

# UNHCR Joint Institutional Strategy (JIS) with Denmark and Canada: 2010 – 2013

## 1. INTRODUCTION

1.1 This Joint Institutional Strategy (JIS) sets out a 4-year programme of joint donor support (Denmark and Canada) for UNHCR's Global Strategic Priorities (GSPs)<sup>1</sup> for the period 2010 – 13. While the two donors support all of UNHCR's priorities, the scope of the JIS is outlined in Section 3 below, and does not cover all aspects of relations between the two donor countries and UNHCR.

1.2 Currently, Denmark, Canada and UNHCR are partners to the JIS. However, it is recognized that additional donors might join the JIS over the course of the next four years. In the event that additional donors join the JIS, it is accepted that the JIS may need to be revised to accommodate their specific priorities and due diligence requirements, within the overall spirit of the strategy.

1.3 The purpose of the JIS is to strengthen UNHCR's capacity for normative and operational leadership, coordination and delivery in response to the protection and assistance needs of refugees, internally displaced persons (IDPs), returnees and stateless persons, and other affected populations in accordance with the Office's mandate and agreed responsibilities.

1.4 The JIS aims to guide the strategic and institutional relationship between UNHCR and donor partners, and provide a management and accountability tool for central and country level monitoring.

1.5 The JIS constitutes policy commitments by UNHCR and the donors and is not legally binding. In the interest of transparency, it will be posted on the respective partners' websites.

1.6 Needs-based, coordinated and effective humanitarian response is a priority for Canada and Denmark. Both donors are signatories to the 1951 Convention and the 1967 Protocol Relating to the Status of Refugees. UNHCR has traditionally a key humanitarian partner for like-minded donors. As a result, in 2006, Canada and Denmark, together with the United Kingdom, agreed with UNHCR to develop a four-party Joint Organisational Strategy (JOS) for the period 2007 - 09<sup>2</sup>. Consistent with the Paris Declaration<sup>3</sup>, the Accra Agenda for Action on Aid Effectiveness<sup>4</sup> and principles of

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<sup>1</sup> UNHCR's Global Strategic Priorities (GSPs) reflect key objectives for the organisation across the full range of its mandate – protection, assistance, search for durable solutions, emergency response, management priorities for improving the organisation's capacity – including its partnerships, age, gender & diversity perspective, external relations and management. The GSPs can be found at <http://www.unhcr.org/4b03cc249.pdf>

<sup>2</sup> The Joint Organisation Strategy (JOS) 2007 - 09

<sup>3</sup> The Paris Declaration on Aid Effectiveness (March 2005) and the earlier Rome Declaration on Harmonisation (February 2003).

<sup>4</sup> Accra Agenda for Action, 3<sup>rd</sup> High-Level Forum on Aid Effectiveness, September 2008.  
<http://www.undp.org/mdtf/docs/Accra-Agenda-for-Action.pdf>

Good Humanitarian Donorship<sup>5</sup>, the JOS aimed to increase the efficiency of the working relationship between UNHCR and donors by reducing management demands and transaction costs, and enhancing donor coherence

1.7 Following a generally positive independent evaluation in 2009 of the JOS and the joint approach, the three donors and UNHCR agreed to renew it for the period 2010 – 13, in order to build on achievements to-date.<sup>6</sup> However, in June 2010, the United Kingdom launched a multilateral aid review and advised its partners to the JOS of its inability to continue discussion of a new Strategy at this time.

1.8 The evaluation found that the JOS was aligned with UNHCR's Global Strategic Objectives and contributed to strengthening UNHCR's capacity for operational delivery, particularly in the priority focus areas of Age Gender & Diversity Mainstreaming (AGDM), IDPs, and the evolution of UNHCR's new planning and performance management system. Joint donor reviews of UNHCR's performance for the years 2007 and 2008 found that progress against each of the 5 priority focus areas<sup>7</sup> outlined in the JOS was positive but noted that further progress was needed.

## **2. PERFORMANCE MEASUREMENT**

2.1 The donors and UNHCR will monitor progress in achieving the objectives of the JIS in six priority focus areas (Protection, Durable Solutions, Coordination & Partnerships, Human Resource & Workforce Management, RBM/Evaluation, and Emergency Preparedness and Response, and Staff Security), drawn from UNHCR's GSPs. Progress against the objectives under each focus area will be assessed annually. The Donors and UNHCR will also monitor UNHCR's progress in meeting its process objectives with respect to monitoring and refining the GSPs.

2.2 The donors and UNHCR will assess results achieved against targets set out in a Results Performance Framework (see Annex A). Recognizing that UNHCR's transition to results-based management is a work in progress, the donors and UNHCR agree to the following:

2.2.a: For 2010 and 2011, UNHCR will report against the Performance Framework (Annex A), as well as on progress achieved in monitoring and refining the GSPs during the first biennium of their implementation. In particular the results information provided by eight country operations (Chad, Colombia, Democratic Republic of Congo, Egypt, Georgia, Kenya, Malaysia and Syria) will serve to illustrate this process from which UNHCR is drawing lessons learned to apply to other operations.

