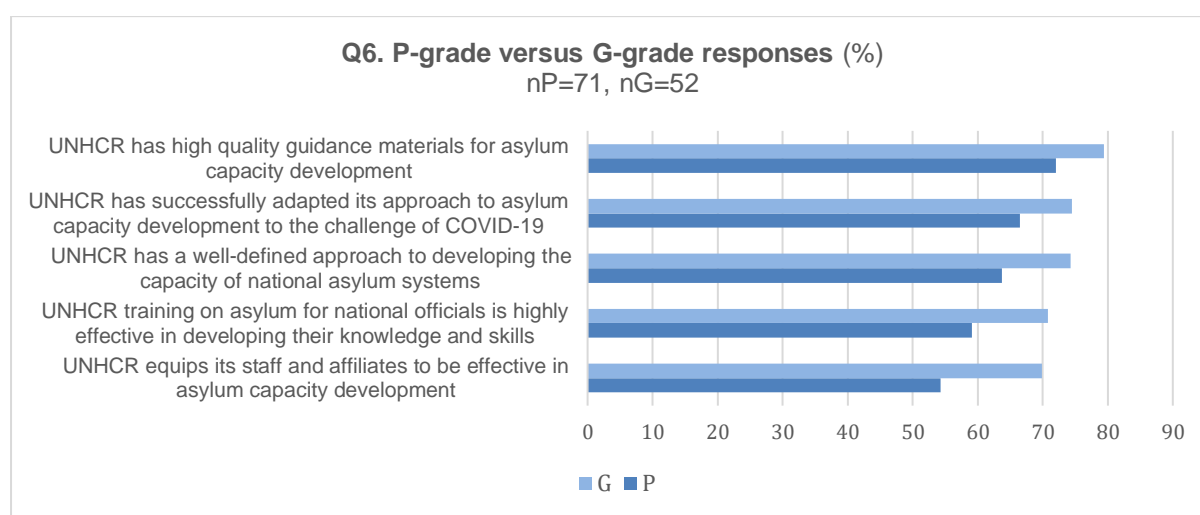
## Rankings of UNHCR performance in aspects of ACD

The survey includes two blocks of ranking statements related to UNHCR performance in ACD, asking "To what extent do you agree with the following statements about UNHCR's work in ACD?"



Respondents were relatively positive (72%) that UNHCR has high-quality guidance materials for ACD, and that UNHCR has a well-defined approach to ACD (66%). Guidance materials, especially tools, are said to be of good quality, regularly updated, and better organised and more accessible than previously. The recent webinars on RSD are appreciated. These materials are seen as covering RSD standards and procedures in a much better way than their coverage of capacity development.

Overall, G-staff were significantly more positive than P-staff in their assessments. The chart below shows agreement percentages summed across grades P2–P5 compared with scores summed across G4–G7:



For all the statements, P-staff were in less agreement than G-staff. P-staff were ambivalent towards the statements “UNHCR equips its staff and affiliates to be effective in asylum capacity development” (59% overall and 52% for P-staff with 2–5 years’ service) and “UNHCR training on asylum for national officials is highly effective in developing their knowledge and skills” (54%). For all the statements in Q6, the level of agreement declined with length of service by 18%–25% from shortest to longest service (apart from “well-defined approach”, for which scores were more even across length of service).

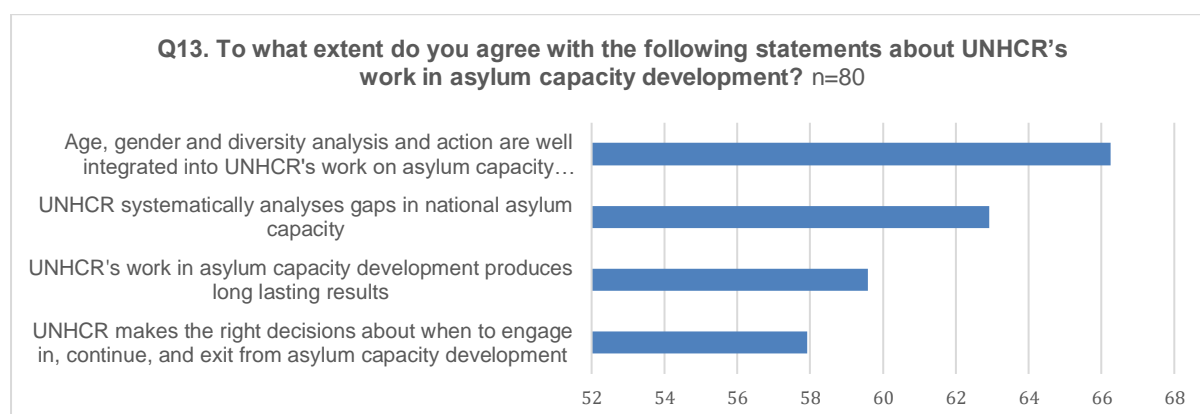
In the accompanying comments, there was concern about the inconsistent application of approaches to ACD across country operations. Various factors are cited: protection officers are left to get on without sufficient advice, there are not enough protection staff with the appropriate skills for ACD, a standard approach to quality improvement is missing, and COs tend to reinvent the wheel. Offices are left to share information between themselves. Some wanted to see more information sharing between offices. Several respondents recognise that each context needs specific initiatives tailored to the context, but there is concern that there is too much variation between operations. In countries with more highly developed asylum systems, UNHCR needs tools that are “ahead of the curve”; to add value, not “quality but old-fashioned”.

Overall, respondents slightly agreed (61%) that training on asylum for national officials is highly effective. Several commentators point out that training national officials is a wasted investment when there is no/limited political commitment by the authorities to take ownership of the asylum system. Training to the required standards takes a long time but high staff turnover undermines ACD. The wrong officials may be selected/appointed by government, including those who might never become capable, so wasting resources.

Respondents had a more neutral response to UNHCR's performance in equipping staff and affiliates on ACD, especially P-staff. Some staff remarked that they (and UNHCR affiliates) have not received any training on asylum (see also Q16 below). Feedback on the quality of training materials is mixed, with some showing appreciation and others asking for these materials to be made more readily available, especially in .PPT format, and that national officials should have more access to UNHCR's online training on RSD. There were also some comments that training materials need to be higher quality and need to be simplified for non-lawyers.

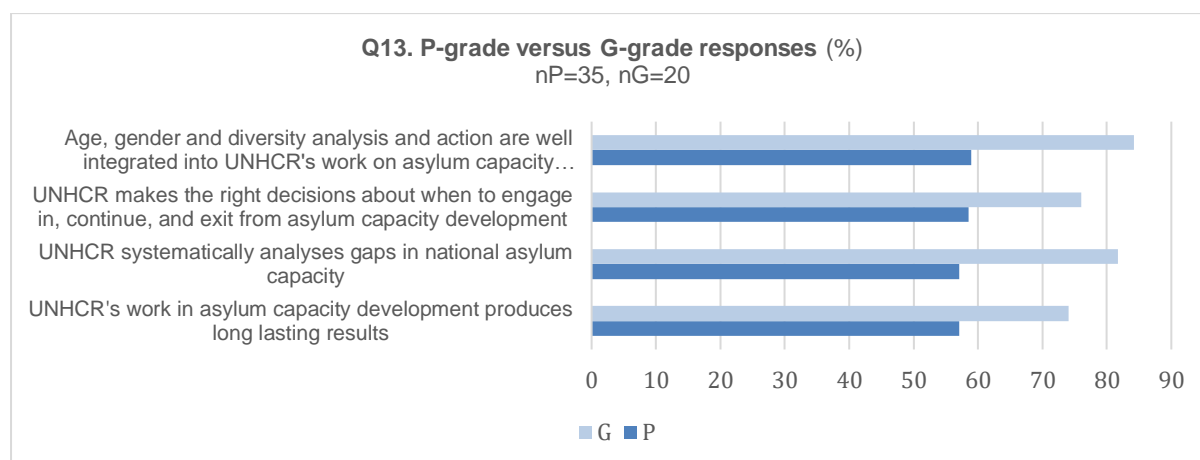
## COVID-19

On how successfully UNHCR has adapted its ACD approach to COVID-19, respondents gave a neutral score (59% agreement). This statement also received the highest 'don't know' score of any question or statement in the survey (20%), and no accompanying comments. Across the survey as a whole, there were very few comments concerning COVID-19, beyond the successful adoption of remote interviewing in Europe, and various mentions of constraints and delays imposed by the disease outbreak.



In response to Q13, there was slight agreement (66%) that AGD is well integrated into UNHCR's work on ACD; no other text comments were offered. The other statements received more comment, with the importance of government commitment again highlighted: "For me success entirely depends on the level of commitment and willingness of the government. It has simply not been a priority of the government here. In the meantime, UNHCR has been investing a lot of resources into it with little result." As with Q6, P-staff were significantly more cautious in agreeing with the statements than G-staff. All P-staff agreement scores range from 57%–59%, slightly above the agree/disagree boundary

(50%), while G-staff agreement scores range from 74%–84% or higher for these four statements. By length of service, those with 5–10 years of service gave the lowest scores across the statements in Q13, and those with 0–2 years the highest.



The accompanying comments express concern that UNHCR does not always have a clear exit strategy: “I do not know any strategy on exit from asylum capacity development”; “I have witnessed ACD last way over a decade, so it really all comes down to decision-making and commitment, when to cut the cord.” When UNHCR exits from ACD, it should then continue its monitoring role, which is seen as a valued role by some (but not all) governments. As seen earlier in the survey, long-term commitment is seen as most likely to produce results, for example: “We see best results when we see sustained and continuous advocacy for a long period of time.”

For others, the achievement of long-term results is undermined by the lack of an accountability framework and “measurable indicators” for ACD: “There needs to be a more active role or instructions from DIP or the Bureau to ensure that individual operations are held accountable to the improvement of the asylum system”.

