

COMPASS

UNHCR's Results-Based Management Approach

Enhancing UNHCR's and funded partners' capacity to **deliver and report on results**





UNHCR has changed the way the organization plans, budgets and reports to make a greater difference in the lives of forcibly displaced persons and the stateless. The new approach emphasizes working even more closely with partners to maximize impact and includes a multi-year strategic planning cycle, a global results framework, and a software tool (COMPASS) for planning, budgeting, monitoring and reporting on results.

Operations prepare their strategies through stakeholder and partner engagement, based on joint situation analysis and encompassing the full spectrum of UNHCR’s and partner’s operational engagement, including in humanitarian response and cluster coordination, advocacy and capacity building, inclusion and transition towards solutions, development, and peace.

The entire organisation is transitioning to multi-year planning by 2024 with some operations using interim strategies until then. This staggered approach allows operations to better align their cycles to country-level planning processes such as UNSDCF and other frameworks. It also allows for enhanced quality support for this important change.

Why is UNHCR making these changes? What benefits do they bring? This guide looks to answer these questions and more.

Why change UNHCR’s approach to planning, budgeting and reporting?

The approach and tools that UNHCR previously used to plan, budget and report have not kept pace with changes in the wider context in which the organisation operates.

- The annual planning cycle hindered UNHCR’s ability to develop strategic visions for longer-term changes. It also did not facilitate engagement in national and UN development processes, limiting opportunities for inclusion of the forcibly displaced and the stateless.
- UNHCR’s standardized results framework constrained the organization’s capacity to define plans which respond to the specific conditions of countries.
- Over ten years old, UNHCR’s planning tools and processes were complex and outdated.



What are the major changes?



A **multi-year strategic planning process** allows operations to engage with partners for the duration of their multi-year strategy and helps to secure multi-year funding. It also allows the opportunity for alignment with national and UN development planning cycles to leverage support for the forcibly displaced and stateless.



However, it should be noted that UNHCR's budgets continue to be allocated on an annual basis to country operations and to partners.



UNHCR has adopted **Context-Specific Results Frameworks**, defined by the operation to set out results that UNHCR and partners expect to contribute to in a given time and place. Partners and UNHCR undertake activities to deliver outputs (deliverables or changes in capacities) that contribute to outcomes (institutional or behavioural changes), which ultimately contribute to impacts (changes in the lives of persons).



A new Global Results Framework translates UNHCR's mandate in programmatic terms and takes into account the commitments made through the Sustainable Development Goals (SDGs) and the Global Compact for Refugees (GCR). Operations link their impact and outcome statements to global results areas in the simplified Global Results Framework. The **Global Results Framework** and its correspondence with the SDGs is included at the end of this brochure.



COMPASS provides UNHCR with a **streamlined process and a user-friendly IT tool** to reduce transaction costs. Data entry will only be done by UNHCR.

In the pipeline: A new Project Reporting Oversight and Monitoring Solution (PROMS) is being developed. It seeks to improve efficiency, effectiveness, agility, consistency, accountability, and transparency for partners and UNHCR. This is to be achieved through the streamlining of processes and by employing digitization and automation where appropriate. PROMS will link to COMPASS and other UNHCR software tools. It will be accessible to partners. Consultations with partners globally will be carried out during 2022, ahead of the roll-out in 2023.

What benefits do these changes bring to the forcibly displaced and stateless?

- The new multi-year approach shifts the focus from what UNHCR and partners do, to the changes they want to contribute toward. This helps UNHCR coordinate better with our partners and improves collective capacity to leverage support for the forcibly displaced and stateless.
- UNHCR and partners will have a better understanding of the impact, or lack of impact, of our work, enabling strategies to be refined where necessary. This enhances our collective accountability to affected populations.
- UNHCR and partners will contribute to global reporting that show how their contributions helped achieve positive impacts for the people we serve.

With a multi-year strategy, how do operations budget for the future years?

Multi-year strategies include an indicative budget which helps UNHCR in its efforts to secure multi-year funding. At the initial stage, UNHCR sets parameters for the strategy development process, looking at realistic multi-year budget scenarios, alongside other important parameters (e.g. population scenarios, institutional priorities).