2.2.b: Should other donors wish to join the JIS, the Performance Measurement Framework may be reviewed accordingly, following the first annual review of the JIS

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<sup>5</sup> Principles and Good Practice of Humanitarian Donorship was agreed by 17 major donors in June 2003. Donors agreed to a number of activities including to harmonise reporting requirements and management demands placed on implementing humanitarian organisations. [www.goodhumanitarianandonorship.org](http://www.goodhumanitarianandonorship.org).

<sup>6</sup>Universalia, *Evaluation of the UNHCR Joint Organisation Strategy, 2007-2009*. Ministry of Foreign Affairs of Denmark, November 2009. [http://www.um.dk/NR/rdonlyres/A984416E-B87E-4494-9A31-AEB8B1942CB3/0/FinalReportUNHCRweb\\_24112009.pdf](http://www.um.dk/NR/rdonlyres/A984416E-B87E-4494-9A31-AEB8B1942CB3/0/FinalReportUNHCRweb_24112009.pdf)

<sup>7</sup> 1. Responding to the needs of conflict generated IDPs, 2. Emergency preparedness and response, 3. Age, gender and diversity mainstreaming, 4. Durable solutions and 5. Results Based Management/evaluation.

(tentatively scheduled for June 2011) and feedback on the GSP monitoring and refinement process during 2010 and early 2011.

2.3. The Performance Framework will be revised once UNHCR's Global Strategic Priorities for 2012-2013 are established to cover the JIS period 2012-2013.

### 3. DESCRIPTION OF UNHCR Mandate

3.1 The basis for UNHCR's work is the 1951 Refugee Convention and its 1967 Protocol, as well as the Statute of the Office. UNHCR's distinctiveness derives from the High Commissioner's direct and **mandatory responsibility** under international law for protection and solutions for a specific group of people – refugees – entrusted by the General Assembly through the Statute and subsequent resolutions. This protection mandate also extends to asylum seekers whose claims have not yet been determined.

3.2 UNHCR's mandate empowers the Office to provide international protection and humanitarian assistance to refugees and other persons of concern while working to find durable solutions to their situation<sup>8</sup>. At the beginning of 2009, the population of concern to UNHCR was estimated at 34.4 million persons in total<sup>9</sup>, including 10.5 million refugees and 23.9 million others of concern, including 14.4 million internally displaced persons (IDPs), as well as asylum-seekers, returnees (for up to 2 years after they return home), and stateless persons<sup>10</sup>. While the number of refugees has been declining in recent years, both the overall number of IDPs, and the number of IDPs for whom UNHCR is responsible has increased, a trend that is likely to continue.

3.3 UNHCR's activities related to IDPs have increased in magnitude in recent years, through its participation in the cluster approach, which is part of the overall UN-led humanitarian reform process initiated in 2005. The cluster approach was adopted as a mechanism to address identified gaps in humanitarian response to internal displacement and aims to enhance the quality of humanitarian action through greater predictability and accountability, underpinned by stronger partnerships and coordination. Under this approach, UNHCR is the designated cluster lead for protection, emergency shelter, and camp coordination and management in situations of conflict and supports other clusters. As of early 2010, UNHCR was active in 22 IDP operations, and leading one or more clusters in 20 of them.

3.4 UNHCR's **comparative advantage** lies in its vast partnership network, wide field presence and strong commitment to effectiveness and reforms. UNHCR implements its programmes with hundreds of partners. In 2009, some 35% of UNHCR's total expenditures were channelled through 625 NGOs, including more than 470 local organizations. UNHCR's local partnerships in the field give it an unmatched presence, and ensure its programmes are based on indispensable local knowledge and expertise.

3.5 UNHCR is a key humanitarian player and an important agency for the donors, who are keen to see increasingly effective international humanitarian action, including action to address the plight of refugees and IDPs. Furthermore, UNHCR contributes to

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<sup>8</sup> *Statute of the United Nations High Commissioner for Refugees, GA Resolution 428 (V) of 14 December 1950, Chapter I.*

<sup>9</sup> *UNHCR Global Appeal 2010/2011*

<sup>10</sup> A stateless person is someone who is not considered as a national by any State under the operation of its law, including persons whose nationality is not established.

achieving the Millennium Development Goals (MDGs) among its populations of concern, by working with governments and development actors to bridge the gap from humanitarian relief to development assistance<sup>11</sup>.

## **Organisation and Governance**

3.6 By late 2009, UNHCR had 259 offices in 118 countries, and a staff of 6,838. UNHCR Headquarters in Geneva is organised into three main parts: (1) Protection, incorporating the Division of International Protection ; (2) Operations, including five Regional Bureaux, the Division of Programme Support and Management and the Division of Emergency, Security and Supply; and (3) Management. Approximately 86% of UNHCR staff work in field locations.

3.7 UNHCR is governed by an Executive Committee (ExCom), which is a subsidiary organ of the UN General Assembly and is elected by ECOSOC. At its 60<sup>th</sup> session in October 2009, ExCom included 78 members<sup>12</sup>. The Committee's main function is to approve the High Commissioner's assistance programmes, advise the High Commissioner in the exercise of his/her functions (including through policy guidance and the development of conclusions on international refugee protection), and oversee the Office's finances and administration. ExCom meets in plenary session for one week every year, and has inter-sessional Standing Committee meetings every three to four months.

## **Internal reform process and effectiveness**

3.8 In 2006, UNHCR launched a broad programme of internal reform. Its foremost objective is to increase the Office's effectiveness in meeting the needs of its beneficiaries, by shifting to a better results orientation, realigning structures and reducing bureaucracy. UNHCR has come a considerable way towards meeting this objective, as described below.

