UNHCR
United Nations High Commissioner for Refugees
Haut Commissariat des Nations Unies pour les réfugiés

Evaluation of UNHCR's Ukraine Country Programme

September 2017

Full Report

ES/2017/03

Commissioned by UNHCR Evaluation Service
Conducted by Universalia

UNIVERSALIA

UNHCR Evaluation Service

UNHCR's Evaluation Policy confirms UNHCR's commitment to support accountability, learning and continual improvement through the systematic examination and analysis of organisational strategies, policies, and programmes. Evaluations are guided by the principles of independence, impartiality, credibility and utility, and are undertaken to enhance the organization's performance in addressing the protection, assistance and solution needs of refugees, stateless people and other persons of concern.

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Acknowledgements

Executive Summary

In November 2016, the Universalia Management Group Limited was contracted to conduct the Ukraine Country Programme Evaluation for the United Nations High Commissioner for Refugees (UNHCR). The evaluation report provides an assessment of UNHCR's operations in Ukraine between January 2014 and December 2016, reviewing its dual roles as an operational agency and as coordinator of the Shelter/Non-Food Item (NFI) and Protection Clusters. It considers the relevance and appropriateness of UNHCR's objectives and strategy, examines how the evolving policy and operational context influenced decisions with respect to UNHCR's positioning and programme delivery arrangements, and assesses the results achieved by UNHCR in the context of the inter-agency response to the Internally Displaced Person (IDP) situation. The evaluation is expected to be used for both accountability and learning.

Methodology

The evaluation was guided by OECD-DAC Evaluation Quality Standards for Development Evaluation, the UNEG Norms and Standards for Evaluation in the UN System, the UNEG Ethical Guidelines and Code of Conduct for Evaluation in the UN System, UNHCR's recently-published Evaluation Policy and accompanying guidance on Evaluation Quality Assurance, and the Sphere Handbook and Standards for Monitoring and Evaluation. The overall approach to the evaluation was utilization-focused and applied mixed methods. The evaluation had six main data sources, which included: a document review of over 600 documents, semi-structured interviews with 112 stakeholders both face-to-face and via phone or videoconference, an online survey to current and former UNHCR personnel and partner agency staff, field observations in the Government Controlled Areas (GCAs), structured focus groups with refugees and IDPs, and an analysis of available databases and reporting systems. The evaluation team was not able to visit Non-Government Controlled Areas (NGCAs) for security reasons and experienced some limitations with regards to assessing the results of the Ukraine operation due to the planning and reporting information available in the Country Operational Plans (COPs).

Country and operating context

Ukraine has experienced two related crises since November 2013: first, a political and security crisis that has caused 9,940 documented deaths and affected 4.4 million people (about ten percent of the population); second, an economic crisis that has seen GDP shrink by 16% between 2013 and 2016. The hardships experienced by IDPs are somewhat mitigated by a number of factors specific to the Ukrainian context, such as the hitherto declining Ukrainian population, the ability of the Ukrainian people to adapt to political and economic upheavals, and a well-developed social welfare system.

At the beginning of 2014, UNHCR in Ukraine was a small, stable regional office with a decreasing budget. From January 2014 to December 2016 the UNHCR operation in Ukraine underwent a profound transformation. The evaluation team saw this as breaking down into five distinct stages: (a) the first months of 2014 before any IDP displacements, (b) the initial Crimean displacement (March – April 2014) and unilateral UNHCR response, (c) the larger Donbass displacement (April – December 2014) with a loosely-organized multi-agency response, (d) 2015: the first year of the Humanitarian Response Plan (HRP) and UNHCR (co)leadership of the protection and shelter clusters, and finally (e) 2016: the second year of the HRP.

Findings regarding UNHCR's objectives and strategies

UNHCR's early work – while ad hoc and not fully compliant with UNHCR programming and financial procedures – was influential in shaping the overall humanitarian response and contributing to key strategic and policy decisions. The agency was quick to mobilize, deploying protection, shelter and field officers early, which enabled UNHCR to gain strategic advantage and advocacy leverage. UNHCR's principled stand on access to NGCAs paved the way for UN agencies to remain engaged in the NGCAs, and the agency was largely successful in preventing the creation of IDP camps in the country as well as demonstrating the efficiency of cash-based interventions. However, delays in the build-up of critical supply and administrative support functions and unsettled leadership of the Ukraine operation in 2015 had a negative impact on the effectiveness of programmes and advocacy, and annual planning was not as consultative as partners would have desired. In addition, the current disposition of field offices is no longer optimal given the changing footprint of assistance and coordination mechanisms. Finally, capacity development support to key non-governmental partners has been limited to bolstering their ability to effectively deliver UNHCR programmes, and has not addressed the need to equip them to deliver essential services after the humanitarian phase is over and UNHCR shifts to a more strategic role.

UNHCR's results in Ukraine 2014-2016

Results for Persons of Concern (refugees/asylum-seekers, stateless persons and IDPs) were mixed. Advocacy and programming results for asylum seekers, refugees and IDPs in GCAs were adequate, while results for stateless persons were found to be inadequate as initiatives to boost understanding and improve the regulatory environment were stalled. The effectiveness of programmes for refugees and asylum seekers was limited by a general hardening of attitudes towards refugees, the unsettled leadership of UNHCR in 2015 and the reallocation of limited staff and policy resources towards IDPs. Assessing UNHCR's effectiveness in interventions aimed at IDPs has been more difficult, as who is and is not counted as an IDP is not always clear. UNHCR and its partners have not succeeded in resolving some political obstacles such as humanitarian access, and policy advocacy in NGCAs is almost impossible. Material assistance – in the form of community projects, legal counselling, individual protection assistance, shelter and NFIs is relevant but faces gaps in terms of coverage, especially in the NGCAs. Accountability to affected populations has been enhanced by the participatory assessments from 2015 onwards, but limited government, partner and beneficiary participation in planning has limited overall accountability.

UNHCR's cluster coordination role

UNHCR initiated cluster coordination early and provided continuity of experienced protection and shelter cluster coordinators. UNHCR was able to remain neutral and impartial as a Cluster Lead Agency (CLA), fulfilling its role as an effective and trusted cluster coordinator. The protection cluster is considered by stakeholders to be strong on advocacy, while the shelter cluster was widely regarded as one of the best coordinated clusters in Ukraine. Both have adapted to the specifics of the Ukraine context as the situation as evolved. All stakeholders agreed that the emergency phase of this response is coming to an end and that the structures established in 2015 and 2016 are now too big and process-intensive for the current protracted situation: more specific plans for cluster deactivation are needed. In general, coordination with government, UN agencies, donors and operating partners has been uniformly good and there is a unique opportunity for UNHCR to build on its relations with UN development agencies to advance IDP solutions.

Conclusions and recommendations

UNHCR's objectives and strategies for the three groups of Persons of Concern (PoC) were relevant and appropriate at the beginning of the period under question, and its early work was influential in shaping the overall humanitarian response in Ukraine. UNHCR's accountability to affected populations is getting better but improvements are needed to build the capacity of community representatives to advocate for their rights and to involve the affected populations in priority-setting and planning. UNHCR was universally well-regarded by donors and its coordination with the broader stakeholder community was good. The Ukraine programme also provides an important opportunity to test an integrated refugee and IDP programme, as refugees and IDPs distributed across the country have similar needs met by similar UNHCR responses that could be combined into an integrated programme. The government recovery plan, the Multi-Partner Trust Fund (MPTF) and the new UN Development Assistance Framework (UNDAF) also provide an opportunity for UNHCR to do business differently in Ukraine in terms of advancing durable solutions in a joined-up way, and acting as a facilitator rather than an implementer of development programming in IDP-affected regions.

Summary recommendations to UNHCR Headquarters

Recommendation 1: Improve the UNHCR-led cluster guidance on responding to an IDP emergency

Recommendation 2: Develop operational guidelines on capacity development of partners,[1] especially in situations of handover and exit

Summary recommendations to UNHCR Ukraine

Recommendation 3: Develop a multi-year multi-partner UNHCR protection and solutions strategy

The suggested components of this strategy are outlined below in recommendations 4-8

Recommendation 4: Engage with development agencies and donors

Recommendation 5: Systematically support the capacity development of partners

Recommendation 6: Assess the need for continued IDP assistance by mid-2018, based on the prevailing security situation and anticipated humanitarian needs for 2019

Recommendation 7: Restructure the arrangement and functions of field offices

Recommendation 8: Pilot an integrated refugee, stateless and IDP programme in Ukraine[2]

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[1] Preferably distinguishing between host government capacity development as a normal part of UNHCR's refugee and IDP operations, the capacity of partners to take over cluster coordination functions, and the capacity of partners to implement effective refugee and IDP programmes independently of UNHCR support

[2] To the extent that HQs approval is required, then these recommendations are also directed at HQs.

Acronyms

CBI	Cash Based Intervention
CCPM	Cluster Coordination Performance Monitoring
CLA	Cluster Lead Agency
COP	Country Operational Plan
CrimSOS	Crimea SOS
DER	Division of External Relations
DESS	Division of Emergency, Security and Supply
DIP	Division of International Protection
DPSM	Division of Programme Support and Management
DRC	Danish Refugee Council
EU	European Union
FSLAC	Free State Legal Aid Centre
GBV	Gender Based Violence
GCA	Government-Controlled Area
GCC	Global Cluster Coordination
GPC	Global Protection Cluster
GSC	Global Shelter Cluster
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HRP	Humanitarian Response Plan
IDP	Internally Displaced Person
IPA	Individual Protection Assistance

MOSP	Ministry of Social Policy
MSA	Monthly Subsistence Allowance
MTOTI	Ministry of Temporarily Occupied Territories and of Internally Displaced Persons
NFI	Non-Food Item
NGCA	Non-Government-Controlled Area
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
PIN	People in Need (an INGO partner)
PoC	Person(s) of Concern / Population of Concern
PPG	Population Planning Group
PRP	Preliminary Response Plan
QIP	Quick Impact Project
R2P	Responsibility To Protect (Ukrainian Partner)
RSD	Refugee Status Determination
SAG	Strategic Advisory Group
SBGS	State Border Guard Service
SES	State Emergency Service
SMS	State Migration Service
TWIG	Technical Working Group
UMG	Universalia Management Group
UNDAF	United Nations Development Assistance Framework
UNET	UN Eastern Team
WFP	World Food Programme
WHS	World Humanitarian Summit

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Appendices

1 Subject of the Evaluation

The subject of the evaluation was defined in the TOR and was modified during the inception mission:

- **Period under review**: from January 2014 to December 2016.

- **UNHCR operational involvement**: the team assessed UNHCR's performance in its dual roles as an operational agency, and as (co)coordinator of the Shelter/Non-Food Item (NFI) and Protection Clusters.

- **Programmatic scope**: the team reviewed UNHCR's performance in relation to the Country Operation Plans (COP) of 2014, 2015 and 2016, as well as Cluster plans set out in the Humanitarian Response Plans (HRP) 2015 and 2016.

- **Persons of Concern**: UNHCR's operations cover three Population Planning Groups (PPG): (i) refugees and asylum-seekers; (ii) stateless persons; and (iii) Internally Displaced Persons (IDP). The evaluation covered all three PPGs, however given the relative stability of the first two PPGs and the tremendous increase of the third, and the direction of the evaluation questions set out in TOR, there was a particular focus on IDPs.

- **Geographic coverage**: the team assessed the performance of UNHCR's programme in Ukraine,[3] with an emphasis on the eastern regions containing the highest concentration of IDPs. The evaluation included Non-Government Controlled Areas (NGCAs), although the team did not visit that region, and NGCA data was incomplete.

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[3] The Kyiv Regional Office's coverage of Moldova and Belarus in 2014 are outside the scope

2 Purpose, Objectives, Scope and Expected uses of the Evaluation

The main objective of the evaluation is to provide UNHCR management with an evidence-informed assessment of its operations in Ukraine. To that end it:

- Provides an assessment of the relevance and appropriateness of UNHCR's objectives and evolving strategy in Ukraine from January 2014 to December 2016.

- Examines how the evolving policy and operational context influenced key decisions with respect to UNHCR's positioning and programme delivery arrangements.

- Assesses the results achieved by UNHCR in the context of the inter-agency response to the IDP situation.

The evaluation is expected to be used for both accountability and learning.

Table 2.1   Accountability and Learning uses of the evaluation

ACCOUNTABILITY	LEARNING
Performance reporting to stakeholders including donors, local authorities and persons of concern	Inform country programme planning in the still-evolving situation in Ukraine, as it moves towards a protracted emergency
Transparency on the work carried out	Inform policy and strategic decisions on UNHCR's responses to IDP emergencies
Identification of areas for improvement	Inform UNHCR's approach to cluster (co)leadership
Evidence-based awareness-raising	Inform UNHCR's engagement in middle income countries
	Derive best practices, findings and lessons learned that possibly could be applied to other similar scenarios

Intended primary users of this evaluation include:

- UNHCR Ukraine Country Office

- UNHCR Regional Bureau for Europe

- UNHCR Division of International Protection (DIP)

- UNHCR Division of Programme Support and management (DPSM)

- Donors to UNHCR

- Cluster partners

Intended secondary users include:

- UNHCR Division of Emergency, Security and Supply (DESS)
- UNHCR Division of External Relations (DER)
- UN Country Team / Humanitarian Country Team
- National and local Government authorities
- UNHCR partners
- Persons of Concern

Key Evaluation Question 1:

To what extent were UNHCR's objectives and strategies for the three groups of Persons of Concern (PoC) (refugees/asylum-seekers, stateless persons, and IDPs) relevant and appropriate, taking into account the evolving situation?

1.1 Were UNHCR's objectives and strategies tailored to the specific needs and priorities of all three groups of PoCs? [Is there evidence that UNHCR used AGD data to improve targeting (in particular for older persons)?] *APPROPRIATENESS COVERAGE*

1.2 To what extent did UNHCR implement the policies on Alternative to Camps policy and on Cash-Based interventions? *COHERENCE*

1.3 To what extent did UNHCR strengthen national and local capacities (Government and non-government) in order to avoid creating long-term obligations? *CONNECTEDNESS*

1.4 How effectively did UNHCR scale-up its presence and interventions in the Ukraine? [What was the decision-making process?] *EFFICIENCY*

1.5 How did UNHCR obtain access to NGCAs, how did it use that access effectively, and what was done? *COVERAGE*

Key Evaluation Question 2:

To what extent did UNHCR achieve the prioritized expected results for each of the three groups of PoCs? What were the key contributing or constraining factors?

2.1 Did UNHCR determine the needs and respond effectively to the needs of IDPs (including those located in NGCAs)? [Were there any unintended positive or negative results?] *APPROPRIATENESS EFFECTIVENESS*

2.2 How effectively did UNHCR deliver CBIs? [Did UNHCR adequately coordinate with other relevant actors on cash?] *EFFECTIVENESS COORDINATION*

2.3 Did UNHCR appropriately and effectively manage the challenges of impartiality and neutrality (including in relation to the NGCAs)? [Was this approach different from other agencies and/or partners?] *COHERENCE*

2.4 How accountable to affected people was the UNHCR response? *APPROPRIATENESS*

2.5 Was UNHCR able to adjust to the evolving situation, while maintaining effective delivery of non-IDP programmes throughout the review period? [Whether yes or no, what were the key contributing factors?] *EFFICIENCY EFFECTIVENESS*

Key Evaluation Question 3:

How well did UNHCR exercise its cluster (co)leadership and coordination responsibilities for both the Protection and Shelter/NFI clusters?

3.1 How well has UNHCR performed the six core functions[4] of Protection cluster coordination at field level? *COORDINATION*

3.2 How well has UNHCR performed the six core functions of Shelter cluster coordination at field level? *COORDINATION*

3.3 How well did UNHCR coordinate and engage with the Government and other actors not directly involved in clusters? *COORDINATION CONNECTEDNESS*

3.4 How well has UNHCR advocated for protection to be placed at the centre of humanitarian action vis-à-vis external stakeholders such as the HC/HCT, other clusters and actors outside the HRP? *COHERENCE COORDINATION*

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[4] Support Service delivery, Inform HC/HCT strategic decision-making, Plan and implement cluster strategies, Monitor and evaluation performance, Build national capacity, Support robust advocacy (including mainstreaming of protection)

3 Summary Methodology

The evaluation was guided by OECD-DAC Evaluation Quality Standards for Development Evaluation,[5] the UNEG Norms and Standards for Evaluation in the UN System,[6] the UNEG Ethical Guidelines and Code of Conduct for Evaluation in the UN System,[7] UNHCR's recently-published Evaluation Policy[8] and accompanying guidance on Evaluation Quality Assurance, and the Sphere Handbook and Standards for Monitoring and Evaluation.[9]

The overall approach to the evaluation was utilization-focused and used mixed-methods as outlined below. The draft Inception Report was discussed and validated with a wide range of UNHCR stakeholders and the Reference Group, and the line of enquiry was adjusted to take into consideration current policy and programming issues. Furthermore, as findings emerged from the fieldwork and initial analysis, these were tested with key stakeholders and with the Reference Group, and then adjusted on the basis of stakeholder feedback. This consultative and iterative approach aimed to increase the relevance and uptake of recommendations by stakeholders, but it does not decrease evaluation impartiality and independence as the evaluation team remained in control of the content of the evaluation report which is strictly evidence-informed. The mixed methods approach had six main data sources: findings were triangulated against at least two, and usually three or more different sources.

Document Review

The team reviewed UNHCR documentation, documentation from other key stakeholders, especially from partners (government, UN agencies, implementing and operational partners, most of them NGOs, both in Government-Controlled Areas (GCAs) and NGCAs), and academic literature in English, Ukrainian and Russian. Altogether over 600 documents were gathered into a team Dropbox and used for the document review. Appendix V presents the bibliography of the evaluation

Semi-structured Stakeholder Interviews

Core to the data collection were extensive interviews with 112 key informants (stakeholders) including UNHCR staff deployed to Ukraine (videoconferencing, phone, or face-to-face depending on the stage of the evaluation, the availability of stakeholders and feasibility). Targeting of interviews external to UNHCR was based on an extensive stakeholder analysis which is presented in Appendix VI. All individual interviews were written up with a confidential summary available only to the evaluation team members.

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[5] http://www.oecd.org/development/evaluation/qualitystandards.pdf

[6] http://www.uneval.org/document/detail/21 and http://www.uneval.org/document/detail/22

[7] http://www.uneval.org/document/detail/102 and http://www.unevaluation.org/document/detail/100

[8] http://www.unhcr.org/3d99a0f74

[9] http://www.sphereproject.org/silo/files/sphere-for-monitoring-and-evaluation.pdf

Online Survey

An online survey of key stakeholders was administered in English,[10] to 170 targeted current and former UNHCR personnel and partner agency staff (including Partners, UNCT members and cluster members). The survey was pushed out through e-mail with strong endorsement by the UNHCR Country Representative, supplemented by promotion during the field visit. In the end, 76 full replies and 10 additional partial replies were received, considered to be a good response rate (50%) and a good completion rate (89%), and a valid survey result. The replies were anonymous, and the 262 optional narrative comments received provided rich analytical depth.

Field observation in the GCAs

The evaluation team divided into two groups and visited all UNHCR offices in the GCAs, as well as one city without a UNHCR office (Zaphorizhzia), a collective centre, a number of NFI distribution activities, and two crossing points to the NGCAs. These site visits also permitted ad hoc group discussions with PoCs.

Structured Focus Groups

The teams met two refugees and three IDP focus groups for in depth discussions which centered on their needs and the extent to which they felt these needs were being met by assistance provided both by the Government and by the international community. Earlier the team had envisaged meeting with IDP groups in NGCAs through Skype, but this was discouraged on protection grounds.

Database analysis

Finally, the team examined quantitative data available in FTS, as well as in UNHCR and UN/HCT reporting systems, in order to map trends in financing, planning and implementation over the three-year time period. In addition, the team had access to multiple surveys and population profiles conducted by UNHCR (Participatory Assessments) and by other stakeholders – notably overall demographic assessments conducted by IOM.

Limitations of the data

During the field review period, there were no significant security concerns in GCAs, so the team was able to visit all target locations in the GCAs and had open access to meet with partners, refugees and IDPs. The team did not have sufficient time or resources to seek a separate set of interviews or meetings with stateless persons. For security reasons, the team did not visit the NGCAs. The team was however able to meet with the key NNGO Partner from the NGCAs, and with the heads of both the Luhansk and Donetsk UNHCR field offices.

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[10] Narrative comments were welcomed and provided in Russian and Ukrainian

Assessing results in the Ukraine operation.

During inception, it was observed by the evaluation team that COP planning information is difficult to work with. UNHCR works with a nine-month lead time between COP planning and the COP operational year. Each year, in October, the plan may be updated to address fast-changing situations and unpredictability of funding. In the case of Ukraine, even this nine month period proved to have its challenges.

Narrative reporting in the planning phase contained solid information, but quantitative reporting demonstrated some weaknesses, which are currently being addressed. The UNHCR's annual planning process and RBM system are being reviewed by UNHCR as corporate priorities, so it is important for readers unfamiliar with UNHCR's planning processes to bear in mind that key reforms are under way.

Upon close examination of the COPs for 2014-2016, these anticipated problems were confirmed and further difficulties were observed, including (a) the 2014 COP did not include IDPs at all, and the 2015 COP as approved by EXCOM (in 2014) also did not include IDPs (the revised COP for 2015 and the 2016 COP did include IDPs), (b) for refugees and stateless persons, the 2014 and 2015 COPs had regional objectives covering the three countries that were until mid-2015 part of a Regional Office, (c) the way the objectives were framed in the narrative "Prioritized Operations Results" chapter of the COPs was lengthy and constituted more of a list of activities, and finally (d) the detailed sections within the body of the document, setting out the "Prioritized Results" for each PPG and for each family of activity (called "Rights Groups" in UNHCR's planning system) were similarly long narratives that combined analysis of the situation and intended activities. The evaluation team, having reviewed the annual planning instructions, concluded that whilst the instructions were clear, the late deployment of sufficient qualified programme staff was an important reason why the quality of the COPs left room for improvement, as illustrated by the examples furnished above.

To illustrate with a specific sample year, UNHCR's corporate planning and reporting system for Ukraine for 2015 (the last year for which full data were available at the time of the evaluation team visit) consisted of a 95-page text, divided between 4 different PPGs: IDPs, Syrian refugees, other refugees and stateless persons. Across these 4 PPGs there were 38 objectives, 44 impact indicators and 149 performance indicators. The results of this reporting are contained in the body of this report, but the evaluation team wants to emphasize that this does not provide a full reflection of results achieved. Similar challenges with assessing results against the COPs were encountered in the UNHCR Turkey evaluation, and were commented upon in that context.[11]

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[11] "Analysis of the reported end of year performance against the targets reveals that in 2014 most of the targets were not met, and mid-year reports for 2015 suggest the same … There are several reasons for this: one is that some indicators are inherently weak … and others are hard to measure objectively. Secondly, there were weaknesses in the way the data was gathered and entered: for example, there were targets without baselines, baselines that reduced from one year to the next, aggregation of incompatible indicators, changes in indicators from year to year, and confusion between absolute and relative values… A third reason is overestimation of the expected results in relation to the resources available and in relation to control over the outputs – such that planned results are sometimes more "aspirational" than realistic. A fourth reason for poor performance is simply underfunding. And finally, it is more than likely that there was some actual underperformance." The Turkey evaluation also pointed to "weaknesses of the quantitative results reporting framework of UNHCR, which might have the benefit of providing some aggregate results at the global level and the basis for approximate comparison between operations, but does not provide reliable or useful real-time performance information at the country level". UNHCR Turkey Evaluation http://reliefweb.int/sites/reliefweb.int/files/resources/58a6bbca7.pdf

In sum, the evaluation team has reviewed the three relevant COPs and in particular the year-end reports in considerable detail. These were primarily used as a key source for reporting on outputs as well as for analysis of in-year trends, but the evaluation team did not find them sufficiently focused and strategic to help answer the key evaluation questions regarding whether UNHCR's Ukraine objectives were relevant and appropriate, or if they were achieved. In the following analysis, the evaluation team has used the primarily qualitative techniques described in the methodology, and placed emphasis on the evaluation sub-questions which, for the most part, were able to be answered.

4 Country and Operating Context

Ukraine has experienced two related crises since November 2013: a political and security crisis that has caused 9,940 documented deaths[12] (of which more than 2,000 civilians died and a further 7,000-9,000 civilians were injured), and affected 4.4 million people (about ten percent of the population),[13] not counting another approximately 1.73 million[14] who have left the region for Russia and other countries, of whom 430,000 are seeking asylum in other countries (mostly Russia).

At the same time, there has been an economic crisis, resulting in part from underlying structural problems of the Ukrainian economy, and in part from the costs of the war effort combined with the disruption to production caused by the conflict and by limitations on trade with Russia. Between 2013 and 2016, GDP shrank by 16%, severe and moderate poverty increased from 18.5% to 28%,[15] and inflation increased by 25% in 2014, 43% in 2015 and 12% in 2016.[16]

The combination of conflict, displacement and an economic crisis have made life in Ukraine more difficult for everyone, and especially for refugees/asylum-seekers and displaced persons who are competing with economically stressed "non-displaced persons" for social assistance, low-cost housing and jobs.

There are three main factors that have helped mitigate the hardships experienced by IDPs. The first is that the population of Ukraine has been in sharp decline since 1993, due to a low birth rate combined with economy-driven emigration. Some cities have reported that, with the IDP influx, their population is now back to levels seen in the 1990s.

A second factor is the resilience of the Ukrainian people. As illustrated in Figure 4.1, the Ukraine economy has been through several dramatic upheavals since the dissolution of the Soviet Union, and the current economic crisis is far from the worst in living memory. Through repeated crises, many Ukrainians, in particular the older generation, have learned to cope and adapt.

A third factor, both mitigating and problematic from the viewpoint of refugees and IDPs, is the overhang of soviet governance and economic systems. Five characteristics of the post-soviet era are particularly important in determining the policy and programme context for IDPs: they are social welfare and pensions, collective centres, registration of residency (locally known as "propiska" – although not as stringent in restricting movement as in the soviet era), corruption, and statelessness.

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[12] OHCHR http://www.ohchr.org/EN/NewsEvents/Pages/DisplayNews.aspx?NewsID=21383&LangID=E

[13] HRP 2017

[14] February 2017 UNHCR Operational Update

[15] Calculated using the World Bank national methodology for Ukraine:

http://www.worldbank.org/en/country/ukraine/publication/ukraine-economic-update-fall-2016

[16] Government of Ukraine statistics

Figure 4.1   2014-2015 is not Ukraine's worst recent economic crisis
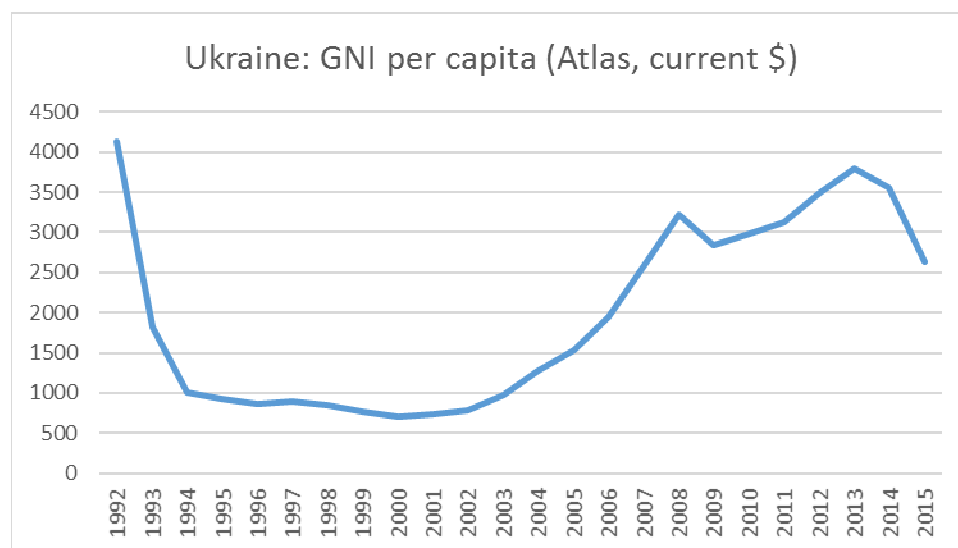
4.1   Social payments

In 2013 Ukraine spent approximately 24% of GDP on social benefit programmes of all types, including 18% on state pensions. Ukraine has one of the most comprehensive social benefit regimes in the world, characterized by a large number of beneficiaries receiving small transfers (see box). The system pre-crisis was extended during the crisis with the creation of a social benefit transfer to IDPs, under Cabinet of Ministers "Regulation 505," and which provides IDPs with up to UAH 442/month per able-bodied person in the family unit (approximately $16/month in 2016) up to a maximum per household of UAH 2,400/month. This is intended as an income supplement to cover living expenses, and not to provide a full assistance basket including rent. Despite several administrative weaknesses with the current benefit system, which UNHCR and others continue to address, the end result is that Ukraine provides an exceptional level of state support to the poor including IDPs, in a manner which is highly bureaucratic, very broad in terms of numbers of beneficiaries, but also very shallow in terms of the transfer value per person.

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> *The total number of pensioners is 13.6 million, about a third of the total population of Ukraine. The average monthly pension is UAH 1,471, but more than three quarters of pensioners (about 10 million) receive pensions less than UAH 1,500 per month (compared to an average economy-wide wage of UAH 2,722).*
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> *- IMF Article IV report 2013*
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> "

4.2   Collective centers

Ukraine has a critical housing problem. In essence, there has been limited new housing construction since the dissolution of the Soviet Union, and the soviet-era urban housing stock, while mostly privately-owned, is over 50 years old and deteriorating rapidly in the absence of adequate systems for communal maintenance. There is very limited government social housing, the rental market is extremely narrow, and as a result most IDPs are sharing accommodation (with each other or with owners) in an informal system that is both high-cost and sub-standard. Faced with this underlying structural problem, it is understandable that some IDPs are living in collective centres. These are mainly of two types: seven newly-built container cities housing about 2,300 people (GIZ project in 2015 developed without consulting UNHCR), and state- or corporately-owned "sanatoriums" – a network of dormitories and summer camps that are a distinct holdover from the soviet era. As of mid-2016, approximately 6,500 IDPs (2-4% of the total IDP population) were housed in 271 collective centres, most of which contain only a few families each, but a few contain more than a hundred. In addition, there is a long-established system in Ukraine for placing children in institutional care (61,000 children in 2014 according to the World Bank) – including children who are not truly orphaned or disabled. The combination of these structural problems and social norms is that collective centres are seen by many in Ukraine to be a culturally appropriate and acceptable form of medium to long term accommodation.

4.3   Propiska

Although the soviet-era "propiska" system was formally abolished in Ukraine, in 2004 it was replaced by a system of residence permits that has a similar effect of limiting access to state services to those persons who are registered as living in the catchment area of the service provider. Asylum-seekers and stateless persons cannot obtain these residence permits at all, as they do not have an identity document recognized by the Ukrainian authorities as the basis for a residence permit.[17] IDPs start with the residence permit of their oblast (province) of origin, and in order to change their official place of residence they need to prove that they are resident in a new location. Both types of acceptable proof are difficult for IDPs to obtain: property ownership is proof but few IDPs can afford to buy property, and proof of residency on the basis of rental receipts is uncommon because most IDPs are staying informally with relatives/friends or paying rent unofficially (because the Ukrainian tax and property laws discourage official rentals). While IDPs, refugees and asylum-seekers are able to access education services without difficulty, and health services with some difficulty (see below), the absence of a residence permit exposes IDPs (who are often stigmatized as Russian sympathizers) and asylum-seekers to official harassment, is a serious obstacle to formal employment, and (for citizens) removes the right to vote in the place where they live.

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[17] Technically, the few recognised refugees and persons under temporary protection can obtain residence permits, but these usually designate the person as "homeless" in the absence of an address verified by proof of property ownership or official rent

4.4 Corruption

Ukraine ranks 131/176 on the 2016 Corruption Perceptions Index, and is highlighted in Transparency International's 2016 report for an example of grand corruption.[18] Corruption affects refugee and IDP access to their special entitlements, but also affects everyone in Ukraine trying to access public services, in particular health care. Refugees and IDPs who are already vulnerable due to poverty and incomplete or inadequate documentation are particularly susceptible to petty corruption.

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> *… direct payments by patients account for more than 40 percent of total health expenditures and are a heavy burden for the majority of Ukrainians. De facto, patients pay an informal fee for almost every service offered by public health providers. These informal payments seem to be partly pocketed as informal income and split among the care providers (physicians and nurses), other health care personnel (chief doctors, hospital administrators), and political authorities at various levels. They are also used to finance the recurrent expenses of health facilities such as various supplies, refurbishment, and reconstruction.*
> *- World Development Report 2017*
>
> "

4.5 Statelessness

Many people from countries formerly part of the Soviet Union have a particular problem of statelessness or undetermined nationality, because since the dissolution of the Soviet Union they failed to acquire or confirm the nationality of any of the States with which they had ties through birth, descent or habitual residence. A significant number remain undocumented, partly due to the requirement for at least one parent to have formal documentation to register the birth of their children.[19] Birth registration and legal residence are pre-requisites for acquisition of nationality, so IDP children, and children born in the NGCAs, may also be at risk of statelessness due to difficulties faced in accessing birth registration. This is compounded by the presence in Ukraine of between 50,000 – 400,000 Roma (estimates vary but around 140,000 seems likely according to the OSCE). While many Roma have a right to nationality under Ukrainian law, their risk of statelessness is related to the lack of documentation and inability to meet the documentary requirements for birth registration. Many Roma are not documented or misidentified by Ukrainian authorities as Romanian, and many Roma do not want to register (as citizens or as IDPs) *inter alia* for fear of conscription.[20]

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[18] http://www.transparency.org/news/feature/what_is_grand_corruption_and_how_can_we_stop_it

[19] The Ukrainian Law on State Registration of Civil Status Acts No. 2398-VI of 1 July 2010 only allows birth registration of children born to at least one documented parent

[20] OSCE reports, UNHCR's Roma report, Roma Association reports

4.6   UNHCR's corporate policy context

There are several sets of guidance governing UNHCR's work in Ukraine. Regarding IDPs, there are four recent framing policy documents that also incorporate the historical mandates: the 2007 *Policy Framework and Implementation Strategy*, the 2007 *Protection and Internally Displaced Persons and the Role of UNHCR*, the 2011 Secretary General's *Decision No.2011/20 – Durable Solutions: Follow up to the Secretary-General's 2009 report on peacebuilding,* and the 2016 *Operational Guidelines on UNHCR's Engagement in Situations of Internal Displacement* (supplemented by the *IDP Footprint*).[21] The *Operational Guidelines* are particularly important as they limit the scope of UNHCR's operational mandate in IDP situations to the responsibilities of the three clusters which UNHCR (co)leads (Protection, Shelter, and Camp Coordination – a cluster that was not activated in Ukraine).

Policies regarding UNHCR's role as Cluster (co)lead are governed by the IASC and notably all the policy framework around the Humanitarian Programming Cycle, and specifically the 2015 (Revised) *Reference Module for Cluster Coordination at Country Level,* as well as cluster-specific guidance notes.

Regarding both IDPs and refugees, and of particular relevance to UNHCR in Ukraine, are the 2014 *Policy on Alternatives to Camps,* the 2015 *Operational Guidelines on the Minimum Criteria for Livelihoods Programming*, and the 2016 *Policy on Cash-Based Interventions.*

4.7   UNHCR's operating context in Ukraine

At the beginning of 2014, UNHCR in Ukraine had a small, stable regional office (covering Ukraine, Moldova and Belarus) and focused entirely on advocacy, capacity development and government technical backstopping for a regional population of about 9,000 refugees and asylum-seekers,[22] and about 35,000 stateless persons.[23] The budget was on the decrease, although the office had aspirations to launch a new initiative on statelessness since Ukraine had acceded to the Statelessness convention in 2013. Neither the Ukraine office, nor indeed the Europe Bureau, had capacity or recent experience with emergency response (the Syrian refugee response in Turkey being managed primarily by the Middle East and North Africa Bureau). For its part, the Government of Ukraine was unprepared for an IDP crisis.

From January 2014 to December 2016 the UNHCR operation in Ukraine underwent a profound transformation. The evaluation team saw this as breaking down into five distinct stages: (a) the first months of 2014 before any IDP displacements, (b) the initial Crimean displacement (March – April 2014) and unilateral UNHCR response, (c) the larger Donbass displacement (April – December 2014) with a loosely-organized multi-agency response, (d) 2015: the first year of the HRP and UNHCR (co)leadership of the protection and shelter clusters, and finally (e) 2016: the second year of the HRP. Some of the key aspects of this evolution are captured in Table 4.1.

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[21] These supersede the 2014 UNHCR Provisional Guidance on Engagement in Situations of Internal Displacement

[22] Unless this report is discussing the specific differences between refugees and asylum-seekers, it will generally use the term "refugees" to refer to both populations

[23] UNHCR COPs 2014 and 2015, interviews, internal documents

Table 4.1   *Key elements of the programme evolution from 2014-2016*[24]

	FIRST HALF 2014	SECOND HALF 2014	2015	2016
PoCs: refugees	7,200		9,770	9,780
PoCs: stateless	35,335		35,228	35,363
PoCs: IDPs	18,000 (ex-Crimea)	823,000 (ex-Donbass)	1,700,000	1,800,000
Office structure	Regional Office Kyiv covering Ukraine, Belarus and Moldova		Country Office Kyiv, Sub Office Dnipro 5 Field Offices	
Senior management team	Stable team of 2 in Kyiv (D1 + P5)		Representative a.i. Head Operations a.i. Head Sub-Office a.i.	Representative (D1) + P5 Kyiv + P5 Dnipro
Staff Kyiv[25]	31	36	62	62
Staff outside Kyiv	0	1-4 deployees	60	80
Partners Kyiv	7	15	8	12
Partners Dnipro	0		11	11
Expend. refugees	$6,376,375[26]		$4,376,188	$5,421,740
Expend. stateless	$265,657		$107,328	$71,145
Expenditure IDPs		$7,970,156	$23,951,120	$19,108,320

4.8   The evolving geography of the IDP displacement

The very first IDPs were about 15,000 persons who left Crimea in March 2014 and spread mostly throughout West and Central Ukraine. At that time, the political and security outcomes of the Crimean situation were very uncertain and there was a possibility of a much larger exodus – as a result of which UNHCR and other agencies went on heightened alert, and UNHCR led an interagency contingency planning process. This early response to the relatively small number of Crimean IDPs was important as it tested several of the governmental and interagency systems, revealed a number of weaknesses, and helped everyone tune up a little before the bigger displacement from Donbass.