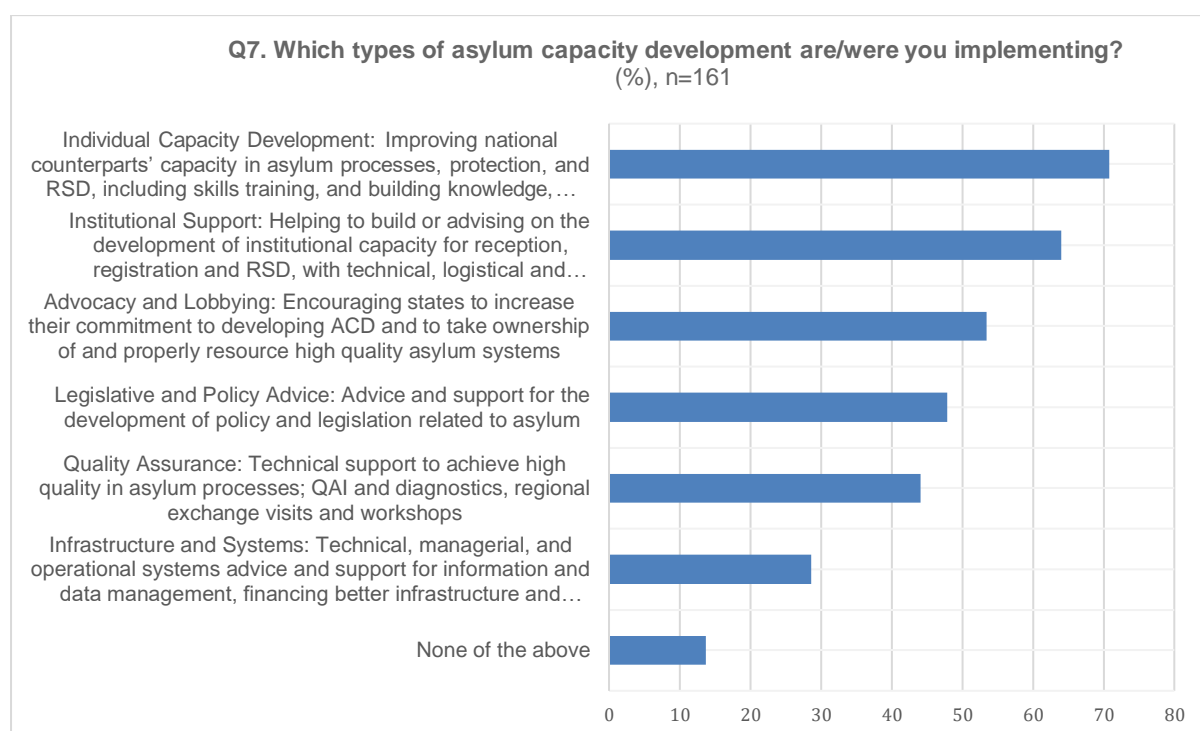
Some countries conduct capacity assessments of national asylum capacity, but there is a concern that such systematic analyses are not happening consistently. Staff engagement is important: “the analysis of gaps, needs and potential new areas ahead remains very much dependent on the initiative of individual staff members. Some are very driven and interested to think ahead, others less so”. In some cases, governments are resisting such assessments. A good needs assessment may be conducted but not then followed up. UNHCR stopping such assessments when it considers asylum systems to be high-quality was questioned.

## Staff engagement in ACD activities (current and past)

Respondents were asked to indicate all the types of ACD they are engaged in. On average, respondents are engaged in just over three. Two-thirds of respondents are engaged in individual capacity development and institutional support, while less than a third are involved in infrastructure



and systems development.<sup>4</sup> The accompanying comments refer to: on-the-job training and coaching of immigration and other officials and the development of training courses and materials; observing/working with national commissions, commenting on eligibility decisions, and support to appeals bodies; drafting of national rules and procedures; preparation for the transfer of RSD responsibilities from UNHCR to national institutions; the development of tools and strategies; quality assurance; and the strengthening of reception facilities. The comments indicate a significant amount of effort going into planning, discussion, negotiation, and advocacy with national authorities.



## Most and least successful ACD activities

The survey included questions on respondents' perceptions of the most and least successful UNHCR ACD activities. (The responses were in free text, without ranking tables.) The most frequent responses to "In which asylum capacity development activities has UNHCR been *most successful*?" were as follows, in descending order by number of mentions:

- Individual capacity development, including development and delivery of training, workshops and on-the-job training (59 occurrences)
- Institutional support, including salaries, workflows, and tools (38)

<sup>4</sup> At least some of the 14% recording 'none of the above' work in offices where UNHCR does not carry out ACD.

- Legislative and policy advice, including development and adoption of asylum/refugee laws and guidance (34)
- Advocacy, lobbying and influencing (24)
- Quality assurance (23)
- Infrastructure and Systems, including office space, managerial advice, information management and proGres v4 (19)
- None, don't know, and N/A (10)

Individual capacity development was by far the most frequently mentioned as a successful ACD activity. Other achievements cited included the ACSG mechanism, compilation of COI data, embedding of basic protection principles, UNHCR's internal RSD Practitioners platform, joint individual case review, litigation in higher courts, and successful transfer of ownership.

The most frequent responses to "In which asylum capacity development activities has UNHCR been *least successful*?" were:

- Advocacy, lobbying, and influencing (30 occurrences)
- Legislative and policy advice (24)
- Infrastructure and systems (22)
- Quality assurance (19)
- Individual capacity development (12)
- Institutional support (11)
- N/A, don't know and N/A (8)

The most common concern was over various shortcomings in UNHCR's ability to influence authorities to take up their responsibilities for asylum. The difficulties of working with national commissions was raised [here and elsewhere in the survey]. In some cases, advocacy for a fully functional appeals committees and courts has not been successful. Pushing for national commissions has not always been successful as they have become "highly politicised when deciding the cases instead of focusing on the merits of the case".

UNHCR has not always been successful in seeing that asylum-seeker/migrant rights are respected. Examples include not being able to ensure access to territory, not being able to "ensure that asylum

systems are actually working properly”, not being able to get national authorities to meet their responsibilities “toward providing a proper asylum space”, difficulties “with LGBT rights, gender-related persecution”, not being able to “reduce the detention of PoCs”, and struggles with the “management of large flows of migrants and refugees [...] and the management of backlogs”. One respondent commented that UNHCR had shown “laxity towards the corruption of state agents”.

On ACD processes, UNHCR was said not to have been successful by not achieving “comprehensive approaches to the system that allow a gradual and complementary approach to existing problems”, and not “moving from paying for capacity-building to government taking over costs over time”.

## The most important change UNHCR needs to make in ACD

The core survey question “What is the most important change UNHCR needs to make for its work on asylum capacity development to become more effective and sustainable?” elicited a wide range of observations and recommendations, covering political, managerial, strategic and technical themes.

Many of the comments note (here and elsewhere) that the political will of governments is the most important factor in determining progress in ACD. Some comments note that UNHCR often has limited influence over the level of government commitment and that UNHCR needs to recognise that where there is limited protection space, this is unlikely to change as long as there is limited government commitment to a developing the asylum system. There is no consensus, however, on the extent to which this should be either accepted or tackled. There are several calls for more “meaningful engagement” with governments “rather than being complacent that we are doing all the work as a mandate operation”.

A number of comments remark that UNHCR protection officers, who are acknowledged to have high-level technical knowledge of asylum processes, may not have the skills to lead UNHCR’s support to the capacity development of national institutions. There are a number of critical comments directed towards UNHCR managers, and a stronger role in ACD is envisaged for them: “Management and higher level need to be less driven by politics and take protection gaps seriously, regardless of the country where it is taking place”; “Leadership and senior managers need to recognise that this is their actual role [...] this part of the job is more challenging, [so] they take the route of working internally on SOPs, operational issues, and close themselves as senior managers to their true roles.” There is a need for “strict oversight mechanisms for staff at senior levels”. Various comments highlight the need for UNHCR leadership to address, rather than accept, the underperformance of asylum institutions, where there is slow or poor-quality decision-making on asylum cases.

A related theme is the need for UNHCR to take a more intentional approach to setting an agenda with governments for the development of national asylum systems. Long-lasting results have been achieved “where UNHCR investment/efforts of ACD were met by commensurate levels of investment/buy-in by the national authorities”. The process needs “proper buy-in from governments

who don't just use UNHCR cash to sustain their budgets". UNHCR should be stronger in negotiation and "demand more from [state] RSD organs when UNHCR offers funding" and "make funding conditional on results".

Some respondents want to see greater advocacy, with UNHCR being both stronger and smarter in its advocacy, starting from the defence of human rights. There are calls for UNHCR to review how it exercises its supervisory role: "The issue of national authorities claiming that UNHCR has no right to tell a Sovereign state what to do leaves national international obligations in jeopardy"; "UNHCR should be more serious about the governments' motivation or willingness to take over the protection of the PoCs to avoid causing harm." Others want UNHCR to be more "realistic" in its advocacy with states, for example by recognising that "UNHCR's implementation of asylum capacity development is more often than not constrained by the political limitations/challenges of the countries it operates in" and "explor[ing] how the asylum space is constrained [by the] national political outlook, rather than international obligations ratifications".

For ACD, UNHCR needs "comprehensive strategies with clear objectives", and needs to develop an "adaptable guide" to ACD that explains "UNHCR's strategic approach to ACD". A systematic approach is needed "based on analysis and understanding of the problem", with "creativity and networked approaches", and where UNHCR has shared understanding that ACD is "not about channelling assistance to the government and addressing cases as they appear". Clearer, more deliberate ACD plans agreed with government are needed, with performance indicators. Motivating change is not helped by UNHCR having "limited guidance on how to do this, as UNHCR is more focused on the technical aspect" and it becomes still harder to achieve where there have been "years of capacity development with little improvement", or "premature handover".

For sustainability, asylum institutions need to become part of government: "Embed national refugee management within government structures and financing"; and UNHCR needs to harness a wider set of stakeholders to exert influence: "link up with more actors for more joint advocacy and political pressure from higher levels". The goal should be sustainable government-funded asylum institutions that are "not reliant upon the unpredictable annual programme budgets of UNHCR", with government staff on government (i.e. not UNHCR) contracts.

UNHCR is also seen as needing to take a stronger role in addressing asylum challenges in developed countries, where "UNHCR has a lot less to offer". For example, in Europe UNHCR has to recognise there are other "players" in this field and work with them, while recognising the competition from EU, EASO and IOM. "We are not the only holder of truth any more [...] asylum officials are highly educated". At the same time, "UNHCR needs to push back more heavily against trends of outsourcing asylum, push-backs, third-country processing (...a thinly-veiled attempt for richer countries to abrogate their responsibilities)".

