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ANNEX I

of the Commission Implementing Decision on the financing of the 2020 annual action programme for the Thematic programme on global public goods and challenges in the area of migration and asylum to be financed from the general budget of the Union

Action document for ‘Lives in Dignity – EU Global Facility - allocation II: reinforcement’

ANNUAL PROGRAMME

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation and action programme/measure in the sense of Articles 2 and 3 of Regulation N° 236/2014.

1. Title/basic act/ CRIS number	‘Lives in Dignity EU Global Facility – allocation II: reinforcement’ CRIS Decision number MIGR/2020/042-704 financed under the Development Cooperation Instrument (DCI)	
2. Zone benefiting from the ac- tion/location	Global The action will be carried out in the following locations: Sub-Saharan Africa, Asia, the Caribbean, Central and Latin America, and the Pacific.	
3. Programming document	Multi-annual indicative programme for the 2018-2020 thematic programme "Global Public Goods and Challenges"	
4. SDGs	Overall objective to ‘leave no-one behind’; SDG targets 10.7 (migration), as well as 3.8 (health coverage), 4.3 (access to education), 5.1 and 5.2 (gender equality and trafficking), 11.1 (urban development), 16.7 and 16.b (inclusive decision-making, non-discrimination).	
5. Sector of inter- vention/ thematic area	Migration and asylum	Dev. Assistance: YES
6. Amounts con-	Total estimated cost: EUR 20 000 000 + possible co-financing	

cerned	Total amount of EU budget contribution: EUR 20 000 000 This action may benefit from joint co-financing by other donors			
7. Aid modality(ies) and implementation modality(ies)	Project modality Indirect management with the United Nations Office for Project Services (UNOPS)			
8 a) DAC code(s)	15190 Facilitation of orderly, safe, regular and responsible migration and mobility			
b) Main delivery channel	- 41000 – United Nations Office for Project Services (UNOPS)			
9. Markers (from CRIS DAC form) *<u>Migration</u> Marker: 2	General policy objective	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Aid to environment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's Empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, maternal, new born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Internal markers	Not targeted	Significant objective	Principal objective
	Digitalisation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Migration ¹ (Posting criteria not in CRIS DAC form but in financial breakdown)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

¹ This marker has a broader scope than the 'Facilitation of orderly, safe, regular and responsible migration and mobility' DAC sector code 15190. For more information and details (notably on the encoding in ABAC and CRIS), please refer to note Ares(2019)627611 of February 2019.

10. Global public goods and challenges (GPGC) thematic flag-ships	N/A
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SUMMARY

The new action '*Lives in Dignity – EU Global Facility – allocation II: reinforcement*', under 2020 the Annual Action Programme on Migration and Asylum, is a reinforcement of the '*Lives in Dignity – EU Global Facility*', adopted by the Commission in August 2019.

The **2019 '*Lives in Dignity – EU Global Facility*'** is geared towards helping multilateral institutions and host governments engage in development-led and whole-of-society responses to forced displacement situations. The '*Lives in Dignity – EU Global Facility*' **comprises two projects** – one focusing on the multilateral system's capacity to respond to forced displacement situations and one focusing on operational support to specific refugee situations. Specifically, **project 1** provides support to United Nations High Commissioner for Refugees (UNHCR) and the World Bank –on policy development, data and evidence, coordination and preparedness (corresponding to components 1 and 2 of GPGC MIP 2018-2020); and **project 2** will set up an operational mechanism with United Nations Office for Project Services (UNOPS) to provide seed funding for key development measures (regional, national or local) in specific refugee situations (corresponding to component 3).

This action reinforces project 2 with UNOPS, as a key partner, and new and existing refugee situations as the area of intervention. The Facility will also seek to support the implementation of the recommendations of the High Level Panel for Internal Displacement.

The action builds on the EU's successful championing of a development-led approach to forced displacement throughout the Middle East, the Horn of Africa and South Asia. It will demonstrate the EU's commitment to international responsibility sharing and to implementing the commitments it made at the **first Global Refugee Forum** (December 2019).

As this action **reinforces of the '*Lives in Dignity*' – EU Global Facility**, it follows the **same intervention logic and contributes to the same overall and specific objectives as the original action**. The action's overall objective is that refugees and other displaced persons become productive members of their host communities and participate in furthering their common resilience, socio-economic growth and development. To achieve the overall and specific objectives, '*Lives in Dignity*' – EU Global Facility will deliver results under three interlinked strands of activity.

- (1) Support to enhanced quality and use of data and evidence, notably with regard to socio-economic development impacts of forced displacement, improved national statistics relevant to forced displacement and asylum and better measurements of the quality of responses (component 1);
- (2) Support to governments and key stakeholders through technical assistance, capacity-building and coordination at regional and country level (component 2);
- (3) Seed funding to promote development-oriented policy approaches to new, recurrent and protracted refugee crises (component 3).

The action's scope will be global with initial support to new or complex crises at regional level. It should cover new, recurrent and protracted refugee situations, prioritising countries:

- (i) with large numbers of people of concern; and
- (ii) where there is scope for active engagement by development actors.

A rights-based approach will underpin all of the action's measures. The specific conditions of young people, women and other vulnerable people will guide the activities and close attention will be paid to the climate change and environmental impact. The Facility has a global scope and will run for an initial period of 4 years with a view to delivering results by the second Global Refugee Forum in 2023. This period can be extended once the activities are up and running.

This action will be implemented in a COVID-19 context and adapted as necessary for a successful completion.