3.9 UNHCR has made considerable progress in moving towards results-based management (RBM), which is aimed at strengthening the organization's responsiveness to the needs of its population of concern. During 2008-2009, UNHCR introduced several interlinked systems and tools, including a new Results Framework, a new budget structure based on populations of concern, a needs-based approach to budgeting (the Global Needs Assessment), a Global Management Accountability Framework, and *Focus*, an RBM software application integrating protection and programme efforts.

3.10 These interconnected elements are designed to improve UNHCR's ability to map and express the actual needs of persons of concern, introducing greater accountability for results, and improving coherence across the Office. They will allow UNHCR to demonstrate both the impact of donor funding and the consequences of unmet needs, by enabling the Office to plan, budget and report against a standard protection-based results framework aligned with the 2010-2011 GSPs.

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<sup>11</sup> UNHCR has detailed how it contributes to the MDGs, e.g., in the document *Putting Refugees on the Development Agenda: how refugees and returnees can contribute to achieving the Millennium Development Goals* presented to the High Commissioner's Forum in May 2005.

<sup>12</sup> UNHCR Web site, at <http://www.unhcr.org/cgi-bin/texis/vtx/excom>.

## Evidence of UNHCR's effectiveness

3.11 UNHCR has made a determined effort to transition into a results-based organization that is more responsive and accountable to its populations of concern. UNHCR will continue to assess the outcomes and impact of the reform process and share this information with donor partners.

3.12 Despite the global financial crisis, donor support to UNHCR continues to be strong and is a sign of confidence in the Office's capacity. Donors have also welcomed UNHCR's involvement in the Steering Committee for Humanitarian Response's Peer Review on Accountability to Persons of Concern and its agreement – as the first UN agency to do so – to undergo the Humanitarian Accountability Partnership (HAP) baseline analysis.

3.13 UNHCR has further strengthened its evaluation function and is regularly undertaking critical reviews of key policies and programmes. For example, recent evaluations on the situation of Iraqi refugees or the reintegration operation in Burundi highlighted several examples of UNHCR achieving positive impact and using innovative approaches to improve the protection and assistance provided to persons of its concern.<sup>13</sup> On a more general level, updated statistics show that during the decade since 1998, more than 9 million IDPs and almost 12 million refugees worldwide were able to return to their areas of origin with assistance from UNHCR, finding a durable solution to their displacement.

## Financial Resources and Accountability

3.14 Total new contributions to UNHCR in 2009 amounted to US\$ 1.715 billion<sup>14</sup>. Denmark and Canada have consistently been strong supporters of UNHCR, and have provided considerable amounts of unrestricted (or "un-earmarked") funds. The following table shows their overall and unrestricted contributions in 2009, together with the percentage shares of total overall and unrestricted contributions, as well as their positions in the ranking of donors to UNHCR according to level of contribution:

| <b>Country</b>        | <b>Overall Contribution</b> |              |             | <b>Unrestricted Contribution<sup>15</sup></b> |               |             |
|-----------------------|-----------------------------|--------------|-------------|---|---------------|-------------|
|                       | <i>ml US\$</i>              | <i>Share</i> | <i>Rank</i> | <i>ml US\$</i>                                | <i>Share</i>  | <i>Rank</i> |
| <i>Canada</i>         | 45.5                        | 2.66%        | 9           | 11.27   | 3.68%         | 9           |
| <i>Denmark</i>        | 52.1                        | 3.04%        | 8           | 24.94   | 8.15%         | 4           |
| <b>Combined total</b> | <b>97.6</b>                 | <b>5.7%</b>  |             | <b>36.21</b>                                  | <b>11.83%</b> |             |

<sup>13</sup> *Surviving in the city. A review of UNHCR's operation for Iraqi refugees in urban areas in Jordan, Lebanon and Syria.* UNHCR/PDES, July 2009. <http://www.unhcr.org/cgi-bin/texis/vtx/search?page=search&docid=4a69ad639&query=evaluation%20iraqi%20refugees> and *Money matters. An evaluation of the use of cash grants in UNHCR's voluntary repatriation and reintegration programme in Burundi.* UNHCR/PDES, June 2009. <http://www.unhcr.org/cgi-bin/texis/vtx/search?page=search&docid=4a5f436d9&query=evaluation%20burundi%20reintegration>

<sup>14</sup> Current figures are as of Jan 2010. Final quote will be from UNHCR *Standing Committee report on 2009 programmes and funding, March 2010.*

<sup>15</sup> All three donors provide additional funding earmarked at the country or regional levels, giving UNHCR additional flexibility in managing its budget. In 2008, they only earmarked between 28 and 43% of their total contributions at country/sector/thematic level.

3.15 Recognizing the need for early, flexible and predictable funding, the donors will subject to the approval by the relevant authorities strive to maintain a similar level of support to UNHCR during the duration of this strategy, and continue to provide a significant portion of their funding as unrestricted contributions, allowing UNHCR to allocate funding in a flexible manner where it is most needed.