Respondents proposed a wide range of practical improvements at the technical level. The most frequent were more reliable resources (human and financial) for ACD, a “well-equipped repository of guidance materials” (some consider this already exists), “interoperable tools that are locally customisable”, technical support, quality assurance processes, exchange visits and workshops. Best practice needs to be shared between country operations. A few commented on the need for more rapid response to “emerging needs to policy and legal advice”, as UNHCR can be too slow to react.

## Improving UNHCR’s approach and guidance for ACD

In response to the question “How could UNHCR improve its internal guidance to become more effective in developing the capacity of national asylum systems?”, a minority of respondents focused on further training for national officials and more training to increase UNHCR skills levels, for example: “Encourage continuous training on asylum issues and jurisprudential development”, and “Ensuring colleagues are capacitated to support and guide national institutions”. As before, there is a need for more exchange of learning between countries (via workshops and annual retreats).

For the majority, the desired improvements of approach are not technical but political and strategic. Across this set of remarks, improving engagement with the director and senior policy level in national counterparts is seen to be very important. There is a need to gain trust from national authorities, to lobby and have more open dialogue with them about ACD. UNHCR should exercise its supervisory role efficiently and convince national authorities to have a more open debate about these shortcomings in the national asylum system. For some, this requires a more structured approach and strategic way of identifying and agreeing gaps that need to be addressed. UNHCR needs to be more deliberate, with “an office-wide strategy [that] requires an office-wide response”. The end goal is ownership by the authorities of asylum-seekers’ rights within the territory. Some want to see a multi-year capacity development plan as one of the outputs of this stronger process of dialogue. Some doubt that current UNHCR (country-level) leadership is well equipped for this.

A secondary but important issue in the remarks is improved guidance for ACD within UNHCR. The organisation needs to make it clear what ACD involves and provide comprehensive guidance “that starts with advocacy, and covers all aspects of handover of RSD process to governments”. There is a need for more ACD expertise within UNHCR. For some, this means more specialised staff in UNHCR and more training, while for others the priorities are to “engage other actors interested in development of asylum systems” and/or a register of external experts.

There is also a desire to see more evidence collected on what works in ACD, studying the actual outcomes of asylum systems, not just processes, with a feedback system to those implementing the systems. “Look seriously at how asylum systems in practice work out rather than relying on report/mission reports”, and test whether resources invested in national eligibility committee/commissions yield tangible outcomes. Part of UNHCR’s agreement on capacity development with the authorities should include “an impact assessment and monitoring framework”.

## Good practice in ACD

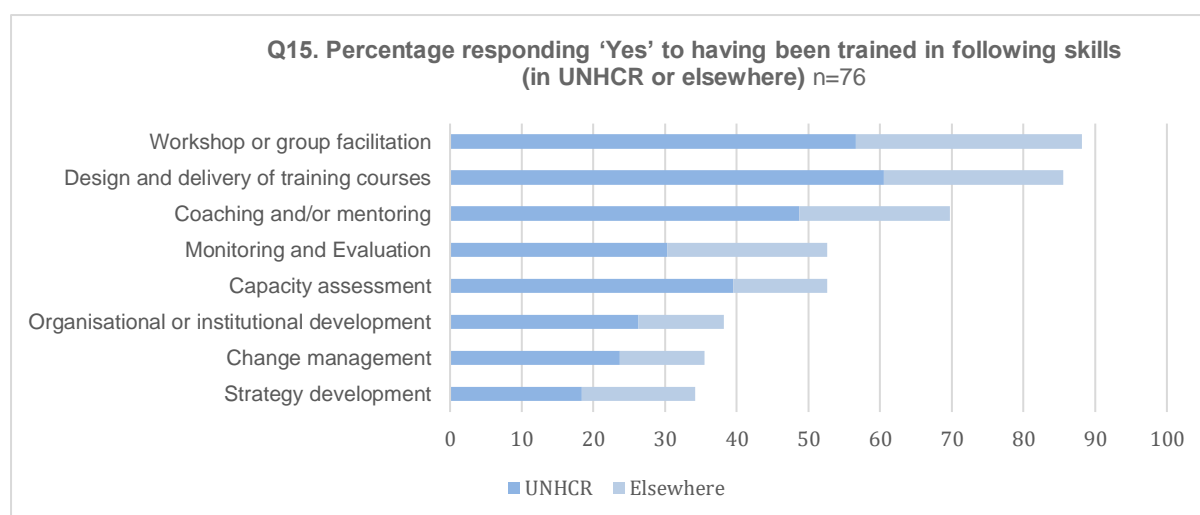
Many of the responses to the question “Please describe briefly a good practice example of UNHCR developing national asylum capacity you have observed (in your current or another location)” were generic and were not specific about the country and time period concerned. Some referred generally to there having been many improvements, while a few reported that they could not think of any good practices in ACD.

Other responses were more specific. Generalising across the good practice cited, the most frequent themes were:

- Training for RSD officers, case workers, judges, reception centre managers and others, that has led to better quality decision-making and outcomes in RSD
- On-the-job training is cited by many as a key to individual performance improvement (more so than training courses)
- Exchange visits and secondments, including governments of countries with more developed asylum systems working directly with governments of countries requesting support (mediated by UNHCR)
- Joint working and regular meetings between UNHCR and national authorities is mentioned several times as good practice, related to joint interviewing, participation in eligibility commissions, joint individual case management, joint monitoring, a joint processing centre, and joint planning and identification of capacity development needs
- Examples cited of UNHCR having been successful in its advocacy with governments include stopping deportations, accepting asylum claims from populations which would otherwise have been excluded, and agreeing to adopt new refugee legislation
- Quality assurance initiatives in South America and Europe/Caucasus are seen to have been very effective in improving legislation, standards, and the effectiveness of asylum systems
- Supporting governments in their drafting of national asylum legalisation and associated frameworks and procedures

## Survey respondents' skills related to ACD

Respondents were asked to indicate whether they had received training<sup>5</sup> in various skills – first those not specific to ACD but relevant to capacity development (Q15) and then those that are ACD-specific (Q16), either while at UNHCR or elsewhere. The results for Q15 are shown below.



Over 80% of respondents reported having been trained in workshop or group facilitation or in the design and delivery of training courses, with 70% trained in coaching and mentoring. Just over half had some training in monitoring and evaluation and in capacity assessment. Fewer respondents – just over a third – have had training in organisational development, change management and strategy development (38%, 36% and 34% respectively).<sup>6</sup> Overall, a higher proportion of respondents from Asia Pacific had more training than those from other regions.

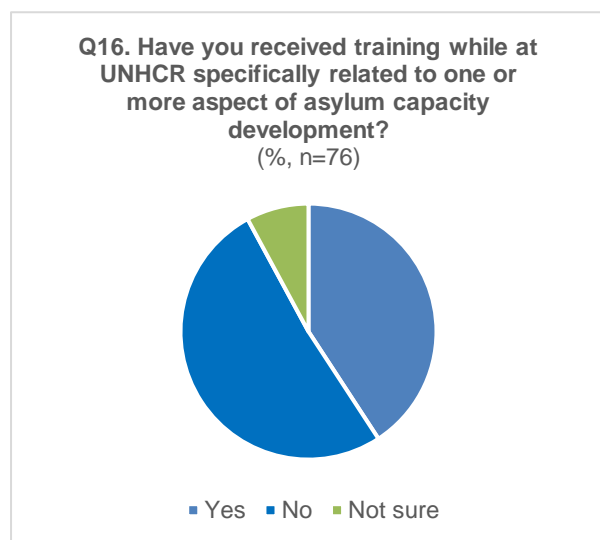
Generally, the longer the period of service, the more training staff had received, as might be expected, but for organisational or institutional development and for strategy development the trend is reversed, in that those with the longest service have had the least training (for OID, 50% of those with 10–15 years' service had received no training, and 66% for >15 years' service; for training in strategy development, 60% for 10–15 years and 66% for >15 years had no training). P-staff with 5 years or less service who responded have had little training from UNHCR in the subjects listed.

In the (relatively few) accompanying comments, respondents pointed out how much they had learned on the job and from each other: "I have developed my skills via on-the-job training, watching others and doing research on my own." However, there is also need for more training: "There should be

<sup>5</sup> While not specified, from the accompanying comments a majority seem to have interpreted this to refer to formal training, and a smaller number to self-study.

<sup>6</sup> It was a limitation of the survey that respondents indicating they had been trained in a skill could not indicate that they had been trained both at UNHCR and elsewhere.

much more training and experience-sharing [...] It is amazing how UNHCR can work with so little investment in training its staff: “more standard training for all colleagues, whether conducting RSD or not, is needed”, and “more opportunities to undertake training in certain areas or learn from colleagues with expertise would be useful”. UNHCR needs more staff dedicated to ACD: “UNHCR needs to invest in one fully dedicated staff to accomplish this work” [taken to mean one staff member in each CO active in ACD].

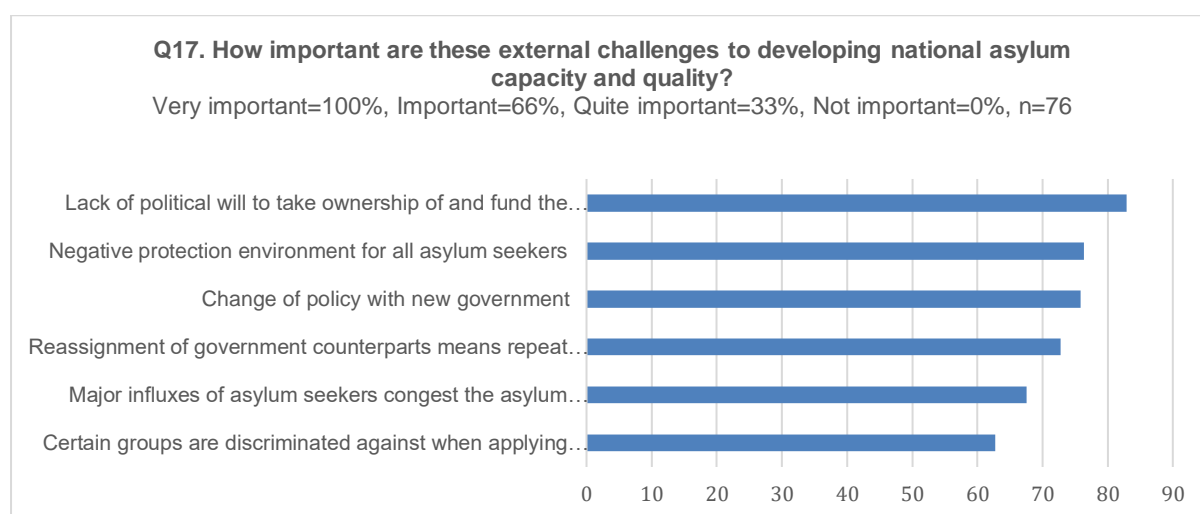


In response to Q16, 41% of respondents indicated that they have received training on one or more aspect of ACD while at UNHCR, while 51% have not. The courses most mentioned were the RSD learning programme, general protection training, facilitation of learning, interview techniques, and training of trainers. As with Q15, some referenced their learning through on-the-job learning, peer learning and self-study. For all three Africa regions, 60% or more of respondents recorded having been trained in one or more aspects of ACD. By contrast, no

respondents from Middle East and North Africa region reported receiving training in one or more aspects of ACD.