1. CONTEXT ANALYSIS

1.1. Context description

In the past decade, the **global forced displacement crisis** increased in scale and complexity. The total number of forcibly displaced people worldwide jumped from 43.9 million in 2009 to 70.8 million in 2018². In 2018, 28 million people were newly internally displaced due to conflict and disasters. Almost two-thirds of all new internal displacement were triggered by disasters, the vast majority weather-related³. An average of 37000 people per day were newly displaced in 2018⁴. Today, most displacement crises last for more than 10 years.

Conflicts in five countries produced over two-thirds of the world's refugee population (Syria, Afghanistan, South Sudan, Somalia and Myanmar). Since 2014, the main country of origin for refugees has been Syria (6.7 million). Refugees from Afghanistan were the second largest group by country of origin (2.7 million, officially registered), in what has remained a significant population since the 1980s. Since 2017, the largest new refugee crises have been the Rohingya refugee crisis (1.1 million) – mainly affecting Bangladesh – and the Venezuelan migrant and refugee crisis (over 3 million) – affecting all neighbouring countries. Sub-Saharan Africa, South Sudan (2.3 million), Somalia (just under 1 million), Sudan and the DRC remain the largest refugee-producing countries. The number of unresolved conflicts worldwide has pushed the figure of **protracted refugee crises** (i.e. refugees displaced for more than 5 years) **to 78% (15.9 million refugees) up** from 66% the year before⁵. In 2017, **developing regions hosted 85% of the world's refugees**, with the least developed countries providing asylum for one-third of the global total⁶.

In terms of **internal displacement**, the 2018 trends mirrored those of previous years: conflict drove internal displacement in Sub-Saharan Africa, the Middle East and Latin America, as

² Global Trends, Forced Displacement in 2018, (United Nations High Commissioner for Refugees, 2019).

³ Global Report on Internal Displacement in 2018, (Internal Displacement Monitoring Centre, 2019).

⁴ Global Trends, Forced Displacement in 2018, (United Nations High Commissioner for Refugees, 2019).

⁵ Ibid.

⁶ Ibid.

well as significant new displacement in South Asia and the Pacific⁷. Disaster-induced displacement was most prevalent in East Asia and the Pacific, South Asia and the Americas⁸.

Forcibly displaced persons face specific vulnerabilities, including loss of assets, psychological trauma, limited rights, lack of opportunities, a protection risk, and an inability to plan their lives. More than before, **displaced populations cannot access traditional durable solutions** — return, resettlement or local integration — and remain in limbo in large refugee camps or urban areas. These vulnerabilities can be exacerbated for certain groups, including (i) women and girls who might face gender-based violence and abuse; (ii) children, especially unaccompanied and separated from their families; (iii) for child-headed and single-parent households; (iv) victims of trafficking; (v) victims of trauma; (vi) people belonging to minorities; (vii) refugees with disabilities; and (viii) elders.

Host communities are overwhelmingly in developing countries, often in countries' poorest regions. These communities have to pursue their own development efforts in an environment that has often been transformed by a large inflow of newcomers. As such, the **impact of protracted displacement is substantial for both the displaced and for the host community**. The loss of human and development potential of both populations can be significant if these situations are left unaddressed.

1.2. Policy framework (Global, EU)

Addressing the causes and consequences of forced displacement is an important part of EU development cooperation policy and strong EU engagement in this area is acknowledged at global level. The EU reaffirmed its commitment to this agenda at the **first Global Refugee Forum** at the end of 2019, **highlighting the EUR 8.85 billion in development funding 2016-2019 granted to assist refugees and their host communities** in developing countries. The 'Lives in Dignity – EU Global Facility' was among the deliverables presented at the Forum.

In 2016, the EU led the way in recognising the need for a paradigm shift in addressing forced displacement, to deal with the increased size and complexity of forced displacement crises worldwide. The EU and its Member States agreed on the need to address forced displacement in a comprehensive — political, development and humanitarian — manner from the outset of displacement crises, to promote self-reliance and resilience of the displaced and their host communities. The EU adopted the **Communication 'Lives in Dignity: from Aid-dependence to Self-reliance'**⁹, laying out the new policy framework, which Member States subscribed to in the accompanying Council Conclusions¹⁰. Subsequently, the **2017 European Consensus on Development**¹¹ reiterated the positive contribution of well-managed migration to inclusive growth and sustainable development while acknowledging the challenges posed, particularly by irregular migration and forced displacement.

⁷ Global Report on Internal Displacement 2018, (Internal Displacement Monitoring Centre (IDMC), 2018).

⁸ Ibid.

⁹ Communication 'Lives in Dignity: from Aid-dependence to Self-reliance' COM(2016) 234 final.

¹⁰ Council conclusions on the EU approach to forced displacement and development, 2016.

¹¹ The New European Consensus on Development, 2017.

At global level, the **2030 Agenda**¹² call to ‘leave no-one behind’ and manage migration effectively - including forced displacement - was followed by the 2016 **New York Declaration for Refugees and Migrants**¹³. The Declaration laid out the **Comprehensive Refugee Response Framework** (CRRF) to address refugee situations, and called on UNHCR to propose a Global Compact on Refugees to the United Nations General Assembly in 2018. Fully in line with EU policy on forced displacement and development, the EU has been at the forefront of the roll-out of the CRRF framework, most notably in the Horn of Africa and Central America. The CRRF stresses the importance of identifying specific assistance needs and protection arrangements, where possible, including for refugees with special protection concerns such as: (i) women at risk; (ii) children, especially unaccompanied children and children separated from their families; (iii) for child-headed and single-parent households; (iv) victims of trafficking; (v) victims of trauma and survivors of sexual violence; (vi) as well as for refugees with disabilities and (vii) elders.