From April 2014 onwards the situation in the east became highly dynamic, with cities and regions being occupied and returned to government control, both with and without fighting, and no clear line separating what later became known as the GCAs and the NGCAs. At this time, the government's

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[24] Population and spending data sourced from public UNHCR reporting: Global Focus (2014-2016)

[25] Approved staff positions (not necessarily all filled), as well as personnel on different contractual status e.g. UNV and UNOPS: source org charts provided by UNHCR Ukraine. Actual staffing at end 2016 was reported as 48 in Kyiv and 73 outside Kyiv

[26] 2014 financial data includes Moldova and Belarus

primary goal was to prevail in the military operation to recapture territory temporarily occupied by rebels, and the government neither welcomed attention to the displacement nor requested international assistance. For the most part, IDPs in mid-2014 were supported by Ukrainian municipalities and civil society, and relied (as is usually the case at the start of a displacement) on the considerable goodwill of neighbors and strangers. As time went on the conflict became protracted but not solved, with OSCE reporting as recently as July 2017 that "continued violence and potential escalation remain as the sides, at best, only partially adhere to their commitments. The disengagement process remains stalled."[27] By 2016, there were 1.8 million IDPs in Ukraine, of whom about half are assumed to be staying semi-permanently in the GCAs, and the remainder travel back and forth between the GCAs and NGCAs for various personal and economic reasons.[28]

Since 2015, there has also been movement of IDPs back from the GCAs to the NGCAs, reportedly because their resources, opportunities or welcome in GCAs were exhausted, although estimating the number of returnees is difficult because there is a constant ebb and flow of movement across the contact line (approximately 700,000 crossings in both directions per month).[29]

While the international community now uses the shorthand terminology of the GCAs and NGCAs divided by a "contact line," it is important to look closer at the contact line in order to understand the needs of UNHCR's Population of Concern (PoC). The contact line is not an actual line (there was no armistice line agreed at Minsk), but was originally the "buffer zone" of the Minsk accords; a band between 20 and 40 km wide and stretching for about 500 km (see map box Figure 4.2) – now more commonly known as the "grey zone."

> "
> *Those who remain in the front-line area usually have nowhere else to go or lack the means to leave. They are more likely women than men, are often pensioners and sometimes have to care for family members too infirm to leave*
>
> *- Ukraine: The Line, ICG (2016)*
> "

The Humanitarian Needs Overview 2017, and all previous UN planning documents consider that the most vulnerable population in the region is not displaced, but consists of approximately 200,000 people affected by the conflict and living in this grey zone – an area of active military presence and periodic shelling, characterized by damaged housing, destroyed or collapsed (unmaintained) utilities and infrastructure, closed schools and medical facilities, and a sterile local economy without a functioning transport or banking system. Many of these people are "displaced in place," living on their property but not in their house – perhaps living in a stable or a shed, or in part of their house, and at risk of displacement if their situation falls below the threshold of tolerable security or living standards.

There is also an important distinction between the GCAs in Dnipro, Zaphorizhzia and Kharkiv, which are more IDP-affected than the rest of Ukraine but which have fully-functioning governments, and the GCA

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[27] OSCE July 2017 Status Report http://www.osce.org/special-monitoring-mission-to-ukraine/329136?download=true

[28] This report uses the population numbers provided by UNHCR, but there are discrepancies between Government and UN statistics. IOM is considered to have the most accurate estimates of the population needing and receiving assistance

[29] UNHCR 2016 Year End Report

parts of Donetsk and Luhansk oblasts, which have higher concentrations of IDPs, and whose governments and public services are disrupted due to the division of the oblasts by the contact line, and because the municipal infrastructure of the oblast capitals (Luhansk and Donetsk cities) are both in the NGCAs.

Thus, it is that, in terms of access, vulnerability, protection and assistance, UNHCR is dealing with six very different geographic areas: (1) the NGCAs far from the contact line, and (2) the NGCAs near the contact line: these are considered as "zone one" in the UNHCR and HCT strategies. (3) The GCAs near the contact line, (4) the GCAs back from the contact line in Donetsk and Luhansk oblasts, and (5) the three adjacent GCA oblasts: these are "zone two." And then (6) the rest of Ukraine is "zone three." The asymmetry is most striking in the "grey zone" on either side of the contact line, because the area to which humanitarian actors have <u>least access is the grey zone on the NGCA side of the contact line</u>, and the area that is the <u>highest priority for protection monitoring and shelter assistance is the grey zone on the GCA side of the contact line</u>.

Figure 4.2   *Map of the contact line and buffer zone (Minsk protocol 2014)*

5   Findings Regarding UNHCR's Objectives and Strategies

5.1   How well did UNHCR scale up its operation?

Finding 1:   **UNHCR deployed protection, shelter and field officers early, but there were delays in the build-up of critical supply and administrative support functions.**

Scaling up staffing

As soon as the Crimean crisis broke, the UNHCR Kyiv office (at that time a Regional Office) was quick off the mark and pulled in staff including drivers and vehicles from Moldova and Belarus, supplemented by staff temporarily deployed from Kazakhstan in May 2014.

According to UNHCR records, the first senior additional deployment from HQs was mobilized in July 2014, and from then onwards a number of field officers were deployed on emergency missions. A wide range of interview respondents (especially staff, donors, and government partners) as well as online survey responses concur that IDP protection and field management functions were well covered in the second half of 2014, and both government and donors stated that UNHCR's mobilization was quicker and more operationally effective than most other UN agencies, most of whom were not present or operational at that time. In particular, the rapid deployment of protection officers and prioritized recruitment of national protection staff enabled UNHCR to set up a strong protection system very early. Regarding both timeliness and staffing, 64% of survey respondents felt that the scale up was done very well, or well with a few delays or limitations.

The limitations appeared to be mainly in the support functions, which several interviewees felt affected programme delivery, and which resulted in slow negotiation and late signature of project partner agreements (as discussed in more depth later). Only one Supply Officer was deployed in 2014 for 2 months (none in 2015) and two HR officers were deployed, one for one month in 2014 and one for one month in 2015. Interviews with UNHCR staff, review of deployee mission reports and deployee tables, and the *UNHCR Inspection Report* all concur that these were not sufficient to support the back-office functions of supply, finance, staffing and administration in a rapidly growing emergency. Notably, the *OIOS Audit Report* found that much of the early programming work in late 2014 was not compliant, and that the Supply Unit was still not yet fully established by July 2015.

Many interlocutors stated that deployments were severely constrained by the requirement for deployees to speak Russian, and indeed some of the early deployees who did not speak Russian were reported in interviews and internal documents as less effective. There was however a differing viewpoint: that "speaking UNHCR" and knowing how the organization worked was more important than speaking Russian. On this last point, whether speaking Russian is a requirement for effectiveness in Ukraine, there is insufficient evidence to conclude clearly either way.

Finding 2:	UNHCR's quick mobilization provided strategic advantage and advocacy leverage.

Scaling up programming

During the early days of the response to the Crimean displacement, UNHCR Kyiv quickly mobilized contacts in order to obtain access and to respond to initial requests from local authorities for non-food items, food,[30] collective centre repairs and later for cash assistance and small business grants – for a total sum of approximately $5.3 million. The methods and nature of this early procurement and distribution were criticized in the *OIOS Audit Report 2015/071* as ad hoc and non-compliant, and the operation might have provided more direct assistance than would normally be expected in an IDP situation.[31] Indeed, interviews with key personnel and internal documents provided to the evaluation team concur that in mid-2014 there was a palpable tension between the Kyiv office wanting to press ahead with a wide range of assistance to IDPs, and Headquarters recalling the Balkan experience, urging caution, moderation, acting in concert, and discussing assistance "red lines" so that UNHCR did not commit beyond the bounds of its mandate and resources in ways that would make it difficult for UNHCR to extricate itself if the situation became protracted.

However, notwithstanding the discussion about how much to engage and whether UNHCR was assuming responsibilities that properly belonged to other agencies, the evaluation team also heard from donors, UN agencies and government officials, as well as in narrative responses to the survey, that these early actions placed UNHCR strategically as the lead humanitarian agency for the whole response. Furthermore, the reputation and goodwill established in these early days gave UNHCR considerable leverage later in 2014 when the agenda shifted to advocacy and legislative support. The details of UNHCR's advocacy are covered later in this report – the essential point to make here is that the evidence is that UNHCR's quick mobilization was a major contributing factor in UNHCR becoming *primus inter pares*.

Figure 5.1   How well did UNHCR scale up its operations in Ukraine in response to the IDP crisis in terms of timeliness, geographic coverage, staffing and funding?
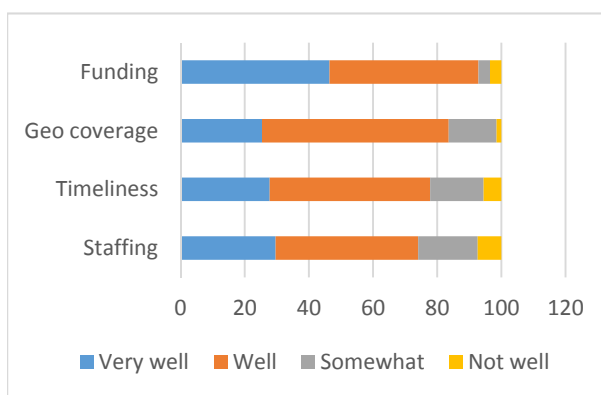
Scaling up funding

Regarding the scale-up of funding, interviews with UNHCR staff, the *OIOS Audit Report*, a review of budget committee records, COP reports and UNHCR online Global Reports show that UNHCR Kyiv made

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[30] WFP was not operational in Ukraine, and waited for a Government request before engaging in late 2014

[31] The *Operational Guidelines for UNHCR's Engagement in Situations of Internal Displacement* did not exist at the start of the Ukraine crisis, and do not delimit when cash and NFI distributions are or are not appropriate. They do however emphasise that assistance to IDPs must have a protection purpose (either providing access for protection monitoring, or meeting the immediate needs of the most vulnerable IDPs)

a series of quick operational decisions in early 2014 that freed up already-allocated resources for immediate assistance as described above, and then UNHCR Budget Committee made a number of decisions from May 2014 onwards to allocate additional resources to Ukraine from corporate reserves. At the same time, fund-raising efforts were very successful even before a supplementary appeal was launched, surpassing the approved IDP expenditure plan of $10,600,000 by $2,500,000.

This can be attributed in part to UNHCR simply being present in-country before WFP, OCHA and INGOs mobilized, and especially UNHCR's early action, combined with a high level of donor interest that interviews with UNHCR and donors showed were driven by political as well as humanitarian factors. The IDP programme planned for 2015 was significantly more ambitious, with an appeal amount of $40 million, a budgeted amount of $37 million and expenditure of $24 million. 2016 was similar, with $42.3 million requested, and slightly smaller amount of $19 million spent – demonstrating effective resource mobilization for 2015 and 2016 as well.[32]

| Finding 3: | Unsettled leadership of the Ukraine operation in 2015, combined with a poorly defined division of roles between Kyiv and Dnipro, affected continuity, advocacy and programme effectiveness. |

By mid-2014 it became clear that the displacement from the East was going to be serious and prolonged, and all agencies started to gear up for a full humanitarian response. A Preliminary Response Plan was issued in August 2014 including a stepped-up UNHCR programme and, according to interviews with senior UNHCR staff and internal UNHCR documents, in the following months UNHCR HQs decided that the scale of the emergency had surpassed the capacity of the Regional Office. A senior mission to the field in November 2014 drew attention to a number of perceived management weaknesses (including lack of documentation to support management decisions), recommended to de-regionalize the Kyiv office, and strongly urged for a UNHCR IDP strategy as well as a step-up in operational support to meet the expectations of an HC/HCT-led humanitarian response. On the heels of this mission, on 28 November 2014, a Senior Emergency Operations Coordinator was appointed with a mandate to develop and manage the IDP response programme, and under the Senior Coordinator's leadership a UNHCR Ukraine IDP Strategy was developed in December 2014.

Scaling up the offices

The December 2014 IDP strategy called for a "decentralized, empowered Sub Office with direct responsibility, accountability and authority to oversee and manage (6) field offices strategically located in areas within, as well as outside of, government control. The Heads of Field Office will report directly to the Head of Sub Office. While this structure will operate under the overall leadership of the Regional Representative in Kyiv, the day-to-day decision making and management of the operation, in line with the strategic parameters set out in this plan, will fall to the Head of Sub Office." Although the Head of Sub-Office was to report to the Representative, UNHCR HQs and field staff interviewed by the evaluation team concur that the effect of this strategy was to create a bifurcated structure – where the IDP programme would be managed from the field by a Sub-Office (quickly established in Dnipro), and the refugee and stateless programme from Kyiv.

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[32] 50% is a higher level of financing than is usually seen in UNHCR operations and higher than the HRP averages for the same years. 2014 and 2015 data is from UNHCR online Global Reports, and 2016 data is from provisional internal financial reporting

Lack of management continuity

In early 2015, the Representative's assignment in Ukraine ended (at a critical moment when internal and interagency planning processes were taking place) and there began a succession of short-term arrangements. A detailed review of deployment records and organization charts shows that, at the middle management and officer level, the temporary solution of missions and temporary deployments in 2014 and in the first quarter of 2015 was resolved by a round of fast track staffing from March 2015 onwards, triggered by the increased staffing levels approved by the December 2014 strategy. In this period, a total of 15 international staff were recruited on fast track, briefed and deployed, as well as over 90 national positions filled or regularized. But stability was slower to come to the senior management level: only in early 2016 were the positions of Representative and Head of Sub-Office in Dnipro filled permanently. This discontinuity in senior management did not however seem to affect cluster coordination or programme delivery outside the eastern region, which benefited from continuity in the Deputy Representative position and a constant cohort of middle managers in Kyiv who have stayed with the operation since the crisis began: notably the Head of Programme,[33] the Shelter Cluster Coordinator, and a Protection Cluster Coordinator who was Senior Protection Officer in-country prior to moving over to the cluster role.

Interviews with all stakeholders, several narrative survey responses as well as the *OIOS Audit Report* and the *UNHCR Inspection Report* agree that the combination of this succession of short-term assignments and the bifurcated management structure together affected the continuity of UNHCR's relationships with the Government and with key partners, which in turn interrupted a coherent management approach and reduced effectiveness of advocacy leverage with the Government. Specifically, interviewees and UNHCR internal reports stated that this management hiatus in 2015 interrupted the strong relationships with SMS and especially with MOSP, as a result of which support to MOSP for implementation of IDP registration shifted from UNHCR to a more responsive and possibly better-resourced IOM. Interviewees and programme documents reported that the management hiatus in combination with the harsh audit also interrupted UNHCR's cash programme, leaving a vacuum that several other agencies were quick to fill. Despite the issuance of a Letter of Instruction from the Head of Operation a.i. to the Head of Sub-Office in September 2015, staff interviews, the external shelter cluster evaluation and survey responses reported that programme coordination was confused between Kyiv and Dnipro because decision-making authorities were not clear.

Finally, UN agency responses to the survey from the 2014 and 2015 years scored UNHCR as average on "coordination with the HCT," and much lower than scores from UN agency respondents identifying 2016 as their year of primary involvement. To some extent, this might be a result of the tensions between UNHCR and other HCT members in 2015, over the matter of accreditation/registration in the NGCAs.

Late agreement signatures

A further and rather important consequence of the slow buildup of programming staff and of the confusion over roles and responsibilities between Kyiv and Dnipro offices was the delay in signature of agreements and subsequent delay in expenditures within each year. A closer look at the patterns of disbursement reveals that, while the aggregate expenditure was high, the expenditure was often made at the end of the year, or carried-over. Internal UNHCR documents including Budget Committee minutes

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[33] During 2015 the SPO had limited responsibility for the eastern region but full responsibility for the centre and west of Ukraine

show that at the end of 2014, an undisbursed balance of about $2 million was carried over, and there was an even more significant carry-over at the end of 2015.[34]

This late disbursement leading to carry-over can be explained in 2014 by the evolving situation, the time it takes to identify and reach agreement with new partners, difficulties of negotiating costs in a context of rapidly-changing exchange rates, problems of NGA access, late donor contributions, and above all by the shortage of programme and supply staff. In 2014, 13 of 17 IDP agreements were signed in the last quarter of the year. But analysis of the agreements signed in 2015 and 2016, and UNHCR internal programme tracking documents, show that in 2015 many project partnership agreements were again signed late: 7 of 19 were signed in the first and second quarters, 5 were signed in the third quarter, and 7 were signed in the last quarter. This can again partly be ascribed to high staff turnover and the shortage of programming staff, but also Dnipro was simply not initially equipped to handle programming. According to interviews with UNHCR staff and the *OIOS Audit Report*, for half of 2015 there was no programme officer in Dnipro, and a separate Dnipro cost centre and bank account were only set up in mid-2015. As a result, partners working on IDPs were bounced between Kyiv (contracting and payment) and Dnipro (supervision and reporting), and several organizations who negotiated and signed with Kyiv in 2014 had to start over with Dnipro in mid-2015.

National NGOs explained that they were particularly affected by late signature of agreements, as they did not have the corporate mass to advance programme funds and salaries while waiting for the paperwork to catch up, and there were several examples in interviews and in partner annual reports of quality staff being lost by NNGOs due to their inability to provide contractual security in a competitive NGO marketplace. When late agreement signatures are combined with the UNHCR policy against providing Project HQs Support Costs to national NGOs, which is effectively an overhead of up to 7% that INGOs receive to cover the costs of their corporate operations, then NNGOs appear to be doubly disadvantaged - contrary to global commitments to do more to support NNGOs. NNGO partners explained in interviews how agreements signed late in the year obliged them to rush procurement and to short-circuit detailed needs assessment and efficient planning of the delivery of goods and services, as funds needed to be spent before year end.

Since 2016 the management relationship between UNHCR's Kyiv and Dnipro offices has improved in several respects. However, the online survey (see Figure 5.2) shows that UNHCR staff still feel that internal coordination between Kyiv and the field is below average. Probing through interviews as to what aspects of the relationship are perceived to be stronger or weaker, the evaluation team found that coordination on protection and shelter is now improved between the two offices, and there are constructive discussions between them on planning and priority-setting. However, UNHCR staff and partners revealed that there is still some overlap in the area of programming: for example many working with IDPs complained about receiving conflicting instructions from Dnipro and Kyiv; partners specialized in IDP advocacy were unsure whether they should engage with UNHCR through their programming focal point in Dnipro or through their advocacy focal point in Kyiv; and partners working on IDP issues in the west and centre of Ukraine (managed by a small field unit for IDPs based in Kyiv that does not report to Dnipro) were unsure how they should coordinate their programming and advocacy with IDP partners in the east.

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[34] In a complex and rapidly-evolving emergency funded by donors using different budgetary cycles, some degree of carry-over is inevitable and helps support continuity

Figure 5.2 **How well does UNHCR coordinate internally between Kyiv and the Sub/Field Offices?**

Response	Chart	Percentage
Very well		2.3%
Quite well		36.4%
Somewhat		25.0%
Not well		15.9%
Do not know/not applicable		20.5%
Total Responses (UNHCR staff only) 44		
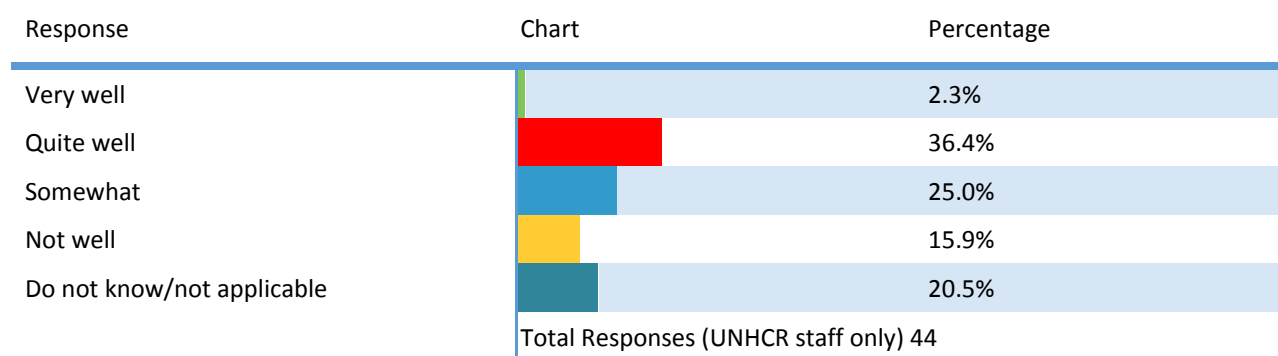
5.2   The UNHCR office footprint

As explained earlier, UNHCR and the rest of the HCT adopted a three-zone model of assistance wherein minimal direct assistance would be provided to IDPs outside the eastern region, but in practice UNHCR itself did not fully implement this model. A review of UNHCR mission reports and needs assessments reveal that monitoring work in 2015 in "zone 3" found important gaps in the coverage of vulnerable IDPs that was hitherto assumed to be provided by local authorities and local Operating Partners (OPs) in these less-affected regions. In response, in mid-2015 UNHCR set up a four-person field unit in Kyiv to cover IDPs outside the east. This was followed up with the engagement of at least three partners for the west and central regions in 2015 (CrimSOS, the European Association on the Rights of the Disabled, and the Municipality of Kyiv) who provided limited individual and community assistance beyond legal counselling (which was provided by CrimSOS and R2P). According to UNHCR staff interviews and internal documents, part of the rationale to extend to the west and centre was to monitor or prevent secondary displacements or forced returns, but partly also to demonstrate to the Government that UNHCR was pursuing the humanitarian imperatives of impartiality and independence, which in turn gave UNHCR legitimacy to work in the NGCAs.

> **Finding 4:**   **UNHCR's field office footprint is now somewhat misconfigured given how the situation has evolved since 2014.**

UNHCR was one of the first UN agencies to set up field offices in the east, and was widely recognized for this in interviews with donors, UN agencies and partners. At the time when the decisions were made to base operations in a Sub Office in Dnipro, the conflict was still active and the contact line was still fluid. HCT members and donors agreed that at that time it was appropriate for UNHCR to place their management and operational hub in a major city that was welcoming to IDPs and set back from the contested areas, and then link to that hub a series of Field Offices closer to the contact line (in Kharkiv, Severodonetsk and Mariupol for the GCAs, as well as in Luhansk and Donetsk cities, covering the two NGCAs).[35] A review of the organizational footprints of other UN agencies showed that this configuration provided UNHCR with the most coverage of any UN agency throughout the east (followed by OCHA and OCHCR),and allowed UNHCR to develop a comprehensive system of field monitoring as well as strong relationships with local authorities.

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[35] The original plan called for an office in Kherson, but this office was never created

In 2016 the other UN agencies reconfigured. Encouraged by an interagency mission to consider improvements to cluster coordination and "to relocate close to the contact line,"[36] the humanitarian and development communities consolidated themselves to Kramatorsk, the most centrally-placed town near the contact line, and which has become the UN hub for the eastern region and the temporary centre of government bodies in Donetsk oblast. The new Ministry of Temporary Occupied Territories and IDPs (MTOTI) also set up their regional base there, and a regional version of the UNCT was created with a mandate to coordinate recovery in the east, known as the UN Eastern Team (UNET). At this time, UNHCR made the decision to shrink Kharkiv to a minimum presence and move its team to Slovyansk (adjacent to Kramatorsk), but maintained the rest of the offices as before. And thus, in 2017, UNHCR is alone among UN agencies in keeping its regional base far from the contact line in Dnipro rather than in Kramatorsk, a situation that all UNHCR senior officials stated in interview is no longer necessary. UNHCR also maintains by far the largest number of field offices (six) in the eastern region, despite facing budget pressures.[37]

5.3   UNHCR's access to NGCAs

Throughout 2015 and on into 2016, the Government of Ukraine and the *de facto* authorities in the NGCAs played a game of tug-of-war in which the movement of goods and people across the contact line were manipulated by both sides in order to gain political advantage. As part of this process of asserting control in order to obtain legitimacy, in July 2015 the *de facto* authorities decided to require the accreditation/registration of organizations working in the NGCAs. The Government took the position that agencies should not register as this would confer legitimacy on the *de facto* authorities and imply recognition of the so-called independent republics. And thus, the UNCT/HCT was caught between their desire to work with and in some cases through the Ukrainian government, and the humanitarian imperative to deliver assistance to those in need. Unable to resolve this locally, the matter was referred to New York – which determined that UN agencies should not register with the *de facto* authorities.

At this point the humanitarian community faced a critical moral dilemma: adhere to the injunction from the UN Assistant Secretary General for Legal Affairs (OLA) citing the primacy of the General Assembly Resolution on the territorial integrity of Ukraine, or follow the humanitarian imperative citing the stipulations on humanitarian access recorded in the Minsk Agreement. The situation was further complicated by the fact that the HRPs for 2015 and 2016 included assistance to NGCAs; indeed, the promise of coverage of needs in the NGCAs was a major funding draw, and if access were not obtained then this could have had severe resource implications for all the HRP agencies.

Finding 5:   **UNHCR's principled stand on access to NGCAs paved the way for UN agencies to remain engaged in the NGCAs.**

Although the precise pathways taken were different between Luhansk and Donetsk, both of which had different (and frequently-changing) local rules regarding accreditation/registration and information requirements, in the end UNHCR pursued a path of accreditation/registration based on the moral argument that the humanitarian imperative should prevail over political considerations.

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[36] *GCC Mission to Ukraine to support the Architecture Review, March 2016*

[37] UNHCR's 2017 Ukraine programme was 18% funded as of the end of March 2017

UNHCR's patient efforts to register were successful in Luhansk, and although the accreditation/registration conundrum was never resolved in Donetsk, UNHCR's continued presence has been tolerated there. Several UN agencies sought accreditation/registration on the heels of UNHCR,[38] and today's consensus among the interviewed donors and UN agencies (confirmed by survey responses) is that humanitarian protection and assistance in the NGCAs can in large part be attributed to UNHCR's bold actions.[39] The policy discussion on the strength of the humanitarian imperative resulted in UNHCR drafting an internal policy note on *Dealing with unrecognized entities* with a focus on Europe – an unintended but beneficial result of the story of NGCA access.

Finding 6: UNHCR's scope for action remains severely limited in the NGCAs.

As evidenced by the Humanitarian Needs Overviews/HRPs and by UNHCR's own planning documents, all humanitarian agencies assume that the needs are greater on the NGCA side of the contact line, even though direct needs assessments are rare. In some ways delivering assistance to the NGCAs has become the holy grail of the Ukraine operation, as it is the area of most interest to donors, and whoever gains access is likely to be well-funded. Unfortunately, however, UN agency internal and public reports, media reports and UN advocacy documents confirm that no UN agency in the NGCAs has been able to secure full access to the affected population, in particular (for security reasons) close to the contact line.[40] Comparing survey responses for GCAs and NGCAs, it is clear (Figure 5.3) that survey stakeholders feel that UNHCR has not promoted and coordinated coverage as well in the NGCAs. Further information on results in NGCAs is provided in the next chapter.

Figure 5.3   How well do you think that UNHCR promoted and coordinated coverage of the people of concern in GCAs and NGCAs (%)
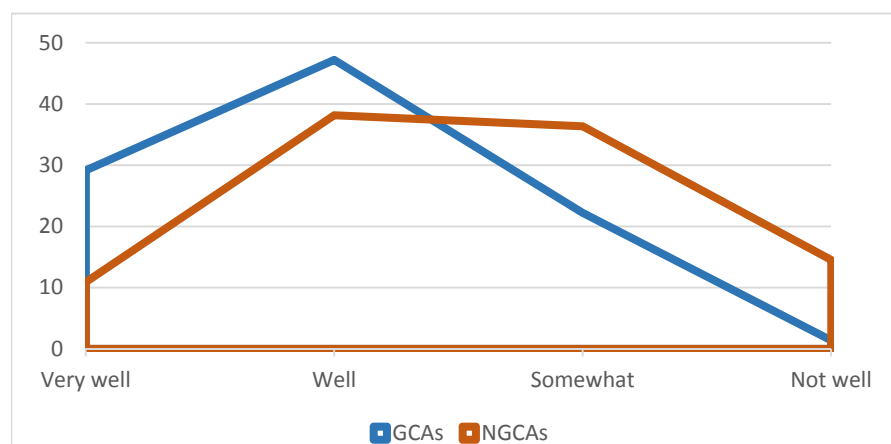
5.4   UNHCR's planning

Finding 7:   UNHCR's early strategies helped to shape the overall humanitarian response.

The early 2014 activities of RO Kyiv operation did not seem to follow a plan and as far as we can ascertain were not explicitly endorsed by HQs, but (as described earlier) they appear to have been welcomed by local authorities and by key donors, albeit non-compliant according to the *OIOS Audit Report* and the *UNHCR Inspection Report*. The first IDP strategy of any kind in Ukraine was developed by the UNHCR office in July 2014, and although it was still not very focused it did include the key components of advocacy and capacity development regarding IDP registration and IDP legislation, and an early version of the three-zone strategy that was adopted by UNHCR and the HRP later in 2015.It is evident from analysis of UNHCR and HCT strategies for 2015, as well as interviews with donors, HCT and UNHCR staff, that UNHCR's December 2014 IDP strategy directly fed into the drafting of the 2015 HRP, and in its broad outline is still followed into 2017.

Finding 8:   UNHCR's annual planning was not as consultative as desired.

At the level of the HRP, UNHCR planning was reported by HCT members and in survey responses as well-coordinated with other UN agencies, although there were difficulties in cash coordination that are discussed later in Chapter 6. However, local governments, as well as operating and Partners, generally remarked in interviews that consultations on UNHCR's annual planning mostly consisted of sequenced bilateral meetings (which were themselves more of a one-way process to explain the parameters and priorities already determined by UNHCR) rather than processes of collective planning. In addition, as remarked in partner interviews and in the *UNHCR Inspection Report*, the bifurcation of roles between Kyiv and Dnipro created difficulties aligning the partner-level plans and agreements with the overall plan. There was a singular gathering of civil society and UN partners in December 2015, which allowed a high-level exchange on overall strategy and was found to be very valuable by participants, but this was a one-time event and according to UNHCR staff, partners and UNHCR's 2015 Annual Report this event was intended more for capacity development than for detailed planning.

Finding 9:   UNHCR's approach in Ukraine generally followed the "IDP Footprint."

Even though the corporate guidance on UNHCR's role in IDP response (and the IDP footprint) were developed in late 2015 in the middle of the Ukraine IDP crisis, a comparison of UNHCR Ukraine's Annual Reports and the IDP Footprint show that the Ukraine programme was generally coherent with it. In particular the IDP guidance focuses on ensuring that UNHCR's engagement is aligned with its cluster lead responsibilities, and that assistance is used as an entry point for protection as well as filling life-threatening gaps as provider of last resort. As recommended by the Footprint, UNHCR resisted the invitations from Government and stakeholders to address the full range of IDP needs through UNHCR's own programming,[41] and instead referred those needs to other IASC-mandated agencies, even if these were not always equipped to deliver.

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[41] Recall from Chapter 5.1 that some of the very initial programming in 2014 might have provided more direct assistance to IDPs than the Footprint recommends, ref. the Annual Report 2014 and the *UNHCR Inspection Report*

Finding 10:   In Ukraine, UNHCR has implemented several solutions-oriented activities, but did not have a formal IDP solutions strategy.

Despite the prominence accorded to solutions in UNHCR's Ukraine December 2014 strategy statement (objective three), a review of UNHCR's Annual Reports 2014-2016 shows that UNHCR has concentrated on emergency response. A multi-year protection and solutions strategy for Ukraine is being prepared in early 2017 and was shared with the evaluation team. However, this is late: discussions with development actors, and review of an unpublished evaluation of UNDP's early recovery programme showed that the development community has been planning for the inclusion of IDPs within social and economic development programming since 2015, and it has been evident since the Global Cluster Coordination (GCC) review mission of mid-2016 that humanitarian operations need to scale down and prepare for transition.

However, even without an underlying strategy document, UNHCR has conducted a string of advocacy and programming initiatives aiming to advance solutions. On the advocacy side, these included urging for the residence permit requirements to be changed so that IDPs can obtain easier access to available rental accommodation and employment (IDPs' two highest priorities according to a UNHCR survey), for improvements to the IDP social benefit regime, and the shelter cluster has shifted priorities towards advocacy for social housing. On the programming side, UNHCR initiated a programme of "Cities of Solidarity" to showcase the efforts of Ukrainian municipalities to integrate IDPs and to attract donor funding for IDP-centered economic development, and supported Quick Impact Projects (QIPs) in a number of communities in ways that benefited IDPs and host communities together. Finally, UNHCR has made an important contribution to understanding attitudinal obstacles to IDP integration (for example through a nationwide public opinion survey in 2015), and then tried to address some of those obstacles through campaigns to soften prejudice and increase understanding.

Finding 11:   UNHCR was largely successful in preventing the creation of IDP camps.

In the early days of the Crimean IDP displacement, the Ukrainian authority charged with initial response was the State Emergency Service (SES). SES was not equipped with policies or capacity to respond to IDPs, and understandably started their response with the classic relief modalities of emergency accommodation (tents, containers, billeting in dormitories and summer camps/sanatoria) and distributing goods in-kind. In 2014 and into 2015 UNHCR provided limited funding to ensure minimum standards at some collective centres that the Government had already established, while also urging the authorities to resist encampment and to consider cash as an alternative to in-kind distributions.[42] On the whole this early and strategic intervention by UNHCR (long before any kind of system-wide humanitarian response) was successful, the number of collective centres was limited, and most importantly, the collective centres were each relatively small (tens and occasionally hundreds of people but never thousands) thus avoiding the known downsides of agglomeration. The main exception was a series of seven container cities constructed by GIZ, as far as the evaluation team can ascertain without association or consultation with the UN system.

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[42] This policy to discourage Collective Centres was endorsed by the Special Rapporteur for the human rights of IDPs in his April 2015 Ukraine report

However, the evaluation team also found that, given the Ukrainian cultural context, there is a case for a limited number of collective centres, particularly for extremely vulnerable IDPs.[43] One example of this is in the NGCAs, where the *de facto* authorities have a policy of managing displacement through a small number of collective centres, and where UNHCR has little access to the affected population at all unless they are assembled in a collective centre. A further argument expressed to the evaluation team, is that allowing some measure of collectivization in NGCAs removes the pressure on illegal occupation of housing that is owned by an IDP who has left for the GCAs, which would create a legal and protection entanglement, and also inhibit the eventual voluntary return of an IDP family from the GCAs.

The second situation where there is some justification for long-term communal living in Ukraine is illustrated by the *Pirogov Sanatorium* in the town of Kuyalnik, which has been well documented by partners and UNHCR's own monitoring reports and advocacy notes. This collective centre's residents were made up of an extraordinarily vulnerable concentration of older persons and persons with disabilities (64%), and ten of its 37 children had disabilities. On the one hand, the protection concerns evident in this situation, and the legitimate rights of the property owners, together suggest that the collective centre should be dismantled. However, for the vast majority of the residents, this facility is reported to have provided a greater sense of protection, mutual support and community than they could achieve elsewhere. In other circumstances, it might have been "determined in their best interest" that they should stay. In this particular case, UNHCR first provided legal advice to the IDPs through an IP, but no material support. When an eviction campaign started, UNHCR advocated for the IDPs to be allowed to stay; but when the authorities and owners determined that the centre should close, UNHCR shifted strategy to helping individual families find alternative accommodation. When that made little progress and the pressure for eviction mounted, UNHCR then switched to identifying suitable alternative collective centres for groups of residents.

5.5   Needs assessments

Finding 12:   UNHCR planned its IDP programming on the basis of needs assessments.

UNHCR invested considerable effort in understanding the situation and needs of IDPs. In the initial Crimean response, UNHCR relied upon government lists of IDPs when they distributed their first round of in-kind and cash assistance, and later in 2014 undertook their first profiling in the west and centre (profiling of IDPs in collective centres). Later in 2014, UNHCR joined with UNICEF and IOM to conduct the first interagency needs assessment (not a full participatory assessment) in all regions, which became the basis for the 2014 PRP and later for the 2015 HRP.