3.16 Denmark and Canada are active in UNHCR's ExCom and Standing Committee meetings. Generally, they find that these Committees facilitate good accountability to member states, as UNHCR is responsive to ExCom's advice and guidance. The JIS will provide a coherent framework for the donors' engagement with UNHCR, including through ExCom, policy dialogue such as the annual High Commissioner's Dialogue on Protection Challenges, and other meetings.

#### **4. STRATEGIC ISSUES, CHALLENGES AND PRIORITY OBJECTIVES FOR UNHCR**

4.1 The following priority areas are based on a selection of UNHCR's Global Strategic Priorities. The GSPs contain those most pressing global challenges where UNHCR will focus its efforts to seek improvements during the coming planning biennium. Seven priorities with 40 underlying objectives identify gaps in protection standards and set specific targets for addressing them, as well as outlining targeted areas for improvements in management services. The achievement of priorities requires UNHCR to act with governments and communities of concern, as well as full support from partners and donors. Each priority includes an indicator for measuring progress, a description of the current situation and a target to achieve. All offices use the UNHCR Results Framework, upon which the GSPs are based, to identify local priorities and make detailed plans, allocate resources, raise standards, give focus to protection interventions and help to achieve solutions.

4.2 The 20 GSPs selected by the donors under this Strategy are in line with their priorities and grouped by focus priority areas. The cross-cutting priority objectives underlying the following chapter aim to improve protection delivery, coordination and partnerships within the humanitarian system, demonstrating the distinct and value-added contributions of UNHCR programmes.

4.3 To benefit from a division of labour and the respective strengths of each of the donors, for 2010, Denmark and Canada have agreed to divide the lead on individual focus areas and priority objectives under the JIS. As mentioned in Paragraph 1.10, above, the Performance Measurement Framework will be revised on a regular basis, and this may result in a change in donor leads during the life of the JIS.

#### **FOCUS AREA 1: Protection (Denmark to lead at the Focus Area Level in 2010. Denmark and Canada to lead on specific objectives, as outlined in the Performance Framework – Annex A)**

4.4 The two donors support UNHCR's overall mandate to provide international protection and humanitarian assistance to refugees and other persons of concern. Areas of specific interest to Denmark and Canada, in the context of UNHCR's mandate, are security from sexual and gender-based violence and environmental protection. In the

event that other donors join the JIS, it is anticipated that they will also have areas of specific interest with respect to protection that will be incorporated into subsequent revisions of the strategy.

#### Security from sexual and gender-based violence (SGBV) (Lead: Canada)

4.5 The UN Declaration on the Elimination of Violence against Women describes gender-based violence as an umbrella term for any harmful act that is perpetrated against a person's will, and that is based on socially ascribed differences between males and females. While women, men, boys, and girls can all be victims of gender-based violence, women and girls are the main victims. A number of UN Resolutions and UNHCR Conclusions strongly condemn persecution through sexual violence, which constitutes a gross violation of human rights as well as a grave breach of humanitarian law, when committed in the context of armed conflict, and is a particularly serious offence to human dignity.

4.6 In 2009, the High Commissioner stated that gender-based violence is one of the most virulent, culturally endemic, and persistent trends in the world, which undermines peace and security and shatters community and family ties. He added that violence demands a personal as well as a collective response and its prevention must remain one of UNHCR highest priorities.

4.7 In order to strengthen UNHCR's ability to prevent and respond to sexual and gender-based violence, donors have supported a global evaluation of the Office's efforts to prevent and respond to such violence so that an effective response could prevent further violence.<sup>16</sup> This evaluation is aiding the development of a three-year strategy (2010-2012) on sexual and gender-based violence to assist staff and implementing partners in responding to needs of vulnerable persons and enhancing their safety and security. The development and implementation of the SGBV Strategy will be closely monitored to ensure that it improves the management of data for evidence-based planning on reported incidents; assists in determining which groups are most at risk; involves men and boys in the promotion of gender equality; mainstreams sexual and gender-based violence issues into operational planning; and, measures the effectiveness of interventions.

4.8 In addition, UNHCR is currently developing an Age, Gender and Diversity Mainstreaming (AGDM) Policy and Action Plan that will play an important role in ensuring that the Office continues to prioritize security from sexual and gender-based violence.

#### c) Environmental protection (Lead: Denmark)

4.9 UNHCR's Environmental Guidelines, issued in 1996 and revised in 2005, are based on four principles: integration, prevention-before cure, cost-effectiveness and local participation. In order to translate these principles into action, UNHCR has used a combination of approaches to implement a range of activities, e.g. a capacity within the UNHCR for environmental management and the provision of management support for the field.

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<sup>16</sup> Evaluation of UNHCR's efforts to prevent and respond to sexual and gender-based violence in situations of forced displacement. S. Rothkegel, J. Poluda, C. Wonani, J. Papy, E. Engelhardt-Wendt, B. Weyermann, R. Hennig. UNHCR/PDES 2008. <http://www.unhcr.org/48ea31062.pdf>

4.10 Since 2000, UNHCR has undertaken significant initiatives to improve environmental programming tools in the field, focused on the application of best practices, including assessment of environmental impacts, development of community environmental action, training of staff, use of renewable energy, and the development of multi-year environmental restoration strategies plans. Although UNHCR has established a solid foundation to anchor environmental concerns in decision-making, programming and implementation, available resources (technical support and financial assistance) are often inadequate. Under these circumstances, the ability to engage in medium-to-longer-term environmentally related programmes is difficult. The number of environmental coordinators has fallen both at HQ (5 to 1) and in the field (20 to 6).