The **Global Compact on Refugees** (GCR)¹⁴ was affirmed by the UN General Assembly in December 2018. The Compact reflects longstanding EU priorities on development-focused responses to forced displacement and the value of multilateral engagement. It confirms the need for equitable and predictable international responsibility sharing to find sustainable solutions to refugee situations. Echoing similar observations to those made in the Communication on Lives in Dignity, the GCR underlines the critical need for quality data and evidence to inform better responses.

While the **rapidly evolving COVID-19 pandemic** affects people without discrimination, **forcibly displaced populations** and their **host communities**, are likely to be **harder hit due to existing vulnerabilities and weak coping mechanisms** (limited access to health care, basic sanitation and hygiene services). The COVID-19 pandemic is also fast becoming the **largest mobility crisis ever seen**, impacting refugees and internally displaced persons (IDPs). This crisis is changing patterns of and acceptance towards mobile populations, including refugees and IDPs. It is also changing border and migration management policies, including how to address the root causes of irregular migration. This action will **address the socio-economic impact of COVID-19** on refugees, IDPs and their host communities, with a focus on people living in the most vulnerable situations.

The EU has **strongly supported the establishment of a High Level Panel on IDPs**, to address the persisting needs of larger, protracted IDP populations. The Panel was inaugurated in early 2020 and is expected, after in-depth, multi-stakeholder consultations, to deliver its recommendations in the second half of 2021. This action will help **implement the Panel’s key recommendations, in line with EU policy**, in both new and longstanding IDP situations.

This action will take a rights-based approach that integrates gender mainstreaming by aligning with these commitments and by contributing to the **EU gender action plan II**¹⁵, notably objectives 7, 8, 9 and 10 of Part B ‘physical and psychological integrity’¹⁶.

¹² Transforming our world; the 2030 Agenda for Sustainable Development, United Nations 2015.

¹³ New York Declaration for Refugees and Migrants, 2016.

¹⁴ Global Compact on Refugees, 2018.

¹⁵ [EU gender action plan II](#)

1.3. Public policy analysis of the partner country/region

While this action is global and cannot make specific arrangements for particular regions and countries, it is important to underline the EU's analysis on the global displacement that has been echoed at global level.

The 2016 Commission staff working document¹⁷ accompanying the 'Lives in Dignity' Communication clearly outlines the **challenges faced by refugees, IDP's and host communities during large protracted displacement crises - particularly the most vulnerable**. Host countries' political and legal frameworks for forcibly displaced persons can vary greatly in terms of the right to work, freedom of movement – closely related to encampment policies – or other important rights such as land use and ownership and legal registration. **Camps** are widespread, but globally, the majority of refugees and IDPs live outside of camps. In fact, many settle in urban or rural areas or rent housing from local communities. The diversity of settlements implies different realities and therefore different ways of assisting the populations in need. Political will and economic capacity can also vary significantly between a country's different regions. Taken together, the **legal frameworks of individual host countries** (and their implementation at local level) determine the possibilities for (temporary) inclusion of refugees and IDPs in society and set the parameters of humanitarian and development programming.

As already mentioned, most of the global refugee and internally displaced population is hosted in developing countries. Countries hosting a large number of refugees and IDPs include least developed countries (such as Afghanistan, Chad, Ethiopia and Bangladesh), lower middle-income countries (such as Egypt, Ukraine and Pakistan) and upper middle-income countries (such as Iraq, Iran, Jordan, Lebanon or Turkey). Major population movements in these countries can impact negatively on local economies and service-delivery systems, if not well-managed.

The new paradigm on forced displacement described in the 'Lives in Dignity' Communication, and enshrined in the Comprehensive Refugee Response Framework (CRRF), is based on the recognition that there needs to be more complementarity between the approaches of humanitarian, development and peace actors in this area, to overcome the challenges described above.

First, **measures should be government-owned** to overcome policy barriers to the self-reliance and resilience of refugees, IDPs and host communities. Second, **the right stakeholders should be involved** – whether private sector actors, civil society organisations, multilateral development banks or regional bodies – to promote a **whole-of-society approach** to ensure that investments and initiatives do not take place in silos. Third, as investment by development and humanitarian actors can influence the impact of forced displacement on refugees, IDPs and host communities – at local, national and regional level – **assistance should be**

¹⁶ Objective 7 'girls and women free from all forms of violence against them (VAWG) both in the public and in the private sphere'; objective 8 'trafficking of girls and women for all forms of exploitation eliminated'; objective 9 'protection for all women and men of all ages from sexual and gender based violence in crisis situations; through EU supported operations'; objective 10 'equal access to quality preventive, curative and rehabilitative physical and mental health care services for girls and women'.

¹⁷ [SWD\(2016\) 142 final](#)

channelled through existing service-delivery systems and should enable refugees, IDPs and host communities to exercise their rights. The CRRF enshrines these principles, focusing on four key areas: (1) reception and admission (2) support for immediate and ongoing needs of refugees and host communities, with a focus on women, girls, children, adolescents and youth (3) support for inclusive services and integrated development planning; and (4) support for durable solutions and alternative pathways.

Following the 2016 New York Declaration, the practical roll-out of the CRRF in 15 countries – based on this model - has helped to inform the GCR. First, as individual countries: Afghanistan, Chad, Rwanda, and Zambia. Second, through regional approaches: (1) the Nairobi Declaration/IGAD process to address the Somali situation, involving: Ethiopia, Djibouti, Somalia Kenya and Uganda; and (2) the MIRPS (Comprehensive Regional Protection and Solutions Framework) process involving: Belize, Costa Rica, Guatemala, Honduras, Mexico and Panama.

The GCR, which incorporates the CRRF and has set out a Plan of Action. Although the GCR and the EU's policy approach on forced displacement is widely accepted, including by the host countries, its success in new, recurrent and protracted crises depends on strong engagement and responsibility sharing by the international community. The international community concretely delivered on its pledge at the Global Refugee Forum in December 2019. The second Forum in December 2023 will provide the next opportunity to provide an update on progress.