Budgets are defined at the output level, reflecting UNHCR's and partner contributions to the different outcome and impact statements. The output budget is rolled up to the outcome statements and impact statements, as well as to the respective global results areas.



How does the multi-year approach work for emergencies?

In a new emergency, operations add an emergency programme to their multi-year plans with simplified requirements while sourcing additional resources for a timely response.

Which indicators does UNHCR report against?

UNHCR has reduced the number of core indicators linked to the different results areas in the Global Results Framework. This aims to improve data reliability and UNHCR's capacity to report at a global level on the results of our work in collaboration with partners. Some of the core indicators derive from the Sustainable Development Goals (SDGs) and Global Compact on Refugees (GCR) commitments.

Within the Project Description (Annex A) of a UNHCR Partnership Agreement, operations and partners develop output indicators and agree upon the disaggregation requirements and frequency of reporting to assess progress against specified outputs.

Disaggregating Results

UNHCR has committed to disaggregating results data by age and gender as well as diversity, whenever possible. This supports programme design towards equitable outcomes and provides data that helps address instances of discrimination, vulnerability and exclusion. Depending on the operation, data may also need to be disaggregated by country of origin or site. This can help UNHCR and partners to track differences in delivery, protection and wellbeing and develop more effective responses.

Each intended result in the results framework is expected to have a direct or indirect positive effect on people of concern. Results statements may cover multiple population types, for instance where interventions support people of concern and host communities. Therefore, where an output includes more than one population type, output indicators will speak to each population type.

Partners report to UNHCR operations through the partner reporting template (available from the respective UNHCR operation), which may be accompanied by a Microsoft Excel table generated by UNHCR from COMPASS. This is useful for large amounts of disaggregated data sharing on results obtained in project implementation.

Evaluations may be triggered outside the standard partner reporting process depending on priorities and benchmarks identified by UNHCR's Evaluation Service and/or regional evaluation officers, in line with [UNHCR's Evaluation Strategy](#).

The information gathered through enhanced monitoring, evaluation and data gathering feeds into the decision making, so that UNHCR and partners can sharpen their strategies and allocate resources to maximize impact.

How does the new process support monitoring and evaluation?

Each strategy includes a multi-year monitoring and evaluation plan that supports operations in planning ahead for results monitoring activities, data collection, strategy implementation reviews, evaluations and other major evidence-generation exercises.



UNHCR's Results Areas



IMPACT AREAS

1 **ATTAINING FAVORABLE PROTECTION ENVIRONMENTS**
Operation-specific impact statements describe intended changes in the enjoyment of rights as a result of increasingly favourable conditions for protection.

2 **REALIZING RIGHTS IN SAFE ENVIRONMENTS**
Operation-specific impact statements express changes in realizing rights of persons of concern due to changes in access, quality and coverage of basic services, particularly in humanitarian and emergency settings.

3 **EMPOWERING COMMUNITIES AND ACHIEVING GENDER EQUALITY**
Operation-specific impact statements capture intended shifts in the protection and solution of persons of concern as a result of advancements in community mechanisms, gender equality and livelihoods.

4 **SECURING SOLUTIONS**
Operation-specific impact statements illustrate intended changes in the enjoyment of durable and alternative pathways to solutions by persons of concern.

OUTCOME AREAS

1 **ACCESS TO TERRITORY, REGISTRATION AND DOCUMENTATION**
Possible Coverage: Access to territory, reception conditions, infrastructure and management of reception/transit centres including basic assistance, identification, registration and profiling, legal identity and documentation.

2 **STATUS DETERMINATION**
Possible Coverage: Status determination interventions, information provision, assistance programmes to government processes, asylum system strengthening, handover of procedures.

3 **PROTECTION POLICY AND LAW**
Possible Coverage: Administrative institutions support, promotion of international and regional instruments, strategic litigation, law and policy enhancement, public attitudes.

4 **GENDER-BASED VIOLENCE**
Possible Coverage: GBV prevention, risk mitigation and response. PSEA.