4.11 To improve the relevance of environmental protection, donors encourage UNHCR to develop and maintain a technical expertise within UNHCR, so as to enable the agency to engage, within the UN family, in longer-term programmes and to engage in a larger number of camp situations with a significant environment component. A central consideration of UNHCR is ensuring the integration of environmental issues in all aspects of camp management and ensuring the development of community environmental action plans in host countries, especially those with vulnerable environments.

## **FOCUS AREA 2: Durable Solutions (Denmark and Canada to lead at the Objective Level)**

4.12 Areas of specific interest are a) return/ reintegration / local integration, b) resettlement, and c) self-reliance and community participation.

### Return/reintegration/local integration (Lead: Denmark)

4.13 Achieving durable solutions with respect to return/reintegration and local integration is a vital objective for the JIS. There has been considerable progress in finding durable solutions. In order to continue this trend. However, it is essential for UNHCR to continue to pursue the full range of durable solutions and ensure that solutions are sustainable, and age, gender and diversity sensitive.

4.14 In its durable solutions programmes, UNHCR is committed to ensuring that 4.14.a voluntary repatriation programmes, conducted in partnership with governments, returnees and local communities enable the sustainable reintegration of refugees. As a part of this, UNHCR will enhance the capacity of local communities to absorb returnees. 4.14.b However, reintegration operations are hampered by fragile security in many situations, restricting both operations and development programmes in areas of return. Other challenges include housing, as well as land and property issues. To address these issues, UNHCR will continue to promote new approaches in all reintegration operations and increase its engagement with development actors and national governments. Furthermore, programming and guidance tools will be improved and mainstreamed into the *Focus/GNA*-training programmes.

4.14.c Local integration programmes encourage and facilitate host countries to grant refugees rights similar to those of citizens and to ensure that they benefit from development assistance available to host communities. In promoting and supporting

local integration, UNHCR will adopt a range of approaches, such as self-reliance strategies, facilitating economic, legal and cultural integration, where possible.

a) Resettlement (Lead: Canada)

4.15 UNHCR aims to integrate the three durable solutions into one comprehensive approach and actively uses resettlement as a protection tool and a means to effect greater responsibility sharing.

4.16 Over the years, the gap between resettlement needs and capacity has increased. UNHCR will try to reduce this gap through deployment schemes, simplified and faster processing procedures and by using resources more efficiently. It will also prioritize the resettlement processing of individuals with the greatest protection risks, including effective use of the Evacuation Transit Mechanisms. Concurrently, UNHCR will enhance partnerships in resettlement through working relations with key stakeholders to improve protection delivery, including resettlement, more broadly. Many resettlement challenges are foreseen in the years ahead, such as effective management of the global resettlement programme; ensuring strategic use of resettlement as part of comprehensive durable solutions efforts, particularly in protracted refugee situations; and, ensuring that resettlement programmes are needs-based, non-discriminatory and achieve successful integration outcomes. Donors will encourage UNHCR to enhance the strategic use of resettlement to provide protection and durable solutions to more refugees globally.

b) Self-reliance and Community participation (Lead: Canada)

4.17 In order to reinforce the effectiveness of three commonly applied durable solutions, partners will seek to enhance the effectiveness of self-reliance activities and increase the participation of beneficiaries in improving their own lives.

4.18 In emergencies, persons of concern are often regarded as passive recipients of external assistance. In the long term, this approach creates dependency. To reduce their vulnerability and long-term reliance on external assistance, displaced persons must be encouraged to help themselves, especially since persons uprooted by conflict currently remain displaced for an average of 17 years. UNHCR urges States to adopt a more positive approach to the promotion of refugee livelihoods and self-reliance, since it is widely acknowledged that displaced persons who are able to live productive lives and who are able to gain a decent education will be better placed to find a durable solution. The enhancement of basic economic and social rights, including gainful employment, is essential to the achievement of self-sufficiency and is vital to the process of re-establishing the dignity of the human person, rebuilding their lives and facilitating a solution to end their plight.

4.19 Many UNHCR operations implement strategies for self-reliance of persons of concern. In developing these strategies, it is essential that interventions be appropriate for the context and lead to sustainable employment and income-generating activities. UNHCR will ensure that programs are based on market demand and are contextually appropriate; build on the existing skills and experience within the target population; and enhance the dignity and options for the displaced.

4.20 In order for humanitarian organizations to improve the quality of their interventions, they must ensure accountability to those they serve. UNHCR's code of conduct, combined with its Age, Gender and Diversity Mainstreaming Strategy, and mandatory participatory planning serve to reinforce the Office's accountability to beneficiaries. Through participatory assessment, people of concern can voice their concerns and mobilise to solve problems within their community. A community-based approach motivates persons of concern to participate in a process that allows them to express their needs and to decide their own future. Donors will encourage regular and ongoing participatory assessments and ensure follow up on the results of these assessments.

### **FOCUS AREA 3: Coordination & Partnerships (Canada to lead at the Focus Area level in 2010)**

4.21 To meet increasingly new and complex humanitarian challenges, it is essential that UNHCR fully engages with international humanitarian system-wide efforts to address the protection and assistance needs of conflict generated IDPs and other affected populations. The cluster approach, pooled financing, leadership, and effective partnerships seek to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership.