1.4. Stakeholder analysis

In all targeted countries, key stakeholders include:

- **Forcibly displaced persons and their host communities** as beneficiaries of the action and primary rights holders. Displaced persons' ability to enjoy their human rights can be limited due to their insecure legal status, and the fact that they are in an unfamiliar environment and have often experienced traumatic events. Therefore, they are often not aware of their rights and informally excluded from decision-making and legal redress mechanisms. The action will target **people with specific needs** (as defined by the GCR).
- **Relevant line ministries** for employment, social protection and specific sectors (education, health, water, sanitation and hygiene (WASH), environment) as well as refugee affairs and related public bodies at regional and local level, as main duty bearers.
- **Private sector service providers** for employment (e.g. technical and vocational education and training providers), service-delivery (e.g. water, energy and health) and finance-related services.
- **Chambers of commerce, organisations representing workers**, employers and the self-employed, including in the informal sector.
- **Civil society organisations** supporting responses to forced displacement and often representing the interests, rights and needs of the forcibly displaced.
- **Regional bodies**, such as IGAD, ASEAN, LOAS, CELAC or ECOWAS and others.

- **UN and international agencies** active in the field of forced displacement and development, notably UNHCR, IOM, UNDP, UNICEF, UNHABITAT and the World Bank.
- **International non-governmental organisations** (INGO's) active in the field of forced displacement and development.

1.5. Problem analysis/priority areas for support

Better evidence and data is central to the new policy paradigm on forced displacement, and pressing gaps remain. Global-level data underpin the international agenda and political debates. They drive both social perceptions and the prioritisation of measures across countries. Country-level data are key to policy making, programming and an effective use of scarce resources. They are necessary for building evidence to inform the design of host countries' policies. They are also critical for targeting aid resources effectively.

The importance of data was emphasised in the 2016 New York Declaration and in the Global Compact on Refugees (paragraphs 45-48). In particular, the importance developing harmonised or interoperable standards for collecting, analysing, and sharing age, sex, disability, and diversity disaggregated data on refugees and returnees, that fully respect data protection and privacy principles. Understanding and analysing the impact of intersecting personal characteristics on people's experiences of forced displacement are necessary to mount an effective response.

A number of data sets are available, but their quality and comprehensiveness are often insufficient to allow for sound decision-making. A key challenge is to improve the collection and coverage of 'micro-data' (e.g. household-level socio-economic data, disaggregated data) to ensure quality, timeliness, usefulness, data protection and privacy. Such collection should be and involve the use of country systems where appropriate. Efforts are under way but challenges remain, including methodological issues, practical barriers (access, capacity, etc.), and resource availability. To further scale up these efforts, UNHCR and the World Bank Group have decided to jointly establish and operate a **Joint Data Centre** in Copenhagen.

In addition to data, there have been other difficulties with CRRF roll-out. It has been challenging, for example, to put the new policy paradigm into practice at country and regional level, where relevant technical capacity remains scarce, and the additional start-up costs for aligning humanitarian and development-focused coordination and mappings aids have been high¹⁸. Targeted measures are needed to ensure: (i) **early coordination with a development focus**; (ii) overcoming the silo-based response to crises; and (iii) support to governments and key stakeholders in the form of technical assistance, capacity-building and coordination at regional and country-level.

Resources need to be made available so that immediate action can be taken to support development-oriented policy approaches to new, recurrent and protracted refugee situations. Early adequate intervention can shape the following steps and ensure that development-oriented approaches are decisively implemented across the board.

¹⁸ CRRF progress report and first progress report of Nairobi Declaration and Plan of Action.

2. RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
<p>(1) Loss of engagement of governments in the selected countries, or unwillingness to address sensitive issues.</p> <p>(2) Host communities become more negative towards the displaced and social conflicts arise.</p> <p>(3) Target populations or intermediaries could be exposed to violence.</p> <p>(4) Increased or renewed displacement leads to greater needs or perceived gaps in assistance.</p> <p>(5) The ‘all-society-approach’ is not gender responsive or inclusive of the needs and interests of people in the most vulnerable situations</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>(1) The EU and its partners will actively engage with selected countries, including through policy dialogue with governments and other key stakeholders.</p> <p>(2) The implementing partner selected for each country will monitor the development of social tensions. While the implementation of programming benefitting both displaced populations and host communities, applying a ‘do no harm’ principle, should reduce the potential for tension, this could also be accompanied by awareness-raising activities where necessary.</p> <p>(2&3) Rights holders, namely migrants and displaced populations, and civil society organizations (CSOs) representing their interests and rights, are included throughout the formulation and implementation process.</p> <p>(3) Actions by the EU and other organizations, including UNHCR, aim to improve the protection of displaced persons, and generally prevent violence and fight impunity.</p> <p>(4) The EU actively engages in the specific crisis selected for intervention. If needed, more support for the specific country or those in the region might need to be mobilised. By building national capacity, the action also helps build preparedness in future displacement situations.</p> <p>(5) The EU will help host countries apply a human rights and gender sensitive approach by building national capacities, especially for data collection and analysis to inform decision-making.</p>

Assumptions

- Coordination mechanisms across key governmental stakeholders enable joint work and ensure a critical degree of political leadership and guidance.
- Willingness of partner countries to rely on UNHCR expertise.
- Partner countries and regional organisations are committed to implementing the SDGs and most of them are also committed to the objectives of the Global Compact on Refugees, and therefore willing to improve their governance and institutional frameworks on migration.
- Other target groups (refugees, host communities, etc.) seize the opportunity to benefit from the available resources.