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[43] A similar observation was made by the *UNHCR Inspection Report*: UNHCR should analyze … "whether protection interventions and support are nonetheless warranted for persons in temporary collective shelters, keeping in mind the actual availability of possible durable solutions for vulnerable persons"

UNHCR conducted a full round of participatory assessments in early 2015, everywhere including in the Donetsk NGCA (but not Luhansk). This was a massive exercise, involving the training of participating agencies, nine coordinated regional assessments and more than 400 focus group discussions. From UNHCR interviews, internal UNHCR reports and the 2015 Annual Report there is no doubt that the results of this round of assessments guided tactical programming decisions in 2015, had a significant role in shaping the overall planning for 2016, and above all set the protection advocacy agenda that is still being followed today. These assessments were followed by a separate process of feedback to government and IDPs that is described in the next chapter under accountability to affected populations. Later in mid-2015, REACH was deployed to Ukraine in the framework of its on-going partnership with the Global Shelter Cluster (GSC), to facilitate an assessment of Emergency Shelter and Non-Food Item (NFI) needs. This resulted in a comprehensive report, and the establishment of an ongoing REACH multi-sector assessment process in Ukraine that together have guided the bulk of assistance programming for the next two years (including WASH, food security, cash and winterization assistance).[44]

Figure 5.4   Did UNHCR-funded projects use needs assessments to support programme planning? (all PPGs)

Response	Percentage
Yes definitely	53.7%
Probably	31.7%
Probably not	3.7%
Definitely not	0.0%
Do not know/NA	11.0%
	82 responses

Unfortunately, a planned needs assessment on IDP intentions was delayed. UNHCR planned an intention survey of IDPs for 2016, and obtained funding for a large-scale survey on the basis of a promising pilot in early 2016. Unfortunately, the full survey did not take place, reportedly because the survey got bogged down in a methodological debate between HQs and the Dnipro sub-office that was championing this exercise. Staff interviews suggest that it is however possible that the survey was also delayed because of differences of view over the timing of such a survey and the management of the political sensitivities that might ensue.

Needs assessment of refugees and stateless persons

Regarding asylum-seekers and refugees, the population in Ukraine is relatively small (10,000), and UNHCR has a well-established network of experienced partners providing them with legal assistance, counseling and a limited Monthly Subsistence Allowance (MSA) – all on an individual case management basis. For these reasons, and in particular as a result of the detailed screening that takes place to determine eligibility for MSA, the refugee population is well known and does not need separate assessments as frequently as IDPs. In the online survey, 68% of respondents self-identifying as working with refugees and asylum-seekers stated that UNHCR definitely planned on the basis of needs assessments.[45]

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[44] Also in early 2015, ACAPS conducted an assessment on behalf of the NGO Forum and with cooperation from OCHA, but as far as we can ascertain that did not involve UNHCR directly

[45] A participatory assessment conducted in 2015 in Odessa revealed a worsening of discrimination (from the public and from landlords) and a hardening of official attitudes towards refugees – generally ascribed to competing pressures from IDPs and negative media imagery about refugees since the Mediterranean movement started. The evaluation team did not find evidence of UNHCR adjusting their refugee protection and assistance planning on the basis of this particular assessment

The need to map the stateless population in Ukraine was a priority identified in all COPs since 2013. However, a planned mapping exercise was repeatedly delayed, and has only been conducted in early 2017 in Kyiv and Kharkiv. In the absence of this first ever mapping, the policy dialogue with Government has been uncomfortable, as the Government feels that UNHCR (and in particular its partner working on statelessness) are exaggerated in their stateless population estimates, and do not sufficiently recognize the efforts that the government has made to address statelessness since they signed the convention in 2013.

Finding 13:	**UNHCR's 2016 special surveys provided depth of detail on issues that were identified as critical, but that were hitherto only anecdotally understood.**

In 2016, UNHCR judged that there was no need to conduct another participatory assessment (the results of the 2015 assessment were used to frame 2016 programming), and instead invested in four different types of assessment, each rounding out a composite picture of the needs facing IDPs in Ukraine. First of these was the April 2016 study conducted by the Kyiv International Institute of Sociology on *Ukrainians' Attitudes towards Internally Displaced Persons from Donbas and Crimea.* Around the same time, UNHCR conducted its own survey and analysis of *The situation of refugees and internally displaced persons (IDPs) with disabilities in Ukraine.*

Recognizing the particular problems experienced by people crossing the contact line, in July 2016 UNHCR conducted a survey and issued a report on *Crossing the Line of Contact In Eastern Ukraine.* And finally, from May to November 2016, UNHCR and partner staff conducted a series of 139 *Village Assessments* in 118 locations along the grey zone in Luhansk and Donetsk oblasts (GCA and NGCA). This last survey provides substantial detail, for example coverage of utilities and public services including banking and transport, preferred winter fuel sources and location-specific protection concerns, as well as a detailed overview of remaining housing repair requirements. The *Village Assessment* coverage inside the NGCAs is particularly valuable as this was the deepest assessment in those areas since the conflict began.

While we were not able to assess the extent to which the recommendations of these various assessments have been followed up (many are advocacy recommendations where results would be difficult to determine, and some studies are only recently completed), we did observe from our field inspection of two crossing points that the recommendations regarding facilities at crossing points had been implemented by UNHCR at those locations.

5.6 UNHCR's capacity development efforts

Finding 14:	**UNHCR's steady long-term support for capacity development of SMS is appreciated, but the job is far from finished.**

UNHCR's longest-standing Government partner is the State Migration Service (SMS), with whom UNHCR has had a string of capacity development projects since SMS was created in 2010. On the policy and legislative side, UNHCR's capacity development efforts are based upon its 2013 landmark report on Ukraine as a country of asylum. In terms of staff capacity and technical assistance, the central project is the EU-funded Quality Initiative project in Eastern Europe and the South Caucasus. Thanks to this regional anchor project with its dedicated funding and staff (one of whom is an RSD expert co-located with SMS and considered particularly effective by SMS), UNHCR support for SMS continued

uninterrupted despite the intrusion of the IDP crisis. SMS and SBGS reported that their capacity (and especially legislative understanding) was increased through training provided by UNHCR and partners in Kyiv and in the regions, and a series of study tours were particularly appreciated by SBGS. However, UNHCR, Government and partner interviews agreed that capacity at the caseworker level remains weak (despite training) reportedly because low salaries make it hard to attract staff and also lead to high turnover. A key development in May 2016 was the creation of a Country of Origin unit in SMS providing analytical information in Russian and Ukrainian on the situation in countries of asylum-seeker origin, and Syria in particular. However, during the evaluation period the Government's reported approval rate of refugee applications has plummeted: from 37% (2014) to 22% (2015) and now 14% (2016). Interlocutors felt that the drop-in approvals is not necessarily a reflection of weak capacity, but might be as much attributable to the changing profile of applicants, political factors and changing public attitudes towards refugees.

While SMS capacity development momentum was sustained on the refugee side, it has faltered regarding statelessness. In 2014, UNHCR's partner Right to Protection (R2P) prepared a comprehensive study of statelessness in Ukraine, but this was not well-received by SMS, who told the evaluation team that they felt UNHCR was being more critical than constructive. There were small steps forward in 2015 when UNHCR successfully advocated for the inclusion of a separate chapter on the regularization of stateless people into the National Human Rights Strategy. This was followed in December 2015 by a UNHCR and R2P-supported government and civil society roundtable on statelessness, which provided an overview of statelessness determination procedures with a focus on regional best practices in Moldova and Georgia.

However, ever since Ukraine acceded to the statelessness conventions in 2013, the main goal on statelessness has been a law establishing a statelessness determination procedure. There is currently no mechanism in place to identify stateless persons in Ukraine; a draft law introducing statelessness determination procedures is under review (no date for adoption set).[46] The Government did attempt to move forward on statelessness legislation in 2016, but through a series of misunderstandings the draft law was not fully reviewed by UNHCR in advance of a crucial Parliamentary Committee session, where UNHCR ended up voicing criticism of the draft in a public political forum – resulting in the legislative initiative being sent back to the drawing board and a damaged relationship with SMS on the statelessness file.

Finding 15:   UNHCR has an important new capacity development relationship with MTOTI.

As soon as the MTOTI was created in April 2016, UNHCR established a multi-function team (Durable Solutions, Administration, Public Information, Protection and Information Management as well as Dnipro Sub-office) to support the Ministry. MTOTI has developed a *Concept Note for the State Target Programme for Recovery and Peacebuilding in the Eastern Regions of Ukraine* (loosely modeled on the 2014 *Recovery and Peacebuilding Assessment* conducted by the World Bank, UNDP and the EU), which has become the basis for the Government's IDP solutions strategy. However, there is no indication that

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[46] The draft law's definition of a stateless person is not in line with the 1954 Convention definition; stateless persons need to present a valid passport in order to receive a resident permit (condition for acquisition of nationality); reducing burden of proof on the applicant; issuance of temporary documentation until final decision is made on application (lack of documentation is penalized under Ukrainian law); define form in which application needs to be made (written / oral etc.)

UNHCR substantially contributed to the development of this Government strategy.[47] As set out in the October 2016 Letter of Understanding between UNHCR and the Ministry, UNHCR's main areas of support are enhancement of the national legal framework for IDPs, strategic communication, and information management. The Ministry informed the evaluation team that UNHCR's work in the legislative area is particularly appreciated.[48] UNHCR is also a member of four MTOTI working groups on different protection issues.

In its work with MTOTI, UNHCR is not alone. MTOTI has become a preferred partner for all development agencies and donor embassies looking for Ukrainian leadership on displacement and solutions, and all donors and HCT members agree that MTOTI is saturated for capacity development support and technical assistance. For the Ministry to fulfill its promise, it would need staff and funding and more cooperation from other Ministries. Since MTOTI's future is far from guaranteed, most organizations are spreading their risk and keeping in close contact with line ministries and local governments as well.

Finding 16:	UNHCR's extensive field presence has facilitated relations with oblast and municipal governments.

All oblast and municipal authorities interviewed by the evaluation team expressed great appreciation for the modest training and advice provided by UNHCR. This is where UNHCR's investment in a wide network of field offices and field officers has paid the most dividends, as local authorities all over eastern Ukraine often turn to UNHCR when they have a policy or service delivery problem. A good example of UNHCR's municipal engagement is the "Cities of Solidarity" programme that UNHCR started in 2016, and would like to roll out in other municipalities in

On 20 July 2016, UNHCR and the City of Mariupol organized a major event to highlight the nature of the IDP crisis in the city, and to celebrate the contributions of the city to the well-being and local integration of IDPs. The event also revealed the city's infrastructure and service gaps, and brought senior officials and donors together to highlight which are the priority needs to be addressed. Even if this sort of event does not directly raise significant resources for the city itself, it raises awareness, boosts municipal confidence, widens the protection space for IDPs, and "changes the channel" from images of need and conflict to a narrative of support, trust and solutions.

2017 if resources permit (see text box). The occasional advice and scattered concrete local projects are most important for building trust and access that UNHCR can mobilize when needed for protection – they help create a "conducive protection environment" – but they do not amount to capacity development.

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[47] While development donors have been working towards solutions since 2015, primarily with UNDP and to a lesser extent with the World Bank and the European Investment Bank, it is telling that the March 2015 IASC Emergency Directors' mission to Ukraine focussed entirely upon the emergency and does not mention solutions: thus, it seems that UNHCR was not alone in focusing on the problems of the emergency

[48] To help counteract prejudice and misinformation, UNHCR has cooperated with the Ministry to organise visits by journalists and chief editors to eastern Ukraine and to the crossing points, and this has allowed MTOTI to form a "pool of friends" who can raise awareness of the humanitarian dimensions of the situation

Finding 17:   UNHCR's direct training and capacity development efforts with national Partners were not aimed at reducing their dependence on UNHCR funding.

The NNGO sector in Ukraine has great potential, as demonstrated by the way that the initial response to the IDP crisis was organized and provided by national organizations without international support. However, partners in interview and in their annual reports, the NGO Forum, donors and UNHCR staff all agree that NNGOs are for the most part unable to obtain the seed funding they need to build up their core governance, management, accountability and financial structures to the point where they are able to receive significant funding directly from donor agencies, philanthropic sources or from the Government. As a result, they are caught in a capacity trap that prevents further growth and autonomy. It is a fundamental responsibility of the UN's humanitarian agencies to build the capacity of local organizations. This is a long-standing goal, reiterated in the core commitments from the WHS to which UNHCR has subscribed,[49] and echoed in UNHCR's *Operational Guidelines for UNHCR in Situations of Internal Displacement (2016),* which state that "UNHCR should … aim to disengage from IDP situations once other actors, ideally national, can meaningfully take over. This in turn requires UNHCR and its partners to invest in developing national capacity for IDP protection, assistance and solutions." And yet a review of the project partnership agreements confirms that in Ukraine there is usually zero or sometimes a very small amount of funding made available by UNHCR for capacity development.

Partner and UNHCR reports as well as interviews confirm that UNHCR has provided a lot of training, in particular on core dimensions of protection including international humanitarian law and GBV,[50] and on how partners can meet UNHCR's reporting and financial management requirements. This has all been helpful to strengthen their capacity to be partners to UNHCR, but has not prepared them to take over most of UNHCR's activities when UNHCR closes its IDP operations. Most importantly, there does not appear to be a plan or a strategy for capacity development: for example, a plan grounded in capacity development best practice and delivered by capacity development experts from a dedicated budget. Instead, there are ad hoc training activities, conducted as a sideline in relation to core functions. Two particular obstacles to local partner capacity development that were emphasized by partners in interview and through the online survey are the one-year project cycle, and the unpredictability of the partner selection process; together these inhibit medium-term planning of a sort that can build deeper institutional capacity. One partner expressed this concern very succinctly in their 2015 Annual Report: "Short funding cycles limit the degree to which capacity development and organizational strengthening can be achieved. Longer project cycle should be provided to the Partner. Where a longer project cycle cannot be granted, the funding agency should at least communicate its policy commitment to engage with the same community organization beyond the project (usually one year) cycle."

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[49] WHS Core Responsibility 4A is "reinforce, do not replace, national and local systems", and 5A is "invest in local capacities," and the Grand Bargain has a commitment to increase funding to local NGOs to at least 25% by 2020

[50] Partners universally expressed appreciation for GBV training, but since few of them are working directly in GBV they also expressed the view that few of them are able to apply what they have learned

6 UNHCR's Results in Ukraine 2014-2016

> ### *Results for refugees and asylum seekers*
>
> UNHCR's 2015 year-end report had 25 impact indicators for refugees (Syrian and non-Syrian). Of these, 15 showed that targets were fully met, 6 targets were mostly met, 3 targets were not met (2 for resettlement and one for local integration) and one target was not reported on. Although this reporting has weaknesses as explained in chapter 3, UNHCR thus self-assessed as having achieved the majority of its targets for refugees.

6.1 Results for refugees and stateless persons

Finding 18: UNHCR made limited progress in advocacy for refugees and asylum-seekers.

UNHCR's 2013 report on Ukraine as a country of asylum concluded that "Ukraine is failing to provide sufficient protection against refoulement, and does not provide asylum-seekers with the opportunity to have their asylum claims considered in an efficient and fair procedure. Ukraine therefore should not be considered as a safe third country. UNHCR further urges States not to return asylum-seekers to Ukraine on this basis."[51] Using this report as the basis for legislative advocacy, during the period 2014-2016 there were incremental improvements to the Refugee Law, and some special measures were introduced (for example allowing asylum-seekers access to emergency medical assistance). Altogether some 14 separate regulatory changes were made over this period (see Appendix VII).

However, advocacy for the rights of refugees in Ukraine can be described as two steps forward and one step back. An important success was discouraging the Government from making available to IDPs a newly-built Refugee Temporary Accommodation Centre in Yahotyn that was unoccupied because of local community nimbyism. Another was ensuring that unaccompanied and separated children who are asylum-seekers are able to obtain the same benefits as Ukrainian orphans. However, there were also efforts to introduce reforms that were unsuccessful, as when UNHCR tried to obtain Government agreement to provide tax breaks to refugee landlords, or to improve asylum-seeker access to employment when they do not have work permits or passports. The reasons for UNHCR's limited advocacy success seem to be a combination of three factors described in more detail earlier in this report: a general hardening of attitudes towards refugees (partly following pressure from Europe to thicken the borders to stem transit movement to Europe), "unsettled leadership," and the shift of limited staff and policy resources towards IDPs.

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[51] http://www.refworld.org/country,POLICY,UNHCR,,UKR,,51ee97344,0.html. Interestingly, the USA officially concurs with this assessment, but the European Union officially does not

Legal assistance

In 2016 UNHCR's partners provided about 3,000 counseling sessions including about 900 sessions with newcomers to Ukraine, and 530 appeals against asylum rejection decisions – support at a similar level to previous years. Many of these counseling sessions resulted in new asylum applications, while others were support for ongoing asylum procedures or referrals for material assistance. UNHCR continued to monitor immigration detention centres and noted an increase in detailed asylum-seeker access to counsel before removal procedures were initiated. Although the Free Legal Aid Centres have been mandated to provide advice to refugees since mid-2015, interviews with UNHCR staff and with Free State Legal Aid Centres (FSLACs) themselves confirm that very few of them have the knowledge or capacity to do so, despite UNHCR training and awareness-raising.

Monthly Subsistence Allowance for asylum-seekers

UNHCR's Monthly Subsistence Allowance (MSA) is sufficient, but does not reach enough of the people who need it. UNHCR provides MSA to a limited number of asylum-seekers in the year or two following their arrival (most asylum-seekers are no longer eligible for this start-up assistance by the time they are accorded complementary protection or full refugee status). An examination of the vulnerability criteria, and triangulation of perceptions regarding the assessment process with the committee members and with the asylum-seekers themselves, confirm that the assessment process is transparent and fairly administered. Unlike the IDP financial assistance under resolution 505, which is intended to provide a cost of living supplement, the MSA is intended to cover all basic needs including rent – the assumption being that when asylum-seekers first arrive they have no other source of income (for example from regular or irregular employment, or remittances). The MSA has been increased since the economic crisis and is currently UAH 2,400 ($90) for a household head, UAH 1,800 for a spouse and UAH 600 for each child (plus another UAH 250 if children attend school). This is consistent with Ukraine government social welfare payments and with the national poverty line (UAH 1,544 in 2016), so it would seem to be a fair amount. The problem as expressed by asylum-seekers, partners and by UNHCR staff is not so much with the criteria or with the amount itself, as with the overall size of the MSA envelope – which obliges UNHCR to limit to MSA to the most vulnerable within an already-vulnerable population. As a result of this limitation, in 2016 only 386 persons received MSA, 7% of the asylum-seeker population, with the vast majority of asylum-seekers living in very difficult economic and social circumstances.[52]

Small business development/livelihoods

Since 2009, UNHCR's partners have been operating a small business start-up grants scheme – initially with EU funding and then with UNHCR funding. The grants were up to $5,000, and although there were not very many (UNHCR's 2015 Year End Report states that 12 PoC business were registered and 45 PoCs received cash or vouchers for business start-up), they were reported by UNHCR and by partners as being successful (we could not verify this). In 2015, UNHCR developed *Minimum Criteria for Livelihoods*

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[52] Approximately 2,000 refugees and asylum-seekers received some other form of material assistance through UNHCR's IPs, for example school kits, clothing or ad hoc contributions of medicines, or specific health items

Programming, with the goal of ensuring that all of its livelihoods work become more professionally managed, better planned and met quality benchmarks. The Ukraine programme, which had a small livelihoods component to start with and no dedicated staff, was not able to meet these criteria in time for the 2016 programming year, so Ukraine was rendered ineligible for livelihoods programming in 2016. The operation has since worked to meet the benchmarks, and UNHCR plans to resume livelihoods programming on a small scale in 2017.

Negative social attitudes to integration

In terms of their intentions, asylum-seekers and refugees in Ukraine seem to fall into two main groups. The largest group (about 75%) is made up people who arrived in Ukraine with the intention of moving onward (usually to Europe), but who were intercepted either entering or leaving the country, and then engaged with the Ukrainian asylum system in order to avoid detention or deportation.[53] This group includes a majority of Afghans, a significant but reducing number of Syrians, as well as several African nationalities and a few Asians. A second group is made up of refugees and asylum-seekers (about 25%) mostly originating from Russian-speaking countries and whose intent was to stay in Ukraine. These have fewer social and linguistic obstacles to overcome, and are generally well-accepted into Ukrainian society.

Public attitudes towards non-Russian-speaking asylum-seekers are generally negative, and according to the refugee focus group discussion, partner and UNHCR staff (who report xenophobia incidents in their Annual Report) these attitudes seem to have worsened as a result of the hardening of European attitudes towards the Mediterranean movement, and with recent changes in US Government policy. An example of this was the failure to overcome community obstruction to the opening of an asylum accommodation centre in Yahotyn,[54] and refugees themselves reported increased discrimination both in participatory assessments and in our group interviews.[55] This trend was also confirmed by a UNHCR-IOM conference in November 2016. UNHCR's refugee partners do make some efforts to counter negative public attitudes, but for the most part they are not funded for this activity.

> *In a focus group, non-Russian-speaking refugees expressed very strong views about the harsh conditions in Kyiv: the increasing costs especially rent, corruption, bureaucratic obstructionism regarding documents, and increasing xenophobia. They would prefer that UNHCR act on its own assessment that Ukraine is not a safe asylum country, claiming that "this is just like a big prison here." In the absence of resettlement – universally their preferred solution -- many said they would return to their country of origin*

Resettlement

Resettlement needs are high, but movement is stalled. As public attitudes towards non-Russian speakers have become more negative and the rate of refugee status determination has plummeted over the past few years, the case for resettlement has become stronger. As a result, UNHCR has increased its

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[53] Refugee Focus Group Discussion, interviews with Government, partners and UNHCR staff, UNHCR statistics on countries of origin

[54] In another indication that Government willingness to follow through on its local integration commitments is wavering: in 2013 the Government took over a 15-year old and well-established refugee community centre and then failed to operate it

[55] This should however be somewhat tempered by the understanding that asylum-seekers whose primary objective is resettlement are likely to support their case with claims that conditions in Ukraine are unbearable

resettlement request (needs assessment) from Eastern Europe from 470 places in 2016 to 1,500 places in 2017 – most of which is represented by Ukraine. However, actual resettlement processing is not up to this pace: in 2016 UNHCR's Ukraine Resettlement Committee received 253 resettlement applications (persons), of which 55 people were felt to have resettlement as their "only appropriate and durable solution," and of these 31 persons were finally submitted for consideration to resettlement countries. In the same year, a total of 49 refugees departed for resettlement from Ukraine (some cases held over from previous processing years). These numbers are not great to start with, and there was widespread concern expressed by UNHCR staff, partners and the refugees themselves that recent US and also European resettlement policy decisions will end up decreasing the pool of globally available resettlement places.

Results for stateless persons

UNHCR's 2015 year-end report had 5 impact indicators for stateless persons. Of these, 3 showed that targets were fully met, and 2 targets were mostly met. Although this reporting has weaknesses as explained in chapter 3, UNHCR thus self-assessed as having achieved some of its targets for stateless persons.

Finding 21:   UNHCR stepped up its advocacy on new risks of statelessness and Roma.

Even though the legislative programme on statelessness is stalled (see earlier finding on capacity-building), there are new risks of statelessness created by the conflict that UNHCR is addressing through tactical interventions. One is the risk of undocumented or stateless detainees (both in GCAs and NGCAs),[56] a second is persons whose documents are lost or destroyed, and a third – one in which UNHCR has invested significant effort and made some progress – is the problem of obtaining Ukrainian birth, residency and citizenship documentation for an estimated 14,000 births in the NGCAs over the 2014-2016 period.[57]

Ukraine's Roma population has been singled out by UNHCR for special attention as they are (or are at risk of becoming) stateless, or IDPs, or both. Internally displaced Roma are amongst the most vulnerable and affected by the inaccessibility of civil and birth registration in the NGCAs. According to a UNHCR IP, OSCE and Roma activists, it is possible that as many as 10,000 Roma might have been displaced from the NGCAs, but data is uncertain because of the difficulties Roma experience with documentation and (earlier) concerns about conscription. UNHCR has a small partner contract dedicated to addressing their protection concerns, and ensured that Roma were included in NFI distributions at the end of 2015. In January 2016, UNHCR issued a strategy paper *Protection of Roma communities in Ukraine*, and hosted a roundtable in Kharkiv on problems of Roma documentation.

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[56] Statelessness is not taken into consideration at any stage of immigration detention or removal procedures

[57] There is also a problem of death certification, with reports of dead bodies being transported over the contact line to the GCAs only in order to obtain death certification required for subsequent legal procedures

6.2   Results for IDPs

Results for IDPs

UNHCR's 2015 year-end report had 14 impact indicators for IDPs. Of these, 10 showed that targets were fully met, and 4 targets were mostly met. Although this reporting has weaknesses as explained in chapter 3, UNHCR thus self-assessed as having achieved the vast majority of its targets for IDPs.

UNHCR's IDP strategy

In addition to the COP, there was a second type of Strategic Plan only for the Eastern Ukraine Operation, an internal strategic memorandum approved in December 2014. This is the closest we could identify to a high-level strategy for the IDP response and it had three objectives: (1) Prevention of arbitrary displacement, (2) Protection concerns and acute humanitarian assistance gaps of IDPs are addressed, and (3) Advocate for the development and implementation of a durable solutions strategy. There were some intended activities listed under each heading, and then details on the three-zone strategy and various staffing and related matters. This strategy seems to have informed HCT planning in particular and to have guided the operation in a general sense for its IDP component, and it is the main strategy referenced throughout this report when referring to IDPs. But it did not have specific results statements or targets, and does not appear to have been connected in a systematic way to the COP process, which is the basis for UNHCR's activity reporting.

Policy and advocacy context for IDPs

When considering UNHCR's advocacy results for IDPs in Ukraine, it is important to recall some key elements of context: notably that governance systems and social policies are heavily influenced by Soviet era holdovers, that the Government that came to power in Ukraine in March 2014 was hastily-formed and to this day suffers from fractures along nationalist fault lines, and that the first priority of the Government – in 2017 as in 2014 – is to win a war against separatists in order to reunite Ukraine. In this context, Russian-speaking IDPs from the NGCAs are sometimes seen (even by some in Government) as separatist sympathizers,[58] and are subject to political manipulation by forces greater than those that can be influenced by technocratic advocacy from UNHCR and others. As we shall see shortly, the remaining obstacles to IDPs' full enjoyment of their human rights in Ukraine are more political (in the sense of resulting from government policy decisions) than technical.

In Ukraine, Government policy measures are a major driver of displacement. In the beginning of 2015, the number of registered IDPs jumped by 500,000 in a matter of weeks. This can be attributed in part to the initiation and improvement of a unified registration system with MOSP and the October 2014 policy decisions regarding financial assistance to IDPs, but is above all a consequence of late 2014 policy decisions that closed all government offices in NGCAs, halting payment of pensions, social benefits and

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[58] The 2016 Interviews public opinion survey regarding IDPs (GCAs only) found that 14% of IDPs feel some sense of discrimination. Other surveys suggest that this is why IDPs prefer to stay in the five eastern oblasts, where Donbass IDPs feel they will be less subject to discrimination. The fear of being seen as separatist sympathisers was reiterated in interviews with UNHCR staff, HCT and IPs

other services, while also closing all the banks and withdrawing support to schools and hospitals. On 7 November 2014, Council of Ministers Resolution No 595 specifically suspended the payments of pensions and social payments in NGCAs and resolution 637 required people to register as IDPs to receive these same benefits. The net effect of these measures was to drive large numbers of people, especially pensioners otherwise unable to collect their meager monthly pension checks, over the contact line into the GCAs, and into registration. Further push factors were created in January 2015 when the government restricted commerce with the NGCAs – reducing supply and pushing up prices in the NGCAs, and also introduced regulations inhibiting humanitarian access for assistance delivery. And thus, began the striking phenomenon of the crossing points, which carried 8.5 million crossings in both directions in 2016.

> **Finding 22:   UNHCR has had more advocacy success on technical issues than on political issues.**

Early advocacy results

Early policy decisions can have a profound influence on how a situation unfolds, and as referenced earlier, UNHCR's early advocacy to discourage the use of camps (collective centres) and to demonstrate the possibility and efficiency of cash-based interventions (Lviv June 2014) together helped to frame an overall approach to IDP assistance in Ukraine that is more appropriate, flexible and sustainable.

A second set of initiatives related to IDP legislation and registration. In the period 2014-2016, there were approximately 43 different legislative decisions regarding IDPs alone (see Appendix VII). The key initial decisions all took place in October 2014: the first draft IDP Law, the Council of Ministers resolution 509 on IDP registration, and the Council of Ministers resolutions 505 and 535 on financial assistance to IDPs. E-mails and advocacy documents reviewed, as well as interviews with Government officials and UNHCR staff confirm that all three of these key decisions benefited greatly from the advisory support of UNHCR, who subsequently advocated for improvements to these foundational legal documents, and continue to do so today.

Advocacy on technical issues including IDP registration

The desirability of IDP registration is a subject of considerable debate within UNHCR: the main issue being that IDPs are citizens with full rights and should not have a different legal status than citizens. The risks of registration were well laid out in a background note drafted by the Ukraine Protection Cluster in April 2015, and include (a) the hazard that people entitled to benefits because they are displaced might not receive them because they are not registered, (b) the risks related to state collection and management of private information, and (c) problems that result from weak mechanisms of de-registration.

However, Ukraine is a country where the prevailing system of registration- and residency-dependent social benefits is very deeply-entrenched, and after the Government made the policy decision that registration was going to be needed, then UNHCR and partners swung into action to ensure that this was done properly. This course of action was explicitly endorsed by the *Report of the Special Rapporteur on the human rights of IDPs (Ukraine mission)* "on the basis of the Law on IDPs, priorities must include: a harmonized and coordinated registration process to be used both regionally and nationally." Initially, in 2014, registration was ad hoc and fragmented between municipal lists, SES registers and at one-point consideration was given to SMS registering IDPs since SMS already manages refugee registration. In the end, and with active intervention from UNHCR, the appropriate party for registration was identified as

the Ministry of Social Policy (MOSP), who administer a wide range of social benefits. This was an important result of 2014 advocacy, and paved the way for IDPs to receive what the Government of Ukraine has publicly reported as approximately $120 million per year[59] from Ukrainian Government resources. In 2015 (the peak year) this was four times more than UNHCR's 2015 programme. Readers will recall that after UNHCR's advocacy for registration by MOSP, it was in the end IOM that took responsibility for building and supporting the registration system within MOSP.

Figure 6.1 *IDPs waiting at Mariinka crossing point for transport that resumed after UNHCR intervention*

Advocacy case study: administration of Zaytseve

In 2016, UNHCR Kharkiv intervened to re-subordinate Zaytseve village from Horlivka municipality to Bakhmut district in Donetsk region. Previously, Zaytseve village was officially located in the non-government controlled area, leaving residents of the village without access to social benefits or pensions. After UNHCR Kharkiv advocacy at the district, regional and national levels, the village was re-assigned to Bakhmut district, allowing residents to exercise their rights as citizens and receive their payments.

UNHCR has been somewhat successful in advocating for technical adjustments to Government regulations: for example, regarding the registration of minors unaccompanied by their parents, easing of movement, improving the conditions at crossing points, the designation of a single agency to be responsible for coordinating IDP issues, and it was significant that IDPs were included in the National Human Rights Programme.

Advocacy on political issues

However, and despite working on these issues in concert with the HCT and donor governments, UNHCR and its allies have not succeeded in resolving the more political obstacles that have been high on their advocacy agenda for some time, including humanitarian access, administrative restrictions on movement across the contact line and in particular, the unnecessary linking of IDP registration to (non-IDP related) pension and benefits payments. And policy advocacy is near impossible in the weak governance conditions of the NGCAs: as one partner stated "UNHCR has a good assistance discussion with the *de facto* authorities, but if UNHCR talks openly about protection or rights, then the authorities close down."

Furthermore, new obstacles have been introduced since 2014, such as the banning of public transportation across the contact line, and withholding of all benefits pending verification of residency. In the end, it is as if every measure to improve the well-being and access of IDPs to government services is counteracted by another that obliges people to meet a new requirement, to move, or to remain

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[59] 2017 exchange rate: in early 2015 before the inflation of 2015-2016, the dollar value of this was at least double

outside their normal place of residence (for validation), with the net result that many IDPs are eligible for benefits on paper but caught in a variety of Catch 22 situations that withhold those benefits in practice.

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Finding 23: **There is some ambiguity about who is UNHCR's IDP population of concern.**

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Assessing UNHCR's effectiveness is rendered more difficult by the fact that the outer boundaries of UNHCR's IDP population of concern are not clear, particularly since the Ukrainian Government registration system does not match international norms and the system for de-registration of IDPs is weak. On the one hand, there are IDPs who are not registered, sometimes because they do not need the small cash stipend, or out of fear of conscription.[60] Many of these are people of concern to UNHCR – for whom registration does not in itself determine for whom UNHCR is responsible. AS UNHCR states in its *UNHCR Provisional Guidance on Engagement in Situations of Internal Displacement (2014),* "the term 'internal displacement' does not, in itself, confer a legal status, as is the case with refugees; as such, it is difficult to determine authoritatively when a person's situation of internal displacement 'ceases.'"

And there is a further level of complexity in that there are people of concern to the HCT and to the clusters (including clusters headed by UNHCR) but who might not normally or clearly be within the mandate of UNHCR itself. For example (a) approximately 100,000 people living in the GCAs near the contact line and who are not displaced (and who are paradoxically the priority target population for the HCT including UNHCR), or (b) several thousand people who were displaced in 2014 from areas that were subsequently returned to Government control, and who have returned to those regions (technically back in their community of origin), or finally (c) the large community of NGCA resident pensioners, whose sole reason for crossing the contact line (on a temporary basis) is to collect their non-IDP social benefits. Within UNHCR, and between UNHCR and its partners there did not seem to be a universally shared understanding of the boundaries around the population of concern, and in particular to what extent (and for how long, or for what purposes) UNHCR has responsibility for the groups, such as those listed above, who are on the outer boundaries.

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Finding 24: **UNHCR's delivery of legal services in Ukraine is effective but the model is not financially sustainable.**

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The pillar at the centre of UNHCR's protection work, with refugees and IDPs, is legal services (counseling, case advocacy, legal representation, the payment of court fees, submission of appeals, and "strategic litigation" – essentially test cases to national and international legal bodies). UNHCR was quick to mobilize this work stream, piggy-backing to a large extent on their refugee work and their strong relationship with Ukrainian partners experienced in this domain (notably R2P).

> *10th of April activities to advocate for refugee rights in Ukrainian courts contributed to institutional change in SMS and SBGS in the Odessa region. With UNHCR support, the NGO's rate of successful court cases rose from 3% in 2012*

In 2016, 74 lawyers working for UNHCR's partners carried out 39,696 legal advisory actions (1,586 in NGCAs), usually related to problems of accreditation/registration and access to benefits, but also related to property, including attempts to obtain compensation from the government for property in the grey zone that was

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[60] There are no good estimates for the number here, but UNHCR staff and partners feel it could be in the hundreds of thousands

damaged or occupied by Government civil or armed forces.[61] Despite isolated concerns expressed to the evaluation team regarding the quality of this legal advice, UNHCR interviews, IDP focus group discussions and partner annual reports suggest that the legal services were generally considered to be good: the problem is that they are not sustainable. The partners' services are entirely funded by UNHCR and its donors, and even in a stripped-down model the partners will need reliable multi-year funding in order to retain their core expertise. To achieve this, they will need to develop their core capacity to raise funding directly from Ukrainian and international sources (see earlier discussion on capacity development).

The fragility of legal services delivery was well-illustrated by the situation in Kharkiv. Facing the prospect of reduced funding and recognizing the changing distribution of IDPs and Government services, UNHCR made the decision to dramatically downsize its office in Kharkiv in 2016. Unfortunately, the R2P office in Kharkiv was closed at the same time, leaving both IDPs and refugees without an avenue for quality legal support, and indeed risking leaving some active court cases stranded. The consensus of UNHCR and partner staff was that the closure of the R2P programme in Kharkiv should be reversed, in order to provide basic legal services and (especially since UNHCR's office has closed) to provide a platform for protection monitoring and local relationship management. Maintaining an R2P presence wherever UNHCR closes could be a model for the future.

Finding 25:	UNHCR's material assistance to IDPs was relevant but there were some gaps in coverage.

Community projects

In 2016, UNHCR supported 70 community mobilization projects, including 33 in NGCAs. The evaluation team did not have sufficient time to visit these projects or to verify their claimed success.[62] HRP reports from 2015 and 2016 as well as field observations show that many humanitarian organizations working in Ukraine were supporting community projects of some sort, and this calls into question whether community projects are UNHCR's comparative advantage in a context of constrained resources. Some key community projects in the NGCAs would a priori seem to have a higher value-added, especially a series of IDP community centres that provide one of the few ways for IDPs and otherwise affected communities to access information – and for UNHCR to reach their PoCs.

UNHCR's use of cash[63]

UNHCR blazed a trail for cash in Ukraine by engaging early with MOSP and with Governors in (Crimean) IDP-affected oblasts to (a) establish lists of beneficiaries based on agreed criteria, (b) agree on transfer values comparable to Ukrainian social transfers, (c) transfer the funds through Ukrainian government bank accounts (in this case Governorate accounts), and (d) conduct post-distribution monitoring.

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[61] In an extreme case, but symptomatic of the bureaucratic and legal problems facing many IDPs, IDPs went to court in order to avoid having to pay utility bills that were incurred by military forces occupying their former residence

[62] Community projects are also very helpful to illustrate to donors what UNHCR is doing, as they are tangible visitable activities: they can be photographed and branded. There is a benefit to this in terms of donor relations, beyond their direct results

[63] The evaluation team was asked to consider whether UNHCR Ukraine's use of cash complied with the UNHCR policy on cash. The Policy was approved on 13 October 2016, so any comments on policy compliance are *post hoc*

Providing cash in this way to 11,447 persons, eventually spread over nine oblasts, cleared a number of procedural and political obstacles to cash,[64] and demonstrated to everyone that the Government can provide financial assistance to IDPs – thereby setting the stage for the Government's resolution 505 transfer programme. This early cash programme was criticized by the 2015 *OIOS Audit Report* as administratively non-compliant, which resulted in a freeze of UNHCR cash programming until late 2015, but there was no discovery of fraud.