## External challenges to ACD

Respondents were asked to rank the importance of a pre-selected set of external challenges: “How important are the following external challenges to developing national asylum capacity and quality?”



With the highest score for any of the ranked statements in the survey, the main external challenge is seen to be the “lack of political will [of governments] to take ownership of, and fund, the asylum



process” (83% importance), followed by the “negative protection environment” and “reassignment of government counterparts” (both 76%). Major influxes of asylum-seekers and discrimination against certain groups are relatively less important, though still quite important. The accompanying comments overwhelmingly focus on governments’ lack of political will. Governments expect UNHCR to “continue investing 100%”. UNHCR and government may together fail to define and fund multi-year outcomes and “counterpart’s performance indicators do not include indicators relating to the quality of procedures”.

Respondents added challenges not listed as options in the survey question, including negative public opinion (of asylum), and politicians’ fear of going against it, as a further constraint: “Politicians worry that they will be committing political suicide if they offer benefits to asylum-seekers and refugees.” Others mention poor security and the lack of an efficient reception system.

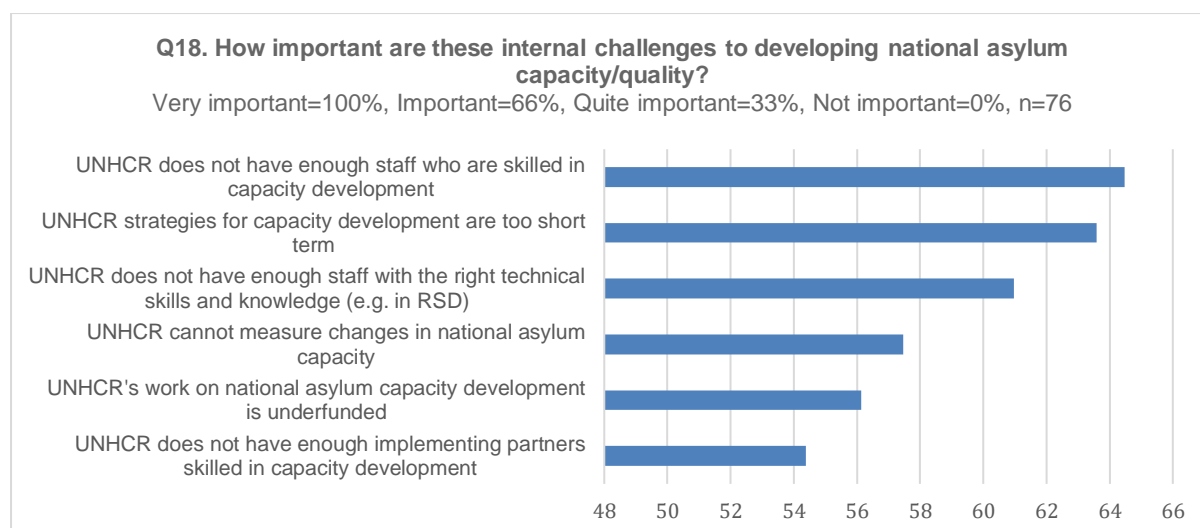
## Internal challenges to ACD

Question 18 asked for a ranking of pre-selected internal challenges: “How important are the following internal challenges to developing national asylum capacity and quality?” – with the results shown below. (Q18 had a relatively high number of ‘don’t knows’ compared with other opinion- based survey questions.)

From the internal challenges included in the question, the three ranked most important were:

- UNHCR does not have enough staff who are skilled in capacity development (64%)
- UNHCR strategies for capacity development are too short-term (64%)
- UNHCR does not have enough staff with the right technical skills and knowledge, e.g. in RSD (61%)

Other internal challenges concerning measurement of capacity, underfunding, and implementing partners were ranked slightly lower in importance.

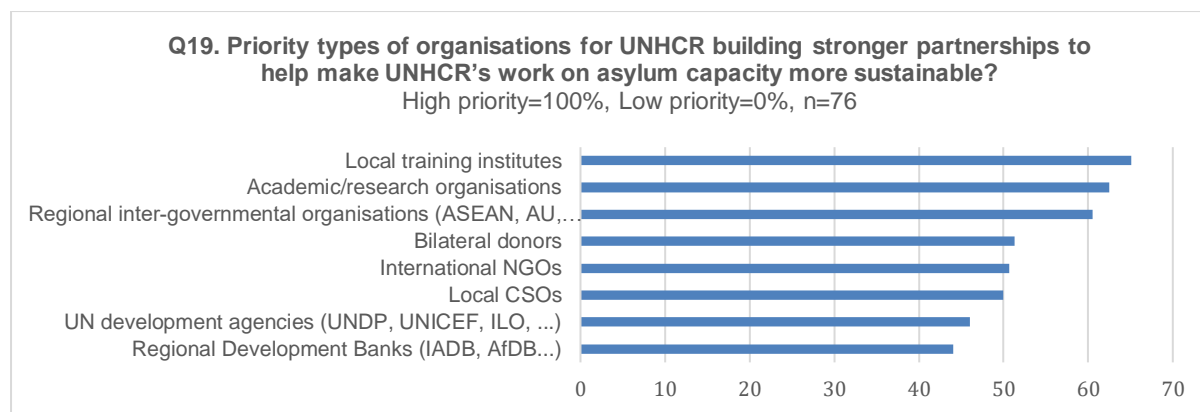


The accompanying comments highlighted the shortage of skilled staff in UNHCR and (mentioned less often) in government. The following comments are representative: “Lack of recognition of this [ACD] specialised skill and thus the lack of sufficient staffing in this area with the capacity and skills to do this type of work”; “UNHCR does not have enough staff who are skilled in capacity development”; “UNHCR does not have enough staff with the right technical skills and knowledge in RSD”. UNHCR work on ACD is seen as underfunded and not prioritised in the budget (understood to be UNHCR’s budget, though not always specified).

A subsidiary theme is the role of partners in ACD. The lack of implementing partners skilled in capacity development was the lowest-ranked of the challenges presented (though, at 54%, still moderately important). Respondents take different approaches to partners’ involvement in ACD. On one hand, partners should not be involved: “This should not be let on implementing partners’ hands. This is core UNHCR mandate.” On the other hand, the lack of partner engagement in ACD may contribute to their lack of capacity: “implementing partners are not allowed into this part of the capacity-building, so they lack skills”. Either UNHCR equips itself for ACD or it should engage others: “Put in place the development of asylum capacity by the organisation itself or outsource the work.”

## Building stronger partnerships for ACD

Organisations deemed most important as potential future partners for ACD were local training institutes, academic/research organisations, and regional intergovernmental organisations.



Local training institutes and academic organisations are both seen as sources of sustainable training capacity (with some comments that these may themselves have weak capacity and be subject to political interference from government, depending on the country context). Regional intergovernmental organisations are seen as sources of (1) standards and expertise and (2) political influence, along with bilateral donors and the World Bank who can “put pressure on governments for policy change and implementation”. Local NGOs are mentioned severally in the comments as potential partners. Other options for partnerships not included in the question were “the main partners should be states helping other states”, and “government institutions beyond asylum authorities to integrate asylum issues into public policies”.

## Final comments

A few respondents expressed their appreciation that the survey was taking place and that staff were being consulted. For some, UNHCR already has a lot of experience in ACD and does not need to “reinvent the wheel”. Other proposals are more radical. In summary:

- Good practice examples need to be collected together to show UNHCR and government partners what is possible
- UNHCR needs to keep up the momentum of training and “training of trainers” for government officials and for staff (given that UNHCR does not have enough skilled personnel in this area and there is high turnover)
- A more reliable financing mechanism is needed for ACD
- A more standardised approach to ACD is required
- UNHCR needs to advocate for and stand up for human rights and refugee law. “The right to asylum is a fundamental right that states must respect. It is not an optional right”
- Pay more attention to language (as part of staff selection/deployment)

- UNHCR needs to balance (1) being an institutional partner to government without ‘bending the rules’ with (2) being less dogmatic and more flexible in its application of guidance. Given that some developing countries have no political will to have any (or no effective) asylum system, there is no point in focusing on purely human rights aspects: “We have to link ACD with other economic and political dimensions [in order to gain traction]”
- UNHCR needs to increase the speed of registration
- Funding should be tied to government commitment and progress in ACD
- ACD needs a “proactive treatment of relevant risks in UNHCR’s strategic risk register”
- UNHCR needs to respond to changes in the environment, in particular “address the increasingly diverse causes of forced migration, which will not fit in the narrow constraints of the 1951 Convention definition”
- UNHCR should put more effort into working with other stakeholders to achieve “sustainable partnerships” for ACD, including local authorities, CBOs, women’s groups, civil rights groups and more actors across government (not just the traditional counterparts)
- The locus of responsibility for making agreements with government on ACD may need to change: “UNHCR’s work in asylum capacity cannot be left at the discretion of reps and staff at country level in PPA negotiation”. Perhaps for this reason “Regional Bureaux need to have a well-staffed legal and policy team”. In the same vein, questions are asked about the progress of the ACSG and the need to understand “why we could not generate more promises of aid”

## Annex 8 Details of outcomes and outputs used in ACD expenditure estimates

### A wider view of ACD expenditure

The wider basket of costs related to those with objectives under which it can reasonably be considered that ACD activities would fall, accepting that these objectives will also include transactions with no direct relevance to capacity development. From UNHCR's Results Framework, the expenditure on the following objectives has been taken as an approximation of the spending on ACD:

#### Under **Rights Group – Favourable Protection Environment**

- International and regional instruments acceded to, ratified or strengthened
- Law and policy developed or strengthened
- Administrative institutions and practice developed or strengthened
- Access to legal assistance and legal remedies improved
- Access to the territory improved and risk of refoulement reduced

#### Under **Rights Group – Fair Protection Processes and Documentation**

- Quality of registration and profiling improved or maintained (may include UNHCR registration as well as government)
- Access to and quality of status determination procedures improved

UNHCR has no defined set of outputs from the UNHCR Results Framework that comprise asylum capacity development. Therefore it is not possible to derive accurate figures for ACD expenditure. The evaluation team developed two different approximations of expenditure on ACD in countries with national asylum systems, neither of them accurate. One is a broader estimate using expenditure on UNHCR objectives under which it can reasonably be expected that ACD expenditure will fall, while accepting that this will also capture some transactions that are not related to ACD. A second, more narrowly defined estimate of ACD costs includes spending only under output codes that describe themselves as capacity development or capacity-building. It is likely that there are ACD costs that are

not captured by this narrower estimate.<sup>7</sup>Table 8 provides an overview of the wider measure of ACD expenditure.