3. LESSONS LEARNT AND COMPLEMENTARITY

3.1. Lessons learnt

Based on the lessons from its own cooperation policy as well as from the global paradigm shift, in 2016 the EU adopted a development-led approach to forced displacement. It emphasises the need to mobilise political, developmental and humanitarian tools from the outset of a forced displacement crisis and to boost the resilience and self-reliance of forcibly displaced persons and their host communities in an integrated manner.

Adopting a **needs rather than a status-based approach was one of the key lessons** incorporated in this approach. This relies on better data and evidence to understand the vulnerabilities of the displaced populations, and their host communities. In response, the World Bank Group and UNHCR have significantly stepped up the scale and scope of joint initiatives on data collection and analysis in recent years. This has drawn on experience and insights gleaned from previous cooperation on a series of analytical studies in the Horn of Africa, the Middle East and the Lake Chad Basin. The two organisations are currently collaborating to: (i) improve UNHCR's global registration system; (ii) to manage the World Bank Group's household surveys on forcibly displaced populations; and (iii) start the developing a data library on displaced populations which will gather, document, catalogue, disseminate and preserve relevant datasets.

A 2018 review of socio-economic assessment studies reinforced the need for a more consistent approach. It showed a substantial variation in technical robustness between studies, with quality highly dependent on having a reputable survey firm. This indicates that UNHCR does not have the capacity to technically assess, guide and perform a quality control on these survey firms. Specific observations include weaknesses on sampling that diminishes the utility of surveys and issues related to questionnaire design and alignment to similar theoretical concepts. In the first phase of the 'Lives in Dignity' – EU Global Facility¹⁹, adopted by the Commission in August, 2019²⁰, the EU is supporting the UNHCR-World Bank Joint Data Centre.

Broader lessons of particular relevance to the proposed action include the need to recognise and integrate the key role of local authorities and authoritative actors in both short and long-

¹⁹ 'Lives in Dignity' – EU Global Facility, 2019

²⁰ C(2019) 5456 final

term responses and to that ensure comprehensive approaches integrate humanitarian, development and also political dimensions of displacement situations²¹.

The Global Compact on Refugees refers to the importance of data protection and data privacy principles and states that they should be applied when collecting and disseminating personal data, in addition to the principles of necessity, proportionality, and confidentiality. This also reflects lessons learnt by the humanitarian and development community and the EU in its external action. This is particularly important for the personal data of forcibly displaced persons, who are often vulnerable and disenfranchised.

3.2 Complementarity, synergy and donor coordination

Since the design of the 2014-2020 GPGC – migration and asylum programme, the overall migration situation has developed dramatically. To reflect the overall change in context and the paradigm shift in the policy on forced displacement described earlier, the revised 2018-2020 multiannual indicative programme, included the objective to ‘implement the development oriented approach towards forced displacement’. Moreover, the increased attention to forced displacement at global and EU level, including notably the roll-out of the Comprehensive Refugee Response Framework (CRRF), has led to a sharp increase in funding under other instruments and programmes, notably the EU Trust Fund for Africa – in particular to support the roll-out of the CRRF in the Horn of Africa, the EU Regional Trust Fund in Response to the Syrian Crisis, and large sizable allocations for countries in Asia – Afghanistan, Iraq and Bangladesh – under the Development Cooperation Instrument (DCI).

These instruments and programmes have supported various sub-sectors, including (i) primary education and technical and vocational educational training (TVET), (ii) primary healthcare and maternal health, (iii) nutrition and food security, (iv) livelihoods and economic opportunities, (v) water, sanitation and hygiene (WASH) and (vi) conflict mitigation and social cohesion programmes. All programmes benefit both forcibly displaced persons and as host communities and focus on delivering aid through existing tools and/or building the capacity of local, sub-national or national authorities to deliver it. Examples of EU support include: (i) support to education, health and protection for children on the move in Afghanistan and Iran (with UNICEF); (ii) support for service-delivery of cities responding the Venezuelan migrant and refugee crisis (with UNHABITAT, IOM and UNHCR); (iii) support for business development and livelihoods of Afghan refugees and their hosts (lead by the Norwegian Refugee Council); and (iv) building community resilience in Yemen (IOM and ACTED).

This action will work closely with existing EU programmes on forced displacement and complement EU bilateral development support in the countries affected. It will complement national and regional level actions by engaging also at global and cross-regional levels and applying lessons learnt from current and upcoming studies.

To ensure complementarity, synergy and coordination, the Commission may sign or enter into joint donor coordination declarations or statements and may participate in donor coordination structures, as part of its budget implementation prerogative and to safeguard the financial interests of the Union.

²¹ SWD(2016) 142 final

4. DESCRIPTION OF THE ACTION

4.1. Overall objective, specific objective(s), expected outputs and indicative activities

This action **reinforces ‘Lives in Dignity’ – EU Global Facility**, adopted by the Commission in August 2019 (C(2019) 5456 final). The **Facility comprises two projects**: (1) support to UNHCR and the World Bank – focused on policy development, data and evidence, coordination and preparedness; and (2) UNOPS – focused on supporting key development measures (regional, national or local) in specific refugee situations, through seed funding. **This action reinforces of the UNOPS project – corresponding to component 3 of the intervention logic and the log frame.** As such, it follows the same intervention logic and contributes to the same overall and specific objectives as ‘Lives in Dignity’ – EU Global Facility.

The **overall objective** of ‘Lives in Dignity – EU Global Facility’ is to help refugees and other displaced persons become accepted and productive members of their host communities and participate in furthering their common socio-economic resilience, growth and development.

Its two **specific objectives** are:

SO1: Stakeholders **make greater use of** relevant quality **data** (including statistics) **and analysis** of the socio-economic and wider environmental impact of a refugee situation as well as of improved evidence on the effects of interventions.