After this early success, other agencies' cash programming mushroomed in Ukraine, in particular in 2015 when UNHCR was locked out of using CBIs and when other agencies provided $55 million in unconditional cash to IDPs (2015 and early 2016). During that same period, UNHCR's cash programming amounted to about $1.5 million, a fraction of the total and generally later than others. Altogether, from 2014-2016, UNHCR provided a total of $3.2 million in CBIs to IDPs in Ukraine, about two-thirds in one-time multi-purpose transfers, and about six percent of UNHCR's overall IDP expenditure.

In 2015 and 2016, the coordination and management of cash in Ukraine became the object of considerable inter-agency politics and competition(see Chapter 7), as a consequence of which there was a vacuum in terms of common standards and guidelines, the end result of which was that UNHCR's partners coordinated their relatively small amount of CBIs on an *ad hoc* basis, falling short of the goal of *UNHCR's Policy on CBIs (2016)* of "delivering CBIs through common and joined-up approaches with UN and NGO partners that are coherent, avoid duplication …"

Individual Protection Assistance

Under its protection mandate, UNHCR Ukraine has deployed a flexible tool to provide highly targeted assistance to vulnerable IDPs: known locally as Individual Protection Assistance (IPA). In 2016, some 777 individuals received a specific in-kind contribution costing up to $150, to help alleviate a critical obstacle to their protection (things like prescription glasses and prosthetic aids). While the value of the IPA transfers is not high, and both UNHCR and partner staff agreed it seems to be an effective way of protection follow-up to highly vulnerable cases, the evaluation team was also informed that IPA is costly to deliver – as the hidden transaction costs involved in an initial visit, a targeted procurement action and a subsequent delivery are high in terms of staff and transport resources.

Shelter

UNHCR's direct shelter assistance is only a small part of the overall shelter programme coordinated by the shelter cluster.[65] UNHCR's shelter support followed the cluster's two-track strategy of (a) lifesaving shelter assistance to newly-displaced and conflict-affected populations,[66] and (b) strategic planning and advocacy. The "lifesaving shelter assistance" consisted mainly of in-kind materials for emergency and

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[64] For example, legally circumventing the requirement that non-Government cash transfers to individuals are taxable

[65] It is very important that the reader differentiate between UNHCR's own contributions to legal services, shelter and cash (etc.), and the contributions of the cluster that is coordinated by UNHCR, but of which UNHCR is also one among many operational members

[66] Shelter assistance is only provided to people who are living in or near the house or apartment that they own, so by definition, shelter assistance is provided to people who are not displaced, but who are at risk of displacement or unable to fully return because of critical property damage

light repairs, rather than cash-based support[67] or long-term shelter. UNHCR Annual Reports, project partnership agreements, and partner annual reports concur that, in 2015 and 2016, direct shelter assistance was delayed by late signing of agreements and slow procurement of material. But despite late delivery, UNHCR exceeded its initial targets for emergency shelter support as well as for the distribution of tools kits and other materials. Emergency shelter was resumed after the fresh attacks of late 2016, when a further 616 emergency repair kits were distributed to allow short-term self-repairs.

In GCAs, UNHCR supported 5,255 household repairs (both single family homes and apartments). It was in NGCAs that coverage was less complete. Precise needs are not known, but UNHCR itself considers that "the anticipated needs are high and capacity for delivery is low. If UNHCR can agree with the *de facto* authorities on issues of accreditation/registration, it is expected that it would need to work for at least a few years to address shelter needs related to housing already damaged in the conflict" - *UNHCR Year End Report (2016)*. Despite these difficulties, in NGCAs UNHCR managed to reach 2,812 households for some sort of repairs, and 1,664 for emergency repair kits.

Non-Food Items

NFI distribution has been constant throughout the evaluation period, although delivery of NFIs across the contact line into NGCAs remains a problem. Through its partners and various direct distribution schemes (cash grants, delivery of gifted items or seasonal support), between 2015 and 2016 UNHCR slightly increased its distribution of NFIs in GCAs (from 44,487 to 62,725 people), and increased distribution significantly in NGCAs (from 16,406 to 57,205). For the most part, the target population in GCAs consisted of people near the contact line who were newly-displaced or returning from other parts of Ukraine. In the NGCAs, the situation was

Figure 6.2   *Quality new winter garments provided by Young One: distribution by Operating Partner Proliiska*

different, as UNHCR had to rely on partially verifiable beneficiary information provided by the *de facto* authorities and by IPs. Crossing into NGCAs with relief items has always been a challenge: for example, in total, from November 2015 to January 2017, a total of 16 UNHCR convoys, comprising 307 trucks were able to reach the Luhansk NGCA, with the support of the Logistics Cluster hiring the services of private companies.

Assistance to NGCAs

As discussed throughout this report, the unique constraints of the NGCAs have required some important modifications to UNHCR's modus operandi in Ukraine. Among these, we can single out that the difficulty with international NGO accreditation/registration has pushed UNHCR into (a) more direct delivery (with targeting information provided by *de facto* authorities and distribution by local private sector

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[67] Although UNHCR intended to provide cash for shelter repairs in 2016, it was not able to do so because of the absence of HQs-approved Standard Operating Procedures (SOPs) for shelter cash that was to be delivered through a new mechanism (the Ukrainian post office)

contractors) and (b) more delivery through NNGOs whose field activities cannot be directly monitored. UNHCR has done what it can to mitigate the risks of this, by avoiding the use of cash, and seeking as much specific verifiable beneficiary information as possible. In addition, UNHCR has adapted its approach to be more receptive to working with collective centres, and also to supporting community centres with its QIPs. These measures, which would normally be discouraged by prevailing UNHCR policies, are pragmatic ways of providing as much protection and material support as possible – given the cultural context and the special political circumstances.

6.3   UNHCR's management efficiency

Finding 26:   UNHCR has not yet fully responded to the management recommendations of the 2015 Inspector General Report.

UNHCR Ukraine's initial response to the IDP crisis was, as described earlier, regarded as ad hoc and non-compliant with administrative and programming policies. This attracted an OIOS audit in early 2015, and an inspection at the end of 2015. The inspection covered the full range of administrative and management questions, and provides an assessment of efficiency that is more detailed than this evaluation permits. Evidence generated through this evaluation confirms most of the *Inspection Report* observations, as is evident from citations in this report. There are however two important sets of recommendations that remained "open" as of the latest version of the management response to that report (November 2016): one regarding the need for an exit strategy (recommendation high priority, no management response, and no recorded action), and the other regarding the need to define the precise roles and responsibilities of Kyiv vs Dnipro, as well as formalizing the delegated authorities to Dnipro (also recommendation high priority, no management response, and no recorded action). These recommendations remain most pertinent.

Finding 27:   UNHCR Ukraine has a large number of similar project partnership agreements.

Altogether, UNHCR in 2016 had 23 project partnership agreements (see Table 4.1), some of which are quite small. This is the consequence of two factors: a UNHCR financial and contract management system that requires separate planning and contracting for each pillar/PPG, and the somewhat atypical situation in Ukraine where there are three populations of concern scattered widely across the country (albeit with a concentration of IDPs in the five eastern oblasts, and concentrations of refugees in Kyiv and Odessa). In one case, a single partner office is providing legal support to all three populations from different agreements, and is obliged to hire staff, account and report on each one separately, and to two different UNHCR offices (Kyiv for refugees and stateless, Dnipro for IDPs) because of the split between two cost centres. UNHCR programme staff as well as partners themselves agreed that this is cumbersome and inefficient for UNHCR and for the IPs, it is presumably expensive, and inhibits potential synergies between activities for refugees and IDPs.

Finding 28:   Advocacy and programming initiatives for refugees and IDPs are converging.

At the same time as the separated pillars are creating unnecessary bureaucratic entanglements, UNHCR's advocacy and programming for refugees and IDPs is already converging. Although the Ukrainian legislation and responsible Ministries are quite separate, in practical terms the refugee and IDP populations face very similar concerns about documentation, employment and housing. Concerns about discrimination and social tensions are also similar. In programming terms, because Ukraine is a

middle-income country where state benefits are highly legalistic, UNHCR's work with refugees and IDPs is also concentrating – not so much on assistance but on legal counseling for access to documents and benefits. As a concrete example, the mandate of the FSLACs now covers both populations, and UNHCR has started advocating for the Government benefits of resolution 505 to be extended to asylum-seekers and refugees. UNHCR staff are also analyzing refugees and IDPs together, as evidenced by the April 2016 survey and consultations on problems faced by the elderly and disabled, which included both refugees and IDPs.

6.4   Accountability to Affected Populations (AAP)

Finding 29:   UNHCR's participatory assessments included a feedback loop that increased accountability.

"Accountability to Affected Populations can be understood as an active commitment by humanitarian actors and organizations to use power responsibly by taking account of, giving account to and being held to account by the people they seek to assist" - *UNHCR Emergency Handbook*. Accountability is about listening and using that listening to frame action, and ideally also includes a feedback loop to persons of concern to explain how their inputs were used. This final feedback loop is often a weak point in the accountability cycle, but in 2015 in Ukraine UNHCR went that extra mile and undertook an extraordinary exercise to explain to persons of concern and officials the conclusions of the early 2015 participatory assessments, and how they had been used. This included feedback sessions in multiple locations, and the printing of 1,000 brochures in Ukrainian and Russian summarizing the key information. As explained earlier in this report, there is also evidence that UNHCR used the findings of these assessments to frame advocacy and programming priorities for 2016. UNHCR have indicated that they intend to do the same with their early 2017 round of participatory assessments. If there was any weakness in the participatory assessments, it is in absence of government participation: in future, the Government is more likely to conduct and use its own participatory assessments if it has some practical experience and on-the-job coaching while UNHCR is still involved.

Finding 30:   There was limited government, partner and beneficiary participation in planning, which in turn limited accountability.

At the activity level UNHCR consulted first and then tailored investments, for example Individual Protection Assistance and Quick Impact Projects were reportedly based upon specific individual or community priorities. However, as we have observed earlier, UNHCR's annual planning (i.e. the annual COP preparation process) was not broadly consultative or transparent. While we heard of partners being consulted individually in annual planning, we did not hear of Government being consulted at all, not at central or local levels. If there is any expectation that Government is going to take on some or all of future assistance and protection (for IDPs or refugees) then it will become urgent to start to involve Government – especially as it is likely to take a few planning cycles before Government officials are familiar, comfortable and eventually capable to play a larger role in planning. This is all the more important in the post-Soviet institutional culture of Ukraine, where there is limited experience with democratic participation and bottom-up planning.

Community participation

There is a further observation to make about community participation, and that concerns the capacity of affected populations to organize themselves to represent their interests to the authorities (and to UNHCR). The evaluation team did hear of IDPs self-organizing and indeed interrupting a protection cluster meeting in order to claim their rights (after which it was explained to the disappointed group leaders that the protection cluster does not contain Government representatives and has no power to resolve cases or dispense benefits), and we heard anecdotally of ad hoc training sessions and activities to strengthen community self-management structures including in NGCAs, but we could not find detailed records of plans or activities specifically aimed at building the capacity of representative groups outside community centres. Overall, the evaluation team did not find evidence that the Ukraine operation was following the *Internal Guidance Note for UNHCR Representatives: Protection Leadership in Complex Humanitarian Emergencies (2016 p.4)* when it states that "[a] community-oriented approach that engages communities directly in decision-making and seeks to restore and reinforce their ability to enhance their own protection underpins all of UNHCR's work and ensures adequate accountability towards persons of concern."

Comments boxes and hotlines

Finally, we observed the presence of "comments boxes" in several locations, and examined sample records of telephone hotline usage, including records of call-backs. Ukraine had several hotlines run by UNHCR and by partners until 2017, when they were consolidated into one hotline service for IDPs managed by R2P. The hotlines have proved very popular, and the vast majority of calls are enquiries for information about entitlements or available services. Most callers (88%) are adult women, and their four most important subjects of enquiry are NFIs, food distribution, health and housing. Half the callers are staying in rented accommodation, and 25% are undisplaced persons living in the grey zone. An average of 600 calls were received each month in 2016, of which one third were referred to specific organizations for follow-up support.

7 UNHCR's Cluster Coordination Role

7.1 General observations on UNHCR's cluster coordination

Finding 31: **UNHCR initiated cluster coordination early and provided continuity of experienced protection and shelter cluster coordinators.**

UNHCR was actively involved in the response to the Crimean displacement before the rest of the humanitarian system was mobilized, and set up a working group for shelter/NFIs in the second half of 2014. At that time, relations between the UN and the Government of Ukraine were sensitive – the Government not wanting to declare a humanitarian emergency and (according to internal reports and interviews with donors, UNHCR and UNRCO staff) the UN reluctant to do so in the absence of Government support. While the clusters were only activated in December 2014, a protection working group was established in July 2014 led by the Senior Protection Officer, followed during autumn/winter 2014 by a Senior Protection Officer on mission. Interviews with staff and review of deployment and staffing records confirm that initial deployees served both coordination and service delivery functions ("double-hatting") until additional staff were deployed in early 2015 and dedicated coordinators were assigned.

The same senior officer has been responsible for shelter coordination since the start, and on the protection side there were two senior staff assigned in succession, the second of whom was already in-country as Senior Protection Officer. This provided a remarkable degree of continuity – certainly when compared with the staffing struggles experienced by other clusters and by the protection sub-clusters. Information Management support was considered to be very valuable by cluster members, but was deployed a little later than desirable.

Finding 32: **There was operational coordination between the protection and shelter clusters.**

The *Internal Guidance Note on Protection of IDPs (2016)* calls on Representatives to show "tri-cluster leadership." We are not aware of any systematic mechanisms for coordination between the protection and shelter clusters at the strategic level (other than through Inter-Cluster Coordination and the HRP), but the cluster coordinators and their teams were co-located in the same offices and there was evidence of close coordination at the operational level. For example, we observed multiple examples of joint work: notably the Housing, Land and Property Working Group was a joint working group of both clusters, the protection cluster developed the vulnerability criteria used for initial shelter/NFI/cash distribution, field monitoring was usually carried out by multi-function teams involving protection and shelter cluster members (and sometimes others), and reports show that UNHCR approached shelter as a means to gain access in order to provide protection support to communities and households.

Finding 33:   UNHCR as cluster coordinator was able to remain neutral/impartial in relation to UNHCR as Cluster Lead Agency.

The neutrality of cluster coordinators is important because, if they are to be effective and trusted by cluster members, they need to be (and be seen to be) neutral.[68] Although the situation should not often arise, they need to be able to take a position independently of the CLA, for example on whether to provide assistance to collective centres notwithstanding UNHCR's *Alternatives to Camps Policy*, or whether to support affected people who are of concern to the cluster even though they might not be considered people of concern to UNHCR. In both shelter (for example collective centre assistance) and protection (for example psycho-social assistance) there were examples where the cluster coordinators took neutral stands that reflected the consensus of cluster members even if this meant that cluster programming went beyond the borders of UNHCR's own policies. Cluster coordinators tended to advocate through UNHCR on issues that coincided with UNHCR's priorities (for example de-linking pensions from IDP registration), but also advocated through the HC/HCT on broader issues (for example freedom of movement) – thereby achieving some measure of influence larger than UNHCR itself.

7.2   Preparing for cluster deactivation and handover

IASC and cluster guidance is long on scaling up, and short on scaling down. And given that the majority of conflict-related IDP emergencies have become protracted and therefore have not closed, it is understandable that there is less experience of deactivation of clusters in conflict-related IDP situations (as opposed to sudden onset natural disasters).

In the case of Ukraine, two things are clear to nearly all stakeholders interviewed and participating in the survey: first, the humanitarian phase of this response – the phase that is governed by the Humanitarian Programme Cycle, led by a Humanitarian Coordinator (HC) and supported by OCHA, is going to end soon.[69] The 2017 appeal is severely underfunded, there is a widespread feeling that most of the immediate life-saving needs have been met, and several donors as well as some UN agencies expressed to the evaluation team that a full HRP might not have been fully justified in 2017. It seems likely that there will be an HRP 2018 – but in the view of the evaluation team it is most unlikely that there will be an appeal beyond 2018 unless there is a significant resurgence of displacement (essentially a new crisis resulting from a major flare-up in the conflict).

The second thing that stakeholders agree on, is that the structures that were established in 2015 and 2016 generally following the standard IASC guidelines and standards, are now too big, too heavy, too process-intensive, for the current situation. At the same time, development-oriented coordination machinery has started to build up, based around the UNET, and pulling some of the major agencies including UNHCR into new directions. As a result, stakeholders agree that some measure of short-term cluster consolidation and right-sizing is needed, even ahead of a full draw-down and closure.

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[68] This is explicit in the cluster coordinator role: see for example "the Protection Cluster Coordinator impartially represents the interests of the members of the Protection Cluster" – *GPC model TOR (2014)*

[69] Note this is not the same as humanitarian needs ending. In this statement, we are referring to the closure of the humanitarian response machinery

Global Cluster Coordination review

Recognizing the need for stock-taking and direction, at the beginning of March 2016, the HCT called for a GCC review. In March 2016, a high-level team made up of each of the cluster lead agencies visited Ukraine to review the system in place. The review mission came to a few broad conclusions, including (a) coordination is too Kyiv-centric and the centre of gravity should move to the east, (b) more engagement with government is needed, especially on recovery, (c) many actors even within the humanitarian system are not familiar with the roles and responsibilities of the humanitarian system, (d) four clusters should begin deactivation, (e) all clusters should prepare transition plans (handover to Government agencies and exit).[70]

The review also called upon all clusters to conduct a Cluster Coordination Performance Monitoring (CCPM) exercise – a process of self-assessment that is recommended annually. The protection cluster did so, but the shelter cluster's attempt to do this received very few responses to an online survey, and as a result the shelter cluster decided to fall back on the results of the recent external shelter cluster evaluation as the basis for their mid-term performance assessment.

Finding 34:	The protection cluster has a general transition strategy, but not a specific plan for deactivation.

Deactivation of the protection cluster can be expected to take place later than others because of the overarching and open-ended nature of protection. The protection cluster CCPM generally scored coordination quality as good or satisfactory (needs minor improvement), but regarding "participation in the development of deactivation criteria and a phase-out strategy" the self-assessment (in March 2016) was unsatisfactory (needs major improvement). The only significant area where the CCPM self-assessment was weak was in the "participation of government counterparts in cluster meetings."

Following the GCC review (and after the CCPM survey), a protection cluster transition strategy was drafted, and specific transition strategies were prepared for the sub-clusters and working groups. The protection cluster has four particular challenges with transition: first, the cluster is complex, it is not one thing but rather a federation of sub-clusters each with its own mandate, momentum and lead agencies. Secondly, transition needs to involve several ministries and local governments, each responsible for a piece of the protection system. The third is that the obvious convener of all these entities is the MTOTI, which is under-resourced and for which protection might not be one of their highest priorities. And finally, protection goes right to the heart of sovereignty and politics: unlike technical sectors with technical ministries, protection is going to remain very sensitive in a situation where the state is a party to the conflict, and where there is not a unified policy approach to IDPs within the Ukrainian Government.

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[70] In considering transition, it very important to differentiate between the transfer of the coordination function (i.e. the work of assessing needs, joint planning and coordinating investments, developing policy messages, commissioning research, managing databases and systems of referral etc.), from the transfer of service delivery (i.e. the procurement and distribution of shelter goods and services, financing of repairs or construction, and the management of cash or in-kind distribution of NFIs). The transition of coordination functions is the responsibility of the CLA and the cluster coordinator (and indeed the CLA might need to maintain a stake in this work even after the cluster coordinator function has disappeared), but the transition of services (to the extent they are to be transferred at all) is the responsibility of all cluster members, including UNHCR as one of several service providers

The protection transition strategy itself has a strong situation and needs analysis and is realistic regarding government capacities, but is unrealistic in terms of the benchmarks that would have to be reached before transition can take place,[71] and does not appear to be accompanied by a specific, sequenced and costed plan. In practice, many of the transition benchmarks require systemic reforms, substantial new resources and capacity development that are unlikely to be achieved within a decade.[72] As a consequence, much of the essential protection advocacy and capacity development work now done by the cluster will need to be absorbed within UNHCR's own office structure and programming when the cluster as such closes.[73]

Free State Legal Aid Centres

In terms of continuity of legal advisory services after cluster deactivation, the expectations of the protection cluster and of the UNHCR protection team seem to be pinned on the FSLACs. During 2015, UNHCR built up its relationship with the FSLACs, which were greatly expanded by the Government from 2014 onwards. These centres have a very broad mandate which since the end of 2016 explicitly includes advisory services to IDPs and refugees, but they also cover all regular Ukrainian legal issues. Given that Ukraine is a regulation-heavy and legalistic environment, where even access to small welfare payments can easily end up in a process of litigation and appeals, these centres are ill-equipped to carry out their mandates. Furthermore, the sustainability and quality of these centres are far from assured: they suffer from the known problems of low salaries and high turn-over of legal experts, their experts might not be familiar with the relatively obscure refugee legislation, and they are for now supported by external donor funding as well as Government funding. But notwithstanding these weaknesses, they are the best-placed and most clearly-mandated institution to take over the bulk of UNHCR's legal counselling work for IDPs, and they are present in places where UNHCR never was (Odessa) or has left (Kharkiv). It is likely to be a major and long-term task of capacity-development, but in the long run UNHCR's best sustainability strategy would seem to be to make the free legal aid system work better.

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[71] There are 29 Protection Cluster benchmarks across all sub-clusters: the benchmarks at the highest cluster level are:

1. A legal framework and policy on IDPs that protects their rights and addresses their specific needs, ensuring equal enjoyment of rights and freedom from discrimination, is adopted and implemented, with sufficient level of funding allocated both at national and regional level so as to allow for implementation

2. The entity responsible for coordination has the required administrative and financial capacity to perform its functions

3. IDPs and the conflict-affected population have access to economic and social rights without discrimination

4. IDPs and the conflict-affected population have access to mechanisms to protect their rights, including access to free legal aid and judicial recourse

5. Adoption and implementation of a government strategy on durable solutions

6. An All-Ukrainian comprehensive electronic IDP register is set up and fully operational

7. Provisions relating to IDPs and other conflict-affected groups in the National Human Rights Action Plan and in the State Programme of Adaptation and Integration of IDPs are being implemented or have been accomplished

8. Unimpeded access of international monitors to all places of detention in the conflict zone, both in GCA and NGCA

[72] For example, the establishment and sustainable financing of appropriate referral mechanisms and services for the very vulnerable including GBV survivors and children – mechanisms that the Ukrainian state does not have for its own citizens who are not displaced, and is unlikely to have in the next year

[73] This is envisaged in the IASC cluster guidance, and is implied in the concept of "provider of last resort"

Simplifying the coordination of protection

In the meantime, there is a plan for consolidating and simplifying the coordinating structure of the cluster itself, including folding some of the sub-cluster meetings into the (general) protection cluster as recommended by the GCC review, and consolidating some of the regional management structures in Kramatorsk. As explicitly recommended in the GCC review report, because of the heavy advocacy component of its work and the centralized policy environment of Ukraine, the protection cluster coordinating team intends to stay in Kyiv, but since mid-2016 has been spending more time and conducting more of its coordination meetings in the eastern region.

Finding 35:	The shelter cluster is following a plan for deactivation, but the capacity development component has not started yet.

In the wake of the GCC review mission, the shelter cluster also drafted a transition strategy aiming at cluster closure by the end of 2017. The shelter cluster transition strategy is correctly concerned with transition of coordination functions, and calls for entering into partner agreements with government counterparts at all levels. The plan also differentiates the transition plan between the three zones, as well as between different levels of government. At national level, the emphasis is "aggregation of needs, referrals, and macro indicators in order to decide general orientation, support the policy making process and facilitate the implementation of reforms," while at the local level the focus in on "involving numerous stakeholders including … civil society in a problem-solving approach of referred humanitarian cases." In the transition plan, there is also a recognition that capacity development efforts will be needed at both national and local levels in order for the partners to be ready for transition.

As of the beginning of 2017, planned shelter cluster agreements governing transition have not been signed with regional government counterparts. The evaluation team was informed in interviews that that these regional agreements are needed to resolve differences between the Ukrainian national and local levels of government, and that the absence of a specific agreement has been used to justify delays and lack of cooperation.[74] In October 2016, UNHCR signed an overall Letter of Understanding with MTOTI, but it is not assured that this will be effective in covering the breadth of the transition expectations and requirements.

Overall the shelter transition strategy has more of the concrete elements of a plan than its protection cousin, but by its own admission it relies on a major investment in capacity development to succeed. Unfortunately, as of March 2017, there is little evidence of a systematic and resourced plan to build that capacity. The cluster itself has some funding available for needs assessment and training, but that will not be sufficient to ensure effective transfer of the core capacities in information management (and specifically the ongoing management of the collective centre and damage databases, as well as some sort of 3/4/5W mapping).

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[74] In addition, UNHCR was reluctant to endorse in writing aspects of the shelter strategy that were not precisely reflective of UNHCR's own strategy

7.3   Protection cluster coordination

Finding 36:   **The protection cluster is considered by stakeholders to be stronger on advocacy than on operational coordination.**

The CCPM, the evaluation survey (63%) and cluster member interviews concur that the protection cluster is generally well-coordinated, and identify capacity development as the weak spot.[75] A full range of detailed guidance notes are available (for example Age and Disability, Housing Land and Property, People living along the Contact Line, and Protection Mainstreaming) as well as advocacy briefs (Crossing Points, Access to Social Benefits) and collated resources (Free Legal Aid directories, Legislative Updates, partner surveys and reports). For the most part, these are available in two and sometimes three languages, and beyond the cluster a wide range of legal and regulatory information is available in several languages on the UNHCR website. However, as explained in Chapter 6, that protection advocacy – which has largely been carried out by UNHCR as CLA – has been more successful on technical than on political matters.

Both protection and shelter cluster members expressed in interviews and in the online survey responses felt that activity mapping (3W/4W/5W) was onerous and, as time passed, yielded diminishing returns on investment. Some partners further stated that the activity mapping was too oriented to reporting up and out (to the UNCT and to donors) rather than to assisting the partners to coordinate and optimally position their own work.[76]

Finding 37:   **The experiment in cluster co-chairing with OHCHR was more problematic for HQs than for the field.**

In 2015, UNHCR and OHCHR co-chaired the protection cluster. This was an unprecedented arrangement made at the field level in late 2014, based upon perceived mutual interests and the fact that OHCHR had strong field capacity through the Human Rights Monitoring Mission in Ukraine launched in March 2014. The arrangement was endorsed by OHCHR HQs and presented as a *fait accompli* to UNHCR HQs. Stakeholder interviews and survey respondents agreed that the co-chairing had its problems including a much heavier coordination and process burden, but that generally co-chairing was working satisfactorily at the field level. Stakeholders also reported that it was Headquarters that found it more problematic, partly because there were interagency mandate and jurisdictional issues posed by having two UN agencies co-chair the same mechanism. By the end of 2015, both parties agreed that the additional burden of co-chairing was not worth the benefits, and after some diverging interests surfaced particularly in the NGCAs, OHCHR concluded that it should return to its core human rights monitoring

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[75] The evaluation team did not examine the coordination of the sub-clusters, which is where much of the work of the protection cluster takes place but which are not the direct responsibility of UNHCR, but rather on the substantial coordination challenges of the country-level protection cluster

[76] The 2015 HRP was unconventionally organised by activity and had a complex results architecture that required organisations to report frequently and in detail against multiple outputs some of whose indicators were not matched. While this theoretically can provide for better alignment and a greater focus on results (rather than glossy reporting for donors), this HRP structure was unfamiliar to cluster members, and did not align as easily with agency and cluster plans and reporting. The upshot of this was that in 2015 a disproportionate amount of time was spent on coordinating information and reporting, and less on advocacy, operational coordination and delivery. The 2016 and 2017 HRPs returned to a simpler and more classic structure

mission, and take a position as a cluster member rather than cluster co-chair. In 2016 and 2017, UNHCR led the protection cluster alone.

Finding 38:   The protection cluster has adapted its working groups to the situation.

The decision to trigger the Ukraine interagency humanitarian response and activate clusters was made by the IASC in late 2014. Even if UNHCR itself might not think that a full-scale cluster response is most appropriate (and interviews show that this was a dissenting view within the organization), when a response is triggered and clusters activate, then in line with IASC commitments UNHCR must activate and lead the Protection Cluster when it is a conflict-related situation. The question then is not if, but rather how this is done. In this respect, the sub-clusters seem to have adapted quickly to the specifics of the Ukraine context, although not all sub-clusters were mobilized with the same speed[77] or resources. What was notable in the Ukraine response was the significant mobilization of a Housing, Land and Property Working Group led by NRC, and the creation of the Age and Disability Working Group led by Helpage, which developed guidelines on assistance to older people or people with disabilities. Given the legalistic and housing/shelter-heavy nature of the crisis and its response, and the high proportion of older persons and persons with disabilities among the displaced population and in particular among the population remaining in precarious conditions along the contact line, the mobilization of these working groups seems to be a good example of protection cluster adaptation to the specific protection needs of the context.

Finding 39:   Protection was central to the overall humanitarian response, but there is more to do to carry that over to the development response.

The initial PRP (August 2014) had a limited strategic component and, coming as it did in mid-year and as the crisis was still evolving, focused heavily on sectoral needs and operations with a primary purpose of fund-raising. UNHCR's December 2014 strategy was deliberately protection-centered: "UNHCR's response in 2015 will be focused on protection monitoring, advocacy, and pro-active intervention, using the limited provision of cash grants as well as life-saving NFI and shelter for those at highest risk as 'vehicles' for protection access, presence, monitoring and intervention." This helped shape the first full HRP in 2015, which is confirmed by text analysis, interviews and a 75% positive survey score as having placed protection front and centre. This emphasis remained throughout the 2016 and 2017 HRPs, and over time was bolstered by awareness-raising and mainstreaming training conducted by the protection cluster, as well as protection participation in the meetings of other clusters, and specific guidance both on integrating protection into plans as well as protection mainstreaming in operations.

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[77] One factor is that few UN organisations or humanitarian INGOs were present in country before 2015: UNHCR and UNICEF had the advantages of established offices from which to build up rapidly. Mine Action is vitally important in Ukraine: "as of March 2017, mines and ERW represent the biggest threat for civilian casualties, surpassing for the first time since the beginning of the conflict, civilian casualties as a result of shelling" – *Ukraine Mine Action Sub-Cluster Summary Report*, but was late to mobilise. There were doubts expressed as to whether the Child Protection cluster needed to activate at scale since some of the most common child protection risks (separated children, armed recruitment, child labour, early marriage) were not major factors in Ukraine. Similarly, most of the GBV risks faced by IDPs resulted more from systemic Ukrainian risk factors than the particular risks of displacement; for example, a UNFPA study found that the incidence of intimate partner violence among IDPs was actually a bit lower than among the host population

A protection strategy for the HCT/UNCT

The GCC review of March 2016 recommended that the two existing protection frameworks – the annual HRP and the multi-year protection cluster strategy – should be bridged by a third strategy that would be a protection strategy for the HCT, "an overarching strategy which builds on the HRP and provides the HCT with a framework to address the most urgent and serious protection risks and violations," the idea being to more deliberately align the work of all clusters and in a longer timeframe than the annual HRP. As of early 2017, this HCT protection strategy is still being drafted. The question this poses, in mid-2017 as the humanitarian operation is starting to consolidate and considering whether and when to wind down, is whether this HCT protection strategy should maintain its originally-intended and now time-bound humanitarian orientation, or whether it should look ahead to the upcoming period of transition. If it were to adopt a forward looking and anticipatory stance, it could become the protection strategy for the development community and the UNCT, as they assume their roles as long-term builders of systems to support and integrate IDPs who are in a protracted situation and looking ahead to solutions.

Table 7.1   Results of the online survey regarding Protection Cluster Coordination, percentages ranked in order of assessed performance

Question: How well has UNHCR performed each of these protection cluster coordinator functions?	Very well	Quite well	Some-what	Not well	Don't know	Adjusted score*
Support robust advocacy by identifying concerns, and contributing key information and messages to HC; undertaking advocacy on behalf of the cluster members, and affected people	33	46	15	4	2	2.1
Advocated for, supported the HC & HCT on centrality of protection, and HCT protection strategy?	26	41	20	2	11	2.0
Inform the HC/HCT's strategic decision-making by: preparing needs assessments and analysis of gaps; identifying and finding solutions for (emerging) gaps and cross-cutting issues; formulating priorities based on analysis	28	37	26	2	7	2.0
Support service delivery by: providing a platform that ensures service delivery is driven by strategic priorities; developing mechanisms to eliminate duplication of service delivery	24	37	33	4	2	1.8
Monitor and evaluate performance by: monitoring and reporting on activities and needs; measuring progress against the cluster strategy and agreed results; recommending corrective action where necessary	26	30	30	11	2	1.7
Plan and implement cluster strategies by: developing sectoral plans and indicators that directly support the strategic objectives; applying and adhering to common standards and guidelines; clarifying funding requirements, helping to set priorities, and agreeing cluster contributions to overall funding proposals	20	46	17	15	2	1.7
Build national capacity in preparedness and contingency planning	13	37	30	15	4	1.5
* Adjusted score = Very well (3), Quite well (2), Somewhat well (1), Not well (0) / number of responses excluding "Don't knows"						
Observations from the survey data: 1. Advocacy and informing HCT decision-making are the best performing GPC activities in Ukraine 2. Capacity development is the weakest-performing GPC activity in Ukraine 3. When analyzing how UNHCR staff responses differed from non-UNHCR staff, the rank order of assessed performance was substantially the same, but UNHCR staff were on the whole a little more positive (scores 0.2-0.3 higher than the average shown in the table) 4. Comparing change in assessed performance over the three years, (a) the support for advocacy especially with the HCT improved over time, and (b) the parameter for monitoring and evaluation of performance received lower scores as time went on, perhaps reflecting a sense that the burden of 5W output reporting is not connecting to cluster-level results or to corrective actions						

7.4   Shelter cluster coordination

Finding 40:   **The shelter cluster was widely regarded as one of the best coordinated clusters in Ukraine.**

Stakeholders who are members of multiple clusters remarked that shelter was well-coordinated, and the online survey results showed an overall very high or high level of satisfaction with five of the six coordination functions as set out in the IASC guidance on cluster coordination. The only weaker-performing coordination function was national capacity development (it should however be noted, that the IASC cluster coordination parameter, which was the parameter used in the online survey, was "capacity for preparedness and contingency planning" – not capacity to implement shelter programmes, or capacity to assume the coordinating functions of the shelter cluster when the cluster deactivates).

Comparing the survey results on clusters:

Both clusters showed weakness in capacity development

Protection cluster strengths were in advocacy and protection mainstreaming with the HCT

Shelter cluster strengths were in operational planning and service delivery

Review of the shelter minutes and periodic monitoring reports, as well as the shelter cluster evaluation, all demonstrate consistent and substantive engagement of cluster members in planning and priority-setting, as well as wide consultation on advocacy messages and standards which went well beyond the minimum of information-sharing that can bedevil clusters. The Strategic Advisory Group (SAG) seems to have started rather late (end 2015) but since then has been used to good effect to ensure that the strategic direction of the cluster is anchored in the shared vision of key cluster member agencies and donors.

Finding 41:   **The shelter cluster continued to adapt its technical working groups (TWIGs), sub-national mechanisms and operational priorities as the situation evolved.**

Technical Working Groups

The shelter cluster has adjusted its mix of working groups as the situation and needs have evolved over time. For example, the initial TWIG on cash rebranded itself as the TWIG on shelter and NFI monetization when the interagency cash working group was created, then focused on agreeing guidelines for cash for rent, later shifted its mandate to winterization in 2016, and finally stopped working in late 2016 when the last big exercise of winterization was already under way. At the same time, the Housing Land and Property Working Group has shifted its priorities in 2016 to include forward-looking housing solutions such as working with local authorities to develop a scheme for reallocating abandoned housing to IDPs, either temporarily or permanently (with some form of compensation and legal process). Similarly, the TWIG on Permanent Shelter Solutions and Linkages to Integration started out looking at questions of permanent construction and heavy repair, and is now rebranded as the TWIG on Social Housing and very focused upon supporting policies and referral systems for social housing. Judging from the meeting minutes available online, participation from Government agencies (national and local levels) was active, especially in shelter cluster meetings held throughout the eastern region.

Table 7.2   Results of the online survey regarding Shelter Cluster Coordination, percentages ranked in order of assessed performance

Question: How well has UNHCR performed each of these shelter cluster coordinator functions?	Very well	Quite well	Some-what	Not well	Don't know	Adjusted score*
Plan and implement cluster strategies by: developing sectoral plans and indicators that directly support the strategic objectives; applying and adhering to common standards and guidelines; clarifying funding requirements, helping to set priorities, and agreeing cluster contributions to overall funding proposals	40	43	3	3	10	2.3
Support service delivery by: providing a platform that ensures service delivery is driven by strategic priorities; developing mechanisms to eliminate duplication of service delivery	30	50	13	0	7	2.2
Inform the HC/HCT's strategic decision-making by: preparing needs assessments and analysis of gaps; identifying and finding solutions for (emerging) gaps and cross-cutting issues; formulating priorities based on analysis	20	57	10	3	10	2.0
Support robust advocacy by identifying concerns, and contributing key information and messages to HC; undertaking advocacy on behalf of the cluster members, and affected people	17	57	17	3	6	1.9
Monitor and evaluate performance by: monitoring and reporting on activities and needs; measuring progress against the cluster strategy and agreed results; recommending corrective action where necessary	30	37	17	10	6	1.9
Build national capacity in preparedness and contingency planning	13	23	47	7	10	1.5
* Adjusted score = Very well (3), Quite well (2), Somewhat well (1), Not well (0) / number of responses excluding "Don't knows"						
Observations from the survey data: 1. Support for planning and implementing cluster strategies (sectoral plans and indicators) and for service delivery are seen as the best performing SC activities in Ukraine 2. Build national capacity is the weakest-performing SC activity in Ukraine 3. There was no significant variation when comparing change in assessed performance over the three years						

Sub-national cluster co-chaired by an INGO

The shelter cluster was singled out in the GCC review for having created a sub-national hub co-chaired by an INGO partner (PIN) in Kramatorsk and responsible for coordinating in Northern Donbass. The shelter cluster evaluation found that there was some initial confusion in 2015, as the shelter cluster coordinator function was being separated from the shelter programming role within UNHCR, and as the sub-national hub was being set up. By 2016 the roles were clear and the cluster functioned smoothly, and it is evident from interviews, survey responses and analysis of cluster meeting reports that the Kramatorsk hub has added significant value in terms of access to the people of concern and engagement with local authorities.