5 **CHILD PROTECTION**
Possible Coverage: Community based child protection structures, best interest determination, prevention and response services for adolescents and children, children associated with armed groups.

6 **SAFETY AND ACCESS TO JUSTICE**
Possible Coverage: Specific needs/ service provision, legal assistance to individuals and families, freedom of movement, alternatives to detention, security/crime related interventions, trafficking and smuggling.

7 **COMMUNITY ENGAGEMENT AND WOMEN'S EMPOWERMENT**
Possible Coverage: Community sensitization, peace education, peaceful coexistence projects, community-based complaint mechanisms, community self-management structures, gender equality interventions, women's empowerment.

8 **WELL-BEING AND BASIC NEEDS**
Possible Coverage: Multipurpose cash, food security and food assistance, in-kind and core relief items including cooking fuels.

9 **SUSTAINABLE HOUSING AND SETTLEMENTS**
Possible Coverage: Housing, emergency shelter, transitional and permanent housing, settlement and urban planning, energy, environmental and natural resource management.

10 **HEALTHY LIVES**
Possible Coverage: Primary health care, secondary health care, preventative health programmes, reproductive health and HIV, mental health, nutrition, other health-related interventions including advocacy and support for inclusion of persons of concern in national services

11 **EDUCATION**
Possible Coverage: Primary education, secondary education, additional/higher/tertiary education, vocational training, inclusion into national education system.

12 **CLEAN WATER, SANITATION AND HYGIENE**
Possible Coverage: Water systems, sanitation including toilets, bathing areas, hygiene promotion.

13 **SELF RELIANCE, ECONOMIC INCLUSION AND LIVELIHOODS**
Possible Coverage: Self employment (business), wage employment, agriculture, fishing, economic opportunities promotion, job creation, entrepreneurship programmes, resilience programmes.

14 **VOLUNTARY REPATRIATION AND SUSTAINABLE REINTEGRATION**
Possible Coverage: Voluntary return preparations, organisation/ assistance of voluntary return, work in country/ area of origin to create conditions for return and sustained reintegration.

15 **RESETTLEMENT AND COMPLEMENTARY PATHWAYS**
Possible Coverage: Resettlement preparation and management, emergency resettlement relocation, private or community sponsorship programmes, humanitarian visas, humanitarian corridors, family reunification, student visas, other complementary pathways.

16 **LOCAL INTEGRATION AND OTHER LOCAL SOLUTIONS**
Possible Coverage: Naturalisation, durable legal status, permanent residency.

ENABLING AREAS

17 **SYSTEMS AND PROCESSES**
Possible Coverage: Systems renewal, partner management, budgeting and financial management systems, results and resource information management systems, operational data management systems, planning and implementation management systems, digital transformation, data governance.