SO2: **More effective development-oriented policy** decisions by host countries, donors, development partners, UNHCR, the UN system and other stakeholders **when responding to new, recurrent and protracted refugee situations.**

The two specific objectives will be pursued through activities across all three components as outlined in the log frame.

Indicative activities by component (relevant SO in brackets)

Component 3: Early operational engagement with a development-focus

Output 3.1: Operational engagement of development actors (notably local actors, UN system agencies, international NGOs) enabled and integrated in new, recurrent or protracted refugee situations.

This component will provide technical and operational support to foster the early operational engagement of development actors (notably local actors, UN system agencies, international NGOs) in new, recurrent or protracted refugee situations.

For this component, human rights and gender-responsive methodologies will be promoted based on; (1) participation and inclusion, by ensuring that capacities and priorities of women, men, girls, and boys of diverse backgrounds, particularly those with specific needs, are incorporated into early response projects; (2) communication and transparency, by detailing the operation’s approach to communicating with women, men, girls, and boys of diverse backgrounds, particularly those with specific needs through means that are appropriate and accessible to all; and (3) accountability, by establishing and promoting feedback and response systems, including for confidential complaints.

It will provide seed funding for projects of critical relevance for development-oriented approaches including economic livelihood development, spatial planning, housing & settlement, integrated service delivery, as well as protection in development (including access to justice/rule of law, registration and issuance of documentation, counselling and psychosocial, resilience support, tackling gender-based violence - focusing on people with specific needs).

These projects need to begin within the first 6 months of a new crisis, in order to have any real impact on the implementation modalities chosen. In the first phase of the Facility, priority will be given to measures that support the COVID-19 response for refugees and other people of concern, particularly the most vulnerable, in line with a development-focused approach.

4.2. Intervention logic

The three components of ‘Lives in Dignity – EU Global Facility’ –which this action reinforces – are expected to mutually reinforce each other to achieve the overall objective. They aim to generate high quality data respecting the human rights approach to data (i.e. participation, data disaggregation, self-identification, transparency, privacy and accountability principles) and promote its use among relevant stakeholders. Both the relevance and feasibility of development-focused, rights-based and gender-responsive approaches will be empirically demonstrated and disseminated among relevant stakeholders.

Engagement will be fostered through activities that promote, support and advance ownership and a shared definition of purpose, responsibility, management and accountability.

Greater policy-relevant knowledge in this area will be produced as a public good but also as an input to the work of components 2 and 3.

Component 2 will introduce a procedure for sustained international solidarity to provide support in specific situations, including through the early engagement of development actors. Filling critical human resource gaps will also help to liaise with stakeholders (including duty bearers and rights holders) that are often excluded from organised early warning, preparedness and broader responses to displacement (civil society, private sector, wider development actors). Overall this will strengthen attention on the development dimension of displacement and the ability to systematically incorporate it into policy and practice.

The latter will be supported through component 3, which will provide seed funding in key displacement situations. This will help manage the risk that resource constraints prevent relevant engagement or that coordination platforms and data influence only policy but do not impact on operational practice quickly enough.

In turn, outputs under components 1 & 2 should provide means to disseminate and promote pilot activities under component 3, ideally creating a virtuous circle of engagement in pursuit of GCR objectives.

4.3. Mainstreaming

4.3.1. Gender

Gender must be considered systematically when working on forced displacement in general, as forced displacement and gender mutually affect each other. For example, some drivers of forced displacement may be more prevalent for women. Forced displacement is likely to impact gender relations, either entrenching inequalities or traditional roles or challenging and

changing them through empowerment. In many cases, women and men are forced to take on new responsibilities at odds with their traditional gendered social roles, leading to a shift of gender roles that might create new opportunities but also challenges.

Forced displacement also presents different dangers for women than for men. Globally, women tend to find themselves at risk of physical, sexual and verbal abuse at all stages of forced displacement. In countries of residence, refugee women may experience a double dose of discrimination for being foreign-born and female. While accepting that refugees are not inherently vulnerable, we must acknowledge that refugee women and girls face specific risks. Policies and programming need to fully take these aspects into account. This action will ensure that gender issues are fully considered when addressing forced displacement in target countries and regional organisations.

The action will also take a gender mainstreaming and gender representativeness approach, by striving to ensure a gender balance in the experts' and public servants participating in its activities.

4.3.2. Human rights:

The Global Compact on Refugees is based on international human rights law and upholds the principles of non-regression and non-discrimination. The action will therefore promote international and EU human rights standards, principles, policies and practices, as well as mainstream a human rights-based approach in its measures (through participation in decision-making).

The action will ensure that refugees with vulnerabilities at individual, household and community level are taken into account in national and regional legislation and policies. The role of public authorities as primary duty bearers will be ensured, as well as the participation of refugees and displaced people as rights holders where feasible.

The action will help increase the empowerment of rights holders, notably women.

4.3.3. Environment and climate change

Forced displacement is cross-cutting by nature. Policy coherence is necessary, particularly to ensure that public policies complement one another (e.g. employment, labour, development, trade, education, health, and environmental policies). The action will therefore facilitate policy and institutional coherence at different stages of intervention. It is important to take environmental disasters and climate change into account as causes of and aggravating factors for situations of forced displacement. Displacement may also have a detrimental effect on the environment, increasing the pressure on already scarce natural resources. With livelihoods and assets increasingly more exposed and vulnerable to climate variability, there might be a need to strengthen development-oriented responses that take this variability into account.