Table 8: ACD expenditure – wider measure

Wider measure of ACD expenditure – ACD-related objectives						
UNHCR Results Framework Objective	Philippines	United Kingdom	Morocco	South Africa MCO	Costa Rica	Niger
Access to legal assistance and legal remedies improved	50,761	200,073	73	4,449,497	2,561,686	2,847,645
Access to the territory improved and risk of refoulement reduced		1,261,807	1,338,029	549,217	1,866,862	2,397,061
Administrative institutions and practice developed or strengthened	1,423,247		1,258,049	2,537,058	36,484	1,733,330
International and regional instruments acceded to, ratified or strengthened	234,263			44,955	-	-
Law and policy developed or strengthened	1,238,839	2,270,771	358,850	5,847,592	278,275	1,127,785
Quality of registration and profiling improved or maintained (may include UNHCR registration as well as government)	129,784		210,678	1,357,331	1,098,512	10,177,172
Access to and quality of status determination procedures improved	285,500	1,876,358	1,539,372	6,911,234	4,522,328	4,874,245
<b>Total</b>	<b>3,362,393</b>	<b>5,609,009</b>	<b>4,705,052</b>	<b>21,696,884</b>	<b>10,364,147</b>	<b>23,157,238</b>

## A narrower view of ACD expenditure

The second, narrow basket of possible ACD costs includes only those outputs with descriptions that carry an explicitly capacity development (or capacity-building) intent falling under the objectives listed above. The selected outputs are presented below in Table 9.

<sup>7</sup> Both estimates are presented in the tables below. Greater accuracy could be achieved only by an analysis of transactions at the country operation level.

Table 9: ACD Expenditure – narrow basket

Objective Description	Output	Output Description
Intl. and regional instruments	110AC	Capacity development supported
Law and Policy developed or st	111AC	Capacity development supported
Admin. Insts. & Practice	112AA	Capacity-building undertaken
Access to Legal Assistance and	113AD	Capacity development supported
Access to the Territory Improv	114AB	Capacity development supported
Quality of registration and p	212AA	Capacity development supported
Status determination	213AC	Capacity development supported

Table 10 presents the expenditure related to the narrow basket in the country case studies.

Table 10: ACD Expenditure – narrow basket: country case studies

Related Objective	Output Code	Philippine s	United Kingdom	Morocco	South Africa MCO	Costa Rica	Niger
International and regional instruments acceded to, ratified or strengthened	110AC – Capacity Development	33			10,868		50
Law and policy developed or strengthened	111AC – Capacity Development	469,476	237,940	358,850	3,140,898	207,672	659,468
Administrative institutions and practice developed or strengthened	112AA – Capacity Development	1,342,507		1,192,292	1,282,896	36,484	1,118,730
Access to legal assistance and legal remedies improved	113AD – Capacity Development		57,135		230,354	105,815	105,134
Access to the territory improved and risk of refoulement reduced	114AB – Capacity Development			109,315		19,146	817,171
Quality of registration and profiling improved or maintained (may include UNHCR registration as well as government)	212AA – Capacity Development				470,367		305,128

Access to and quality of status determination procedures improved	213AC – Capacity Development	187,944	137,007	39,092	2,047,349	3,657,370	902,160
	<b>Total</b>	<b>1,999,960</b>	<b>432,082</b>	<b>1,699,549</b>	<b>7,182,732</b>	<b>4,026,487</b>	<b>3,907,841</b>

Table 11 shows an extract from the UNHCR Results Framework, highlighting outputs falling under the objectives that are probably not related to ACD but which cannot be separated from the totals for the outputs.

Table 11: UNHCR's Results Framework

Costs probably not related to ACD are highlighted			
Objective	Impact Indicator/ Output	Impact Indicator/ Output Description	Performance Indicator
<b>Rights Group – Favourable Protection Environment</b>			
International and regional instruments acceded to, ratified or strengthened	Impact Indicator	<i>Extent State has taken steps to become party to the 1951 Convention relating to the Status of Refugees</i>	
		<i>Extent State has taken steps to become party to regional convention</i>	
		<i>Extent State has taken steps to become party to the 1954 Convention relating to the Status of Stateless Persons</i>	
		<i>Extent State has taken steps to become party to the 1961 Convention on the Reduction of Statelessness</i>	
	Output	Advocacy conducted	# of advocacy interventions made
			# of copies of promotional materials distributed
			# of events, workshops and seminars organised
			# of promotional materials translated
		Assessment and analysis undertaken	# of studies, assessments and analyses produced
		Capacity development supported	# events, workshops and seminars organised
			# of instances of expert and technical advice provided
			# of persons trained
		UNSPECIFIED OUTPUT - Intl. & Regional Instruments	Not applicable
Law and policy developed or strengthened	Impact Indicator	<i>Extent law and policy consistent with international standards relating to internal displacement</i>	
		<i>Extent law consistent with international standards on prevention of statelessness</i>	
		<i>Extent law consistent with international standards on protection of stateless persons</i>	
		<i>Extent law consistent with international standards relating to refugees</i>	
		<i>Extent migration law and policy contain protection safeguards</i>	
	Output	Advocacy conducted	# of advocacy interventions made
			# of advocacy interventions made for PoC inclusion in local, national and regional development plans



			# of events, workshops and seminars organised
		Assessment and analysis undertaken	# of studies, assessments and analyses produced
		Capacity development supported	# of instances of expert and technical advice provided
			# of copies of legal materials distributed
			# of events, workshops and seminars organised
			# of legal materials translated
			# of persons trained
			# of public or private universities that incorporate international refugee/statelessness law in the curriculum due to UNHCR advocacy
			Capacity support provided to government (yes/no)
			Involvement of national human rights institutions promoted (yes/no)
Administrative institutions and practice developed or strengthened	Impact Indicator	<b>Extent administrative practice consistent with applicable standards relating to internal displacement</b>	
		<b>Extent administrative practice provides effective protection</b>	
		<b>Extent UNHCR can exercise its supervisory responsibility</b>	
	Output	Advocacy conducted	# of advocacy interventions made
			# of events, workshops and seminars organised
		Assessment and analysis undertaken	# of studies, assessments and analyses produced
		Capacity development supported	# of events, workshops and seminars organised
			# of instances of technical or expert advice provided
			# of persons trained
			Capacity support provided to government (yes/no)
		UNSPECIFIED OUTPUT - Admin. Insts. & Practice	Not applicable
Access to legal assistance and legal remedies improved	Impact Indicator	<b>Extent persons of concern have access to legal assistance</b>	
		<b>Extent persons of concern have access to legal remedies in relation to status determination</b>	
		<b>Extent persons of concern have access to legal remedies in relation to their rights, including reparations of violations</b>	
	Output	Access of persons of concern to non-judicial mechanisms supported	# of PoCs supported to access alternative dispute mechanisms
			# of PoCs supported to access national human rights mechanisms
		Advocacy conducted	# of advocacy interventions made for access to national justice systems
			# of advocacy interventions made for access to national legal services
		Assessment and analysis undertaken	# of cases analysed
		Capacity development supported	# of adjudicators trained
			# of cases considered by mobile courts
			# of legal service provider staff trained
			Capacity support provided to legal service providers (yes/no)

Access to the territory improved and risk of refoulement reduced		Systematic and independent border monitoring established or conducted	# of border monitoring visits conducted and recorded
			Systematic and independent monitoring system established (yes/no)
		UNSPECIFIED OUTPUT - Access & Non-Refoulement	Not applicable
Rights Group – Fair Protection Processes and Documentation			
Quality of registration and profiling improved or maintained (may include UNHCR registration as well as government)	Impact Indicator	% of persons of concern for whom data disaggregated by sex, age, location and diversity is available	
		% of persons of concern registered on an individual basis	
		Average # of days from approach to individual registration	
	Output	Capacity development supported	# of government staff trained
			# of profiling staff trained
			% of registration staff who have received registration training
		Eligible cases identified and registered	# of eligible persons registered
		Information provided to persons of concern	# of PoC provided with information on registration procedures
		Outreach registration targeting dispersed population conducted	# of PoC registered through registration outreach methods
		Profiling of persons of concern planned and undertaken	# of partners involved in the profiling process
			% of PoCs for which age-disaggregated data is available
			% of PoCs for which sex-disaggregated data is available
			Profiling methodology defined and available (yes/no)

## Annex 9 Reference Group members

Table 12 outlines the composition and representation of the Reference Group for this evaluation.