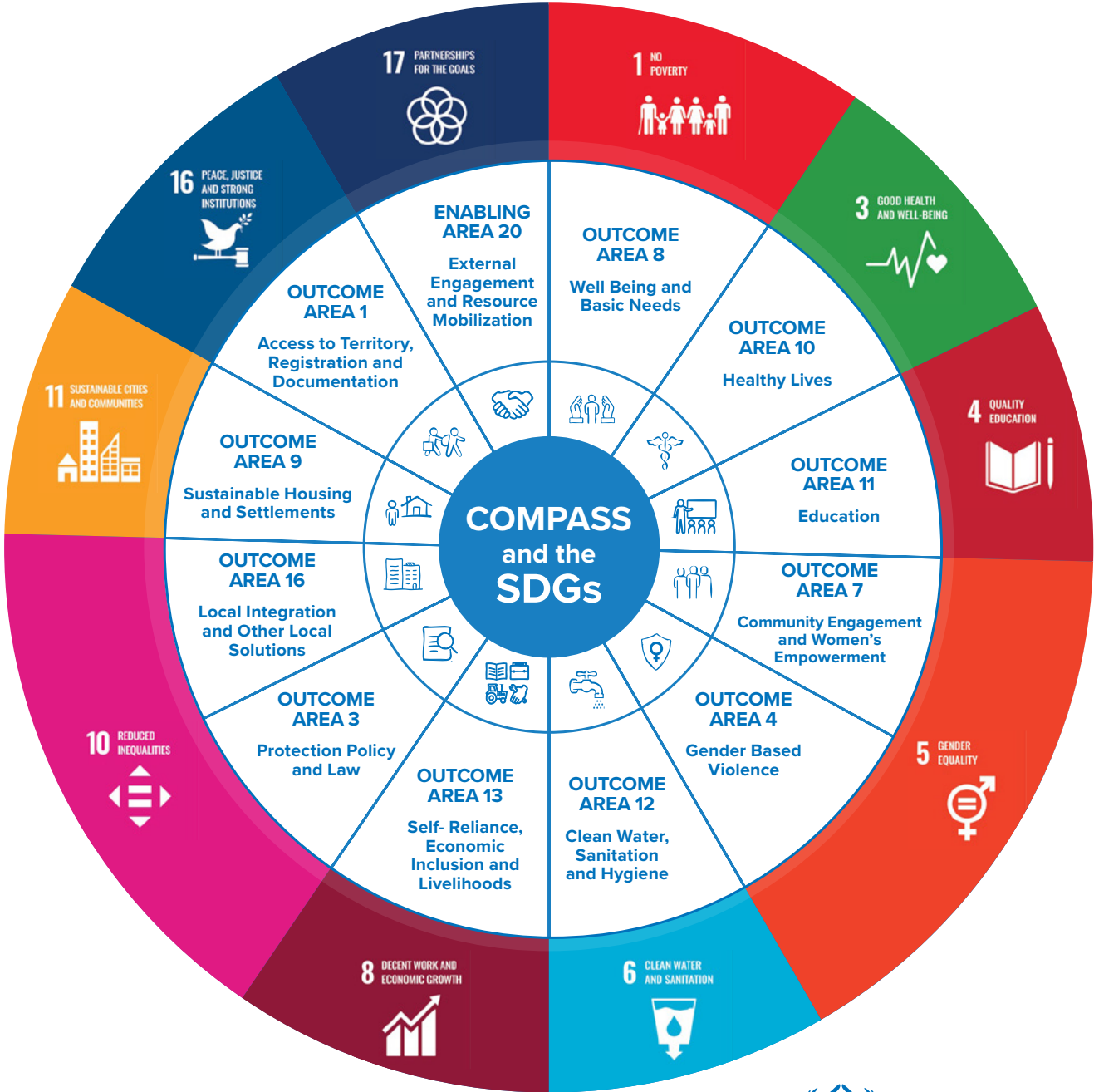
18 **OPERATIONAL SUPPORT AND SUPPLY CHAIN**
Possible Coverage: IT support, travel, finance, vehicle fleet management, warehousing, supply chain processes and procedures, procurement, supply workforce development, transport, inventory management, greening the blue, emergency preparedness and response capacity, security management architecture.

19 **PEOPLE AND CULTURE**
Possible Coverage: Human resources management, learning and development, organizational legal and technical counsel, policy oversight and coordination, risk management and ethics.



20 **EXTERNAL ENGAGEMENT AND RESOURCE MOBILIZATION**
Possible Coverage: Communication and advocacy, public and private sector fundraising and strategic partnership management, including through operational partnerships and inter-agency coordination.









21 **LEADERSHIP AND GOVERNANCE**
Possible Coverage: Executive direction, governance liaison and coordination, evaluation, audit, IGO.