4.3.4. Resilience and conflict sensitivity

All EU action in a fragile and/or conflict-affected or conflict-prone setting can, and is likely to, have an impact on conflict or on conflict risks. This is particularly true for an action on refugees, who have been affected by conflict. The EU and Member States have committed to integrate conflict sensitivity in all their work and to support resilience at all levels. The concept of **resilience**, as broadened in the **2017 Communication on a Strategic Approach to**

Resilience²² refers to the ability of an individual, a household, a community, a country or a region to withstand, adapt to and quickly recover from stresses and shocks. The Communication also refers to state and societal resilience as a broad concept encompassing all individuals and the whole of society that features democracy, trust in institutions and the capacity to reform.

The EU has also engaged in an integrated approach to conflict and crisis, based on the **EU global strategy**²³, which provides for any action to be assessed through the lens of conflict sensitivity. Programming and the designing of measures should be informed by conflict analysis in order to maximise their impact and ensure that they do not cause harm ('do no harm' principle), thereby contributing to conflict prevention and peacebuilding.

4.4. Contribution to the Sustainable Development Goals

This action is relevant to the 2030 Agenda, notably the focus on the '*leave no-one behind*' principle. The 2030 Agenda includes displaced populations as a target group in all Sustainable Development Goals (SDGs).

The action's focus on data will support efforts to make the SDGs relevant to displaced populations by integrating them/making them visible in relevant data gathering exercises.

Beyond this, it contributes directly to the following SDG targets: 10.7 (migration); 3.8 (health coverage); 4.3 (access to education); 5.1 and 5.2 (gender equality and trafficking); 11.1 (urban development); and 16.7 and 16.b (inclusive decision-making and non-discrimination).

5. IMPLEMENTATION

5.1. Financing agreement

To implement this action no financing agreement is planned.

5.2. Indicative implementation period

The indicative implementation period of this action, during which the activities described in Section 4 will be carried out and the corresponding contracts and agreements implemented, is 48 months from the date of the Commission's adoption of this financing decision.

Any extensions to the implementation period may be agreed by the Commission's authorising officer by amending this decision and the relevant contracts and agreements.

²² 'A Strategic Approach to Resilience in the EU's External Action', JOIN(2017) 21 final

²³ 'Shared Vision, Common Action: A Stronger Europe': A Global Strategy for the European Union's Foreign and Security Policy, 2016.

5.3. Implementation rules

The Commission will ensure that the appropriate EU rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures²⁴.

5.3.1. Indirect management with UNOPS

The action may be implemented in indirect management with the United Nations Office for Project Services (UNOPS).

The implementation entails: (i) project management, (ii) financial management; (iii) providing reports to donors; (iv) launching calls for tender and for proposals; (v) defining eligibility, selection and award criteria; (vi) evaluating calls for tenders and proposals; (vii) awarding grants and contracts to support specific objective 2 and activities under component 3 as described in Section 4.1 above.

The envisaged entity has been selected using the following criteria. UNOPS has the operational capacity and ability to support engagement globally in a flexible and fast manner and can provide – in close coordination with UNHCR and key development partners such as the World Bank and UNDP – value added in fostering a development-focused approach on displacement.

In case the envisaged entity would need to be replaced, the Commission’s services may select another replacement entity using the same criteria. If the entity is replaced the decision to replace it needs to be justified.

5.4. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions.

The Commission’s authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.5. Indicative budget

	EU contribution (amount in EUR)	Indicative third party contribution, in cur- rency identified
5.3.1 - Indirect management with UNOPS	20 000 000	To be determined

²⁴ www.sanctionsmap.eu – please note that this IT tool identifies the sanctions regimes. The sanctions stem from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website, the OJ version prevails.

Specific objective 2 - Development-logic applied in refugee crises Component 3	19 800 000	
5.8 - Evaluation, 5.9 -audit	Might be covered by another decision	N.A.
5.10 - Communication and visibility	200 000	To be determined
Total	20 000 000	

5.6. Organisational set up and responsibilities

A strategic committee has been set up to steer **the entire ‘Lives in Dignity’ – EU Global Facility**²⁵, adopted by the Commission in August, 2019²⁶ (to which this action is a reinforcement of component 3) **and its two projects**. The committee is chaired by the EU and includes all relevant stakeholders and actors involved in the programme implementation. Its role is to: (i) ensure oversight of the programme and coordination/synergies with relevant stakeholders and actions; and (ii) provide strategic guidance, notably in terms of corrective measures/adaptation and prioritisation of needs in line with developments. Committee meetings are organised twice a year. It may set up an additional regular or permanent coordination mechanism if necessary.

In addition, there are quarterly steering committee meetings for each component, co-chaired by the EU and the partner in charge. They provide an overview of the programme implementation, ensure coordination/synergies with relevant stakeholders and between actions, and provide strategic guidance and prioritisation of needs in line with developments.

As part of its budget implementation prerogative and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures.

5.7. Performance, results monitoring and reporting

It is of vital importance that a sound reporting and monitoring system is put in place. Given the often difficult operational and political context for implementing long-term action on forced displacement, the indicative log frame will be reviewed regularly to ensure that it adequately reflects the main challenges that have been identified. In addition, baseline, mid- and end line information will need to be collected by the implementing partner to ensure a results-based management of the action.

The day-to-day technical and financial monitoring of the implementation of this Action will be a continuous process, and part of the implementing partner’s – UNOPS – responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system (including at the level of the countries in which the Action is providing support) for the Action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of

²⁵ ‘Lives in Dignity’ – EU Global Facility, 2019

²⁶ C(2019) 5456 final

its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix.

SDGs indicators and, if applicable, any jointly agreed indicators as for instance per Joint Programming document should be taken into account. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.8. Evaluation

Having regard to the nature of the action, a mid-term and/or final evaluation will be carried out for this action or its components via independent consultants. The evaluations will be carried out to inform policy and programming at various levels (including for policy and programming revision).