4.22 Donors' shared priorities for UNHCR (as global cluster lead for Protection, Emergency Shelter, and Camp Coordination Camp Management) are that UNHCR works with others within the collective framework of responsibilities developed by the IASC; continues to strengthen its collaboration with the IASC, UN agencies, the International Red Cross Movement and NGOs; and dedicates sufficient resources to further mainstream cluster leadership and coordination issues within the organisation's structure, policies and programmes.

4.23 To improve the quality of humanitarian response, donors encourage UNHCR to continue participation in efforts to improve the efficiency of pooled funding mechanisms. As cluster lead in three sectors, a central consideration for UNHCR is ensuring that prioritisation is based on need, as is maintaining strong partnerships and coordination among agencies and the Humanitarian Country Team to maximise the aims of the new funding mechanisms.

4.24 To achieve needs-based strategic and coordinated humanitarian response, it is vital that UNHCR continue to support efforts to strengthen the systems of Resident Coordinators (RC) and Humanitarian Coordinators (HC); support the authority of RCs and HCs in the field; support OCHA's humanitarian co-ordination role to improve the quality of Flash Appeals and Common Humanitarian Action Plans; and strengthen partnerships with other agencies in order to improve joint needs assessments. Full engagement and support of OCHA's development of common needs assessments will enable UNHCR and the humanitarian community to compare needs across sectors and regions to facilitate informed decisions.

4.25 UNHCR is increasingly implementing its programmes through national organisations (NGOs) with local expertise and rapid response capabilities. The Global Humanitarian Platform's 'Principles of Partnership' calls for equitable, transparent, results oriented, complementary partnerships and agreements. Given the major operational role NGOs play in humanitarian response, appropriate frameworks between

NGOs and UN agencies are essential. Donors will support UNHCR efforts to standardise, with other UN agencies, its financial and programmatic arrangements with NGOs.

#### **FOCUS AREA 4: Human Resource & Workforce Management (Lead: Canada)**

4.26 UNHCR's management regularly acknowledges that its most important asset is the strength and commitment of its staff. However, they have also indicated that human resources reforms are difficult to undertake in the context of the . Further to the first Global Staff Survey, UNHCR developed initiatives to respond to concerns, such as an Ethics Office, a Whistleblowers Policy, a Staff-Management Consultative Council, a Career Management Services Section, improved procedures for fast-track deployments in emergencies, a new policy on short-term assignments to reduce the number of staff-in-between-assignments, and the introduction of a new performance appraisal system. These reforms of the Office's human resource management seek to maximize operational effectiveness while also building on and reinforcing staff dedication, integrity and welfare.

4.27 Continuous improvement in human resource and workforce management is crucial to attract the best human resources to fill positions at the right time and the right place. The Office needs to look at how it can best align with new UN system-wide changes to staff contracts policy; improve workforce deployment and appropriate level of representation to remote and dangerous locations; effectively implement its Gender Policy, and, enhance its recruitment procedures. In addition, staff express the desire for a more transparent, streamlined and professional assignments and promotions process. Donors will accompany UNHCR in its human resource improvement to ensure that it contributes to the Office's having a diverse and gender-balanced workforce that is motivated, professional, safe, and meets the current and future needs of the Office.

#### **FOCUS AREA 5: RBM & Resource Allocation, Evaluation**

##### a) RBM and Resource Allocation (Lead: Denmark)

4.28 An effective RBM system is instrumental in enhancing UNHCR's evidence base for advocacy and resource mobilization; bringing greater accountability for results; and generating greater coherence across the organization. In 2006, UNHCR launched a broad programme of reforms to ensure that it would become more effective and efficient in meeting the needs of persons of concern and more results-oriented in its way of operating.

4.29 In 2009, UNHCR embarked on integrating five of its key initiatives to mark a full transition towards a culture of results-based management within the organization: i) the Results Framework; ii) the results-based management systems tool *Focus*; iii) the Global Needs Assessment; iv) the revised budget structure; and v) the Global Management Accountability Framework. All five are closely linked and, collectively, should improve UNHCR's ability to map and express the total needs of populations of concern and carry out more effective and transparent planning to meet those needs.

4.30 The Global Appeal 2010 – 2011 includes the Global Strategic Priorities (GSPs), which reflect areas of critical concern to UNHCR for the biennium. The GSPs will

advance the Office's efforts to address the needs of refugees and others of concern by defining a common set of priorities as a blueprint for global operations in 2010-2011. The GSPs also lay the foundation for presenting a global analysis of gaps in protection and solutions, as well as for gauging the impact of UNHCR's programmes in addressing the most pressing needs of people of concern and identifying areas for improvement in support of operations. With the GSPs and the underlying Results Framework, donors expect that the Office will be able to track and better measure its performance in making a difference to those it serves.