Shelter cluster operational priorities

As observed earlier and in the online survey analysis, the shelter cluster is wired for operational delivery: as evidenced by donor feedback and the shelter cluster evaluation, it has done well at identifying needs and surveying communities, building databases and maps (including use of KoBo Toolbox for real time GIS data entry), and then providing in-kind and targeted cash. The initial focus was on self-help repair kits and targeted delivery of the in-kind components of essential/light repairs, with the life-saving goal of ensuring that there is "one warm room" rather than full rebuilding. This was widespread and considered by stakeholders as effective in the area of the GCAs near the contact line, and provided a key entry point for protection monitoring and follow-up assistance. As was appropriate in a resource-constrained environment where further damage is possible from continuing indiscriminate shelling, much less attention was paid to medium and heavy repairs until late 2015 and 2016, after the essential level had been mostly covered.

Regarding in-kind assistance, the life-saving priority was winterization: heating fuel in various forms, and winter clothing. As with shelter, this was provided mainly in the GCAs near the contact line, although in 2015 there were some difficulties resulting from lack of standardized vulnerability criteria, without which targeting was less uniform across all the cluster members.

In 2016, when the immediate needs in the grey zone had mostly been addressed (at least in those areas that are accessible) and the population had stabilized, attention correctly turned to longer-term housing and more recently to the need for social housing. This is presenting new challenges to the shelter cluster, as municipal authorities have high expectations that the cluster will be able to help build or rehabilitate larger structures that can provide low-cost long-term housing to IDPs, or at the very least bring in development donors to do this. The cluster is neither mandated nor funded for this type of work, and at the same time does not have an obvious counterpart ministry for advocacy and capacity development because responsibility for housing is spread among local governments and not held at national level.

> **Finding 42:   The shelter cluster's early coordination of cash was overtaken by interagency competition.**

Until April 2015, the shelter cluster was coordinating the main cash working group, but stepped back when OCHA created a dedicated system-wide cash working group with support from DfID. The resulting debate over multi-purpose vs. cluster-specific cash, and over the case for a stand-alone cash proto-cluster, was described in the shelter cluster evaluation in some detail, as well as in the ODI paper *The politics of cash: a case study on humanitarian cash transfers in Ukraine,* a paper that was co-drafted by

the OCHA cash coordinator, and which as a report is contested by UNHCR and others. The ODI paper described "the ugly … politics and competing visions around cash transfers. UN agencies in particular supported cash transfers as a humanitarian tool, but wanted cash programmed and strategized in ways that corresponded to their sectors, missions and mandates. They resisted steps that would require them to cede control even though this could drive more coherent and appropriate assistance for affected people. Clusters contested OCHA's role in coordinating cash transfers, and the inclusion of multipurpose cash transfers in the HRP was met with fierce resistance from several operational UN agencies."

While the evaluation team was not requested to evaluate the performance of cash and cash coordination in this emergency, the aforementioned reports, interviews and survey results all concur that cash coordination was confused. As a result of this confusion, from April 2015 onwards the shelter cluster's responsibility for cash coordination was limited to a subset of the whole cash system, and specifically (in sequence) shelter and NFI monetization, then guidelines for cash for rent, and finally cash as an instrument of winterization.

7.5 UNHCR's coordination with Government, UN agencies, donors and operating partners

Finding 43: **UNHCR's coordination with partners has been uniformly good, although there is room for further engagement with development actors.**

UNHCR relations with donors

Donors have confidence in UNHCR in Ukraine. Interviews with several donors were unanimous in their endorsement of UNHCR's IDP work in Ukraine, and in particular the way that UNHCR was early to mobilize as well as quick to extend field presence to the eastern region and into the NGCAs. UNHCR's support for donor

> *67% of survey respondents felt that UNHCR coordinated well or very well with the Government (note that government representatives were not surveyed)*

field visits including to the grey zone was much appreciated.[78] However, it seemed that most of UNHCR's working level donor contacts were limited to the humanitarian arms of the major donors (USA, DFID, EU), and (apart from GIZ) there was little engagement on durable solutions with development interlocutors such as the development arms of the donor agencies or the international financial institutions.

UNHCR relations with Government

UNHCR has been careful to maintain good relations with its long-standing government counterparts for refugees and statelessness, SMS[79] and SBGS, as well as with the Committee on Human Rights, National Minorities and Interethnic Relations of the Verkhovna Rada, and the Ombudsman. From early 2015 onwards, IOM has been MOSP's primary technical assistance partner for IDP registration, and it is only in early 2017 that UNHCR is re-engaging at national level with this key ministry for government financial

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[78] Supporting these visits was a significant burden on UNHCR. For example, in 2016 there were 48 donor missions fully or partly supported by UNHCR (2016 Annual Report)

[79] Note the earlier comments about minor setbacks in 2016 over statelessness

assistance to IDPs (relations have been strong throughout with the oblast and municipal branches of the Department of Social Policy). As described earlier in this report, establishing a strong working relationship with MTOTI was a UNHCR priority in 2016, and has positioned UNHCR well to remain a preferred partner on IDP protection in the future. Finally, largely thanks to its widespread field footprint and its leadership of the shelter and protection clusters, UNHCR has established exceptionally close relationships with oblasts' civil-military administrations and municipal governments cross the eastern region.[80]

UNHCR relations with operating partners.

Ukraine has a well-developed civil society, which mobilized their own response before the UN. As the international response built up steam over 2014 and 2015, UNHCR optimized service delivery by working closely with a number of organizations but without a contractual relationship, in particular for the identification and targeting of beneficiaries, for complementary programming, and for the delivery of goods received in-kind from private sector donors. Three such relationships were examined in some depth: Proliiska (Kharkiv and Mariinka), City Aid Centre (Zaphorizhzia) and the Greek Community (Mariupol), and all reported great satisfaction from their partnerships. UNHCR also worked alongside OSCE and ICRC, in particular in the grey zone and NGCAs. Regarding OSCE, the evaluation team learned of protection training provided by UNHCR, and of systematic division of labour including referrals from OSCE to UNHCR for follow-up protection monitoring. Regarding ICRC, while field-level cooperation in the NGCAs was reported by both parties as good, UNHCR staff expressed some disappointment at the lack of ICRC information-sharing, since ICRC generally has better field intelligence and contact line access in the NGCAs.

UNHCR relations with UN development agencies

In Ukraine, UNHCR has a unique opportunity to build on its good UN agency relations to advance IDP solutions. The UNCT is in the process of drafting a new UNDAF, which (unusually) contains a specific pillar[81] to support area-based development for recovery in the eastern region of Ukraine, based on the 2014 *Recovery and Peacebuilding Assessment* and aligned with the Government's *State Target Programme*. UNHCR has agreed to coordinate this pillar, which provides UNHCR with a unique opportunity in early 2017 to ensure that the IDP component of the UNDAF mainstreams protection and advances durable solutions (including housing). Subsequently, UNHCR will be positioned to help ensure that pillar is populated with programming that actively includes IDPs alongside host communities.[82] Logically, a UNHCR solutions strategy that envisages a phase-out of UNHCR roles (or at the very most a shrinkage of UNHCR's role to core protection functions) would derive from and be situated within this UNDAF, rather than be built up from UNHCR's own analysis and programme. This strategic opportunity is a major responsibility for the country office, and will need to be supported with some dedicated solutions expertise.

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[80] MOUs were signed with ten regional and municipal governments in the last quarter of 2014 while setting up the early cash and in-kind distributions

[81] Pillar 4: Human security, social cohesion and recovery with a particular focus on eastern Ukraine

[82] The evaluation team is mindful of the limitations of UNHCR's mandate and capacity, and envisages the possibility of UNHCR coordinating pillar 4 and providing technical guidance to ensure that protection remains central, but does not presume that UNHCR would take a programmatic role in that pillar or seek funding through the UNDAF for UNHCR-managed development projects

8 Conclusions

8.1 To what extent were UNHCR's objectives and strategies for the three groups of Persons of Concern (PoC) (refugees/asylum-seekers, stateless persons, and IDPs) relevant and appropriate, taking into account the evolving situation?

UNHCR's early work in Ukraine helped shape the overall humanitarian response

UNHCR's early response to the IDP crisis was ad hoc, not fully compliant with UNHCR programming and financial procedures, and strayed somewhat beyond the boundaries of the IDP footprint. However, even in the absence of a clear strategy, those early decisions were also regarded by a wide range of actors as relevant and appropriate, and positioned UNHCR as the primary humanitarian agency in this IDP crisis. As a result of those early and somewhat risky steps, UNHCR was able to stay ahead of the wave of policy-making and donor interest, and even when the overall response grew to the point where UNHCR became one agency among many, UNHCR was still able to influence the collective response.

Specifically, in 2014 UNHCR was a key contributor to these strategic and policy decisions: (a) introducing the use of cash as an alternative to in-kind contributions, (b) preference for local/rental housing over camps and collective centres, (c) the introduction and subsequent improvement of IDP legislation that provided access to state benefits,(d) IDP registration by the Government department responsible for social assistance (MOSP), (e) the overall strategy of differentiated assistance between three zones, (f) the placement of field offices closer to the grey zone, and (g) paving the way for international organizations to work in the NGCAs. These were not all devoid of controversy, and some decisions were taken so early (for example setting up a regional base in Dnipro) that they were overtaken by events, but there is no doubt that the main elements of the interagency approaches of 2015 onwards were set by UNHCR's actions in 2014.

UNHCR's initial deployments emphasized protection over programming, leaving some structural gaps

Given the radically different requirements of an assistance-heavy IDP emergency relative to the capacities of the legally-oriented refugee programme that the Kyiv office was managing up to that point, it was appropriate to mobilize international protection and emergency assistance staff as the first priority. However, there was too long a gap before programming, supply, finance and information management reinforcements arrived. The pressures of emergency procurement and rushed staffing, with insufficient and inexperienced "back office" support requiring extensive training, contributed to early problems of programming and financial non-compliance, and to the delayed signature of agreements, with knock-on effects on programme performance.

The evaluation team was informed that these structural gaps are the result of institutional impediments due to the imbalance between operational requirements of UNHCR, competing priorities and availability of relevant staff, which are impacting on the timing of deployment of specialist staff not only to Ukraine but elsewhere in the world as well.

Programme planning was needs-based but not fully participatory

With the exception of the delayed survey of statelessness, UNHCR has conducted comprehensive needs assessments throughout the country, and used the results of those assessments to ensure that its advocacy priorities and programming were relevant and appropriate. These were supplemented by a number of special-issue surveys, for example of the conditions at crossing points, of the disabled and elderly, and of the conditions in collective centres.

There is however one big area for improvement in this regard. The Government of Ukraine has from the outset accepted that it is responsible for its own displaced citizens, and over the last four years it has put in place a system of laws, policies, institutions and programmes to deliver on that responsibility. Sooner or later, the central and local governments of Ukraine are going to take over the primary responsibility for planning and coordinating the international community's support for Ukraine's IDPs. To do this in a way that is informed and coherent with the ways that the international community works, the government must be brought much closer into the planning process – and this starts with full Government participation in needs assessments, so they can build the understanding and experience needed for themselves to manage subsequent needs assessments. The postponed intention survey is a good opportunity to put the Government, probably MTOTI, in the co-pilot seat.

Regarding annual planning, the evaluation team heard from three UNHCR partners and from all UNHCR programme staff met in Kyiv and in the field, and also observed the same comments in the Inspection Report, that UNHCR's planning process consisted of UNHCR developing a basic plan, then seeking feedback on it from stakeholders usually in separate meetings rather than in a large group, and then adjusting the plan on the basis of what they heard. Most partners felt they were being asked to buy in to something that they generally supported but without knowing the specifics, and without getting a clear sense of where they fit in, or of whether the final plan was actually adjusted in the light of feedback.

UNHCR's planning process is not user-friendly and does not lend itself easily to the participation of key stakeholders – be they Government, partners and OPs or the people of concern. Three obvious challenges are that (a) the bulk of country planning takes place a full year before the actual programming starts, so it inevitably contains a lot of guesswork – all the more so since humanitarian situations evolve fast;[83] (b) the available resources are even less predictable than the situation, because available resources are part of a calculus involving global donor behavior and global refugee/IDP trends; and (c) the planning system used by UNHCR is cumbersome, repetitive, and inflexible in terms of its menu of available results and indicators.[84]

But all that being said, there is only long-term gain (after some short-term pain) if all stakeholders are included fully in a transparent and genuine consultative process – a process wherein the stakeholder

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[83] For example, UNHCR's 2015 (sic) country operations plan, approved by ExCom, does not mention the word IDP once

[84] UNHCR is addressing this recognised corporate weakness through a comprehensive overhaul of its results framework due to conclude in 2020

community can (acting within mandate, programming and resource parameters set by UNHCR) reach a shared analysis of the situation, consider options and scenarios, and agree on broad priorities. This is a large and costly exercise that UNHCR's donors need to be ready to pay for: and the pay-off should be a more relevant and appropriate programme, built on clearer shared purpose towards which all actors are willing to work, allowing them to use their own resources more efficiently, and following a widely-understood division of labour.[85] All of that should get better results for the persons of concern, at less cost.

There is one final point to make about planning, and that is the importance of managing expectations. We did not see much evidence that UNHCR is proactively managing the expectations of stakeholders by communicating what UNHCR will not do, or what they will do less and why. This is understandable in an operation that is growing and still seeking fresh funding, but from 2017 onwards, as the funding starts to decline and widen the expectations gap between what is possible in the future and what UNHCR is doing now, it will be very important to shift gears and prepare stakeholders for a greatly reduced programme.

Capacity development is not being fully addressed by UNHCR (or other actors)

UNHCR guidance explicitly states that "Disengagement … in turn requires UNHCR and its partners to invest in developing national capacity for IDP protection, assistance and solutions", *UNHCR Operational Guidelines for IDP situations (2016),* but does not provide any information on what this really means, or how to finance it. For many UNHCR staff, capacity building consists of what they have been doing for the past three years in Ukraine: assisting the government with legal and regulatory improvements, making information web-accessible in relevant languages, providing training and awareness-raising sessions to government and programming stakeholders on issues such as the government's own IDP regulations, international humanitarian law and GBV, and specific training for partners on how to meet UNHCR's reporting and financial management requirements.

But this is not the type or level of capacity building that is needed in the future. In Ukraine, the whole humanitarian community, including UNHCR, is at a crossroads. The conflict has slowed to a simmer, the acute emergency phase has become a protracted, and humanitarian funding is reducing. In this situation, there needs to be a quantum leap, a complete change in mindset; where the overarching goal of the humanitarian enterprise is no longer to save lives, but to build the capacity of Ukrainian actors to themselves ensure the protection and well-being of IDPs for the indefinite future. For the Ukrainian government and civil society to take on the essential work that has been hitherto financed and to a large extent implemented by the international community, requires a dedicated and fully financed effort at structural capacity development.

Key non-governmental partners are not ready to take over from UNHCR

Regarding capacity development of national and local <u>governments</u>, UNHCR's capacity development work should continue much as it is now: a combination of technical advice and training, supplemented by a more concerted effort at joint needs assessment and planning as described above.

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[85] The need to revise UNHCR's planning process to make it more practical and participatory is the premise behind the initiative launched in 2015 and that has become corporate policy in 2017, to develop multi-year programmes through a deliberate multi-partner consultative process

Regarding civil society, the evaluation team agrees with the UNHCR Inspection Report (2015) that UNHCR should develop "an extensive training plan to build the capacity of local civil society to develop and manage projects, including fundraising, in line with the exit strategy of the office." For Free State Legal Aid Centres and two or three selected civil society partners which are delivering the core IDP protection services that are UNHCR's most immediate responsibility – services that are currently dependent on UNHCR and donor funding -- a concerted multi-year effort at capacity development is needed. This should include strengthening organizational governance and management, the development of feasible affordable multi-year organizational strategic plans on the basis of which the organizations can raise their own funding, support for recruitment and staff development, training on fund-raising and proposal-development, and strengthening operational performance. Given the Ukrainian context, an important component of capacity development should be the capacity to analyze the evolution of social tensions and to implement proactive initiatives (including media and social media campaigns) to counter negative stereotypes. The goal is to enable these organizations to be strong enough by 2019 that they can attract their own funding from donors, government and the private sector from 2020 onwards.

Such a programme of support for capacity development would preferably be designed, managed and funded as two separate initiatives: one for the semi-governmental FSLACs and one for civil society. UNHCR might not be the best agency to handle this activity, which is outside UNHCR's normal range of expertise. In the context of an exit strategy, it might be preferable for UNHCR to promote this idea to development donors, who could finance and manage it directly, with UNHCR playing a technical and advisory role.

The current arrangement of field offices is no longer appropriate

While UN agencies feel there is a justification to continue with an HRP in 2018, the evaluation team is in no doubt that the emergency phase of the Ukraine operation is in a wind-down phase. The 2016 cluster coordination review already recommended that most clusters should close in 2016 (only one closed), the conflict has now slowed to a simmer, the Government is now more able to fulfil its obligations towards its own citizens if it has the political will to do so, and humanitarian funding has almost stopped flowing (as of early July 2017 only $43.7 million or 20% of the already-modest appeal had been received – placing Ukraine at #25 out of 30 appeals in 2017 in terms of funding).[86] In these circumstances, it behooves UNHCR to look ahead and use the 2018 HRP as an opportunity to scale back to the desirable and affordable footprint for a protracted and globally low-priority (hence underfunded) situation.

As of 2017, UNHCR has a Sub Office in Dnipro, and five Field Offices in Mariupol, Severodonetsk, Slovyansk (Kramatorsk), Donetsk and Luhansk. This is a far larger footprint than any other UN agency, and the centre of gravity in Dnipro is now stranded from the rest of the UN (now consolidated in Kramatorsk) and from the contact line (which has stabilized far to the east of Dnipro). Furthermore, when reducing Kharkiv, UNHCR also closed down the base of operations for its partner providing IDP legal services (R2P), with the result that there is now no resident protection coverage in Kharkiv at all. For the moment, there is a business case for maintaining offices in Severodonetsk, Slovyansk and Mariupol, because these are the three temporary administrative centres for the GCA authorities of Donetsk and Luhansk oblasts, and there is also a rationale for maintaining separate offices in the NGCAs of Donetsk and Luhansk because their characteristics are so different. But as resources reduce and the rest of the humanitarian system is consolidating its own structures, it is only a matter of time before

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[86] Overall, the 2014 HRP was funded at 98%, 2015 HRP at 61%, 2016 HRP at 33%

UNHCR will be challenged to reduce its field presence to the minimum. In GCAs this is very likely to be Slovyansk (Kramatorsk), but the NGCAs are more complicated.

Given resource constraints and the difficulty of actually delivering assistance in the NGCAs, there will be pressure to close most humanitarian operations in the NGCAs in 2018 if not sooner. This will bring the UN community to a crossroads: should the UN maintain a presence in the NGCAs but with a UNDP-led development purpose, and/or should the UN maintain a humanitarian presence - and if so then how would that be coordinated? This matter was being actively considered by the HCT in early 2017,[87] and UNHCR's final decision is likely to be guided by this HCT-wide discussion.

Ukraine provides an opportunity to test an integrated refugee and IDP programme

When the evaluation team stepped back and looked at the big picture, it was struck by how similar are many of the needs of refugees and IDPs (documentation, registration, combating prejudice, affordable housing, access to employment), and how similar are UNHCR's responses (legal assistance, media campaigns to change attitudes, advocacy for access to social benefits, individual cash assistance for the most vulnerable). When these similarities are combined with the wide geographic distribution of the refugee and IDP populations of concern, and the relatively small number of multi-purpose partner organizations, then there is a compelling case for reducing duplication and increasing management efficiency by combining refugee and IDP programmes on a geographic basis. Ukraine would seem to present most of the preconditions for UNHCR to take a step forward in integrating its refugee, stateless and IDP programmes, and could become a pilot for an integrated country programme, with a simpler unified COP narrative, single agreements with partners covering multiple pillars,[88] and combined research, advocacy and media campaigns.[89] This would be particularly appropriate in Ukraine, because it is a situation where IDPs are well-resourced compared with refugees, and it is likely that refugees would be the net beneficiaries of an integrated programme.

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[87] For example, it was a major theme of the STAIT review mission in April 2017

[88] The evaluation team notes, however, that a properly integrated programme would require that the operation reduce to a single cost centre. There are several reasons this would be advantageous: (a) the management relationship is clearer if there is one CC (b) most organizations are already Kiev-based and as things wind up others might move their HQs back to Kyiv - so over time Kyiv will again become the centre (in a centralized system), (c) protection in particular is very Kyiv-centric and as time goes on the assistance will disappear leaving protection in its appropriate long-term role, (d) the idea of piloting streamlined agreements with multiple PPGs will simply not work with a bifurcated structure as it prevents integration/piloting

[89] "UNHCR must seek to create synergies with and maximize protection for refugees whenever it engages in situations of internal displacement. Examples include the facilitation of durable solutions and access to national services (such as education and health) for refugees and IDPs alike" - UNHCR IDP operational guidance (2016)

8.2 To what extent did UNHCR achieve the prioritized expected results for each of the three groups of PoCs? What were the key contributing or constraining factors?

Results (advocacy and programming) for asylum-seekers and refugees were adequate

Management attention, policy/advocacy capital, staff and programme resources were initially all diverted from the pre-existing refugee/statelessness programme to the IDP emergency. However, the foundations of the refugee programme were quite resilient, thanks to well-established relations between UNHCR and its key counterpart ministry SMS, a stable and funded multi-year programme of capacity development that was insulated from the IDP emergency, and experienced IPs. Although refugees received less explicit attention from UNHCR over the period 2014-2016, this did not seem to translate into a significant stagnation in their situation, and looking ahead there are prospects of refugees benefiting from the stronger office and broader relationships that have been built through the IDP response.

Local integration is a viable way forward for most of the Russian-speaking asylum-seekers and refugees, but will be difficult for those who do not speak Russian. The non-Russian speakers for the most part do not intend to stay in Ukraine, and they face practical obstacles of communication and discrimination in addition to legal obstacles. Looking ahead to 2017 there is an expectation that global resettlement places will be sharply reduced, also further reducing the available resettlement places for refugees in the Ukraine despite a continuing need for a resettlement option for vulnerable persons for whom this is the "only appropriate and durable solution."

Results for stateless persons were inadequate

UNHCR's statelessness work in Ukraine was not as established before the IDP emergency. Planned initiatives to boost understanding and to improve the regulatory environment for stateless persons were stalled, and a planned statelessness survey was postponed. As a result, in 2017 there is a need to reset the relationship on statelessness. A comprehensive statelessness strategy should cover the identification of stateless persons, including the adoption of the draft law establishing a statelessness determination procedure; a mapping of the scale of statelessness in Ukraine and affected population groups; capacity development of officials and partners; advocacy for law reform to bring Ukrainian legislation in line with its international obligations and both Statelessness Conventions; and activities geared at the prevention and reduction of statelessness, including free and equal access to documentation regardless of nationality status and documentation of parents. Roma should be included in the above, and SMS should be able to cover the basic protection needs of the Roma in a cost-effective way without needing a separate programme.

Results (advocacy and programming) for IDPs were good in GCAs

IDPs were UNHCR's priority during the evaluation period and they benefited from a rapid scaling up of advocacy and assistance. Initial support from UNHCR was provided directly to the population of concern, to which was later added indirect support through the shaping of a protection-centered HRP and the coordination of the shelter and protection clusters. UNHCR advocacy was more successful on technical issues and particularly effective in the early days when basic government policies and systems were

being put in place. However, several key advocacy priorities that were more political in nature saw little progress, for example freedom of movement across the contact line, and the de-linking of pensions from IDP registration.

Figure 8.1   Overall, do you think UNHCR has been effective in responding to the IDP crisis in Ukraine?

Response	Chart	Percentage	Count
Yes definitely		52.6%	40
Probably		40.8%	31
Probably not		2.6%	2
Definitely not		1.3%	1
Do not know/Not applicable		2.6%	2
	Total Responses		**76**

On the assistance side, UNHCR's shelter programme made an important contribution to the system-wide shelter response. Community projects provided practical and also social cohesion benefits, although several organizations were working at community level and UNHCR's comparative advantage in this field is less obvious. When considering UNHCR's role, it would seem that two types of community projects are likely to add value to what is being done by others: (a) projects with a specific protection objective and benefit, including building capacity to advocate for community interests without intercession by UNHCR or others, and (b) projects not susceptible to funding by other entities. UNHCR's modest support to mitigate the conditions at the crossing points seems to have been very successful. UNHCR's early use of cash was trail-blazing and effective, but not well coordinated between partners or with other cash providers, and in the end UNHCR's use of cash was relatively minor in relation to other actors or UNHCR's own overall programme.

The evaluation team agrees with the UNHCR inspection team that targeted protection assistance for vulnerable IDPs should not be restricted to the eastern region but should be available to IDPs wherever they are. However, since this is also costly to deliver under the current model, it would be more efficient for IPA to be delivered in-kind only where markets and transport services are not functioning, and elsewhere as cash. Furthermore, the costs of delivery could be reduced if the partner delivering this assistance were empowered to evaluate the needs and deliver the assistance in a single visit.

UNHCR did not systematically focus on solutions in the evaluation period

Solutions for IDPs were up front in the original strategic objectives and reiterated in every subsequent country operations plan. However, solutions work was limited to advocacy (for example on social benefits and social housing) and occasional programming. Beyond the text of annual operations plans, UNHCR did not have an explicit solutions strategy in Ukraine.

Lack of clarity regarding the role of Sub-Office Dnipro and lack of management continuity in 2015 constrained the achievement of results

In late 2014, UNHCR senior management in HQs decided to create an empowered decentralized sub-office in Dnipro responsible for IDP operations. There were some benefits of this structure, in particular this afforded good coverage for protection and assistance, and strong relations with oblast and municipal governments. But unfortunately, these benefits did not outweigh the impracticalities of the separation of roles and authorities between Dnipro and Kyiv. Firstly, the main policy and advocacy relationships with Government and with the HCT on IDPs were all centered in Kyiv – all the more so since Ukraine's government systems are highly centralized. Secondly, programming responsibility was delegated to Dnipro without the necessary support systems (programming and supply staff, separate bank account etc.). Perhaps most difficult was the creation of two cost centres, which resulted in a situation where Kyiv-based partners had to report to Dnipro on some matters and to Kyiv on others, and partners working on IDPs outside the east were somewhat stranded. All in all, programming coordination between Kyiv and Dnipro became, and remains, problematic. This was not helped by lack of clarity regarding the overall management relationship between the two offices, still not fully clarified as of the end of 2016.

The structural challenges were compounded by a succession of senior managers at the Kyiv and field levels throughout 2015, each of whom did their best to accomplish their mandates during their short tenures, but were unable to give the country programme a steady vision and a coherent approach to management. In this transition period, UNHCR did not confidently engage with key central government ministries, and its advocacy was somewhat less effective. This interruption in management continuity did not affect UNHCR's credibility, which was sustained by the momentum of its robust start-up, and UNHCR's activities were given structure by the HRP and the cluster system – but it was acutely felt by UNHCR staff and IPs.

Results for IDPs in NGCAs cannot be assessed with confidence

It is assumed that the most vulnerable people in all of Ukraine are living in the NGCA side of the grey zone. But because there is no system of registration in the NGCAs, and the *de facto* authorities do not allow full humanitarian access, UNHCR and other humanitarian actors does not really know how many people of concern are in the NGCAs – not where they are, their situation, or their needs. In this context, planning is mostly guesswork, and programming is understandably opportunist. UNHCR itself reported that was able to obtain partial access through its IPs, and to provide assistance to *de facto*-authorized community centres and collective centres, but in the final analysis neither UNHCR nor the evaluation team knows the extent of UNHCR's coverage or the extent to which basic needs were met.

UNHCR opened the door for the UN to work in the NGCAs

UNHCR was the first UN agency to set up an office in the NGCAs (Donetsk in late 2014), and has maintained an unbroken presence in both NGCAs despite all the efforts to restrict access and operations undertaken by both the Ukrainian government and by the *de facto* authorities. While it is beyond the competence of the evaluation team to pronounce on the international legality of the 2015 accreditation/registration decision, the results of that decision have been to anchor the UN in the NGCAs (several agencies have been co-located with UNHCR over the years, and UNHCR continues to support a wide range of visiting missions), and to provide some measure of protection by presence to the displaced and non-displaced population of the NGCAs. It seems likely to the evaluation team that,

without UNHCR taking that stand in 2015, there would not have been significant UN programmes of support in the NGCAs in 2016 and beyond.

"Accreditation" was a big issue in 2015, but as time passes accreditation is becoming less relevant. Since 2015, the *de facto* authorities' "rules" on accreditation have continued to change, and accreditation no longer assures presence.[90] In the end, it is an organizations' perceived neutrality and capacity to deliver that seems to determine whether organizations can operate in the NGCAs, not accreditation *per se*.

UNHCR's accountability to the affected population is improving but there are still gaps

The technical mechanisms of accountability seem to be working well in Ukraine, including the use of participatory assessments for planning and feedback to the affected population on assessment results, as well as the use of tools like hotlines and complaints boxes. If there are two areas for improvement, they would be (a) building the capacity of community representative bodies to advocate for their rights directly with the authorities and with UNHCR, and related to this (b) involving the affected populations (through its legitimate representatives) in priority-setting and planning.

8.3 How well did UNHCR exercise its cluster (co)leadership and coordination responsibilities for both the Protection and Shelter/NFI clusters?

UNHCR's early prioritization of cluster coordination, and the fielding of experienced long-term coordinators, resulted in generally good cluster coordination performance

UNHCR was quick to get moving: setting up a shelter working group in mid-2014 and fielding protection staff as field officers as part of the initial mobilization, so that stakeholder networks and core teams already had momentum when the clusters were activated at the end of 2014. Since that time, there has been remarkable continuity in cluster leadership, and continuity is key for effectiveness. With effective coordinators and continuity, it should not be a surprise that in the online survey, 63% of protection cluster members and 70% of shelter cluster members rated cluster coordination as being done well or very well.[91] Although there does not appear to have been institutionalized coordination between the two clusters, operational coordination between them was good, and we feel that synergies were created.

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[90] In Donetsk, accreditation does not affect UNHCR's ability to work through NGOs. In Luhansk, accreditation is essential

[91] Third party reviews agreeing with this conclusion include the Shelter Cluster Evaluation, the Global Cluster Coordination Review, and the UNHCR Inspection Report. Additional information was obtained from the CCPM, and from the evaluation team evaluating US State Department's programming in Ukraine (including UNHCR), as well as a STAIT review coordinated by OCHA

Clusters have not invested enough in capacity development to ensure that there are strong national entities able to take over (a) coordination, and (b) programme delivery

A major set of findings concern the shortcomings of the process to close the clusters and hand over essential functions to national partners – be they government or non-government. At its root, the problem is that there is insufficient precedent and guidance on closing down the emergency phase of a displacement emergency (in sudden-onset natural disasters there is at least more precedent). IASC guidelines are rather vague, and in situations where the self-interest and comfort zone of humanitarian agencies is to continue to maintain a humanitarian management model for as long as funding will allow, it takes vision and strength at the level of the HC and the HCT to herd the humanitarian community towards the exit. Stakeholders agree with the GCC recommendations that the full-blown humanitarian coordination machinery is over-engineered for the current stage of the response, and that it needs to become more agile and tactical, targeting assistance to pockets of greatest need, engaging with development actors when opportunities arise, and shifting attention to building the capacity of national stakeholders who will be involved for the long term. If clusters do not make this their priority already in 2017, then there is a risk that the cluster closure will be *ad hoc* and driven by funding cuts rather than a deliberate plan.

In this context, both shelter and protection need to consider transition at two levels: first is the transition of the coordination machinery itself, including technical IM training and then handover of high-value databases and records that could be used for the foreseeable future as long as they handover is done appropriately. Regarding the handover of coordinating bodies, including the SAGs, working groups, TWIGs and sub-committees, in this phase of transition it would be preferable for all clusters that expect to have a continuing coordination requirement after cluster deactivation to become co-chaired by a national entity, so that national stakeholders can be supported and accompanied - and slide into the post HRP coordination role rather than having it "dumped" on them.

Handover of the operational work of the cluster is up to each member agency, and some members are themselves national organizations who could be built up to take over as the international organizations exit. UNHCR as an operational agency is also included in this community, as discussed elsewhere in this report.

Overall cluster impact was enhanced by adaptable working groups

Cluster performance was enhanced by the way that clusters adapted themselves to the country's unique circumstances. Shelter TWIGs shifted their focus as the situation evolved, and the protection cluster activated two GPC sub-clusters that are often overlooked or under-resourced in humanitarian response: Mine Action, and Housing Land and Property. In addition, the protection cluster created an ad hoc working group on Age and Disability, a good practice that underlines the value of a context-specific flexible approach to protection working groups.

Protection was firmly placed at the centre of the humanitarian response

Given that Ukraine is a middle-income country with well-developed albeit cumbersome systems of social assistance, international attention was focused from the outset on protection (especially economic and social rights) more than assistance. This is evident in the way the 2015 HRP was designed, and in the way that assistance was targeted to address protection priorities, as well as delivered in ways that enhanced

protection benefits. The centrality of protection was greatly enabled by the fact that UNHCR was *primus inter pares*, by virtue of being the first on the ground and the anchor agency for build-up of field operations, as well as the leading protection advocate at the HCT. The question now is how can UNHCR best ensure that protection remains central to the development response that is being constructed by the Government with support from the UNCT, the World Bank and development donors. UNHCR's role as lead for the recovery pillar of the new UNDAF seems to be a very promising entry point.

Cluster co-chairing needs to be approached with extreme caution

Four things that can be learned from the protection cluster experiment in co-leading are: (a) cluster coordination is a time-intensive, technical, bureaucratic and usually thankless task. To take this on (as lead or as co-chair) takes commitment to the mandate (and constraints) provided by the IASC architecture, considerable patience, and a deep enough pool of resources to be able to fill gaps; (b) co-chairing is more complex and more effort than having a single chair; (c) co-chairs must be on the same page on fundamental issues, such as what is the goal of the cluster, who is the population of concern, what kind of advocacy is appropriate and when, and what are the ethical red-lines; and (d) chairing a cluster is a net drain on organizational resources.

The combined weight of these four lessons is pretty heavy, and suggests that co-chairing should only be attempted if the added value of co-chairing is clearly greater than the additional costs. Furthermore, desirable though co-chairing with an NGO is in principle (see text box), in practice it would be very difficult for a national entity (government or non-government) to take on cluster co-chairing - certainly a national entity would need considerable support from UNHCR during a build-up period. In addition, during a phase-out and handover process, if a national entity were expected to "take over" this cluster, then the system of coordination and information management would need to be dramatically simplified to a level of frequency and complexity appropriate to a long-term, low-cost arrangement compatible with the local bureaucratic culture.

The shelter/NFI cluster demonstrated the value of engaging locally: with local authorities and community leaders

In humanitarian situations, it is often the local authorities who are facing the practical problems of displacement in their provision of municipal services, and who are more interested and responsive to humanitarian agencies than the national authorities (where politics and mandate boundaries get in the way). So it was in Ukraine, where the shelter cluster worked very closely with municipalities and with community leaders on the planning and delivery of

> "
> *Consider Protection Cluster co-facilitation arrangements with an NGO partner, outlining respective roles and responsibilities in a Memorandum of Understanding*
>
> *- GPC Coordinator TOR (2014)*
> "

shelter assistance. This was enhanced by the fact that from June 2015 the shelter cluster had an empowered sub-national cluster at field level, led by an international NGO PIN, providing a quality of field coordination that improved overall cluster performance.

The use of cash for shelter/NFIs was not well-coordinated

The shelter cluster was the first to develop a cash working group in October 2014, and ever since an interagency Cash Working Group was established under the aegis of OCHA in April 2015, the cluster continued to lead a re-branded "Monetization Working Group" under the cluster structure. Agency reports, and the 2015 evaluation of the shelter/NFI cluster, all confirm that cash was used effectively alongside in-kind distributions, but that the wide range of cash conditions and transfer values, compounded by inter-agency rivalry over coordination of cash (particularly in mid-2015) resulted in missed opportunities for efficiency and improved coverage.

Possible ways forward for sustainable shelter

The evaluation team suggests that the shelter cluster consider two possible ways forward for sustainable shelter, these are ideas coming from discussions with shelter cluster members but are not sufficiently validated to form the basis for recommendations. One might be to capitalize upon the fact that many IDPs have relatives who have left Ukraine (there has been a steady population exodus since 1990 and an additional exodus since the conflict started), in particular many elderly have younger relatives with new lives outside Ukraine. Given this new diaspora, there should be an opportunity to connect a supply of remittances with a demand for rent payments.[92]

A second pathway would be to ensure that policies and resources for social housing are placed squarely on the agenda of the bundle of development work that is being assembled under the aegis of the MTOTI, the new UNDAF pillar III (which is dedicated to recovery in eastern Ukraine), and the Multi-Partner Trust Fund. Those three mechanisms together represent the best source of planning and financing for IDP solutions in eastern Ukraine for the next decade. UNHCR has a unique opportunity to influence their direction, because UNHCR is the UN agency lead on pillar III within the new UNDAF -- but unfortunately the current draft of pillar III is silent on sustainable housing for IDPs, despite the key observation that "employment and sustainable housing solutions are most pressing issues to be addressed" (9 April 2017 draft UNDAF para 18). UNHCR might not have the leverage to get social housing into the UNDAF and the MPTF, but at the very least UNHCR can create the conditions for a conscious reflection on the subject, and ensure that any decisions in this regard are made by informed consensus and not just by default.