UNHCR Global Results Areas and the Sustainable Development Goals



UNHCR's Core Indicators and Related SDG Indicators

UNHCR IMPACT AREAS	UNHCR CORE INDICATORS	SDG INDICATOR
2 REALIZING RIGHTS IN SAFE ENVIRONMENTS 	2.1 Proportion of PoC living below the national poverty line. 2.2 Proportion of PoCs residing in physically safe and secure settlements with access to basic facilities. 2.3 Proportion of PoC with access to health services.	1.2.1 Proportion of population living below the national poverty line, by sex and age. 1.4.1 Proportion of population living in households with access to basic services. 3.8.1 Coverage of essential health services.
3 EMPOWERING COMMUNITIES AND ACHIEVING GENDER EQUALITY 	3.2 Proportion of PoC enrolled in primary and secondary education. 3.3 Proportion of PoC feeling safe walking alone in their neighbourhood.	4.1.1 Proportion of children and young people (a) in grades 2/3; (b) at the end of primary; and (c) at the end of lower secondary achieving at least a minimum proficiency level in (i) reading and (ii) mathematics, by sex. 16.1.4 Proportion of population that feel safe walking alone around the area they live.

UNHCR OUTCOME AREAS	UNHCR CORE INDICATORS	SDG INDICATOR
1 ACCESS TO TERRITORY, REGISTRATION AND DOCUMENTATION 	1.2 Proportion of children under 5 years of age whose births have been registered with a civil authority.	16.9.1 Proportion of children under 5 years of age whose births have been registered with a civil authority, by age.
8 WELL - BEING AND BASIC NEEDS 	8.2 Proportion of PoC with primary reliance on clean (cooking) fuels and technology.	7.1.2 Proportion of population with primary reliance on clean fuels and technology.
9 SUSTAINABLE HOUSING AND SETTLEMENTS 	9.1 Proportion of PoCs living in habitable and affordable housing.	11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing.
10 HEALTHY LIVES 	10.2 Proportion of births attended by skilled health personnel.	3.1.2 Proportion of births attended by skilled health personnel.
11 EDUCATION 	11.1 Proportion of PoC enrolled in tertiary and higher education.	4.3.1 Participation rate of youth and adults in formal and non-formal education and training in the previous 12 months, by sex.
12 CLEAN WATER, SANITATION AND HYGIENE 	12.1 Proportion of PoC using at least basic drinking water services. 12.2 Proportion of PoC with access to a safe household toilet.	6.1.1 Proportion of population using safely managed drinking water services. 6.2.1 Proportion of population using safely managed sanitation services, including a hand-washing facility with soap and water.
13 SELF-RELIANCE, ECONOMIC INCLUSION AND LIVELIHOODS 	13.1 Proportion of PoC with an account at a bank or other financial institution or with a mobile-money service provider. 13.3 Proportion of PoC (working age) who are unemployed.	8.10.2 Proportion of adults (15 years and older) with an account at a bank or other financial institution or with a mobile-money-service provider. 8.5.2 Unemployment rate, by sex, age and persons with disabilities.
16 LOCAL INTEGRATION AND OTHER SOLUTIONS 	16.1 Proportion of PoC with secure tenure rights and/or property rights to housing and/or land. 16.2 Proportion of PoC covered by social protection floors/systems.	1.4.2 Proportion of total adult population with secure tenure rights to land, (a) with legally recognized documentation, and (b) who perceive their rights to land as secure, by sex and type of tenure. 1.3.1 Proportion of population covered by social protection floors/systems, by sex, distinguishing children, unemployed persons, older persons, persons with disabilities, pregnant women, newborns, work-injury victims and the poor and the vulnerable.

Have partnership management tools, agreements and templates been affected?

All types of Partnership Agreements (PA) and templates have been modified to reflect the new COMPASS structure, inclusive of partner reporting templates.

UNHCR's [General Conditions of Contract](#) (GCC) for partnership agreements have been updated to enable UN entities to share partners' external audit and ICQ scores to enhance partnership opportunities and facilitate a harmonised and efficient collaboration between the UN and partners.

All Partnership Agreement templates are available via the [UN Partner Portal](#).

How can I learn more about UNHCR's new RBM approach?

Please consider accessing the material and courses available to partners via the [UN Partner Portal](#) entitled '**Course for Partners: an introduction to UNHCR's Results-Based Management approach**'. UNHCR Regional Bureaux and Operations can also share documents about RBM, upon request.

Your questions help us improve our processes and communications! Contact your UNHCR Operation, UNHCR Regional Bureaux or write to epartner@unhcr.org.