4.31 While UNHCR has embraced RBM as a key means in ensuring a performance-driven organization committed to achieving the right results in its operations in the most effective and efficient manner possible, considerable work remains to be done. Donors consider the following activities to be central to consolidating RBM throughout the organization:

- Improving UNHCR's planning, performance measurement and reporting systems, including the process for refining indicators, baselines and targets;
- Developing measurable performance indicators and targets that include impact measures which are increasingly "SMART" (i.e., Specific, Measurable, Achievable, Relevant and Time-bound);
- Specifying expected results that contribute to objectives and aligning operations, processes, people and resources behind them;
- Engaging in ongoing monitoring and performance/impact assessment and integrating lessons learned into future planning;
- Ensuring accountability of individuals, teams and partners based on continuous feedback to maximise performance.

b) Evaluation (Lead: Canada)

4.32 Evaluations assist the Office to understand the significance and implications of developments and ensure that UNHCR's policies and programmes enable the organization to respond to such challenges in an effective and efficient manner. At the same time, they have an important role to play in encouraging the development of an organizational culture within UNHCR, which is performance-oriented, self-critical, transparent and innovative.

4.33 Donors will insist that UNHCR evaluations meet evaluation norms and standards of the UN evaluations Groups and will assist UNHCR in ensuring that evaluation findings and recommendations are utilized to improve policymaking, planning and resource allocation.

**FOCUS AREA 6: Emergency Preparedness and Response, and Staff Security  
(Canada to lead at the Focus Area level in 2010)**

4.34 Responding to large-scale humanitarian emergencies and concurrent smaller emergencies is a serious challenge for UNHCR and the international system. UNHCR has made good progress on: establishing a central emergency stockpile of non-food items for up to 500,000 people – as part of a Global Stock Management (GSM)

framework -to respond to challenging emergencies; more effective deployments to rapid onset emergencies by improving emergency rosters; and on further enhancing staff security management.

4.35 UNHCR established its new Division of Emergency, Security and Supply (DESS) in 2009 to strengthen the agency's ability to deliver protection and assistance services at the onset of emergencies, by integrating supply chain management and emergency preparedness and response with the necessary staff security coverage for operations. UNHCR's Emergency Preparedness and Response Strategy (January 2010) includes: a reinforcement of protection within all aspects of emergency preparedness and response activities; rules to help streamline the various aspects of UNHCR's emergency response; reiterating the importance of inter-agency coordination; further strengthening external standby agreements to deploy technical expertise in emergencies; and better use of technology (such as GIS mapping, information management, and the inter-agency design of the Humanitarian Early Warning System); and improved supply and logistics management.

4.36 Donors welcome plans to further improve emergency preparedness and response, and overall supply chain management. The immediate challenge is to fine-tune systems, procedures and tools to achieve and maintain timely, flexible, cost-effective supply, also to ensure the availability of the necessary expertise by strengthening the capacity of UNHCR staff and partners. Donors encourage UNHCR to consolidate its emergency standby agreements with partners to improve efficiency.

4.37 The safety of UNHCR and other humanitarian staff is of utmost importance. With increasing exposure to highly dangerous environments (260 humanitarian workers were killed, kidnapped or injured in 2008, the highest number on record), balancing staff safety and uninterrupted humanitarian action places increasing demands on security management and operational planning.

4.38 UNHCR plays an active role in the UN Security Management System including inter-agency efforts to develop the ability to comprehensively assess the balance between staff security and the need to operate in insecure environments ("how-to-stay" rather than "when-to-leave" approach). In 2009, UNHCR has taken a number of steps to enhance security governance, including through the creation of a senior-level Security Steering Committee to review high risk operations. The Field Safety Section has also identified a number of priority areas (FSS Strategy and Priority Actions, December 2009) and is working to enhance: information gathering, network building and analysis of security incidents and trends; the capacity to process and analyze varied information from diverse sources; adapted and location-specific training for staff and security professionals; and MOSS compliance and tracking. UNHCR has redoubled efforts to recruit Field Safety Advisers with the appropriate profile and specific technical skills, including a structural engineer to function as a bomb blast expert. UNHCR co-leads the IASC working group to implement various initiatives aimed at addressing the problem of shrinking humanitarian space.

4.39 Donors welcome UNHCR plans to: increase UNHCR managers' capacity to better integrate security into programme planning; increase situation-specific security training for Field Safety Advisers, managers and staff; and enhance the ability to adapt to realities on the ground (through more community engagement, information gathering, and working with other humanitarian agencies).

## **5 THE STRATEGY FOR MEETING THE OBJECTIVES**

5.1 The donors commit to working jointly and collaboratively to support UNHCR's contribution in resolving the plight of persons of concern. The donors seek to harmonise and align their efforts to further strengthen and support the work of UNHCR with a special emphasis on monitoring areas of UNHCR's results framework, highlighted in this strategy.

5.2 The partners will jointly monitor progress in achieving the targets and in responding to the challenges identified. Review will be conducted annually and will coincide with the most opportune time in UNHCR's planning cycle to influence continuous improvement and effectiveness in achieving results for and with beneficiaries.

5.3 Donors will:

- Identify and maximize opportunities for joint interventions at EXCOM and SCOM on JIS' issues;
- Consult each other in advance of key events of UNHCR's governing and technical meetings as well as UNHCR's management cycle;
- Consult each other in advance of any bilateral approaches to UNHCR and share a record of discussions following such approaches;
- Harmonize their institutional evaluation and / or review of UNHCR to meet their respective due diligence requirements; and
- Participate actively in joint field missions.