Table 12: Composition and representation of Reference Group

Name	Role
Lori Bell (Co-Chair)	Head of Evaluation Service, UNHCR
Patrick Eba (Co-Chair)	Deputy Director (Policy and Law Service), DIP
Maurice Azonnankpo	Head of Sub-Office Diffa, Niger, UNHCR
Aurelia Balcells Marty	Quality Assurance Initiative (QAI) Consultant
Brian Barbour	Regional Refugee Protection Advisor, Act for Peace and Affiliate, Andrew & Renata Kaldor Centre for International Refugee Law, University of New South Wales (UNSW), Australia
Inna Borisevich	Protection Officer, UNHCR
Julien Boucher	Director, French Office for the Protection of Refugees and Stateless Persons
Rosalie R. Cumla	State Counsel, Department of Justice of the Republic of the Philippines
Eunice Ndonga-Githinji	Executive Director, Refugee Consortium of Kenya
Rachel Levitan	Vice President, International Programs, HIAS
Mathew Myre	Senior Director, Refugee Affairs, Immigration, Refugees and Citizenship Canada (IRCC)
Jasmine Simperingham	Global Protection Coordinator – Forced Displacement, PILnet
Julia Wanjiru	Supervisor, Refugee Status Determination, Government of Kenya
Michael Woolcock	Lead Social Scientist, Development Research Group, World Bank and Lecturer in Public Policy at Harvard Kennedy School

## Annex 10 Ethics and safeguarding protocol for interviewing people of concern

### Purpose of interviews with refugees and asylum-seekers

The evaluation team aims to gather information from PoCs (refugees and asylum-seekers) to understand their perspectives of going through the asylum systems. UNHCR feels it is crucial to capture the perspectives of PoCs in this evaluation, even if the sample is not representative (we will aim to speak to up to five PoCs in each country), either individually or in one or more groups.

These interviews are not expected to provide evidence that directly informs our assessment of UNHCR's interventions in asylum capacity development beyond understanding how PoCs have been engaged and to what extent Age, Gender, and Diversity (AGD) approaches have been applied. From the PoCs' feedback, the evaluation will gather indications of how well aspects on the asylum system are working. The evaluation team will then triangulate their views with other data, and draw inferences concerning the effectiveness of UNHCR ACD.

### Sampling

- We will not contact PoCs through UNHCR but through RLOs, NGOs and other stakeholders outside of UNHCR. This will help respondents to feel more comfortable expressing their opinions and will also minimise bias in sampling.
- To the extent possible, we will talk to a variety of demographics, including gender, age, disability and sexuality. The AGD perspective is important in order to capture a variety of lived experiences.
- Although we want a range of demographics, we need to avoid speaking to minors, in order to minimise safeguarding risks. However, we can interview families.
- To avoid putting people at risk of identification, we will avoid speaking to people who are outside the asylum system, or who are stateless.

### Ethics and safeguarding

Ethics and safeguarding guidelines are essential in order to protect the physical and mental well-being and the safety of participants. Itad has a number of policies and procedures in place to ensure partners conform to high ethical and moral standards. 'Itad's Ethical Principles for Evaluations' sets a standard of behaviour and practice to which all Itad staff and external team members have to adhere.

Itad is also committed to safeguarding and expects all those working under contract to adhere to safeguarding due diligence. Safeguarding is preventing and responding to harm caused by sexual

exploitation, abuse, harassment or bullying. The aim is to minimise the likelihood and impact of these actions towards both the people we are working with externally and employees, partners, consultants and third parties.<sup>8</sup>

**Itad expects all subcontractors to follow these guidelines, in line with their Itad contracts.**

As we will be using local organisations to sample participants, please also remember to ask for their advice for approaching PoCs in the specific country. If they have their own guidelines it is preferable to use them, as they will be tailored to the context.

You should also gather contextual information from UNHCR about how best to approach PoCs and avoid any risk that our interviews are misunderstood for other types of interviews (e.g. resettlement interviews). However, you must not share details of PoCs with UNHCR, to ensure they cannot be identified.

Before any interview takes place, it is really important to share the information sheet with PoCs through the organisation you are in contact with, so they are informed beforehand and they can make a decision whether or not they'd like to participate. It is important to stress that the interview will have no bearings on the asylum application.

Link to information sheet [here \[link to Teams document accessible by team members\]](#).

Table 13 highlights key risks associated with the interviews with PoCs and outlines the ethics and safeguarding guidelines that consultants must follow in order to minimise and mitigate the risks.

*Table 13: Risks associated with the interviews with PoCs*

Key risks	Mitigation measures
Safeguarding risks	Make sure respondents are 18 years old or older – if respondents are below the age of 18, the interview cannot take place. We can interview minors if they're part of a family, with one or more adults.
	Given the sensitivity of some of the questions asked, the interview needs to be conducted in a private place, away from other people listening, to ensure respondents are safe and comfortable. Because of COVID-19 guidelines, it would be preferable to conduct the enumeration outside, away from other people. However, if this is not possible and it poses risks to the safety of the respondent, the enumeration can be done indoors, provided the room is very well-ventilated to ensure the risks of transmission of the virus are kept to a minimum.

<sup>8</sup> [www.ukaidirect.org/wp-content/uploads/2018/07/Enhanced-Due-Diligence-Guide-for-external-partners-June-2018.pdf](http://www.ukaidirect.org/wp-content/uploads/2018/07/Enhanced-Due-Diligence-Guide-for-external-partners-June-2018.pdf)

	Make sure that PoCs cannot be identified by authorities or by other stakeholders, as this would put them at risk.
Reporting concerns	<p>Please provide the following address to NGOs/RLOs/stakeholders if they want to report any issue/concern about data collection.</p> <p><b>Itad reporting email:</b> <a href="mailto:reportingconcerns@itad.com">reportingconcerns@itad.com</a></p> <p>If consultants become aware that a PoC is at risk, or if someone discloses that they are in danger, consultants need to alert the NGO/RLO/other stakeholder immediately, unless the PoC says they don't want to (in some cases, reporting puts participants more at risk).</p> <p>In case participants become distressed during or after the enumeration activity, a referral mechanism needs to be in place. Please ask the NGO/RLO/etc. before the interview with PoCs how best to approach any disclosure.</p>
Risks around confidentiality, anonymity and privacy of respondents, particularly vulnerable respondents	<p>Consultants will read the informed consent scripts provided below or a script provided by the local organisation. The script covers voluntary participation, right to withdraw, anonymity, confidentiality and consent.</p> <p>Culturally meaningful approaches to informed consent and/or assent need to be used to ensure that the norms and traditions of the respondents are respected. Please have a discussion with the NGOs/RLOs/etc. before the interview with PoCs to discuss culturally appropriate ways for informed consent.</p> <p>You should also go through the interview questions with the NGOs/RLOs/etc. before the interviews with PoCs to ensure that the questions are appropriate and minimise the risks of triggering trauma or put participants at any risk.</p>
Risks around raising expectations of PoCs	It is extremely important that the aims of this interview are clear to PoCs in order to mitigate risks around expectations about improving their situations. In particular, the interview has no bearing on their asylum application or appeal.
Risks around bias	To avoid any bias, and to make sure respondents feel comfortable to speak openly about their experiences, neither UNHCR nor, ideally, the NGO/RLO should be present during the interview.
Remote data collection	If the interviews are done remotely, please follow the guidance on remote data collection provided separately. Link <a href="#">here</a> .

## Data management

Full details of the data management requirements are set out in the individual subcontracts for each consultant and in the UNHCR confidentiality agreement, but – given sensitivities with the questions – careful data management will be required. Key points for consideration include:

- Contact details and personal information of PoCs must be stored in a password-protected device and deleted after interviews are completed.

- All data needs to be anonymised and any identifying information will be stored separately and securely.
- Names, telephone numbers and any other information of PoCs will be deleted if they do not wish to take part in the interviews.
- Interview notes must be stored on an Itad Teams folder and not shared via email or any other means, to ensure the information remains stored only in one place.

## Script for consent form

If the organisation that helps to set up the interviews has their own consent form it is advisable to use theirs, as they are more context-specific.

[Introduce yourself, say you work on this project for Itad and that the project was commissioned by UNHCR. State that you are independent of UNHCR.]

We were provided your contact details by [xxx]. We are working on a study that aims to understand how UNHCR has supported national asylum systems in this country. We would like to speak to you today to understand your experiences of going through the asylum process. This information will help us and UNHCR understand your perspective and inform future decisions that can help improve the asylum system.

This discussion will take 30–40 minutes. Are you happy to answer my questions?

Do you have any questions for me?

### ***PoC declines to participate:***

I understand. I would like to reassure you that your position will not in any way be affected by this decision. Thank you for your time.

### ***PoC agrees to participate:***

Thank you. Can you confirm your age? **[If below 18 you must terminate the conversation]**

We will not share any of your answers with UNHCR or with [xxx organisation]. Any information you will give will be used for the purposes of the evaluation only and will not be used for any other purpose.

We would like you to answer questions based on your experience and personal opinion. There are no right or wrong answers, and you are free to ask for clarification at any time if you do not understand the question.

Your participation in this discussion is voluntary. You can choose not to take part in this interview, not answer a question or stop the discussion at any moment. The support you receive from [xxx] will not be affected in any way, whether you participate or not. You will not receive any benefit by participating in this interview and your asylum application will not be affected.

Your name will be kept anonymous and it will not be mentioned in any report. Your telephone number and name will be kept securely and will not be shared with anyone outside my team. At the end of this interview, I will delete your contact details.

I will be taking notes for this discussion so that I can go back later to remember everything that was discussed, and will not share these notes with anyone. However, in case you disclose that you are in a situation where your safety is at risk, I will have to inform [xxx] unless you don't want me to.

If you have any problems with the way that this interview was conducted or if you wish to discuss any issues, I will text you an email address you can use [please add here if there is another way to report].

Do you have any questions for me at this point?

By agreeing to participate in the interview you indicate that you understand all the information I have just said. **Are you happy to respond to my questions?**

***At the end of the interview:***

Thank you for your time and help today. As mentioned before, if you have any problems with the way that this interview was conducted or if you wish to discuss any issues with this interview, I will text you an email address [please add here if there is another way to report].



# Annex 11 Key informant interview questions – HQ/global/regional levels

Tables 14–18 show the interview guides for key informant interviews, divided by type of respondent.