UNHCR's coordination with the broader stakeholder community was good

UNHCR was universally well-regarded by donors, in particular for the early and decisive engagement which was seen as strategically effective albeit tactically unconventional. The effort of supporting donor field missions was a good investment, and support for visits to NGCAs was particularly welcome. All embassies in Kyiv appreciate the steady relationship and detailed briefings provided by UNHCR since management stabilized in 2016. The relationship does however seem to be maintained at the level of the humanitarian representatives, and not extending significantly to the development donor representatives.

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[92] Whether or not a remittance/rent relationship needs intervention to better operate or should be left entirely to market mechanisms might be a subject for the World Bank and IOM to consider

Regarding Government relations, it would be easy to conclude that UNHCR has not invested enough in building its relationships with ministries outside its traditional refugee orbit, for example ministries responsible for housing and social assistance. But in practice UNHCR has limited resources and needs to make choices regarding where to best spend its advocacy capital. In that perspective, UNHCR has made some good choices: maintaining its core links with its long-term partners SMS and SBGS, building a relationship with the new MTOTI, and above all developing new relationships with oblast and municipal authorities in places where IDPs are concentrated – some of which will also serve refugees and stateless persons well in the long run. If there is one government relationship where UNHCR has faltered, it is with MOSP – and UNHCR is already on the road to fixing that.

Finally, UNHCR had very good cooperation with Ukrainian operational partners, whose initial response (prior to the international response) demonstrated their resourcefulness and their capabilities. Throughout the response, UNHCR has frequently delivered in-kind NFIs through operational partners without a formal agreement, and these symbiotic relationships have extended the credibility of the operational partners as well as the protection monitoring coverage of UNHCR.

The Government recovery plan, the MPTF and the new UNDAF provide an unusual opportunity for UNHCR to do business differently in Ukraine

Looking ahead, within the UNCT, UNHCR has responsibility for leading pillar 4 of the new UNDAF – the pillar focused on area development in eastern Ukraine. This is a big and strategic opportunity for UNHCR, and will require a step-change in UNHCR's engagement with ministries of planning, regional development and employment, as well as a significant investment in coordination through the UN's sub-national coordination body the UN Eastern Team.

In addition to the UNDAF, the Government's recovery plan (STP) and the World Bank/UN Multi-Partner Trust Fund are the second and third legs to this three-legged stool of strategic planning for development solutions in Ukraine. In order to become a leader rather than a follower in this domain of durable solutions, in its 2017 planning and beyond, UNHCR will need to set aside resources to properly fulfill these responsibilities, and preferably set up a dedicated durable solutions unit (using savings from accelerated field office closures). If successful in advancing durable solutions in a joined-up way with other UN agencies, the World Bank and other development stakeholders, this could become a model for UNHCR work in similar situations, where UNHCR acts as a facilitator but not as an implementer of development programming in IDP-affected regions. As of early 2017 the success factors seem aligned.

9 Recommendations

Summary recommendations to UNHCR Headquarters

Recommendation 1: Improve the UNHCR-led cluster guidance on responding to an IDP emergency

Recommendation 2: Develop operational guidelines on capacity development of partners,[93] especially in situations of handover and exit

Summary recommendations to UNHCR Ukraine

Recommendation 3: Develop a multi-year multi-partner UNHCR protection and solutions strategy

The suggested components of this strategy are outlined below in recommendations 4-8

Recommendation 4: Engage with development agencies and donors

Recommendation 5: Systematically support the capacity development of partners

Recommendation 6: Assess the need for continued IDP assistance by mid-2018, based on the prevailing security situation and anticipated humanitarian needs for 2019

Recommendation 7: Restructure the arrangement and functions of field offices

Recommendation 8: Pilot an integrated refugee, stateless and IDP programme in Ukraine[94]

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[93] Preferably distinguishing between host government capacity development as a normal part of UNHCR's refugee and IDP operations, the capacity of partners to take over cluster coordination functions, and the capacity of partners to implement effective refugee and IDP programmes independently of UNHCR support

[94] To the extent that HQs approval is required, then these recommendations are also directed at HQs.

Appendix I List of Findings

Finding 1:   UNHCR deployed protection, shelter and field officers early, but there were delays in the build-up of critical supply and administrative support functions.

Finding 2:   UNHCR's quick mobilization provided strategic advantage and advocacy leverage.

Finding 3:   Unsettled leadership of the Ukraine operation in 2015, combined with a poorly defined division of roles between Kyiv and Dnipro, affected continuity, advocacy and programme effectiveness.

Finding 4:   UNHCR's field office footprint is now somewhat misconfigured given how the situation has evolved since 2014.

Finding 5:   UNHCR's principled stand on access to NGCAs paved the way for UN agencies to remain engaged in the NGCAs.

Finding 6:   UNHCR's scope for action remains severely limited in the NGCAs.

Finding 7:   UNHCR's early strategies helped to shape the overall humanitarian response.

Finding 8:   UNHCR's annual planning was not as consultative as desired.

Finding 9:   UNHCR's approach in Ukraine generally followed the "IDP Footprint."

Finding 10:   In Ukraine, UNHCR has implemented several solutions-oriented activities, but did not have a formal IDP solutions strategy.

Finding 11:   UNHCR was largely successful in preventing the creation of IDP camps.

Finding 12:   UNHCR planned its IDP programming on the basis of needs assessments.

Finding 13:   UNHCR's 2016 special surveys provided depth of detail on issues that were identified as critical, but that were hitherto only anecdotally understood.

Finding 14:   UNHCR's steady long-term support for capacity development of SMS is appreciated, but the job is far from finished.

Finding 15:   UNHCR has an important new capacity development relationship with MTOTI.

Finding 16:   UNHCR's extensive field presence has facilitated relations with oblast and municipal governments.

Finding 17:   UNHCR's direct training and capacity development efforts with national Partners were not aimed at reducing their dependence on UNHCR funding.

Finding 18:   UNHCR made limited progress in advocacy for refugees and asylum-seekers.

Finding 19:   UNHCR's assistance to refugees continued uninterrupted.

Finding 20:   Prospects are slim for durable solutions, especially for non-Russian-speaking refugees and asylum-seekers.

Finding 21:   UNHCR stepped up its advocacy on new risks of statelessness and Roma.

Finding 22:   UNHCR has had more advocacy success on technical issues than on political issues.

Finding 23:   There is some ambiguity about who is UNHCR's IDP population of concern.

Finding 24:   UNHCR's delivery of legal services in Ukraine is effective but the model is not financially sustainable.

Finding 25:   UNHCR's material assistance to IDPs was relevant but there were some gaps in coverage.

Finding 26:   UNHCR has not yet fully responded to the management recommendations of the 2015 Inspector General Report.

Finding 27:   UNHCR Ukraine has a large number of similar project partnership agreements.

Finding 28:   Advocacy and programming initiatives for refugees and IDPs are converging.

Finding 29:   UNHCR's participatory assessments included a feedback loop that increased accountability.

Finding 30:   There was limited government, partner and beneficiary participation in planning, which in turn limited accountability.

Finding 31:   UNHCR initiated cluster coordination early and provided continuity of experienced protection and shelter cluster coordinators.

Finding 32:   There was operational coordination between the protection and shelter clusters.

Finding 33:   UNHCR as cluster coordinator was able to remain neutral/impartial in relation to UNHCR as Cluster Lead Agency.

Finding 34:   The protection cluster has a general transition strategy, but not a specific plan for deactivation.

Finding 35:   The shelter cluster is following a plan for deactivation, but the capacity development component has not started yet.

Finding 36:   The protection cluster is considered by stakeholders to be stronger on advocacy than on operational coordination.

Finding 37:   The experiment in cluster co-chairing with OHCHR was more problematic for HQs than for the field.

Finding 38:   The protection cluster has adapted its working groups to the situation.

Finding 39: Protection was central to the overall humanitarian response, but there is more to do to carry that over to the development response.

Finding 40: The shelter cluster was widely regarded as one of the best coordinated clusters in Ukraine.

Finding 41: The shelter cluster continued to adapt its technical working groups (TWIGs), sub-national mechanisms and operational priorities as the situation evolved.

Finding 42: The shelter cluster's early coordination of cash was overtaken by interagency competition.

Finding 43: UNHCR's coordination with partners has been uniformly good, although there is room for further engagement with development actors.

Appendix II Detailed recommendations

Detailed recommendations to UNHCR Headquarters

Recommendation 1: Improve the UNHCR-led cluster guidance on responding to an IDP emergency

This might include work to refine UNHCR-led cluster guidance on:

1.1 Working with the HCT to determine an appropriate configuration of working groups and sub-clusters tailored to the context

1.2 As a member of the HCT, periodically challenging and validating or adjusting the sub-cluster structure to ensure continued relevance and efficiency as the situation evolves

1.3 Capacity development of partners to continue coordination functions at the moment of cluster deactivation and transition

Regarding UNHCR itself, improve guidance on:

1.4 Situation-specific identification of UNHCR's IDP population of concern

1.5 Mobilizing back-office support early (IMO, finance, supply, administration)

1.6 Updating the IDP guidelines/footprint to strengthen guidance on UNHCR scaling-down and exit

Recommendation 2: Develop operational guidelines on capacity development of partners,[95] especially in situations of handover and exit

Detailed recommendations to UNHCR Ukraine[96]

Recommendation 3: Develop a multi-year multi-partner UNHCR protection and solutions strategy

The suggested components of this strategy are outlined below in recommendations 4-8

Recommendation 4: Engage with development agencies and donors

This might include:

4.1 A detailed IDP component that would be a strategy for responsible disengagement containing measurable and realistic benchmarks, and an action plan for appropriate continued support to IDPs that includes mapping of national partners to increase their role, capacity development of these partners, and linkages with the UNDAF

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[95] Preferably distinguishing between host government capacity development as a normal part of UNHCR's refugee and IDP operations, the capacity of partners to take over cluster coordination functions, and the capacity of partners to implement effective refugee and IDP programmes independently of UNHCR support

[96] To the extent that HQs approval is required, then these recommendations are also directed at HQs.

4.2 During the detailed planning period of the annual programme cycle, revising the COP for 2018 to ensure programmatic alignment with the strategy

4.3 Creating a Senior Development Advisor position, with the mandate to support UNHCR's coordination with the UN development agencies, and to manage the development partner relationships

4.4 Encouraging development partners to step in and provide appropriate continued support to IDPs and to their host communities

Recommendation 5: Systematically support the capacity development of partners

This might include:

5.1 Including central and local authorities fully in future participatory and needs assessments

5.2 Including key partners (not necessarily all stakeholders) in 2018 detailed COP planning

5.3 Conducting (or participating with others in) capacity assessment of selected government and civil society legal service providers (MTOTI, FSLACs, R2P, CrimSOS, 10th April)

5.4 Designing a limited programme of capacity development for key Government institutions (primarily for implementation by UNHCR)

5.5 Designing (or requesting development partners to design) a comprehensive programme of capacity development for FSLACs and a handful of targeted NGOs (possibly two separate programmes) aiming for greater institutional autonomy, while recognizing that there would be a continued protection monitoring role for UNHCR

5.6 Assisting civil society partners to obtain a development donor sponsor to take over the management and funding of this capacity development programme

Recommendation 6: Assess the need for continued IDP assistance by mid-2018, based on the prevailing security situation and anticipated humanitarian needs for 2019

In the event that an assessment concludes that there is no need for an HRP beyond 2018, the following options might be considered:

6.1 Recommending to the HC the closure of the shelter and protection clusters by the end of 2018

6.2 Planning to phase out all UNHCR shelter, NFI and winterization assistance by the end of 2018

6.3 Maintaining an ability to scale up again in the event of sudden renewal of conflict and fresh displacement

6.4 Implementing a limited number of community projects nationwide, based upon explicit protection objectives for PoCs, and then planning to phase this out by the end of 2018

6.5 Delivering IPA universally across Ukraine starting in 2017, but increasing the efficiency of IPA delivery by empowering partner field officers to conduct assessment and provide assistance in a single visit, using vouchers or cash wherever markets and transport systems are working

6.6 Planning to phase out remaining cash and Individual Protection Assistance to those IDPs who are in a protracted situation by the end of 2019

Recommendation 7: Restructure the arrangement and functions of field offices

Assuming a bold strategy to get ahead of possible further funding reductions, proactively reorganizing for a desired end state by:

7.1 Providing input to the HCT to determine the humanitarian coordination plan for NGCAs after 2017, and configuring UNHCR's NGCA offices accordingly

7.2 Reviewing the distribution and functions of field offices by the end of 2018, and recentralizing Dnipro's management and financial authorities to Kyiv

7.3 Moving responsibility for core programme support for the eastern region to Slovyansk, with emphasis on coordination with both humanitarian and recovery actors (e.g. through UNET) and capacity development of partners

7.4 As each office closes, building up partner presence to maintain core protection monitoring functions including targeted IPA, and to serve as a base of UNHCR outreach in each oblast

Recommendation 8: Pilot an integrated refugee, stateless and IDP programme in Ukraine

Recognizing that elements of this pilot might require HQs approval (as indicated in the text below), such an integrated pilot programme might include some or all of these elements:

8.1 A simplified structure for the COP narrative without repetition for each PPG (HQs: DFAM/DER/DPSM)

8.2 No separation of Pillars/PPGs for planning purposes, maintaining the pillars for financial reporting as required (HQs: DFAM/DER/DPSM)

8.3 Single unified agreements for each partner, combining services to all three PPGs (HQs: DFAM/DER/DPSM)

8.4 Managing all of the PPAs from Kyiv from 2018 onwards

8.5 A limited number of partners for legal assistance and protection monitoring for IDPs, refugees and stateless persons

8.6 A limited number of partners for assistance to IDPs and refugees, and for support to refugee livelihoods

8.7 Equipping all UNHCR Field Offices to provide basic advisory and referral services to all PPGs

8.8 A focus on local integration as the preferred solution for refugees with the potential to assimilate

8.9 A single public information workstream (research, awareness-raising, social media, public campaigns etc.) to reduce negative public perceptions of IDPs, refugees and stateless persons

8.10 Supporting the Roma within the framework of IDP and statelessness programmes

Appendix III Terms of Reference

Terms of Reference for the Evaluation of UNHCR's Country Programme in Ukraine

August 2016

UNHCR
The UN Refugee Agency
Policy Development and Evaluation Service (PDES)

Key information at a glance about the evaluation	
Title of the evaluation:	Evaluation of Country Programme Ukraine
Type of evaluation:	Country programme including UNHCR's Response to the L-2 declared emergency.
Evaluation initiated or commissioned by:	Policy Development and Evaluation Service
Evaluation manager(s)/contact in UNHCR:	Machiel Salomons

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Map of Internally Displaced People in Ukraine

Introduction to the subject of the evaluation

Introduction

1. The UNHCR Policy Development and Evaluation Service (PDES) has prepared the following draft Terms of Reference (ToR) for the evaluation of UNHCR's country programme in Ukraine during the period from 1 January 2014 to 31 December 2015. This evaluation was requested by the Regional Bureau for Europe and the Representation in Ukraine. It will be managed by PDES and conducted by a small Evaluation Team of external evaluation consultants.

2. This draft ToR sets out the key evaluation questions to be answered and the suggested methodology to be followed. It articulates the overall purpose, focus and deliverables of the evaluation. The ToR will be finalised after incorporating comments from all stakeholders, as well as the findings of the planned scoping mission to Ukraine, as part of the inception phase. Data collection in the field and the initial report drafting are expected to take place over a period of four months, from October 2016 to January 2017. The entire evaluation process started in May 2016 and is expected to end in March 2017.

Country Context

3. Ukraine is a Constitutional Republic that is situated between Russia and several NATO member states. It has a population of 42.7 million.[1] In November 2013, Ukraine's President Victor Yanukovych decided to suspend negotiations around a trade agreement with the European Union. This resulted in the eruption of spontaneous daily protests in Kiev's main independence Maidan Square. These protests continued until February 2014, when following months of protests, President Yanukovych fled Ukraine to live in exile in Russia. One month later, in March 2014, Russia decided to unilaterally annex the autonomous region of Crimea, prompting huge demonstrations of pro-Russian and anti-government activists. Meanwhile, a separatist offensive in the Donbass region intensified, leading to huge population displacement. In May 2014, separatists in Donetsk and Luhansk declared their independence, and Petro Poroshenko was elected president of Ukraine despite the non-participation in the election of much of the eastern portion of the country.

4. In September 2014, pursuant to intensive negotiations initiated by the Organisation for Security and Cooperation in Europe (OSCE), a ceasefire agreement – the Minsk Protocol – was signed in the capital of Belarus. Unfortunately, none of the parties respected the provisions of this agreement. In February 2015, a second peace agreement – the Minsk II – was signed but only somewhat respected. However, later that year, some aspects of the peace agreement were implemented, including the withdrawal of heavy weapons, prompting UNHCR and its partners to initiate humanitarian assistance in certain parts of the country.

5. Although Ukraine has experienced turmoil on many fronts over the last few years, the formation in April 2016 of a new government, led by the new Prime Minister Volodymyr Groysman, offers hope that the situation will improve going forward.

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[1] State Statistics Service of Ukraine. "Population (by estimate) as of May 1, 2016." Retrieved 5 July 2016. URL: http://database.ukrcensus.gov.ua/PXWEB2007/eng/news/op_popul_e.asp

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6. This notwithstanding, in the immediate term, the ongoing conflict in the country has created economic instability, and the continued political uncertainty and certain Russian economic actions may adversely affect the economy's recovery. Ukraine's economy is characterised by high inflation rates, with the prices of basic household goods such as food, clothing and household utilities costs rising daily. According to World Bank data on Ukraine, Gross Domestic Product (GDP) dropped from USD 181.334 Billion in 2013 to USD 90.615 Billion in 2015.[2]
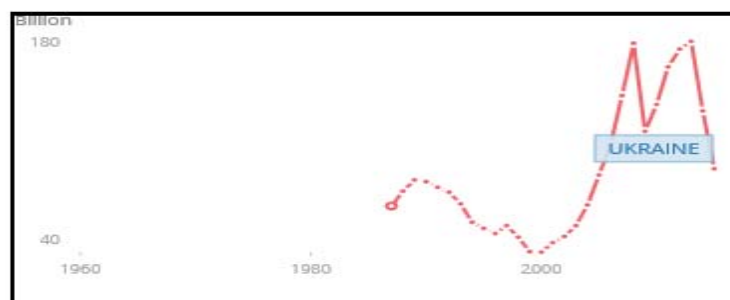
7. It is to be expected that the poorest and most vulnerable households in Ukraine, in particular IDP households, have been and will continue to be some of the most affected by recent negative economic trends.

8. Although the current conflict in Ukraine is nearing the end of its third year and intensified fighting like that witnessed in 2014 has subsided, sporadic fighting and shelling continue unabated.[3] The number of Ukrainians that were internally displaced since the conflict started has surpassed 1.5 million people. At the end of 2015, a total of 321.266 Ukrainian nationals had fled to neighbouring states – about 311.407 refugees and 1.097 asylum-seekers of whom went to Russia[4]. By the end of 2015, the conflict had affected the lives of 5 million people[5]. According to statistics produced by the Office of the Coordination of Humanitarian Affairs (OCHA), an estimated 9.400 instances of death have been recorded since the start of the conflict[6]

UNHCR Planning Figures for Ukraine[7], 2013-2015			
Population Planning Group	December 2013 (for comparison)	December 2014	December 2015
IDPs	0	823.000	1.600.000
Stateless	33.271	35.335	35.228
Asylum-seekers	5.478	5.908	6.502
Refugees	2.968	3.219	3.273
Returnees	0	0	1
Others	0	0	0
Total Persons of Concern	41.717	867.462	1.650.000

[2] http://data.worldbank.org/country/ukraine?view=chart
[3] Morelli, Vincent L. "Ukraine: Current Issues and U.S. Policy." Congressional Research Service. 27 April 2016.
[4] See UNHCR Statistics: http://popstats.unhcr.org/en/overview
[5] OCHA. "Ukraine: Humanitarian Snapshot (as of 11 December 2015)." Retrieved 23 August 2016. URL: http://reliefweb.int/sites/reliefweb.int/files/resources/humanitarian_snapshot_20151211_eng.pdf
[6] OCHA. "Ukraine: Humanitarian Dashboard January to May 2016." Retrieved 22 August 2016. URL: https://www.humanitarianresponse.info/en/system/files/documents/files/humanitarian_dashboard_may_2016_v1_2.pdf
[7] See UNHCR Statistics: http://popstats.unhcr.org/en/overview

9. On 23 December 2014, the UN Emergency Relief Coordinator activated the Cluster system in Ukraine as a response to the situation. UNHCR assumed the lead in the Emergency Shelter/Non Food Items (ES/NFI) Cluster and was co-lead of the Protection Cluster with the Office of the High Commissioner for Human Rights (OHCHR) covering an estimated 2.5 million Internally Displaced Persons (IDPs) and other affected populations. One month later, in January 2015, the UNDP Resident Representative/Coordinator was designated Humanitarian Coordinator. UNHCR activated an internal L-1 emergency on 31 July 2014[8] and upgraded this to an L-2 status on 16 January 2015.

UNHCR's Presence and Operations

10. Ukraine has been a State Party to both the 1951 Refugee Convention and the 1967 Protocol since 2002. The status and treatment of refugees in Ukraine is governed by the "Law of Ukraine on Refugees and Persons in Need of Complementary or Temporary Protection in Ukraine"9 (adopted 8 July 2011, amended in 2014) and implemented by the State Migration Service (SMS). In Ukraine, resettlement is used strategically and as a protection tool due to the insufficient quality and efficiency of the national asylum system.

11. Before the outbreak of violence, the UNHCR Regional Representation covered a modest protection advocacy operation in support of a small number of refugees, asylum-seekers and stateless persons residing in three middle income countries (Moldova, Belarus and Ukraine). UNHCR was the only humanitarian UN agency active in Ukraine, mostly involved in protection advocacy, whilst also providing regional support to the UNHCR Offices in Belarus and Moldova.

UNHCR operational objectives.

12. UNHCR's priority objectives before 2014 focussed on ensuring access to the territory, greater reduction of statelessness, accession to international and regional instruments and developing a comprehensive solutions strategy. The unfolding emergency situation required UNHCR to adjust its focus and in addition to the above-mentioned objectives include lifesaving activities, ensuring protection to PoC through leading and co-leading the protection and shelter/non-food items(NFI) Cluster, improving registration systems and building the capacity of the central Government to manage the IDP situation. Finally, UNHCR was engaged in a range of advocacy initiatives aimed at promoting freedom of movement and humanitarian access.

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[8] E-mail AHC (O) of 31 July 2014.
[9] UNHCR. Unofficial translation of "Law of Ukraine on Refugees and Persons in Need of Complementary or Temporary Protection in Ukraine." Retrieved 5 July 2016. URL: http://unhcr.org.ua/img/uploads/docs/Refugee%20law%202011%20ENG_final.pdf

13. UNHCR's key objectives for the IDP population in 2014/15 as well as expected output[10] were as follows:

Objective	Output
Population has sufficient needs and Essential services	Cash grants of vouchers(multi-purpose provided) Core relief Items provided. Seasonal and complementary items provided.
Services for persons with specific needs strengthened	Sectorial Cash grants of vouchers provided Specific services for persons of concern with psychosocial needs provided. Support to persons of concern with specific needs provided.
Shelter and infrastructure established, improved and maintained	Emergency shelter provided, Long-term/ permanent shelter provided and sustained, Sectorial cash grants or vouchers provided, Shelter materials and maintenance tool kits provided
Community mobilization strengthened and expanded	Community self-management supported Participatory Approach implemented
Peaceful co-existence with local communities promoted	Community sensitization campaign implemented Projects benefiting host and displaced communities implemented
Quality of registration and profiling improved or maintained	Capacity development supported
Access to legal assistance and legal remedies improved	Capacity development supported, Legal assistance provided
Law and policy developed or strengthened	Advocacy conducted, Assessment and analysis undertaken
Logistics and supply optimized to serve operational needs	Inventory/distribution optimized, Purchasing and timely procurement of supplies, Timely Delivery, Warehousing provided, repaired and maintained
Operations management, coordination and support strengthened and optimized	Financial control assured General project management services provided Monitoring conducted
Protection from effects of armed conflict strengthened	Protection by presence provided, Situation of persons of concern monitored
Protection of children strengthened	Coordination and partnership mechanisms established
Risk of SGBV is reduced and quality of response improved	Participation of community in SGBV prevention and response enabled and sustained Safe and survivor centered SGBV procedures and coordination mechanisms functional

14. According to its Country Operations Plans (COP) for 2014 and 2015, UNHCR's operations in Ukraine cover three Population Planning Groups (PPGs[11]): (1) refugees and asylum-seekers[12]; (2) stateless persons; and (3) IDPs. Even before the onset of the current crisis, UNHCR's Ukraine operation had to operate in a politically sensitive environment. UNHCR is one of the few agencies in Ukraine that has protection teams deployed in remote field locations, including in non-government-controlled areas. The tables below illustrate UNHCR's population planning figures, staff and budget for Ukraine at the ends of 2014 and 2015 – as well as 2013, for comparison purposes.

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[10] 1.　For a detailed overview of objectives, expected output and operating level budgets, broken down per operations, staff and Administrative costs for 2014 and 2015, reference is made to Annex 1 and Annex 2 attached to these ToRs.

[11] The Operations Plan is built around populations of concern, grouped as population planning groups (PPGs). A PPG is a population of concern which is considered as a homogeneous group for planning and budgeting purposes.

[12] Including a separate PPG for Syrian refugees and asylum seekers, which for the purpose of this evaluation will be included into PPG

UNHCR Ukraine Country Programme Staffing Figures, 2014-2015					
Year	Office	Professional and higher staff	General Service staff	National staff	Location total
2014	Kyiv	5	13	11	29
	2014 total	5	13	11	29
2015	Dneporpetrovska	7	17	2	26
	Donetsk	2	12	0	14
	Kharkiv	1	9	0	10
	Kherson	1	5	0	6
	Kyiv	15	30	14	59
	Mariupol	1	9	0	10
	Severodonetsk	1	10	0	11
	2015 total	28	92	16	136

UNHCR Ukraine Regional Office Budget Figures, 2014-2015					
Year	Population type	Budget in MSRP (USD)	% of total	Expenditure in MSRP (USD)	% of total
2014	IDP	10.593.000	72,2%	7.968.564	68,2%
	Refugee	3.796.580	25,9%	3.457.115	29,6%
	Stateless	289.370	2,0%	265.657	2,3%
	2014 total	14.678.950	100,0%	11.691.336	100,0%
2015	IDP	28.515.430	90,6%	23.951.740	90,0%
	Refugee	2.785.427	8,9%	2.563.198	9,6%
	Stateless	161.359	0,5%	107.328	0,4%
	2015 total	31.462.216	100,0%	26.622.266	100,0%

15. In 2014, the high profile nature of the conflict and Ukraine's proximity to the European Union, posing both security risks as well as a potential mass movement into neighbouring EU States, generated significant donor interest and resulted in substantial financial and political support to UNHCR and partners[13]. The UNHCR Regional Representation was required to adjust its focus as its resources increased dramatically in a relatively short period of time. One notable result was the change in Office Configuration from Regional to Country Office.

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[13] Partners include: UN Agencies, in particular UNDP, OCHA, WFP, NGOs funded- or not funded by UNHCR and Civil Society.

16. The following graph shows the evolution of funding to UNHCR's Ukraine program from 2012-2015. The years 2012-2013 are provided merely to help illustrate the scale of the abrupt funding increase.

Funding to UNHCR Ukraine Office, 2012-2015
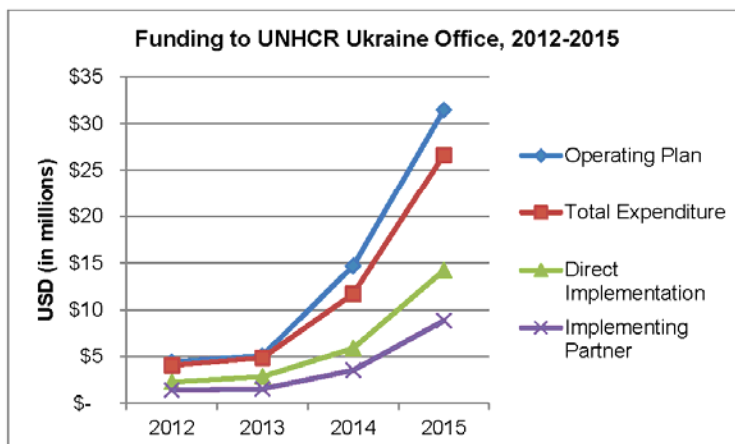
17. On the one hand, the international spotlight and increased funding created certain performance expectations. On the other hand, the nature of the conflict created challenges in terms of accessibility to the affected population, in both government-controlled and non-government-controlled areas, testing the limits of the United Nations Humanitarian Country Team (UNHCT), as well as the limits of UNHCR and its partners in designing and delivering emergency response programmes.

Rationale for the evaluation

18. Given the major changes in Ukraine that have taken place since 2014, and the consequent implications for the configuration of UNHCR's responsibilities and operations, it is considered timely and appropriate to undertake this evaluation. It is anticipated that it will serve the dual and mutually-reinforcing purpose of **accountability** and **learning**.

19. The overall purpose to conduct this evaluation is to assess how UNHCR's multi-facetted operation in Ukraine in support of Persons of Concern (PoCs) to UNHCR, i.e., Internally Displaced Persons (IDPs), refugees and asylum-seekers and stateless person performed during the two year period under review.

20. The evaluation will review the design of programmes and the performance of implemented activities. The evaluation is being undertaken to assess the extent to which UNHCR's objectives in Ukraine have been achieved. It will take into account the extent to which factors internal and external to all humanitarian actors in Ukraine have influenced programme relevance/appropriateness and effectiveness.

<u>Objectives of the evaluation</u>

21. The main objective of the evaluation is to provide UNHCR management with an evidence based assessment of its operations in Ukraine. To that end it will::

- provide an assessment of the relevance and appropriateness of UNHCR's objectives and evolving strategy in Ukraine during the period in question;

- examine how the evolving policy and operational context influenced key decisions with respect to UNHCR's positioning and programme delivery arrangements;

- assess the results achieved by UNHCR in the context of the inter agency response to the IDP situation.

<u>Intended Users and Stakeholders</u>

22. The primary users of the evaluation results within UNHCR will be the UNHCR Offices in Ukraine, particularly the managers there, and the Regional Bureau for Europe. The findings and recommendations that come from this evaluation may help UNHCR management make strategic decisions and inform the design of possible new interventions in Ukraine.

23. At the regional level, the report will also be of interest to the UNHCR offices in neighbouring countries that are hosting a significant number of Ukrainian refugees. The Division of Programme Support and Management (DPSM), the Division of Emergency Security & Supply (DESS) and the Division of International Protection (DIP) are expected to use the report's findings.

24. The external stakeholders with an interest in the evaluation's findings will include the donor community and Member States; the IDPs and host communities; refugees and asylum-seekers in Ukraine; members of the Humanitarian / UN Country team; members of the Protection and Shelter/NFI Clusters; other NGO partners; and national and local authorities.

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Scope of the evaluation and limitations

<u>Scope of the Evaluation</u>

25. The scope of the evaluation will focus on UNHCR operations in Ukraine in the period from 1 January 2014 and 31 December 2015, at both the national and local levels. Insofar as it is relevant, this evaluation will reference appropriate background information on how operations in Ukraine have developed since UNHCR established a presence there in 1994.

26. Specifically, it will look at both UNHCR's contribution to the overall humanitarian efforts in Ukraine and, more specifically, at its leadership and work as Protection Cluster co-chair (with the Office of the High Commissioner for Human Rights, OHCHR) , as well as for the Shelter and Non-food Items (NFI) clusters . In addition, the evaluation will review UNHCR's advocacy and lobbying efforts.; The evaluation will further assess UNHCR's relations with local civil society and other partners, including those receiving funds from UNHCR.

<u>Evaluability</u>

27. Lack of original data at the time of the start of the conflict may prove challenging when measuring results of UNHCR interventions. Access to the affected populations due to unexpectedly increased security concerns may adversely affect the ability of the Evaluation Team to collect sufficient data. The turnover of staff during the emergency period may prove limiting when sourcing, triangulating, and verifying data. .

<u>Key evaluation questions</u>

28. The evaluation seeks to provide evidence-informed answers to the following three key questions:

    a. Was the UNHCR country operation properly aligned, configured and resourced to adequately meet the key protection and assistance needs of refugees, asylum-seekers, IDPs and stateless persons during the period under review?

    b. Has the delivery system and partnership arrangements produced positive results on a substantial scale for beneficiaries?

    c. What policy or operational changes could UNHCR consider in future to improve the circumstances of IDPs, stateless persons and refugees in Ukraine ?

29. The following key evaluation questions (KEQs) were developed following OECD/DAC evaluation criteria[14]. The sub-questions below are indicative only and may be changed during the Inception Phase, following discussions between PDES and the Evaluation Team.

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[14] ALNAP. "Evaluating humanitarian action using the OECD-DAC criteria An ALNAP guide for humanitarian agencies." March 2006.

Relevance/appropriateness:

- Were the Ukraine country programme's objectives relevant and appropriate during the period under evaluation?

  Proposed sub-questions:

  o What,local needs assessments were conducted, and how did their results contribute to the formulation of these objectives?
  o Were the country programme's activities and outputs tailored to specific local needs and priorities?
  o Did the setting off objectives take into account age, gender and diversity dimensions?[15]
  o

Effectiveness:

- To what extent were the UNHCR Ukraine country programme's objectives achieved during the period under evaluation?

  Proposed sub-questions:

  o Among the country programme's objectives, which were achieved, which were partially achieved, and which were not achieved?

  o How did the choice of implementing arrangements influence the results achieved ?

- Did the country programme have adequate human and financial resources to secure its objectives during the period under evaluation?

  Proposed sub-question:

  o Were there gaps in financial resources, or in staffing, and if so, how were they addressed?

  o What balance was achieved between activities in the government-controlled and non-government-controlled areas?

- During the period under evaluation, to what extent did UNHCR's emergency response to the IDP crisis affect the implementation of pre-existing activities?

  Proposed sub-questions:
  o Were human and other resources diverted from the pre-existing activities to emergency response activities?
  o What, if any, efforts were made to ensure that UNHCR's performance in its pre-existing activities did not suffer due to the emergency response?

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[15] UNHCR. *UNHCR Age, Gender and Diversity Policy: Working with people and communities for equality and protection.* June 2011. Retrieved 22 August 2016. URL: http://www.unhcr.org/protection/women/4e7757449/unhcr-age-gender-diversity-policy-working-people-communities-equality-protection.html

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Coordination:

- To what extent did UNHCR meet its coordination responsibilities in the clusters that it led or co-led ?

  Proposed sub-questions:

- How did UNHCR's coordination of the clusters contribute to the realisation of its protection objectives?

- To what extent did UNHCR forge and leverage partnerships with national, regional and other actors (governmental and non-governmental, non state) to deliver protection?

Main methodological approach and information sources

30. The evaluation's methodological approach will be discussed and finalised with the Evaluation Team, upon their selection. The methodology will be designed to credibly provide answers to the evaluation questions and may be revisited during the evaluation if it appears that this may not be the case.

31. The 2016 *Norms and Standards for Evaluation* of the United Nations Evaluation Group (UNEG) will be applied. Additionally, the evaluation should conform to the evaluation guidelines and methods set by the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP).

Data Collection and Analysis

32. The evaluation is expected to employ a mixed-method approach, specific to each targeted PPG. The purpose is to triangulate sources of information and perspectives. Sources include document reviews, in-person key informant interviews, an online survey, field visits including beneficiary dialogues and database and financial analysis.

33. *Preliminary desk review of reference materials.* Documentation, stored online, will include internal notes and field reports that will help guide the evaluation team to draw preliminary conclusions.

34. *Interviews and focus group discussions* with key stakeholders will be organised. Interviews with UNHCR Senior Management, the donor community and INGOs in Geneva. Interviews will take place in the field with UNHCR staff, UN partners, Government counterparts, operational and non-operational partners and persons of concern to UNHCR.   Given the size of the country and the challenges associated with accessibility to affected populations, the Evaluation Team will need to carefully select which stakeholders they wish to interview. Such selections must be both realistic and adequate.

35. *An important part of the methodology will be an online survey* that will be shared with appropriate categories of stakeholders, including staff currently and previously serving in the Ukraine.

36. It is expected that visits will cover government-controlled areas and non-government-controlled area, the exact locations of which will be determined during the Inception Phase. During data analysis, the Evaluation Team will be expected to triangulate their

data, combining qualitative and quantitative data, as well as data from a range of stakeholders, in order to increase the credibility of their findings and conclusions.

Evaluation Matrix

37. The Evaluation Matrix forms the analytical framework against which evaluation data will be collected, gathered and analysed. It will contain the evaluation criteria, final list of evaluation questions and sub-questions, indicators and data collection tools, survey interview questions and a field study template. The Evaluation Matrix will be prepared by the Evaluation Team and submitted to the Evaluation Manager as part of the Inception Report.