5.4 Donors and UNHCR will:

- Encourage and facilitate intra-agency and inter-agencies linkages on JIS issues;
- Raise JIS-related matters with other stakeholder in other fora of interest and seek to build consensus on shared interests with other Executive Committee members;
- Ensure that their staff at headquarters and in the field are aware of the JIS' objectives, expected results and operational implications;
- Review indicators and targets in the Performance Framework annually; and
- Regularly share information on JIS issues.

## **6 PERFORMANCE FRAMEWORK**

6.1 Measurement of progress against the priority objectives (listed in Section 4 of the JIS) will be set out in two biennial Performance Frameworks (PFs). The PFs will be aligned with two terms of UNHCR's biennial planning and budgeting (2010-11 and 2012-13). In order to track performance half way into a biennial planning period, in particular during the first biennium of implementation of the new *Focus* system, and to accommodate the interests and priorities of any new donor partners to the JIS, UNHCR will analyze progress achieved in attaining the GSP targets following the conclusion of the first 12-month period. This will be combined with a general stocktaking with field operations on the basis of their individual achievements against GSP targets, as well as their projections for expected progress in the second year. Funding levels will also impact this stocktaking, as targeted achievements under the GSPs are based on the

assumption of a fully funded Global Needs Assessment budget.

6.2 The new *Focus* system represents progress in UNHCR's ability to plan and measure performance, allowing the organisation to aggregate data from the field to form a global picture. The first planning exercise in *Focus* was conducted in 2009 for the 2010/11 planning period. At the time of finalisation of the JIS, in order to further develop and refine performance measurement resulting from this first exercise, UNHCR was undergoing a comprehensive process of comparison and analysis of baselines and target values, set by field operations, in order to make both operational 'performance' level and 'global' level baselines and target values accurate, consistent across operations, specific and measurable.

6.3 To support UNHCR's new planning, performance measurement and reporting systems, including the process for refining indicators, baselines and targets, the Performance Framework for the JIS is based directly on UNHCR's GSPs. However, recognizing that there is scope for further refinement of performance measurement of GSPs (both at operational level and global level), UNHCR has committed to keeping donors abreast of progress in addressing this and welcomes their input toward this end as an important element of the first biennium of implementation of the JIS. UNHCR has set up an internal working group, which will continually review the use in field operations and at HQs of the set of GSP indicators and propose changes as and when appropriate. Feedback from donors will be a crucial contribution to this process, regarding areas where measurability could be tightened and the wording of indicators and targets strengthened. To achieve this, partners will discuss annually on process and challenges related to data collection and analysis, reporting issues, and intended adjustments in future planning.

6.4 The PF is results-focused and will provide evidence of impact. As outlined in Paragraph 2.2 above, it will be reviewed annually and adapted to changing circumstances over the span of the JIS.

6.5 The PF includes global level outcome targets against the Global Strategic Priorities selected by the three donors. However, output performance targets are established within each country operation in order to plot and track the means of achieving the desired impact. This impact contributes to meeting the global targets set out in the GSPs. UNHCR will provide information on performance against output targets in the country chapters of its annual Global Report to support statements of impact. Selected country examples may be used to illustrate how countries have achieved a certain level of impact contributing to specific GSP targets.

## **7. MONITORING AND EVALUATION**

7.1 The JIS will be monitored using UNHCR's annual Global Reports, an annual joint JIS review meeting, governance board meetings (Standing Committees and Executive Committee), bilateral and trilateral meetings with UNHCR, at senior and working level, annual donor missions, and feedback from donors' country offices and humanitarian staff in the field. As Denmark and Canada also participate in the MOPAN network and its Common Approach assessments,<sup>17</sup> the JIS will also be a dialogue platform for UNHCR and partners in the process of refining the methodology to include humanitarian

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<sup>17</sup> Multilateral Organization Performance Assessment Network: [www.mopanonline.org/commonapproach](http://www.mopanonline.org/commonapproach)

agencies such as UNHCR during the period covered by the JIS.

7.2 Donors and UNHCR will continue to hold annual review meetings to discuss progress against objectives under this Strategy. To support UNHCR's work on improving their data collection and analysis, and to minimise requests for additional reporting, donors will draw on UNHCR's standard reporting (e.g. reports to the Executive Committee and General Assembly, and the Global Annual Report) where possible. UNHCR's Global Report will be published in June of each year for the prior year's implementation period.<sup>18</sup> Inputs from field operations and Headquarters entities will provide the basis for monitoring progress against the GSPs, increasingly supported by data from *Focus*. UNHCR will provide donors with information on progress towards the GSPs included in this Strategy ahead of its publication in the Global Report. This will allow donors to carry out a desk-based review of progress against the GSP objectives, indicators and targets in the period leading up to the annual review meeting, and to provide feedback to UNHCR to inform the review meeting. Following the annual review meeting, donors will provide a joint written analysis of UNHCR's progress and remaining challenges in order to guide priorities for the upcoming period.

7.3 During the first planning biennium, donors will provide feedback to UNHCR to be taken into account in the process of developing the second biennial set of GSPs (2012-2013) which will form the basis of the second PF under the JIS.

7.4 At the end of the four-year JIS, the donors and UNHCR will jointly evaluate the performance of UNHCR to determine the extent to which it has delivered the strategy's objectives and desired impact. The evaluation will also review the effectiveness and efficiency of the joint approach for the JIS to identify and share lessons-learned.

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<sup>18</sup> The first Global Report detailing progress against the 2010-2011 GSPs will be published in June 2011.