Table 14: Interview guide for UNHCR HQ (but not management KIs) and Regional Bureaux

Questions	Record answer here
<b>Introduction</b>	
1. What is your current role? How long have you been in post? What has been your involvement with ACD?	
<b>ACD principles/overview</b>	
2. How would you describe ACD? How well is the concept of ACD understood in/across UNHCR?	
3. How have asylum systems changed/improved/worsened since 2015, globally and regionally?	
<b>ACD elements and UNHCR role</b>	
4. What have been the main elements of UNHCR support to ACD?	
5. Does UNHCR have a strategic vision of ACD?	
6. What roles has UNHCR played in asylum system development? (planning, support, implementation, advocacy, coordination, quality, monitoring)	
7. How effective has UNHCR been in ACD? Which activities have been most important/successful? Which ones have been less successful? How can UNHCR improve?	
<b>ACD priorities and strategies</b>	
8. How does UNHCR agree priorities or a plan or a strategy with governments for developing the capacity of the national asylum system? How are these strategies developed?	
9. What are the priorities for strengthening of national asylum systems in future?	
10. What is the role of the ACSG in supporting ACD? How effective has it been?	
<b>Specific aspects of ACD</b>	
11. How child, gender and ethnic-sensitive are asylum systems and capacity development efforts? Are there specific areas of concern?	
12. How has COVID-19 affected the capacity of asylum systems?	
<b>ACD – UNHCR and governments</b>	
13. How well have government–UNHCR partnerships worked with regard to ACD?	
14. How committed are governments to the transition to full ownership of national asylum systems, or to improving the quality of asylum systems? Fair/efficient/etc.	
<b>ACD and UNHCR partnerships</b>	
15. Who are the main UN and NGO partners in ACD at global or regional level?	
16. Who are the main donors to ACD?	

<b>PoCs</b>	
17. To your knowledge, have asylum-seekers and refugees been consulted about their experience of asylum systems?	
<b>General</b>	
18. Have there been any capacity assessments, reports or evaluations of national asylum systems in recent years? If so, when and by whom? Where can we find the results?	
19. Is there anything else you think the evaluation team needs to know/understand about ACD?	

Table 15: Interview guide for level 1 country case studies – UNHCR staff

Questions	Record your answers here
1. Please give a brief overview of the political situation and conditions regarding refugees and asylum in the country. Have there been any major changes in the context since 2015?	
<b>Status of the asylum system</b>	
2. What is the status of the asylum system in the country? Has it transitioned towards greater national ownership since 2015? What point has it reached?	
3. Does UNHCR undertake mandate RSD as well as ACD? What is the balance between them? How has this changed since 2015?	
<b>ACD</b>	
4. What have been the main elements of UNHCR support to ACD? What roles has UNHCR played in asylum system capacity development? What documents can you send us that detail these activities?	
5. Have there been any capacity assessments, reports or evaluations of the national asylum systems in recent years? If so, when and by whom? Where can we find the results?	
6. Can you provide details of budgets and funding for ACD, and the budget headings under which ACD sits?	
<b>Priority setting</b>	
7. What have been the focus and the priorities of UNHCR for ACD in country?	
8. How does UNHCR agree priorities or a plan or a strategy with governments for developing the capacity of the national asylum system? How are these strategies developed? To what extent have capacity development priorities been set by or with the government, and how much by UNHCR?	
<b>Government capacity and commitment</b>	
9. How committed is the government to the transition to full ownership of national asylum systems, or to improving the quality of asylum systems?	
10. How has the government commitment changed since 2015? For what reasons?	

<b>AGD and PoC</b>	
11. How is an Age, Gender and Diversity perspective applied?	
12. How child, gender and ethnic-sensitive are the asylum system and capacity development efforts? Is data captured on the different needs of diverse groups of asylum-seekers?	
13. To your knowledge, have asylum-seekers/refugees/PoC been consulted about their experience of asylum systems? By whom? Are the results documented? Can we see them?	
<b>Outcomes</b>	
14. How has the asylum system changed/ improved/ worsened since 2015? How much of the change is down to UNHCR versus government or other actors?	
15. What has been particularly successful in ACD efforts and what are remaining gaps, if any?	
<b>COVID-19</b>	
16. How has COVID-19 affected the capacity of the asylum system and ACD efforts?	
<b>Partners, donors and stakeholders</b>	
17. Who are the main NGO partners in ACD, if any?	
18. Who are the main UN partners in ACD, if any? Is the UNCT and/or the Resident Coordinator involved?	
19. Who are the main donors to ACD? Are donor funding details from 2015 onwards available?	
20. To your knowledge, have asylum-seekers and refugees been consulted about their experience of the country's asylum system?	
<b>Logistical questions concerning developing and accessing stakeholders for Level 2</b>	
21. If we proceed to a broader evaluation of UNHCR's ACD in this country, will it be possible for the evaluation team to access government staff for interviews and documents? <ul style="list-style-type: none"> <li>Which 2–3 departments/ministries would be most relevant?</li> <li>In what ways could the UNHCR CO support us in gaining access?</li> <li>What protocols need to be observed?</li> </ul>	
22. If we proceed to a full evaluation of UNHCR's ACD in this country, how can the evaluation team access refugees/asylum-seekers/PoCs to ask about their experience of asylum systems? <ul style="list-style-type: none"> <li>In what ways could the UNHCR CO support us in gaining access?</li> <li>What protocols need to be observed?</li> </ul>	
23. If we proceed to a full evaluation of UNHCR's ACD in this country, how can the evaluation team access donors and UNHCR partners in ACD? <ul style="list-style-type: none"> <li>In what ways could the UNHCR CO support us in gaining access?</li> <li>What protocols need to be observed?</li> </ul>	
24. What is the main language used for verbal and written communication/documentation in this country?	
<b>Conclusions</b>	
25. Is there anything else you think the evaluation team needs to know/understand?	

Table 16: Interview guide for INGOs/NGO networks

Questions	Record your answers here
<b>Introduction</b>	
1. What is your current role? How long have you been in post? What has been your involvement with ACD?	
<b>ACD principles/overview</b>	
2. How would you describe ACD? How well is the concept of ACD understood by humanitarian actors and stakeholders?	
3. Does your organisation have policies or guidelines on capacity development in general and/or on asylum capacity specifically?	
4. Has your organisation been involved in helping to improve the capacity of national asylum systems? If so, how? Who are your partners?	
5. How have asylum systems changed/ improved/worsened since 2015, globally and regionally?	
6. What, in your view, are the priorities for strengthening of national asylum systems?	
<b>ACD and UNHCR</b>	
7. Since 2015, how has your organisation been engaged with UNHCR and national governments for developing the capacity of the national asylum system? If so, how? Do you have global or country-specific partnerships with UNHCR for ACD? If so, what do they cover? How well do they work? (planning, support, implementation, advocacy, coordination, quality, monitoring)	
8. How would you describe the role has UNHCR played in ACD generally?	
9. In your experience, what roles has UNHCR played in national asylum system development? (planning, support, implementation, advocacy, coordination, quality, monitoring)	
10. In your experience, how effective has UNHCR been in ACD? Which activities have been most important/successful? Which ones have been less successful? How can UNHCR improve?	
11. What is your view, if any, of the ACDG and its role in supporting ACD? How important is it? Have you contributed to it?	
<b>ACD – UNHCR and governments</b>	
12. In your experience, how well have government–UNHCR partnerships worked with regard to ACD?	
13. How committed are governments to the transition to full ownership of national asylum systems, or to improving the quality of asylum system? Fair/efficient/etc.	
<b>Specific aspects of ACD</b>	
14. In your experience, how child, gender and ethnic-sensitive are asylum systems and capacity development efforts? Are there specific areas of concern?	
15. How has COVID-19 affected the capacity of national asylum systems?	
<b>PoCs</b>	

16. To your knowledge, have asylum-seekers and refugees been consulted about their experience of asylum systems?	
<b>General</b>	
17. Have there been any capacity assessments, reports or evaluations of national asylum systems in recent years? If so, when and by whom? Where can we find the results?	
18. Is there anything else you think the evaluation team needs to know/understand about ACD?	

Table 17: Interview guide for donors

Questions	Record your answers here
<b>Introduction</b>	
1. What is your current role? How long have you been in post? What has been your involvement with ACD?	
<b>ACD principles/overview/donor engagement</b>	
2. How would you describe ACD? How well is the concept of ACD understood by humanitarian actors and stakeholders?	
3. Does your government have policies or guidelines or funding on capacity development in general and/or on asylum capacity specifically?	
4. Which aspects of current asylum systems are of most interest/concern to your government?	
5. How have asylum systems changed/ improved/worsened since 2015, globally and regionally?	
6. What, in your view, are the priorities for strengthening of national asylum systems?	
<b>ACD and UNHCR</b>	
7. Since 2015, has your government been involved in helping to improve/funding the development of the capacity of national asylum systems? If so, how and which elements? Which elements of ACD does your funding support? Is this support principally to government/to UNHCR/to other actors?	
8. Since 2015, how has your government been engaged with UNHCR for developing the capacity of the national asylum system? Do you have global or country-specific partnerships with UNHCR for ACD? If so, what do they cover? How well do they work? (planning, support, implementation, advocacy, coordination, quality, monitoring)	Q7 and Q8 overlap, depending on response to Q7.
9. How would you describe the role has UNHCR played in ACD generally?	
10. In your experience, what roles has UNHCR played, more specifically, in national asylum system development? (planning, support, implementation, advocacy, coordination, quality, monitoring)	
11. In your experience, how effective has UNHCR been in ACD? Which activities have been most important/successful? Which ones have been less successful? How can UNHCR improve?	
12. What is your view, if any, of the ACSG and its role in supporting ACD? How important is it? Have you contributed to it?	

<b>ACD – UNHCR and governments</b>	
13. In your experience, how well have government–UNHCR partnerships worked with regard to ACD?	
14. How committed are governments to the transition to full ownership of national asylum systems, or to improving the quality of asylum systems? Fair/efficient/etc.	
<b>Specific aspects of ACD</b>	
15. In your experience, how child, gender and ethnic-sensitive are asylum systems and capacity development efforts? Are there specific areas of concern?	
16. How has COVID-19 affected the capacity of national asylum systems?	
<b>PoCs</b>	
17. To your knowledge, have asylum-seekers and refugees been consulted about their experience of asylum systems?	
<b>General</b>	
18. Have there been any capacity assessments, reports or evaluations of national asylum systems in recent years? If so, when and by whom? Where can we find the results?	
19. Is there anything else you think the evaluation team needs to know/understand about ACD?	