Information Sources

38. All relevant material collected prior to and during the evaluation will be stored in an e-library, with access provided to all team members and focal points.

Data Management

39. All those involved in the conduct of this evaluation must adhere to UNHCR's *Policy on the Protection of Personal Data of Persons of Concern*[16].

Evaluation Work Plan

40. Organisation and conduct of the evaluation: The evaluation will be managed by PDES and undertaken by an Evaluation Team of Team comprised of qualified, external, independent consultants selected by PDES.

41. The evaluation will be conducted in a participatory manner, involving UNHCR staff in Ukraine and relevant staff at HQ. It will involve key government counterparts to UNHCR in Ukraine, members of the donor community, UN member states, NGOs and PoCs. The participation of these stakeholders will be ensured, as appropriate, at all relevant points of the evaluation, including planning, inception, data collection, reporting and management response.

42. A Reference Group will be convened (formally or informally) to guide the process, including by providing substantive and technical feedback on drafts of the Inception and Evaluation Reports. This group will include representatives from donors, NGOs and UNHCR headquarters.

Inception Phase

43. The evaluation's Inception Phase will focus on refining the evaluation questions, deciding on the methodology and detailing the evaluation plan. It will also be used to develop the theory of change/logic to be used to gauge UNHCR's performance, as well as determine whether it will be possible – and if so, how – to assess the effectiveness of UNHCR's work with PoCs. The Inception Phase may include a scoping mission to (i) assess the feasibility of the evaluation, its objectives and its

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[16] UNHCR. *Policy on the Protection of Personal Data of Persons of Concern to UNHCR.* May 2015. Retrieved 22 August 2016. URL: http://www.refworld.org/docid/55643c1d4.html

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KEQs, (ii) prepare for the evaluation by discussing its scope, coverage, conduct and methodology; and (iii) clarify information requirements.

Inception Report

The Inception Report should elaborate a detailed plan for the conduct of the evaluation and include:

- A preliminary analysis of the context, intervention and stakeholders;
- A detailed evaluation methodology, including (if necessary) sampling strategy, qualitative comparative methods and any quantitative methods;
- A refined set of evaluation questions;
- A detailed schedule of activities and deliverables that designate who has responsibility for each; and
- An Evaluation Matrix (see below).

44. The Evaluation Manager will review the Inception Report, consolidate and pass on stakeholder comments and approve it when it passes quality assurancel standards and has adequately incorporated feedback.

Evaluation Data Collection and Early Analysis

45. The Data Collection and Early Analysis Phase will follow approval of the Inception Report and focus on the collection and early analysis of data according to the agreed methodology. The Evaluation team will provide a field visit exit debrief to appropriate stakeholders.

<u>Deliverables and Timeframes</u>

The evaluation including the submission of the draft report should be completed within five months. The products to be delivered include (a) finalized Terms of Reference (ToR), Inception report, a final draft evaluation report, and a short evaluation brief containing key findings. pr

Indicative Evaluation Schedule								
Milestone and primary focal point	**2016**				**2017**			
	S	**O**	**N**	**D**	**J**	**F**	**M**	**A**
1. Evaluation Preparation and Initiation Phase								
Finalisation of ToR and issuance of Call for Proposals (PDES)	█							
Formation of Reference Group (PDES)		█						
Selection of consultants (PDES)		█						
2. Evaluation Inception Phase								
Finalisation of the contract details, signature (PDES and ET)		█	█					
Initial analysis of background materials (ET) **Deliverable: E-library (PDES)**		█						
Preparation for the scoping mission (ET and PDES)		█						
Scoping mission to Ukraine (ET)			█					
Completion, quality control, approval and release of Inception Report (including the Evaluation Matrix) (ET, PDES and Reference Group) **Deliverable: Inception Report (ET)**			█					
3. Evaluation Data Collection and Early Analysis Phase								
Finalisation of evaluation instruments and protocols (ET, PDES and Reference Group)				█				
Logistical preparation for data collection (ET and PDES)			█	█				
Data collection (ET)				█	█			
Initial data analysis and triangulation, exit debrief (ET)					█			
4. Evaluation Report Drafting Phase								
Completion of data analysis (ET)						█		
Preparation of draft Evaluation Report (ET)						█		
Quality control and stakeholder reviews of draft report (PDES and Reference Group)							█	
Presentation of final report (ET) **Deliverable: Evaluation Report (ET)**							█	
5. Evaluation Dissemination and Management Response Phase								
Dissemination of final Evaluation Report (PDES)								█
Preparation of management response matrix (PDES)								█

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<u>Management and Organisation of the Evaluation</u>

Staff	Responsibilities
Evaluation Team: 1.	Initial analysis of background materials
	Preparation for the scoping mission
	Scoping mission to Ukraine
	Completion of Inception Report
	Creation of evaluation instruments and protocols
	Logistical preparation for data collection
	Data collection and analysis
	Completion of Evaluation Report
Evaluation Manager PDES	Drafting of ToR with input from Ukraine Representation and Desk
	Recruitment of Evaluation Team
	Facilitation of evaluation missions and meetings
	Establishment of e-library containing relevant documents and material
	Support of field work
	Management of quality control and stakeholder review processes of draft Inception and Evaluation Reports
	Management of report dissemination
Reference Group	Review of the draft Inception Report, which will include the Evaluation Matrix, with a view to validating or refining the scope, questions and methodology of the evaluation
	Suggestions to identify potential materials and resources to be reviewed and key contacts to be considered for key informant interviews
	Review of the data collection and data analysis instruments that will be developed by the external evaluation team
	Review of the draft Evaluation Report and validation of emerging findings and conclusions
	Advise on the focus and implementability of the evaluation's recommendations.

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Evaluation team qualifications

UNHCR's Evaluation Policy emphasizes independence, credibility and utility. The conduct of this exercise shall conform to the *UNEG Ethical Guidelines for Evaluation*[17] and the *UNEG Code of Conduct for Evaluations in the UN System*[18].

The entity awarded the contract will be expected to deploy sufficient expertise to carry out the evaluation. Familiarity with the UNHCR mandate and operations, as well as with the UN system, is of particular importance.

The Evaluation Team will include the following expertise and skills (particularly relevant for the Team Leader):

Functional requirements for individual team members
- Extensive expertise in designing and implementing evaluations of complex programmes;
- Extensive evaluation experience in humanitarian and development approaches and programmes;
- Previous experience with scoping missions;
- Institutional knowledge of UNHCR and the UN architecture;
- Extensive experience in conveying complex evaluation analyses clearly and compellingly, including through the use of clear graphics and visual media;
- Knowledge of a wide range of evaluation methods and techniques, and in particular of surveys/questionnaires;
- Excellent writing and communication skills in English (knowledge of Ukrainian would be an advantage); and
- Post-graduate university degree for the Team Leader, and at least a first degree for the other team member(s), in social sciences or another relevant academic discipline.

Corporate requirements
- Published evaluations and evaluability assessments that cover similar issues and proven ability to carry out evaluations;
- Ability to commit a team to this evaluation for up to eight months;
- Proven ability to gather, compare and translate complex data through mixed methods; and
- Displays cultural, gender, religious, race, nationality and age sensitivity and adaptability.

As indicated above, a PDES Evaluation Manager will be at the disposal of the Evaluation Team and will assume responsibility for providing available Country Operations Plans and indicator monitoring data; arranging interviews at HQ levels; arranging field visits; and liaising with focal points within the Ukraine Representation. The Evaluation Manager will remain in close contact with designed focal points in the field to help ensure smooth mission arrangements to all the designed locations. UNHCR's Ukraine country office will designate focal points that will assist the Evaluation Manager and Evaluation Team with logistical and administrative arrangements.

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[17] UNEG. *UNEG Ethical Guidelines for Evaluation*. March 2008. Retrieved 22 August 2016. URL: http://www.unevaluation.org/document/detail/102
[18] UNEG. *UNEG Code of Conduct for Evaluation in the UN System (March 2008)*. March 2008. Retrieved 22 August 2016. URL: http://www.unevaluation.org/document/detail/100

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Selection process and procurement

Below is an example of how the technical proposal should look in order to be compliant with SMS procurement standards:

Technical proposal

Respondents to this call for proposals should submit a technical proposal emphasizing:
- A general strategy and approach;
- Proposed evaluation methods and tools; and
- A plan to organize the evaluation.

PDES estimates that the evaluation can be executed by a team of up to three expert evaluators with the right mix of skills and expertise. One member of the team should be identified as the Team Leader. However, bidders reserve the right to vary team size, with proper justification for the allocation of work and cost.

The technical proposal should be concisely presented and structured in the following order to include, but not necessarily be limited to, a description of the company, with evidence of the capacity to perform this evaluation, including the following information:
- Samples of other evaluations or research that pertains to forcibly displaced populations, refugee protection and related topics;
- Company profile, registration certificate and last audit reports;
- If a multi-location company, the location of the company's headquarters, and the branch(es) that will be involved in the evaluation; and
- Three or more letters of reference, with contact information.

PDES may contact referees for feedback on services provided to them by bidders.

There is no minimum or maximum length for the technical proposal. However, sufficient detail and clarity are required. The proposal should stipulate the level of effort to be committed by the different team members in each phase of the deliverables referred to in the timeline. The same information should be featured in the financial proposal, i.e., costs should be clearly associated with the deliverables. Bidders may be asked to provide additional information at the proposal assessment stage.

Specific requirements

In addition to whatever other approaches and methods are proposed, the following specific items must be present in the bidding documents:
- Presentation of a work plan based on the timeline presented above;
- Details on the overall design and data gathering methods to be used;
- Details of team members' relevant qualifications (including their CVs); and
- The level of effort for all team members in both the technical (without price) and financial proposals (with costs).

Cost proposal

Bidders must submit a firm-fixed price bid in US Dollars. The quotation will not be subject to revision unless officially invited to re-submit by UNHCR. All prices/rates quoted must exclude all taxes, as UNHCR is a tax-exempt organization. Bidders will suggest a payment schedule, linked to contract milestones. (It is recommended to submit a schedule of two tranches, i.e.,

one after the acceptance by UNHCR of the Inception Report and one after the acceptance by UNHCR of the Evaluation Report.) All costs will be fixed, except for travel to selected destinations, which will be on a cost-reimbursable basis.

The budget should be presented in three categories: personnel costs, project costs and overhead costs. Personnel costs should include the classifications (i.e., job title/function) and rates for team members, as well as the duration of work for each. This information may be contained within a table showing expected level of effort per team member, by phase.

If the plan for field visits must be changed due to security or other constraints, the contract may be modified to reflect this upon the agreement of both parties.

Vendor registration form

If the bidding company is not already registered with UNHCR, it should complete, sign and submit with its Technical Proposal the Vendor Registration Form.

Applicable general conditions

Bidding companies should indicate acknowledgement of the UNHCR General Conditions of Contract for the Provision of Services by signing this document and including it in their submitted Technical Proposal.

Awarding the contract and payment

UNHCR will award the contract after considering both technical and cost factors, on the principle of best value-for-money. Payment will be made only upon UNHCR's acceptance of the work performed in accordance with the agreed schedule of payment and/or contract milestones. The terms of payment are net 30 days after the receipt of invoice and acceptance of work. Where the need arises, earlier payment may be negotiated between UNHCR and the contracted institution, on the terms indicated in the contract.

The technical proposal will be evaluated using the following criteria and percentage distribution:

70% of the total score:

- *Company qualifications*
    - Capacity to undertake contract
    - References
    - Proven track record of providing evaluations and evaluation services on complex humanitarian issues
- *Proposed services*
    - General strategy and approach to the evaluation
    - Proposed evaluation methodology and tools to be used
    - Proposed organization of work
- *Personnel qualifications:*
    - Suitability and experience of the proposed team

30% of the total score:

- Proposed work plan
- Proposer's capacity
- Sample report(s)

Some technical criteria will be subject to minimum passing scores. If a bid does not meet these scores, it will be deemed technically non-compliant and will not proceed to the financial evaluation.

Appendix IV List of Individuals (and Groups) Interviewed

Respondents interviewed during the Inception mission (Geneva and Kyiv, Dec. 2016) as well during the Data collection phase (Kyiv and Eastern Ukraine (20 Feb to 3 March)

NAME	TITLE	SECTION/ ORGANIZATION
UNHCR Geneva		
Steven Corliss	Director	DPSM
Henrik Nordentoft	Deputy Director	DPSM
Betsy Greve	Head a.i.	ES
Machiel Salomons	Principal Evaluation Officer, Ukraine Evaluation	ES
Kemlin Furley	Head Policy and Field Support Unit	Reg. Bureau for Europe
Roberto Mignone	Principal Emergency Coordinator	DESS
Carol Batchelor	Director	DIP
Louise Aubin	Deputy Director	DIP
Michele Choffat	Senior Programme Coordinator	DPSM
Xavier Creach	Head of Protection Support Unit	DIP
Simon Russel	Global Protection Cluster Coordinator	DIP
Gregory Garras	Senior Protection Coordinator (deployed to Ukraine as Snr. Emergency coordinator late 2014/early 2015)	DIP
Emad Aziz Sedrak	Resettlement Officer	DIP
Davide Niccolini	Global Shelter Cluster	DPSM
John Waine	Senior Shelter Officer	DPSM
Daniel MacGuire	Senior Protection (IDP) Officer	DIP
Olga Vorontsova-Mykhailova	RSD Adviser (Legal)	DIP
Vincent Cochetel	Director	Europe Bureau
Felipe Camargo	Principal Emergency Coordinator	DESS

NAME	TITLE	SECTION/ ORGANIZATION
Waheed Lor Mehdiabadi	Head CBI Section	DPSM
Craig Sanders	Deputy Director	DPSM
Ziad Ayoubi	Senior Livelihood Officer	DPSM
Helen Morris	Senior Evaluation Officer, Evaluation of UNHCR's role as cluster lead agency for the Global Protection Clusters	ES
Anatoli Poujai	Senior Desk Officer	Europe Bureau
Ana de Vega	Emergency Community-based Protection Officer (deployed to Ukraine in 2015)	DESS
Anne Laakko	Senior Protection Officer (Statelessness)	DPSM
Mahir Safarli	Emergency Field Coordinator	IGO
Madeline Garlick	Head Policy and Policy & Legal Advice Section	DIP
Evaluation Reference Group	(Louise Aubin, Roberto Mignone, Michele Choffat and Kemlin Furley) already are in the UNHCR list	
Diane Baulay	Humanitarian Affairs Advisor	USA Permanent Mission - Geneva
Joachim Nason	Counsellor	EU Delegation Geneva
Agnese Giordano	Global Education Cluster Coordinator	UNICEF Geneva
Emma Nordlund	First Secretary	Sweden Permanent mission - Geneva
UNICEF Geneva		
Robert McCarthy	Regional Chief of Emergency	UNICEF Geneva
OHCHR		
Gianni Magazzeni	Chief, Americas, Europe and Central Asia Branch	OHCHR Geneva
Alexandre Girard	Human Rights Officer	OHCHR Geneva
Giorgia Brignone	Human Rights Officer	OHCHR Geneva
UNHCR Ukraine		
KYIV		
Pablo Matteu	Representative	UNHCR Ukraine
Vanno Noupech	Deputy Representative	UNHCR Ukraine

NAME	TITLE	SECTION/ ORGANIZATION
Noel Calhoun	Deputy Representative	UNHCR Ukraine
Srecko Neuman	Senior Programme Officer	UNHCR Ukraine
Hughes Bissot	Senior Protection Officer	UNHCR Ukraine
Flora Camain	Information Management Officer	UNHCR Ukraine
Igor Chantefort	Shelter Cluster Coordinator	UNHCR Ukraine/OCHA
Ana Rich	Protection Cluster Coordinator	UNHCR Ukraine/OCHA
Oldrich Andrysek	Former UNHCR Ukraine Representative (2014)	By Skype
Jean Noel Wetterwald	Former UNHCR Head of Ukraine Office (2015)	By Skype
Arsel Ormonova	Associate Field Officer	UNHCR Ukraine
Dmitro Plechko	Senior Programme Officer	UNHCR Ukraine
Nina Sorokopud	Associate PI Officer	UNHCR Ukraine
Vera Shelest	Field Associate (Protection)	UNHCR Ukraine
Lidiia Kuzmenko	Associate Legal Officer	UNHCR Ukraine
Oksana Panasenko	Assistant Programme Officer	UNHCR Ukraine
DNIPROPETROVSK		
Mamo Mulusew	Head of Sub-Office	UNHCR Ukraine
SEVERODONETSK		
Ivan Saleyeu	Head of Field Office	UNHCR Ukraine
Anita Rudyk	Protection Associate	UNHCR Ukraine
KHARKIV		
Thomas Faustini	Head of Field Office	UNHCR Ukraine
Vartan Muradian	Protection Associate	UNHCR Ukraine
Anna Kirvas	Protection Associate	UNHCR Ukraine
MARIUPOL		
Dinu Lipcanu	Head of Sub-Office	UNHCR Ukraine
GOVERNMENT OF UKRAINE		
State Migration Service (SMS)		
Natalia Naumenko	Head	State Migration Serv
Ministry of Social Protection		

NAME	TITLE	SECTION/ ORGANIZATION
Nadezhda Astanina	Head	Department of Social Protection (Mariupol)
Ministry of TOT & IDP		
Vadym Chernish	Minister	Minister TOT IDP
Oblast of Luhansk		
Lishyk Olga	Vice-Chairman	Lugansk regional state administration
Volodymyr Bogush	Coordinator	State Free Legal Aid Centre
Oblast of Dnipro		
Vitalii Lytvyn	Adviser to the Dnipro Governor	Regional State Administration Office
Lina Sergeyeva	Coordinator	State Free Legal Aid Centre
Kseniia Sukhova	Deputy Mayor	Mariupol Local Council
Embassy of the USA in Ukraine		
JoAnne Wagner	Assistance Coordinator	US Embassy
Bryan Schaaf	Humanitarian Advisor	US Embassy
Sue McIntyre	Senior Humanitarian Advisor	US Aid/OFDA
Embassy of Canada in Ukraine		
Roman Waschuk	Ambassador	Embassy of Canada
Embassy of Germany in Ukraine		
Daniela Bergelt	Economic Cooperation Officer	Embassy of Germany
Embassy of Sweden in Ukraine		
H.E. Martin Hagstroem	Ambassador	Embassy of Sweden in Ukraine
Daniel Gronvius	First Secretary	Embassy of Sweden in Ukraine
ECHO - Ukraine		
Mamar Merzouk	Head of Office	ECHO - European Commission
OSCE		
H.E. Ertugrul Apakan	Ambassador	OSCE SMM
Valentyna Pyrozhko	Assistant	OSCE SMM
OHCHR		
Fiona Frazer	Head of office	OHCHR Ukraine

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UNDP		
Neal Walker	Representative/ Humanitarian Coordinator	UN Development Programme
International Organization for Migration (IOM)		
Manfred Profazi	Chief of Mission	IOM Ukraine
Ester Ruiz de Arua	Emergency Programme Coordinator	IOM Ukraine
UN OCHA		
Barbara Manzi	Head of Office	OCHA Ukraine
Ivane Bochorishvili	Deputy head of Office	OCHA Ukraine
UNICEF		
Giovanna Barberis	Representative	UNICEF Ukraine
World Food Programme		
Giancarlo Stopponi	Deputy Country Director	WFP Ukraine
Aida Fillipovic	Head of Supply Chain	WFP Ukraine
ICRC		
Alain Aeschlimann	Head of Mission	ICRC Ukraine
UNHCR Partners in Ukraine		
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TamilaTasheva	Director	KrymSOS
OleksandrGalkin	Director	Right to Protection
Anastasiya Helena Melnitskaya	Director	Donbass Development Centre (met in Geneva)
Christopher Mehley	Director	Norwegian Refugee Council
Krista Zongolowicz	Country Director	Danish Demining Group
Antoine Barbier	CC Shelter Specialist	Norwegian Refugee Council
Vanessa Merlet	Country Director	People in Need
Frederic Larsson	Head	NGO Forum
Marina Kurochkina	Head	"10th of April"

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Zhanna Lukyanenko	Representative	Office of the Ombudsman
MARIUPOL		
Tatyana Lyubarova	Head	Proliska
Volodymyr Olekseyenko	Head	Right to Protect
SEVERODONETSK		
Miradihe Hodza	ICLA Project Coordinator	Norwegian Refugee Council
SVETOGORSK		
Natali Kirkach	Chairwoman of the Board	Slavic Heart
SLOVYANSK		
Tamar Berzenishvili	Head of Operations	People in Need
Hushnid Sattarov	Head of Programmes	People in Need
Irina Stepanova	Team Leader	R2P
Sergiy Golikov	Team Leader	ADRA
KHARKIV		
Liubov Butenko	Director	Right to Protection
Alisa Venevtseva	Project coordinator	Station Kharkiv
Evgeniy Kaplin	Head	Proliska

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UNHCR 2016	UNHCR. 2016. Project Description: Community-based Protection of displaced populations in Northern Parts of Donetsk. 2016.
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Appendix VI Preliminary Stakeholders Analysis

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
Government	State Migration Service of Ukraine (SMS Ukraine)	SMS was established in 2010 as a government institution coordinated by the Minister of Interior. Through SMS, the Minister of Interior implements the State migration policy on combating illegal migration, citizenship, registration of refugees, and other categories of migrants. SMS is responsible for the implementation of the Refugee Law. SMS's Headquarters is located in Kyiv and coordinates the work of 13 territorial branches that conduct first instance RSD. Decisions to grant protection are taken only at the central level. The central SMS and courts conduct appeals.	Refugee	The Department on Foreigners and Stateless Persons of the State Migration Service (SMS) is the main counterpart of UNHCR in Ukraine. Collaborates with the Asylum Systems Quality Initiative in Eastern Europe and South Caucasus Project	
Government	Ministry of Social Policy (MSP) of Ukraine	Ukrainian department responsible for instituting policy regarding a broad range of social issues in the country including labour relations, family and children, immigration and trafficking, women's rights, children's rights, and humanitarian aid. Since the start of the conflict responsible for registration of IDPs. In September 2016 launched the Unified state register of IDPs. The Minister is Andrii Reva.	IDPs	UNHCR provides technical assistance to the MSP for establishing effective system for IDPs' registration and monitoring. One of the key Shelter and NFIs cluster partners	http://www.mlsp.gov.ua/control/en/
Government	Ministry of Temporarily Occupied Territories (TOT) and IDPs	Officially established on 20 April 2016. Created by merging the State Agency for restoration of Donbass (formerly part of Ministry of Regional Development) and the State Service for Russian annexed Crimea and Sevastopol (formerly	IDPs	Signed Memorandum of cooperation on 10 October 2016. According to the document, UNHCR provides support to the	http://unhcr.org.ua/attachments/article/1641/UNHCR%20UKRAINE%20M-TOTIDP%20briefing

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
		under direct administration of the Cabinet of Ukraine). Minister - VadymChernysh since 14 April 2016.		Ministry to establish an effective system of communication with internally displaced persons, host communities and conflict-affected groups. Additionally, the UN Refugee Agency will conduct surveys to identify the needs of IDPs, violations of civil and political rights and freedoms of IDPs, problems in the field of social protection, access to infrastructure and other issues.	%20note%20OCT16%20FINAL.pdf
Parliament	Ombudsman of the Ukrainian Parliament (Verkhovna Rada)	The Ombudsman was established in Ukraine on 23 December 1997 with the passing of law No. 776/97 On the Authorized Human Rights Representative of the Verkhovna Rada of Ukraine. The Human Rights Representative, also known as the Ombudsman, is elected by parliament for a five-year term. Serves as an intermediary between the general population in Ukraine and the constitutional court, considering appeals from Ukrainian citizens, foreigners, stateless persons or persons acting on their behalf, in accordance with Ukrainian law. The Ombudsman monitors government agencies, non-governmental organizations (NGOs), enterprises, institutions and organizations for their protection of human	Refugee	One of key Protection cluster partners	http://www1.ombudsman.gov.ua/en/

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
		rights in Ukraine, including the rights guaranteed by international human rights treaties and agreements signed by Ukraine.			
Government	State Border Guard Service	Border guard of Ukraine. It is an independent law enforcement agency of special assignment, the head of which is subordinated to the President of Ukraine. Responsible for running "Temporary Detention Centres", in which refugees are held.	Refugee	Partner in the UNHCR projects on refugees and asylum seekers	http://dpsu.gov.ua/en/
Government	Higher Administrative Court	Reviews court decisions of local administrative courts of appeal and cassation in the court of cassation.	Refugee	Partner in the UNHCR projects on refugees and asylum seekers	http://www.vasu.gov.ua/
Government	State Emergency Service	Main service in the executive power central services that implements state policies in the sphere of a civil defence, rescue, creation and functioning of the system of insurance fund documentation, utilization of radioactive wastes, protection of population and territory from any emergency situations, preventing such situations and reaction to them, liquidation of their results and the results of the Chernobyl catastrophe	IDPs	Cooperation in delivering relief items to IDPs in Ukraine. Signed MoU on November 10, 2014. UNHCR accordingly to its mandate will continue provision of humanitarian assistance for the most vulnerable categories of IDPs, while SES will provide to the extent possible warehouse space and logistical support for storage and delivery of humanitarian aid of UNHCR. The Memorandum foresees SES to provide to extent air freight and by surface vehicle transportation to destination points of	http://www.dsns.gov.ua/en/

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
				humanitarian aid goods – non-food items as well as canned foods too. One of key Shelter and NFIs cluster partners	
Government	Ministry of Regional Development, Construction, and Communal Living	Central Ministry responsible for the implementation of decentralization in Ukraine. The Ministry formulates state policy in the field of architectural and construction control and supervision control in housing and communal services in the field of information, e-governance, development and use of national electronic information resources, the development of the information society. Another focus is restoration of Donetsk and Lugansk regions (Donbass).	IDPs	One of key Shelter and NFIs cluster partners	http://www.minregion.gov.ua/
Government	Deputy Governor of Luhansk region	Responsible for humanitarian affairs	IDPs	Key partner of UNHCR Field Office in Sievierodonetsk	-
Government	Donetsk Regional State Administration	Relocated in Oct 2014 to Kramatorsk		Rehabilitation of collective centre in Donetsk	-
Government	Regional State Administration in Dnipropetrovsk region		IDPs	Rehabilitation of collective centre in Dnipro Signed Memorandum of cooperation on Oct 24, 2014. Small grants for IDPs programme, to launch a cash assistance programme to the most vulnerable internally	

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
				displaced persons (IDPs) hosted in Dnipropetrovsk region as well as to assist local administration to execute winterization of collective centres for IDPs	
Government	Regional State Administration in Zaphorizhzhia region		IDPs	Signed Memorandum of cooperation on Oct 25, 2014. Joint monitoring of IDPs' situation in Zaphorizhzhia region in order to meet their needs. Based on such monitoring UNHCR and Zaphorizhzhia Administration will draw a joint action plan to assist IDPs hosted in Zaphorizhzhia region. Special attention will be paid to the most vulnerable categories of displaced persons from the East of Ukraine and AR of Crimea.	
Government	City State Administration in Kyiv	The national-level branch of the Government of Ukraine that administers Kyiv, the capital of Ukraine.	IDPs	Assistance to IDPs in Kyiv city; collaboration within the UNHCR projects on refugees and asylum seekers	

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
Government	Kyiv Regional State Administration		IDPs	On September 17, 2014 UNHCR signed a Memorandum of cooperation	
Government	Regional State Administration in Kharkiv region		IDPs	Rehabilitation of collective centre in Kharkiv	
Government	Department of Social Protection in Kyiv and Kyiv region		IDPs	One-time cash assistance programme	
Government	Department of Social Protection in Lviv and Lviv region		IDPs	One-time cash assistance programme	
Government	Department of Social Protection in Zaphorizhzhia and Zaphorizhzhia region		IDPs	One-time cash assistance programme	
Government	Department of Social Protection in Dnipro and Dnipropetrovsk region		IDPs	One-time cash assistance programme	
Parliament	Committee on Human Rights, National Minorities and	One of the 28 committees of Verkhovna Rada of Ukraine. Composed of 10 MPs. Responsible for development of the law on IDPs. Started its work on this issue in 2014. The Law on the	IDPs	UNHCR with implementing partners participated into the development of the law	

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	Interethnic Relations of Verkhovna Rada	Rights and Freedoms of Internally Displaced Persons was adopted by the VR on October 20, 2014. The President of Ukraine vetoed it on November 25, 2015. An amended version of the bill was submitted to Parliament for renewed consideration. Parliament adopted the Law of Ukraine "On amendments to certain laws of Ukraine to strengthen the guarantees of the rights and freedoms of internally displaced persons" adopted by the VR on December 24, 2015. The President signed the revised version of the bill on January 6, 2016. It came into force a week later, on January 13, 2016.		on IDPs	
Implementing partners	Crimea SOS	Created by volunteers as a Facebook page on the first day of Russian occupation of the peninsula – February 27, 2014 – to provide timely and reliable information about the situation in Crimea. Afterwards transferred from the initiative that provides emergency assistance to IDPs to an expert organization that coordinates social movements and initiatives on IDPs.	IDPs (Protection)	Legal and social assistance to IDPs in Ukraine	http://krymsos.com/en/
Implementing partners	All-Ukrainian charitable foundation The Right To Protection (R2P)	Ukrainian not-for profit organization operating in close partnership with the global NGO HIAS, one of the world's oldest refugee aid organizations. Operates a network of 38 monitors in government controlled areas providing bi-weekly statistical and analytical updates on trends of the displaced populations and those at risk of displacement	IDPs (Protection), Refugee	Legal assistance to refugees, asylum seekers in Kyiv, Volyn and Chernigiv regions and IDPs monitoring. UNHCR Field Office in Mariupol, UNHCR Sub-Office in Dnipro	http://r2p.org.ua/en/
Implementing partners	ROKADA Charitable	Created in 2003. Implements projects of social assistance to refugees and asylum seekers in Ukraine, aimed at their integration into	Refugee	Social assistance to refugees and asylum seekers in Kyiv and Kyiv	http://rokada.org.ua/

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	Foundation	Ukrainian society. The activities include: social assistance and social support for refugees, refugee children, psychological support adults and children, support for health services, legal assistance in dealing with social issues and receiving administrative services, humanitarian aid (clothing, daily necessities, food), support for refugee communities, organization of cultural events, activities aimed at the integration (language courses, computer courses, employment, vocational training)		region	
Implementing partners	Foundation.101	NGO which aims at protecting the rights and freedoms of Ukrainians through social changes. It focuses on collecting and analyzing data, conducting research, developing analysis and recommendations, and communicating it to stakeholders to address the problems caused by the crisis in the East and South of Ukraine.	IDPs (Protection)	Human rights monitoring of entry-exit checkpoints in Eastern Ukraine	https://www.foundation101.org
Implementing partners	International Foundation of Health and Environment Protection "Region Karpat" (NEEKA)	Operates in the region of the Carpathian Mountains. Founded in the late 90's with the primary goal of protecting the surrounding environment and gradually broadened operations into a variety of social and humanitarian sectors. Became UNHCR's partner in 1998 and have projects in granting aid, juridical, medical, social.	Refugee	Legal and social assistance to refugees and asylum seekers in Zakapartya region	http://www.neeka.org/
Implementing partners	"10 April" NGO (Odesa)	Founded on 1 August 2012, and was named in honor of the birthday of the Dutch lawyer, politician, poet, playwright, one of the founders of international humanitarian law - Hugo Grotius de Groot. Provides advice on legal issues, preparing legal documents, representation in courts and other government	IDPs (Protection), Refugee	Legal assistance to refugees, asylum seekers and IDPs in Odesa	http://www.desyatekvitnya.com/

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		agencies. Main donors DRC, UNHCR and European Centre for Roma Protection.			
Implementing partners	Public Movement Faith, Hope, Love	Created by an initiative group of psychologists, lawyers, health workers and volunteers in 1996, registered in 1997. Focuses on provision of assistance and support to social marginalized populations, promoting their social rehabilitation, promotion of healthy lifestyles, the protection of the rights and freedoms of young people, the formation of her leadership qualities. The main key groups with whom the organization works are - IDU, CSW, people who are in prison, street children, refugees and asylum seekers in Ukraine (Syria, Afghanistan, Africa), IDPs from war zones in Ukraine	Refugee	Social assistance to refugees and asylum seekers in Odesa	http://www.vnl.com.ua/
Implementing partners	Ukrainian Crisis Media Centre (UCMC)	Launched in March 2014 by efforts of leading Ukrainian experts in the sphere of international relations, communications and public relations to provide the world community with accurate and un-to-date information on the events in Ukraine, as well as challenges and threats to the national security, namely in military, political, economic, energy and humanitarian spheres.	IDPs (Communication, Protection)	Building capacity of the Ministry TOT and IDPs in the area of communications	http://uacrisis.org/
Implementing partners	DopomogaDnipra	Provides the material and financial assistance to people affected by the conflict in eastern Ukraine and the Crimea, as well as the socialization and adaptation of people who came out of the conflict zone and have the intention to remain in the Dnipropetrovsk region.	IDPs (Communication)	Hotline, Complaints and Response Mechanism for UNHCR Cash programmes. UNHCR Sub-Office in Dnipro	www.dopomogadnipra.com.ua

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Implementing partners	Charitable Foundation 'World'	*No data was found except UNHCR fact sheets*	Refugee	Legal and social assistance to refugees and asylum seekers in Kharkiv	
Implementing partners	Donbass Development Centre (DDC)	Established as humanitarian organization in September 2015 in order to save peace in the region, as well as restoration and development of Donbass. It was accredited in DPR as an international humanitarian mission, being the only regional organization with the appropriate status.	IDPs (Protection)	Community mobilization and support to persons with special needs. One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk	http://ddc.world/
Implementing partners	Roma Women Fund Chiricli	Registered on 30th November 2004. The foundation has representatives in 15 regions of Ukraine. The main office in Kyiv with 7 full time staff. Main priorities of fund: education, health care and social issues; human rights. Main donors: EU, Council of Europe, Mediation for Roma, IOM, UNICEF, UNHCR.	IDPs (Protection)	Improving access of IDPs Roma minority communities to legal and protection assistance in Central and Western Ukraine	http://www.chirikli.com.ua/index.php/en/
Implementing partners	Kharkiv regional youth public organization 'Proliska'	Humanitarian Mission to Help Civilians In The Ukrainian War Zone	IDPs (Protection)	Community based protection and assistance in area along the line of contact	
Implementing partners	Slavic Heart	Launched in May 2014 as a response to military actions in Slavyansk. A network of volunteers providing humanitarian support across the Government and Non-Government-Controlled Areas of Ukraine.	IDPs (Protection)	Community based protection of IDPs in Northern parts of Donestk GCA. Key partner of UNHCR Kharkiv Field Office	https://www.insightonconflict.org/conflicts/ukraine/peacebuilding-organisations/slavic-heart/
Implementing partners	Centre for Social Development 'Most' (Bridge)	Registered in 2009. Initially the organization was created as HIV-service, with emphasis on provision of services on leaving and support to	IDPs (Protection)	Community based assistance to persons affected by conflict in	http://centre-bridge.com.ua/en/index.php/2012-03-

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		HIV-positive women, children, the children born from HIV-positive mothers in the small cities and areas of Donetsk region. After the start of the crisis, started to provide humanitarian assistance to socially unprotected segments of the population in a conflict zone. Main donors: All-Ukrainian Network of PLWH, PIN, HEALTHRIGHT INTERNATIONAL, UNHCR, UNICEF, UNFPA, International Medical Corps		Eastern Ukraine. One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk	19-12-20-13
Implementing partners	Youth Organization Maximal	Has 35 staff members. Works on support and development of the volunteer movement in cooperation with the Donetsk city volunteer centre, practical help in the reconstruction of the destroyed infrastructure, humanitarian aid, psychological and legal assistance, social projects, charity events	IDPs (Protection)	Strengthening civil society response through one stop centre and mobile outreach units. One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk	http://maximal.dn.ua/about/
Implementing partners	People in Need (PIN)	PIN worked in Ukraine since 2003. Its projects focused on supporting civil society initiatives, journalists and human rights defenders. After the start of the armed conflict in eastern Ukraine re-opened its operation since August 2014 and currently has a coordinating office in Kyiv and two field offices in Slovyansk and Stakhanov. Provide immediate humanitarian aid such as food, shelter and water. Help renovate ruined homes, provide materials and equipment for the winter. Since early November 2014 till 25th of November 2016, PIN works systematically in Donetsk and regions which are not under government control.	IDPs (Protection, Shelter)	Protection of and assistance to persons affected by conflict in Eastern Ukraine. One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk	https://www.clovekvtisni.cz/en/humanitary-aid/country/ukraine
Implementing	Norwegian Refugee Council	Received official registration in Ukraine and initiated its operations in December 2014. In	IDPs (Protection,	Protection and assistance to IDPs and conflict	https://www.nrc.no/countries/europ