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.9. Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the audit shall be covered by another measure constituting a financing decision.

5.10. Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

For the purpose of enhancing the visibility of the EU and its contribution to this action, the Commission may sign or enter into joint declarations or statements, as part of its prerogative of budget implementation and to safeguard the financial interests of the Union.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

APPENDIX - Indicative log frame matrix (for project modality) ²⁷

This action reinforces of **component 3 of the ‘Lives in Dignity’ – EU Global Facility²⁸**, adopted by the Commission in August, 2019²⁹. As such, **this action follows the same intervention logic and contributes to the same overall and specific objectives as the ‘Lives in Dignity’ – EU Global Facility.**

	Results chain: Main expected results	Indicators (at least one indicator per expected result)	Sources of data	Assumptions
Impact (Overall Objective)	OO: Refugees and other displaced persons become productive members of their host communities, and participate in furthering common resilience, socio-economic growth and development.	Proportion of the target population (host communities and displaced persons) living below the national poverty line in targeted countries, compared to the national average (disaggregated by sex, age and displacement status and country) (*SDG 1.2.1) Quality of impact of refugee situation on host communities and refugees over time.	UN SDG reports in the first and last years of the action Baseline and follow-up studies commissioned under the project,	<i>Not applicable</i>
Outcome(s) (Specific Objective(s))	SO1: Stakeholders make greater use of relevant and quality data (incl. statistics) and analysis on the socio-economic impact of a refugee situation as well as improved evidence on the effects of interventions. SO2: More effective development-oriented policy decisions by host countries, donors, UNHCR/UN family and other stakeholders when responding to new, recurrent and protracted refugee situations.	1.1. Extent to which stakeholders are making use of quality data and analysis related to refugee situations 2.1. Number of long-term engagements and partnerships in response to displacement situations that integrate a development-oriented approach	1. baseline and final studies commissioned by the action 2. Progress reports for this action 3. idem.	Partner countries and regional organisations are committed to implementing the SDGs and the objectives of the Global Compact on refugees, and therefore willing to improving their migration governance and institutional. Willingness of partner countries to rely on UNHCR expertise.

²⁷ Mark indicators aligned with the relevant programming document mark with '*' and indicators aligned to the EU Results Framework with '**'.

²⁸ ‘Lives in Dignity’ – EU Global Facility, 2019

²⁹ C(2019) 5456 final

<p>Outputs</p>	<p>1.1: Comparable multi-dimensional welfare data are available for forcibly displaced and their host populations.</p> <p>1.2: Strengthened capacity of national and international institutions in collection, management and use of quality microdata</p> <p>2.1: Strengthened capacity of new, recurrent or protracted refugee situation-specific support platforms to innovate forms of global and regional solidarity and foster a development-focused approach to forced displacement.</p> <p>2.2: Long-term joint engagement and operational development partnerships;</p> <p>2.3: Strengthened capacity of key stakeholders for enhanced regional early warning, preparedness and response capacity.</p> <p>3.1: Operational engagement of development actors (notably local actors, UN system agencies, international NGOs) enabled and integrated in new, recurrent or protracted refugee situations.</p>	<p>1.1.1. Number of countries with comparable socio-economic welfare data between forcibly displaced and host community members, disaggregated by age, sex, disability;</p> <p>1.1.2. Number of publicly available (anonymized) datasets, disaggregated by age, sex, disability;</p> <p>1.1.3. Number of analytical reports or mapping surveys of impact and/or assessment of responses to refugee situations</p> <p>1.2.1. Number of countries participating in monitoring self-reliance programs through revised monitoring tools;</p> <p>1.2.2. Number of institutional entities trained for relevant management and gathering of data on forced displacement and refugee-related aspects</p> <p>1.2.3. Number of national population censuses and survey instruments integrating refugee-related aspects, disaggregated by age, sex, disability;</p> <p>2.1.1. Number of Support Platforms/Solidarity Conferences fostering a development-oriented approach that are initiated or strengthened with EU support initiated, launched and active.</p> <p>2.1.2 Extent to which country-led national arrangements/support platform have improved their linkages and coherence with regional platforms and the Global Forum on Refugees</p> <p>2.2.1. Number of development-oriented forced displacement strategies or policies developed/revised or under implementation with EU support **</p> <p>2.3.1. Number of of institutional entities with an improved integration of the development dimension of displacement in their preparedness process</p> <p>3.1. Number of migrants, forcibly displaced people or individuals from host communities protected or assisted in rights-based, gender-responsive and development-oriented projects implemented with EU support (disaggregated by sex, age and displacement status) ** (EU RF 2.17)</p> <p>3.1.2. Number of funded projects of critical relevance for rights-based, gender-responsive and development-oriented approaches starting their implementation within six months of crisis</p>	<p>.1.1 Database analysis of country-level population surveys and national population censuses</p> <p>1.2.1 UNHCR information Database on revised monitoring tools</p> <p>1.2.2 Database of training participants (disaggregated by sex, location, institution, sector) and statistics to be provided in progress reports for the action</p> <p>1.2.3 Datasets</p> <p>2.1 Statistics to be provided in progress reports for the action, Feedback from partner countries and experts;</p> <p>2.2 Baseline and end line surveys of platform interactions to be provided in progress reports for the action</p> <p>2.3 Qualitative analysis of EU portfolio support to be provided in progress reports for the action</p> <p>2.4 Database of training participants (disaggregated by sex, location, institution, sector) and statistics to be provided in progress reports for the action</p> <p>3.1 Progress reports for the action;</p>	<p>Other target groups (refugees, host communities, etc.) seize the opportunity to benefit resources available.</p>
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