Table 18: Interview guide for academics and think tanks

Questions	Record your answers here
<b>Introduction</b>	
1. What are your current research or consultancy areas and activities and how, if at all, do they relate to ACD?	
2. What aspects of ACD have you researched/worked on? Which countries or contexts? What are the main findings?	
<b>ACD principles/overview/donor engagement</b>	
3. How would you describe ACD? How well is the concept of ACD understood by humanitarian actors and stakeholders?	
4. Which aspects of current asylum systems are of most interest/concern in your work?	
5. How have asylum systems changed/ improved/worsened since 2015, globally and regionally?	
6. What, in your view, are the priorities for strengthening of national asylum systems?	
<b>ACD and UNHCR</b>	
7. How would you describe, in general, the role has UNHCR played in ACD generally? Does it demonstrate a strategic vision in its approach to ACD?	
8. In your experience, what roles has UNHCR played, more specifically, in helping to improve the development of the capacity of national asylum systems? (e.g. planning, support, implementation, advocacy, coordination, quality, monitoring)	

9. In your experience, how effective has UNHCR been in ACD? Which activities have been most important/successful? Which ones have been less successful? How can UNHCR improve?	
10. What is your view, if any, of the ACSG and its role in supporting ACD? How important is it? Have you contributed to it?	
<b>ACD – UNHCR and governments</b>	
11. In your experience, how well have government–UNHCR partnerships worked with regard to ACD? How effective has this engagement been? How has it addressed the political contexts?	
12. How committed are governments to the transition to full ownership of national asylum systems, or to improving the quality of asylum systems? Fair/efficient/etc.	
<b>Specific aspects of ACD</b>	
13. In your experience, how child, gender and ethnic-sensitive are asylum systems and capacity development efforts? Are there specific areas of concern?	
14. How has COVID-19 affected the capacity of national asylum systems?	
<b>PoCs</b>	
15. To your knowledge, have asylum-seekers and refugees been consulted about their experience of asylum systems?	
<b>General</b>	
16. Is there anything else you think the evaluation team needs to know/understand about ACD?	

## Annex 12 Key informant interview questions – country case studies

Tables 19–22 present the interview guides for key informant interviews used for the country case studies, divided by type of respondent.

Table 19: Interview guide for level 2 country case studies – UNHCR staff

Questions	Record your answers here
1. Please give a brief overview of your role in the CO in relation to ACD.	
<b>ACD</b>	
2. What have been the main elements/processes of UNHCR <u>support to ACD</u> in this country <u>that you have been responsible for</u> ? Please describe the activities.	
<b>Priority setting</b>	
3. How have the priorities for these activities been set? Has UNHCR agreed the priorities or a plan with the government for developing these aspects of the capacity development of the national asylum system?	
<b>Government capacity and commitment</b>	
4. How committed has the government been to these activities: transition to full ownership of national asylum systems; improving the quality of asylum systems?	
5. How has this commitment changed and why?	
<b>AGD and PoCs</b>	
6. How is an AGD perspective applied in the activities for which you are responsible?	
7. How have child, gender and ethnic-sensitive responses been incorporated in the activities for which you are responsible?	
8. To your knowledge, have asylum-seekers/refugees/PoCs been consulted about their experience of these activities?	
<b>Outcomes</b>	
9. What have been the outputs and outcomes? Are there evaluations or assessments?	
10. What has been particularly successful in the activities for which you are responsible? Are there remaining gaps, if any?	
<b>COVID-19</b>	
11. How has COVID-19 affected the activities and the capacity of the asylum system and ACD efforts?	
<b>Conclusions</b>	
12. Is there anything else you think the evaluation team needs to know/understand?	

Table 20: Interview guide for level 2 country case studies – Interviews with PoCs

Questions	Record your answers here



<b>Applying for asylum/RSD</b>	
1. When you arrived in this country, who provided you with information about the asylum process?	
2. How did they communicate this information?	
3. Have you applied for or been granted some form of legal recognition for your stay in this country, e.g. refugee status, temporary residence, work permit, resident's visa? IF YES, GO TO Q6; IF NO OR DON'T KNOW, GO TO Q8	
4. If you're comfortable in speaking about this, please tell me of your experience in trying to get recognition/status, for example: Where did you apply (location)? Who interviewed you? What were the stages of your application? Did you have to appeal? How long have you been waiting?	
5. Were you given advice and support during the process? If so, by whom?	
6. Did you make any contact with UNHCR? How did you get in contact with UNHCR? What support and advice did they provide?	
7. Please explain why you have not applied for any legal recognition. Will you apply in the future?	
<b>Views on process</b>	
8. Have you been asked to give any views or opinions about the process of applying for refugee status? Who asked you?	
9. How do you feel about the asylum process? (Respected? Heard? Well informed?)	
10. In your experience with the asylum system, what are the good and bad parts of the process?	
11. What should be improved and how?	
<b>COVID-19</b>	
12. If your application was being processed during the pandemic, has COVID-19 affected your application process? Delays? Rejection/Barriers?	
13. Are you aware of any assistance or support to help overcome these problems caused by COVID-19?	
<b>Conclusions</b>	
14. Is there anything else you think I need to know/understand?	

Table 21: Interview guide for level 2 country case studies – Interviews with NGOs/CSOs/legal advisers

Questions	Record your answers here
1. What are the main activities and objectives of your organisation? When was it established and why? How have its activities changed since its inception?	
<b>Status of the asylum system</b>	
2. Please give a brief overview of the situation and conditions regarding refugees and asylum in the country.	
3. Have there been any major changes in the context since 2015?	

4. Has the asylum system improved/worsened since 2015?	
5. How far has the national asylum system transitioned towards greater national ownership since 2015 and less UNHCR engagement? What point has it reached?	
6. What, in your view, are the priorities for strengthening the national asylum system?	
<b>ACD and the NGO</b>	
7. How has your organisation been involved in helping to improve the capacity of the national asylum system in this country since 2015?	
8. What are the principal activities that you are engaged in related to the national asylum system and the development of its capacity?	
9. How has UNHCR supported you in these activities?	
10. How effective has UNHCR support been for your organisation?	
<b>UNHCR and ACD</b>	
11. Do you work with other partners? Who are they? Do you know if they are supported by UNHCR and, if so, how?	
12. How would you describe the <u>role</u> UNHCR has played in developing the national asylum system? Supportive? Strong advocacy of its own agendas? Partnership? Shared agendas and priorities?	
<b>ACD – UNHCR and governments</b>	
13. In your experience, how well have government–UNHCR partnerships worked with regard to ACD?	
14. How committed is the government to the transition to full ownership of national asylum systems, or to improving the quality of asylum system? What role does UNHCR play in supporting that commitment?	
<b>AGD and PoCs</b>	
15. Has UNHCR promoted the inclusion of Age, Gender and Diversity and child perspectives in the national asylum system, and specifically with your organisation? If so, how? Are there specific areas of concern?	
16. To your knowledge, has UNHCR consulted asylum-seekers/refugees/PoCs about their experience of the country's asylum system? Has UNHCR promoted the inclusion of PoCs in the development of the national asylum system? If so, how? What role has your organisation played in these processes?	
<b>Outcomes</b>	
17. In your experience, how effective has UNHCR been in developing the country's asylum capacity? Which activities have been most important/successful? Which ones have been less successful? How can UNHCR improve?	
18. What have been particularly successful ACD activities by UNHCR efforts and what are remaining gaps, if any?	
<b>COVID-19</b>	
19. How has COVID-19 affected the capacity of the asylum system and ACD efforts, and what activities has UNHCR undertaken to mitigate these impacts and support the government?	
<b>General</b>	

20. Is there anything else you think the evaluation team needs to know/understand about ACD in this country?	
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Table 22: Interview guide for level 2 country case studies – Government representatives

Questions	Record your answers here
1. Please give a brief overview of the situation and conditions regarding refugees and asylum in the country. Have there been any major changes in the context since 2015?	
<b>Status of the asylum system</b>	
2. How far has the national asylum system transitioned towards greater national ownership since 2015? What point has it reached? What activities does UNHCR still conduct?	
<b>ACD</b>	
3. What have been the main elements of UNHCR support to ACD? (What documents can you send us that detail these activities?)	
4. Which activities supported by UNHCR have been successful and why? Which activities have been less successful and why?	
5. Overall, how would you describe the role UNHCR played in asylum system capacity development?	
6. Have there been any capacity assessments, reports, or evaluations of the national asylum system in recent years? If so, when and by whom? Where can we find the results?	
7. Can you provide details of budgets and funding for the country's national asylum system and ACD?	
8. Has UNHCR encouraged the government to engage with the ACSG? If so, in what ways and how has this progressed?	
<b>Priority setting</b>	
9. How does UNHCR agree priorities or a plan or a strategy with the government for developing the capacity of the national asylum system? How are these strategies developed? To what extent have capacity development priorities been set by or with the government, and how much by UNHCR?	
<b>Government capacity and commitment</b>	
10. What are the government's objectives in transiting to full ownership of its national asylum systems, or to improving the quality of asylum systems? What are the main constraints in achieving these objectives?	
11. What other government ministries/entities are involved in the national asylum system? How has UNHCR supported their engagement?	
<b>AGD and PoCs</b>	
12. Has UNHCR promoted the inclusion of Age, Gender and Diversity and child perspectives in the national asylum system? If so, how?	
13. To your knowledge, has UNHCR consulted asylum-seekers/refugees/PoCs about their experience of the country's asylum system? Has	

<b>UNHCR promoted the inclusion of PoCs in the development of the national asylum system? If so, how?</b>	
<b>Outcomes</b>	
14. How would you say the national asylum system has changed as a result of UNHCR engagement since 2015? Has the system improved or worsened as a result? How much of the change is down to UNHCR versus government or other actors?	
15. What have been particularly successful ACD activities by UNHCR efforts and what are remaining gaps, if any?	
<b>COVID-19</b>	
16. How has COVID-19 affected the capacity of the asylum system and ACD efforts, and what activities has UNHCR undertaken to mitigate these impacts and support the government?	
<b>Partners, donors and stakeholders</b>	
17. Does UNHCR work with other partners and donors to support the government's efforts in ACD? How effective are these partnerships?	
18. Who are the government's main NGO partners in ACD, if any? To what extent has UNHCR supported their role?	
<b>Conclusions</b>	
19. Is there anything else you think the evaluation team needs to know/understand?	

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