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partners	(NRC)	April 2015, started Country Programme in Ukraine. Operate from our country office in Kyiv, with field offices in the Luhansk and Donetsk regions of eastern Ukraine. NRC focuses their project on winterization activities, both in governmental controlled areas, and areas controlled by armed groups.	Shelter)	affected populations in Eastern Ukraine. Key partner of UNHCR Kharkiv Field Office	e/ukraine/
Implementing partners	Adventist Development and Relief Agency (ADRA)	Operates in Ukraine since 1993. Since Euromaidan events and the start of the military conflict in Eastern Ukraine, ADRA takes care of about 400,000 needful people in 15 regions of Ukraine. In summary, during the years of 2014 and early 2015 ADRA Ukraine have completed projects totaling USD $2,144,523.	IDPs (Shelter)	Durable shelter assistance to vulnerable populations affected by conflict in Eastern Ukraine. UNHCR Kharkiv Field Office, UNHCR Field Office in Mariupol, UNHCR Sub-Office in Dnipro	https://adra.org.ua/en/
Implementing partners	Kharkiv Station	Established on 1 June 2014 by a group of volunteers who reacted to the calls coming into the Red Cross hotline requesting assistance. Works to promote the inclusive and non-discriminatory access of IDPs to aid in Ukraine. The organization has 3 offices in Kharkiv and 5 more in Kharkiv region.	IDPs (Protection)	Expand and improve access to information, paralegal assistance and psychological support in Kharkiv. Key partner of UNHCR Kharkiv Field Office	http://station.kharkov.ua/
Implementing partners	Danish Refugee Council (DRC)	DRC/DDG re-opened its operations in Ukraine in November 2014 to respond to the humanitarian needs in the country. DRC previously operated in Ukraine in 1998-2000 and 2007-2013, focusing on the resettling of Tartars returning to Crimea from Central Asia and on developing capacity of the asylum authorities and civil society working with child refugees. DRC's operations primarily address the needs of the	IDPs (Shelter)	Durable shelter assistance to vulnerable populations affected by conflict in Eastern Ukraine. Member of the Donor Coordination Group on provision of assistance to the Ministry of IDPs.	https://drc.ngo/where-we-work/europe-and-caucasus/ukraine

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		IDPs in the government-controlled areas. The DRC/DDG Ukraine teams consist of 18 international staff with sectoral and humanitarian expertise combined with highly skilled 121 national colleagues. DRC/DDG implements activities with its own funding, in addition to implementing activities funded by UNHCR, UNICEF, DfID, ECHO, USAID/OFDA. Key Areas of Operation: Protection, Humanitarian Mine Action, Shelter, NFI, Interagency coordination and advocacy.		DDG one of the key partners of UNHCR Field Office in Sievierodonetsk; DRC key partner of UNHCR Mariupol Field Office	
International Organizations	OHCHR	In March 2014, the Office of the United Nations High Commissioner for Human Right deployed in Ukraine a Human Rights Monitoring Mission to evaluate and report on the human rights situation and to provide support to the Government of Ukraine in the promotion and protection of human rights. The Mission covers human rights developments in the whole country, with human rights monitors based in Kyiv, Donetsk, Odesa, Kharkiv, and Lviv.	Protection cluster	Past Co-leader with UNHCR of the UN Protection Cluster	http://www.ohchr.org/EN/Countries/ENACARegion/Pages/UAReports.aspx
International Organizations	IOM	IOM's crisis response included immediate humanitarian non-food item and WASH assistance in both GCA and NGCA, shelter and cash assistance in GCA, while simultaneously promoting the progressive resolution of displacement situations for the conflict-affected population, particularly through offering income-generating opportunities and projects to strengthen public infrastructure and social cohesion in GCA. IOM-supported Donbass SOS hotline provides legal consultations and information on access to social services and	Protection and Shelter and NFI Cluster clusters	In 2014, UNHCR together with IOM launched the three-year, EU-funded Pilot Initiative to Monitor Readmission in Ukraine and Pakistan. Within the project, UNHCR focuses on the post-return situation of third-country nationals readmitted to Ukraine from the EU and who are in need of	https://www.iom.int/countries/ukraine

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		assistance to the conflict-affected population, and the National Migrant Advice and Counter-Trafficking Hotline 527 provides crucial information to IDPs and other vulnerable persons on safe migration and raises awareness on fraudulent migration schemes. Main donors: USAID, US INL, NORAD, Global Affairs Canada, EU		international protection. One of the key Protection and Shelter and NFI Clusters	
International Organizations	UNOCHA	Established a presence in Ukraine in 2014. By September 2015, OCHA has staff in Kyiv and in field offices in Donetsk, Kramatorsk, Kyiv, Luhansk, Mariupol and Sievierodonetsk.	Protection and Shelter and NFI clusters	One of the key partners of UNHCR Field Office in Sievierodonetsk	
International Organizations	UNICEF	The lead in the WASH and Education clusters, but also focuses on health, protection and psychosocial support	Protection cluster	One of the key Protection Cluster partners. One of the key partners of UNHCR Field Office in Sievierodonetsk	
International Organizations	UNFPA	Implemented Humanitarian Response projects since Jan 2015, which aimed at ensuring the humanitarian needs of the most vulnerable women and adolescent girls in armed conflict in eastern Ukraine by strengthening inter-agency coordination system, prevention and protection, and improving access of survivors of gender-based violence, in the legal, medical, social and psychological assistance. In Dec 2016, UNFPA, with the financial support of the Bureau of Population, Refugees, and Migration (BPRM), USA Department of State and the Department for International Development opened the first shelter for GBV victims in Kharkiv region	Protection cluster	One of the key Protection Cluster partners. One of the key partners of UNHCR Field Office in Sievierodonetsk	http://www.unfpa.org.ua/files/articles/5/70/Project%20Brief%20-%20UKR&ENG.pdf

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International Organizations	UNDP	UNDP Recovery and Peacebuilding Programme employs a holistic approach responding to the needs of the people in need and strengthening social cohesion and mutual understanding, at the same time preventing excessive social pressure on the host communities. UNDP is helping to restore critically important social and economic infrastructure and effective work of local governments in eastern Ukraine; to create jobs and spur entrepreneurship among IDPs and host communities; and to promote peace and reconciliation.	Shelter and NFI Cluster	One of key Shelter and NFI Cluster partners. One of the key partners of UNHCR Field Office in Seivierodonetsk	http://www.ua.undp.org/content/ukraine/en/home/ourwork/overview.html
International Organizations	OSCE	OSCE Special Monitoring Mission to Ukraine composed of international staff from OSCE participating States and unarmed, civilian monitors; they are supported in their work by local staff from Ukraine. Teams of monitors work on a shift basis to ensure ground presence 24 hours a day, seven days a week. The Mission's Head Office is in Kyiv; monitors have been deployed to Kherson, Odessa, Lviv, Ivano-Frankivsk, Kharkiv, Donetsk, Dnepropetrovsk, Chernivtsi, and Luhansk.	Protection cluster	One of the key Protection Cluster partners. One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk and UNHCR Field Office in Sievierodonetsk	http://www.osce.org/ukraine-smm
International Organizations	ICRC	International Committee of the Red Cross (ICRC) is the 2nd humanitarian actor (the other one is PiN), which has access and is operational in non-governmental controlled areas in both Donetsk and Luhansk. ICRC has taken on a large scale assistance programme covering shelter repairs, NFI and food distributions, cash support/cash for work and are initiating small scale livelihood interventions	Protection and Shelter clusters	One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk and UNHCR Field Office in Sievierodonetsk	https://www.icrc.org/en/where-we-work/europe-central-asia/ukraine

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INGO partners	HelpAge International	Provide older people affected by the ongoing conflict with essential items, such as blankets, as well as psychosocial support	IDPs (Protection)	One of the key Protection Cluster partners. One of the key partners of UNHCR Field Office in Sievierodonetsk	http://www.helpage.org/what-we-do/emergencies/humanitarian-response/ukraine-crisis/
INGO partners	World Jewish Relief	Support to Jewish refugees in Zaphorizhzhia region	Refugee	One of key Shelter and NFI Cluster partners	
INGO partners	Mercy Corps	Distributing emergency supplies, improving access to adequate shelter, protecting the elderly and providing livelihoods assistance to IDPs	IDPs (Protection)	One of key Shelter and NFI Cluster partners. One of the key partners of UNHCR Field Office in Sievierodonetsk	https://www.mercycorps.org/countries/ukraine
INGO partners	La Strada	Established in 1997, focusing on three main issues: domestic violence, human trafficking and gender discrimination. It started the first hotline against the trafficking of women and children in Ukraine, followed by the second. Due to the conflict in Eastern Ukraine, the NGO has started working with IDP's. 80% of all IDP calls are from women who were forced to flee from Donbass.	IDPs (Protection)	Member of Protection Cluster	http://www.la-strada.org.ua/
INGO partners	RinatAkhmetov Humanitarian Centre	Established on August 6, 2014. Works to provide maximum assistance to all civilians of Donetsk and Luhansk regions affected by military actions	IDPs (Protection)	Member of Protection Cluster	http://www.fdu.org.ua/en
NGO partners	All-Ukrainian Charity Foundation "Gorenie"	Founded in Pavlograd in 2005 (Dnipropetrovsk oblast). The focus was on anti-corruption activities, protecting the rights of minorities, creating tolerant environments for socially vulnerable people and campaigning against	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	http://fgorenie.org/en/

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		human trafficking and domestic violence. Since 2010 Gorenie has been providing a full cycle of legal aid to vulnerable groups including initial consultation to defending the cases in court. The organization works in 3 areas: (1) resource centre for IDPs, (2) free online legal aid and (3) advocacy. In July 2014 Gorenie received the status of All-Ukrainian charitable foundation and has been focusing on helping IDPs defend their rights. In January 2016 in the framework of the project Ukraine Confidence Building Initiative (UCBI), funded by The United States Agency for International Development, ACF Gorenie opened Virtual Consulting Centre for IDPs. Its task is to provide free legal aid via Skype, Viber, Facebook and telephone hotline. Now the project is developing with the support of Deutsche Gesellschaft für InternationaleZusammenarbeit (GIZ) GmbH.			
NGO partners	Crimean diaspora	Established by a group of IDPs from Crimea in spring 2014. Works to support Crimean people and IDPs to help them achieve economic integration in a new community, and thus, ensure the peaceful and sustainable development of Ukraine	IDPs (Protection)	One of Key Protection Cluster partners	http://crimea-diaspora.org/
NGO partners	Donbass SOS	Established by activists from Eastern Ukraine on March 2014 in response to clashes in Donetsk. Works to encourage peaceful dialogue between the state and people affected by war in Eastern Ukraine	IDPs (Protection)	Member of Protection Cluster	http://donbasssos.org/main_en/
NGO partners	Vostok SOS	A civil initiative which focuses on providing aid to people who have been exposed to violence in Ukraine, including political violence. It was	IDPs (Protection)	One of Key Protection and Shelter and NFIs	http://vostok-sos.org/

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		established in 2014 as a result of the merging of human rights centre 'Step' and human rights centre 'Action'. 'Step' previously worked in Luhansk, whilst 'Action' was a Crimean centre whose members were forced to flee from Crimea after its annexation.		Clusters partners	
NGO partners	SOS Kramatorsk	Volunteer initiative for provision of support to IDPs from the ATO zone.	IDPs (Protection), Shelter	Key partner of UNHCR Kharkiv Field Office	http://www.sos-kramatorsk.org.ua/
NGO partners	Donbass Reconstruction and Development Agency	Provide advice, support and practical resources to help Donbass' community resolve its difficulties in development and reconstruction including the war-affected areas	IDPs (Protection)	One of Key Shelter and NFIs Cluster partners	http://www.ard.org.ua/en/
NGO partners	NGO Country of Free People	Formed on April 4, 2014 from the activists of Donbass. Focus on helping IDPs, citizens who are in the area of ATO and to facilitate minimizing the consequences of a military conflict, by improving the national-cultural, socio-economic situation in Ukraine, including the Donbass, city Kramatorsk, Lviv.	IDPs (Protection)	Partner of UNHCR Field Office in Sievierodonetsk	http://kvl.org.ua/
NGO partners	Zaphorizhzhia charitable fund "Unity for the future"	Established in 2004. Implements projects focused on supporting families with children in crisis situations and implementing local initiatives, the development of local self-governance, and gender equality projects. Supported by international donors including International Renaissance Foundation, East Europe foundation, Save the Children and others	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	http://ednistfond.blogspot.com/
NGO partners	Zaphorizhzhia City Help Centre	One of the first NGO in the city of Zaphorizhzhia, from June 2014 on a permanent	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	http://aidcentre.org.ua/en/

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		basis has started to provide assistance to IDPs who live in Zaphorizhzhia and Zaphorizhzhia region, as well as residents of Donetsk and Lugansk regions.			
NGO partners	Save Ukraine	Joint initiative of Christian churches, community organizations and volunteers which works to help people who are in difficult circumstances	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	_
NGO partners	Step with Hope	*No data was found except UNHCR fact sheets*	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	_
INGO partners	Caritas Ukraine	Consists of almost 20 organizations in eight regions of Ukraine. Nearly 1000 employees and volunteers are involved in our projects. In recent years the annual budget of Caritas Ukraine has amounted to € 1 million. 94-97% of this money comes from foreign donors. Provide material and social aid, psychological support; counselling about and protection of their rights; assisting in reintegration processes	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	http://www.caritas ua.org/index.php/e n/
NGO partners	Dnipropetrovsk Psychological Crisis Service	Structural unit of the All-Ukrainian public organization "Association of experts to overcome the effects of traumatic events" which was organized March 23, 2014 and since then is operating in emergency psychological assistance to the population of Dnepropetrovsk region. Has 130 volunteers.	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	http://psyservice.o rg/
NGO partners	Glorious Sich	*No data was found except UNHCR fact sheets*	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	_
NGO partners	NGO 'Our People'	*No data was found except UNHCR fact sheets*	IDPs (Protection)	One of the key partners of UNHCR Field Office in Sievierodonetsk	_

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NGO partners	Eastern Human Rights Group	Established in July 2014 during the ATO in the Donbass (city Debaltsevo, Uglegorsk, Svetlodarsk). The main priority of the organization is to protect human rights in the east of Ukraine during the armed conflict	IDPs (Protection)	One of the key partners of UNHCR Field Office in Severodonetsk	http://www.vpg.net.ua/
NGO partners	Ukrainian Red Cross	Provide IDPs from the Crimea, Donetsk and Lugansk regions, hospitals, and hospitals, as well as citizens who live in the eastern areas, financial assistance, food assistance, detergents, blankets, bedding, clothing, footwear, medicines and so on.	IDPs (Protection)	One of the key partners of UNHCR Sub-Office in Dnipropetrovsk and UNHCR Field Office in Severodonetsk	http://redcross.org.ua/
NGO partners	Kharkiv Human Rights Protection Group (KHRPG)	Registered as a legal entity since November 1992, although it had existed as the human rights protection wing of the Kharkiv office of 'Memorial' from 1988. Active in three main areas: providing assistance to individuals whose rights have been infringed, and carrying out investigations into cases of human rights violation; developing human rights education and promoting legal awareness through public actions and publications; providing analysis of the human rights situation in Ukraine (particular with regard to political rights and civil liberties.)	IDPs (Protection)	One of the key partners of UNHCR Field Office in Kharkiv	http://khpg.org/en/index.php?r=2.1.1
NGO partners	Charitable Foundation 'Otava'	*No data was found except UNHCR fact sheets*	IDPs (Protection)	Partner of UNHCR Sub-office in Dnipro	
Donors	US Government	US was the 3rd largest to the HRP in 2015 and 1st largest in 2016. USAID/OFDA provides lifesaving humanitarian assistance to internally displaced persons (IDPs) and conflict affected vulnerable populations throughout eastern Ukraine and Kyiv Oblast. USAID/OTI addresses	IDPs	Member of the Protection Cluster. Member of the Donor Coordination Group on provision of assistance to the Ministry of IDPs	https://www.usaid.gov/ukraine/humanitarian-and-transition-assistance

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		the potentially destabilizing effects of the crisis in the East of Ukraine by helping local government and civil society to accommodate and integrate IDPs and by providing accurate public information via local media sources. Has currently five major humanitarian assistance projects: Ukraine Confidence Building Initiative (UCBI), Chemonics International Inc. (July 11, 2014 – July 10, 2017); Training, Economic Empowerment, Assistive Technology and Medical/Physical Rehabilitation (TEAM), UCP Wheels for Humanity (October 1, 2015 – September 30, 2017); Improving Psychosocial Support and Mental Health in Ukraine (IPSMHU), John Hopkins University (September 30, 2015 – September 30, 2018); Yedyna Hromada (United Community) Programme in Ukraine, IREX (September 9, 2016 - September 18, 2018) and Improving Mental Health and Psychosocial Support for Conflict-Affected Populations in Eastern Ukraine, International Medical Corps (September 1, 2015 – August 31, 2017)			
	EU	EU and its Member States have jointly contributed over € 279 million in humanitarian and early recovery aid to the most vulnerable since the beginning of the crisis (data up to Aug 2016). EU was the largest humanitarian donor to HRP in 2014.		One of the UNHCR donors	
Donors	European Commission's Humanitarian Aid and Civil	Present in Ukraine since February 2014 and plays a key role in facilitating coordination and information sharing with various stakeholders, other including donors, authorities and	IDPs and refugees	Member of the Donor Coordination Group on provision of assistance to the Ministry of IDPs.	

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	Protection department (ECHO)	partners. In addition to financial aid, material assistance has been mobilized through the EU Civil Protection Mechanism. Also assisted Ukrainian refugees in Belarus and Russia through the national Red Cross Societies in the respective countries. To date (up to Aug 2016) provided over €66.1 million of emergency assistance, half of which benefits vulnerable people in the non-government controlled areas. This relief aid targets the most vulnerable populations, including female-headed households, the elderly, children and persons with disabilities. Projects implemented in 2015 from the Commission's own funding have directly helped over 800,000 affected Ukrainians. For 2016 the European Commission has allocated a further €22.8 million for humanitarian aid.			
Donors	Canada	Canada was the 5th largest to the HRP in 2015. Canada's support focuses on initiatives that address both immediate humanitarian and longer-term recovery needs, such as support for agricultural recovery. In addition, Canada is supporting stakeholders in Ukraine to improve communications about activities and services available to displaced and conflict-affected persons and their host communities.	IDPs	Provided grant to the UNHCR in the amount of 400,000 USD for Oct-Dec 2014. Emergency assistance (Material relief assistance and services: 80% and Relief co-ordination; protection and support services: 20%)	http://www.acdi-cida.gc.ca/cidaweb/cpo.nsf/fWebCSAZEn?ReadForm&idx=00&CC=UA
Donors	UK	UK was the 4th largest to the HRP in 2015. On 23 February 2015, the UK announced £15m humanitarian support to Ukraine for the financial year 2015/2016	Protection and Shelter clusters	One of the donors of UNHCR (legal assistance and shelter support)	

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
International Organizations	GiZ	Launched several projects with funding from German Federal Ministry for Economic Cooperation and Development (BMZ) on Capacity building of emergency service in Ukraine (2015-2018), Strengthening Ukrainian communities hosting IDPs (2015-2019), Strengthening social infrastructure for hosting IDPs (2016-2019), and Helping. Activating. Integrating: Support to IDP settlements (2015)	IDPs (Protection)		https://www.giz.de/en/worldwide/302.html
Donors	Sweden	Sweden was the 8th largest humanitarian donor in Ukraine and the 9th largest to the HRP in 2015	IDPs (Protection)	One of three SIDA strategic humanitarian partners (others are ICRC, and OCHA)	
Donors	Germany	Germany was the 4th largest humanitarian donor to HRP in 2014, 1st largest to the HRP in 2015 and 2nd largest in 2016	IDPs (Protection)	One of the UNHCR donors	
Donors	Japan	Japan was the 10th largest to the HRP in 2015 and 4th largest in 2016. Support to the IDPs and socio-economic recovery of conflict-affected areas is one of the top priorities of the United Nations in Ukraine (UNDP, UNICEF, UNOPS, UNHCR, WFP, OCHA, IOM, ICRC, and IFRC). In 2015 donated 14 mln USD, in 2016 -13.64 mln USD.	IDPs (Protection)	One of the UNHCR donors	http://www.ua.emb-japan.go.jp/itprtop_en/00_000338.html
Donors	Norway	Norway was the 6th largest to the HRP in 2015.	IDPs	One of the UNHCR donors	
NGO partners	Association of Young People with Disabilities	*No data was found except UNHCR fact sheets*	IDPs (Protection)	One of the key partners of UNHCR Field Office in Severodonetsk	

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
International Organizations	Action Against Hunger (ACF)	Emergency response to support both displaced families and host communities in the Mariupol-Kramatorsk-Kharkiv area	IDPs	Partner of UNHCR Field Office in Severodonetsk	
INGO partners	Hungarian Interchurch Aid in Ukraine	Facilitated by its local office in Beregovo – provided humanitarian assistance to the St. Michael's Monastery in Kyiv. The first shipment contained medicines and medical kits to the monastery that is operating as a temporary hospital. HIA-Hungary's Ukrainian office is buying further hospital equipment from the support of the Hungarian Ministry of Foreign Affairs.	IDPs	One of key Shelter and NFI Cluster partners	https://www.actionagainsthunger.org.uk/useful-links/press-room/press-releases/ukraine-crisis
INGO partners	Première Urgence Internationale	Has a presence in Ukraine since March 2015. Aims to restore and improve health services for the most vulnerable in Eastern Ukraine by developing existing health centres as well as providing new equipment and basic medical provisions, and food security, WASH requirements, education and the renovation of infrastructure	IDPs	One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk	https://www.premiere-urgence.org/en/mission/ukraine/
INGO partners	Save the Children International	Launched a direct emergency response in Ukraine in 2014. Areas of work Shelter, cash grants and livelihoods, providing essential support for vulnerable children and their families, protecting children and helping them recover	IDPs	One of key partners of the UNHCR in Global Hub/Service Centre in Donetsk and UNHCR Field Office in Severodonetsk	https://www.savethechildren.net/our-humanitarian-programme-ukraine
NGO partners	Employment centre for Free People	Provides help to those who lost their jobs due to participation in protest meetings, as well as IDPs from Donbass and Crimea. It has a network of partners and representatives in many cities in Eastern Ukraine.	IDPs	Partner of UNHCR Sub-office in Dnipro	http://czvl.org.ua/

STAKEHOLDER GROUP	NAME OF ENTITY	SHORT DESCRIPTION	TARGET POPULATION	AREAS OF COLLABORATION WITH UNHCR	PARTNER WEBSITE
NGO partners	Women's Hundred and Zaphorizhzhia City Aid Centre	*No data was found except UNHCR fact sheets*	IDPs	Partner of UNHCR Sub-office in Dnipro	
NGO partners	Ukrainian Protection	*No data was found except UNHCR fact sheets*	IDPs	Partner of UNHCR Sub-office in Dnipro	
NGO partners	Smile of a child	*No data was found except UNHCR fact sheets*	IDPs	Partner of UNHCR Sub-office in Dnipro	
NGO partners	Power of the Future	*No data was found except UNHCR fact sheets*	IDPs	Partner of UNHCR Sub-office in Dnipro	
NGO partners	Legal Aid Centre	*No data was found except UNHCR fact sheets*	IDPs	Partner of UNHCR Sub-office in Dnipro	

Appendix VII Timetables of regulatory Changes

Tables on UNHCR work on legislation

IDP Legislation

2014		2015		2016	
Apr-04	COM Resolution No 298-r on approving the plan of additional measures on the temporary accommodation of the Ukrainian citizens displaced from AR Crimea and the city of Sevastopol to other regions of Ukraine	Jan-06	President of Ukraine signed the amended IDP law, including revisions to the IDP definition	Jan-13	Entering into force the amendments to the Law "On the rights and freedoms of IDPs" which strengthen IDPs protection
Apr-15	Law of Ukraine "On guaranteeing the rights and freedoms of citizens and on the legal regime on the temporarily occupied territory of Ukraine'	Feb-07	Law on establishing additional guarantees to protect the housing and property rights of citizens who live in areas of ATO conduct, and citizens who temporarily relocated to other settlements of Ukraine from such areas came into force	Feb-21	Law on amendments to enhancement of social protection of children & assistance to families with children came into effect and amended the IDP Law by allowing an IDP minor aged 14-17 to apply for registration independently
Jun-11	COM Resolution No 588-r on Social Security Services for citizens of Ukraine displaced from temporary occupied territory and ATO	Mar-11	CoM Resolution No 95 increased the amount for disabled people of category 3 to UAH 1,074 (approx. USD 49)	Feb-24	Law on amendments to the Civil Procedural Code came into effect which simplified court procedure for recognition of facts of births and deaths at occupied Crimea and NGCAs
Jun-19	Law "On the legal status of persons who were forced to leave their place of residence as a result of the occupation of AR Crimea & of the conditions connected with the conduct of the ATO on the territory of Ukraine"	Mar-31	CoM Resolution No 212 extended for 6 months monthly targeted assistance	Apr-04	Law on amendments to certain legislative acts of Ukraine regarding the empowerment of LSGs and optimization of administrative services, according to which powers in the field of residence registration and its de/registration of individuals were delegated to LSGBs

	2014		**2015**		**2016**
Jun-25	CoM Resolution No 213 on temporary accommodation of families displaced from AR Crimea and the city of Sevastopol	May-14	Law "On amendments to state support to combatants and their children, children with one parent who died in the area of conduction of the anti-terrorist operation, hostilities or armed conflicts or during mass protests, children registered as IDPs for obtaining vocational and higher education"	Apr-07	Law on amendments to the law on rights and freedoms of citizens and legal regime in TOT of UKR came into effect and introduced distant education for Crimea residents
Aug-12	Law "On creation of the Crimea free economic zone and on peculiarities of creation of economic activities on temporary occupied territory of Ukraine'	Jun-04	CoM Resolution No 356 "On approval of procedure on ensuring functionality of foster families, foster houses of a family type who moved from temporary occupied territory or regions of conduction of the "ATO"	Apr-20	Establishment of MTOT-IDP
Sept-2	Law 'On temporary measures for the period of conduct of the 'Anti-terrorist Operation' establishes a moratorium on penalty charges for debt on credit obligations as well as for debts on utilities and a moratorium on immovable property located on territory of conduct of the 'Anti-terrorist Operation', either owned or in a mortgage for IDPs for the period of conduct of the 'Anti-terrorist Operation'	Jul-08	CoM Resolution No 505 "On approval of the main ways of solution of employment issues of IDPs for 2015-2016"	Jun-06	CoM Resolution No 376 on approval of the Regulations on the MTOT-IDP
Oct-01	CoM Resolution No 509 on IDP registration	Jul-08	CoM Resolution No 473 "On amendments to procedure of registration, re-registration of unemployed and keeping records of people who are looking for job"	Jun-08	CoM Resolution No 352 (amendments to the Resolution No 509) prevented IDPs double registration with MoSP and SMS (under separate stamped certificates - suggested by MoSP)
Oct-01	CoM Resolution No 505 on monthly financial assistance to IDPs. It envisaged the state monthly targeted	Aug-25	National Human Rights Strategy adopted by the President of Ukraine (decree 501)	Jun-08	CoM Resolution No 365 on verification of all registered IDPs who applied for & received targeted assistance from the

	2014		2015		2016
	assistance for registered IDPs to cover accommodation costs and utilities up to UAH 884 (approx. USD 40) for unemployable people and UAH 442 (approx. USD 20) for able-bodied people, but not more than UAH 2,400 (USD 109) per family				state (amendments to the Resolution No 637)
Oct-01	CoM Resolution No 535 on one time financial assistance to IDPs	Sep-02	Law on temporary measures for the period of conduction of the 'ATO'	Jun-20	Law on amendments to the Laws "On temporary measures for the period of the anti-terrorist operation", "On Higher Education" and "On General Secondary Education" came into effect and introduced state certification of secondary education obtained at NGCA
Oct-20	First Law "On the rights and freedoms of IDPs" passed by the VR	Nov-11	CoM Resolution No 1156-p "On provision of assistance to the population that lives in the districts of conduction of antiterrorist operation in Donetsk and Luhansk regions"	Jul-5	VR approved allocation of a budget of UAH 10.2 million (USD 400,000) to the newly created MTOT-IDP, transferred from the two antecedent bodies
Nov-03	Draft law No 2166 "on amending some laws regarding strengthening guarantees of ensuring rights and freedoms of IDPs" voted by the VR	Nov-23	CoM adopted Action Plan on Implementation of the National Strategy in the Area of Human Rights	Sep-22	CoM Resolution no. 646 "On approval of establishment, maintenance and access to the consolidated information database of IDPs'. It introduces procedures on the establishment, maintenance and access to a consolidated database of IDPs for the use of central authorities, Departments of Social Protection, IDPs or their legal representatives, NGOs and charitable organizations assisting IDPs. Implementation of the resolution will facilitate IDP registration procedures and identification of their needs and their intentions. The database will be administered by the MoSP

2014		2015		2016	
Nov-05	CoM Resolution No 637 on social payments and pensions to IDPs	Dec-09	CoM Resolution No 1014 on simplification of IDP Unaccompanied Minors access to assistance	October	Establishment of the WG on improvement of IDP legislation by the MTOT-IDP
Nov-07	CoM Resolution No 595 on suspension of the payments of pensions and social payments in NGCA until full control of these territories is re-established	Dec-16	CoM Resolution No 1094 on adoption of a comprehensive IDP Adaptation and Integration Programme for 2016-2017	Dec-14	CoM Resolution No 964 on simplifying procedures for accounting IDPs/takes into account the needs of persons with disabilities (of the 1st group) and individuals who are incapable and are in need of constant assistance, in terms of free delivery of pensions to their actual place of residence
Nov-25	President of Ukraine vetoed the first 'IDP law' and returned it for further redrafting	Dec-24	Amendment of the Law 'On strengthening guarantees of rights and liberties of IDPs' which extended the IDP definition to foreigners and stateless persons	Dec-21	Amendments to the law on free legal aid adopted by VR. Access to free secondary legal aid was extended to all registered IDPs for any type of cases. Additionally, access to free secondary legal aid was ensured for those individuals who face difficulties obtaining an IDP certificate and turn to court for the protection of their right to a certificate. The amendments were made within draft law no. 5180, entering into force on 5 January 2017.
Dec-24	Adoption of the amendments to the first 'IDP law' by the VR	Dec-25	Law on State Budget 2016 suspended the Law on establishing additional guarantees to protect the housing and property rights of citizens who live in areas of ATO	Dec-28	CoM Resolution No 1028 amending Article 1 of Cabinet of Ministers Resolution No 637 on provision of social payments to IDPs. It specifies that physical verification of IDP pensioners who do not possess an electronic pension card (issued by Oshchadbank) must undergo physical verification at Oshchadbank branch offices every three months. If an IDP pensioner fails to come personally to the respective branch office, payment of their entitlements will be suspended and their

2014	2015	2016
		information will be passed to the respective Social Protection division, the local Pension Fund division, and the Ministry of Finance

Asylum seekers legislation

PRIOR		2014		2015		2016	
08-Jul-11	Law On refugees and persons in need of complementary, temporary protection	Apr-17	Law On restoration of the rights of persons deported on ethnic grounds, which creates a legal basis for regulation and implementation of the state policy in the field of return, resettlement and restoration of the rights of persons deported on ethnic grounds, and their families, facilitate the process of their adaptation and integration into Ukrainian society	Mar-30	MoI enacted new *Instruction on procedures of keeping detainees in divisions (subdivisions) of border guard service by Order No 352*	March	**Law 992-VIII on amendments to the Refugee Law came into effect, which provided SMS with a competence to make corrections in the documents relating to RSD in case of inaccuracies in the applicants' data.** The term for issuing refugee/complimentary protection IDs was increased from 7 to 15 working days in order to harmonize the Law provisions with norms of the *Law of Ukraine On the Single State Register of Demographic and Documents That Prove Citizenship of Ukraine, Identity or Special Status of a Person*
07-Sep-11	MoI order No 649 On Approval of the Rules for Application Review and Documents Preparation Required for Decision-Making	May-24	Law On the rights and freedoms of citizens in the temporarily occupied territory of Ukraine, which determines such territory, settles legal relations concerning its legal regime, security of ownership of immovable property, restrictions on economic activity there.	May	MoI adopted amendments to the Asylum Rules No 649 (incl. extension of the validity of asylum certificate from one to 6 months' initial validity, with	June	Came into effect amendments to the legislation which introduced periodic court review of immigration detention, including through the introduction of alternatives to detention

	PRIOR	2014		2015		2016	
	on Recognition as Refugee or Person Who Needs Complementary Protection, or for Decision-Making on Loss and Deprivation of the Refugee Status and Complementary Protection, and on Revocation of the Decision on Recognition as Refugee or Person Who Needs Complementary Protection		Following UNHCR lobbying provision on collaboration with occupants was cancelled in the law. The owners of the RF passports in Crimea are not facing sanctions in Ukraine for such naturalization.		further extensions for three months during the court consideration at the stage of appeal, possibility of the audio recording of the interview and distance interpretation)		
		May	Three laws were amended and the CoM Resolution No 667 was replaced by the Resolution No 121. Asylum seekers became eligible for free emergency medical aid; became entitled to register their address at the homeless centre and not to pay fines for violation of registration regime (caused by unwillingness of their landlords to pay taxes); became eligible to obtain and extend working permit for free of charge; while definitions of the complementary protection (the widespread violence in situations of international or internal armed conflict or systematic violations of human rights criteria were added) and temporary protection (to cover not only persons from the neighboring UKR countries) were put in line with the EU standards.	Nov	CoM through its Order No 849-r approved the draft of the Implementing Protocol (IP) between GoU and GoPOL on implementation of the EURA with Ukraine on readmission	Jul	Amendments to the Law of Ukraine on a Single State Demographic Register, which introduced from 2018: bio-metric TD for CPB as per ICAO standards and increased number of CTD and CP Travel document from 16 to 32 pages as well as increased validity of Permanent Residence Permits to 10 years (also relevant for STA persons).
22-Aug-12	CoM Order No 605-r on Approval of the Action Plan on integration of refugees and persons in need of complementary protection into the Ukrainian society for the period until 2020					Aug	CoM adopted via Order No 626-r the Action Plan on the Implementation of the Integrated Border Management Strategy, which envisages: (1) conclusion of readmission agreements (RA) with BLR, MDA and Implementing Protocols to the EURA with POL, HUN, ROM, SVK during 2016-2018; (2) conclusion of RA with COO of irregular migrants and transit countries during 2016-2020; (3)

PRIOR		2014		2015		2016	
							strengthening cooperation with IOs, including UNHCR, in the integrated border management
		May	Amendments of the Refugee law, which expands the definition of complementary protection to include the equivalent of Art. 15(1)(c) of the Qualification Directive			Sep-30	Instruction on actions of SBGS's for hand-over of asylum applications to SMS approved by MoI Oder No 772
						November	CoM through its Order No 849-r approved the draft of the Implementing Protocol between GoU and GoPOL on implementation of the EURA with Ukraine on readmission
							CoM Resolution No 832 (amendments of the procedures for activities of guardianship bodies related to protection of UASC)
							Parliament HR Committee considered an MP's draft law No 4290 on amendments to certain legislative acts on primary housing for IDPs which suggested using 420 places in the Centres for TA of Refugees to accommodate IDPs. Following the UNHCR lobbying, the HR Committee suggested to Parliament to reject the draft law

Stateless persons' legislation

	PRIOR		2015		2016
07-Aug-95	CoM Resolution No 610 On approval of the identity card of stateless persons to travel abroad	Aug-25	National Human Rights Strategy until 2020 adopted by the GoU	Jan-13	Entering into force the amendments to the Law No. 921-VIII "On the rights and freedoms of IDPs", which included STA persons who are entitled to permanent residence in Ukraine in the scope of IDP definition
18-Jan-01	Law on Citizenship of Ukraine	Nov-23	GoU approved *the Plan of Actions* to operationalize *the Human Rights Strategy,* with one chapter addressing regularization of stateless persons in Ukraine	Feb-24	Law No 990-VIII came into force, which amended the Civil Procedural Code allowing immediate processing by any court at GCA of a claim submitted by a child relatives or representatives and immediate implementation by Civil Registration Office of the court decision on establishment of fact of birth of a child born in NGCA. The above amendments reduced the term of consideration of such cases from three months to a few days (or reviewed on the day of their submission to the court). <u>However</u>, the judicial procedure requires payment of a court fee of UAH 275, 60 (around USD 10) which, for poor families, the court may revoke under certain conditions
07-Jun-01	Law on Immigration	Dec-16	CoM through its Order No 1323 for the 4th time (from 2011) postponed conduct of the second All-Ukrainian population census from 2016 to 2020	Jul	Amendments to *the Law of Ukraine on a Single State Demographic Register adopted by VR,* which *i.a.* from 2018 increased validity of Permanent Residence Permits from 1 to 10 years (also relevant for STA persons)
22-Sep-11	Law on Legal Status of Foreigners and Stateless Persons	Dec-23	CoM through its Order No 1428-r approved a Concept of creation of a national system of identification of citizens of Ukraine, foreigners and stateless persons	Nov-10	SMS draft Law No 5385 on amendments to the Law on Legal Status of Foreigners and Stateless Persons which stipulates introduction of Stateless Determination Procedure has been registered at the VR. The draft purpose is to create SDP for irregular STA in UKR and allow them - legally stay in Ukraine during SDP; to get a temporary residence permit; upon residence on the territory of Ukraine in that status for more than 3 years – to get a permanent residence permit; thus, be eligible to apply for naturalization after 8 years from the moment of

PRIOR		2015		2016	
					recognition as STA
25-Mar-13	Accession of Ukraine to the 1954 Convention relating to the Status of Stateless Persons and the 1961 Convention on the Reduction of Statelessness	Dec-24	Law No. 921-VIII on introduction of amendments to the IDP law included foreigners and stateless persons who are entitled to permanent residence in Ukraine in the scope of IDP definition	Dec	MoJ order No 3447/5 came into effect which introduces changes to the procedure of registration of facts of birth/death by clearly distinguishing between passport documents of citizens of Ukraine, foreigners and STA individuals
08-Apr-13	Adoption of the Strategy on Protection and Integration of Roma Minority into Ukrainian Society up to 2020 by Decree of the President of Ukraine No 201 and accompanying Action Plan to guide the implementation				

Appendix VIII Schedule of Evaluation Team Meetings

	TEAM 1	TEAM 2
20 February, Monday		
	8:30 Intro meeting with UNHCR Deputy Representative Noel Calhoun (programme overview) *UNHCR Conference room*	
Meeting 1	10:00 UNHCR Representative in Ukraine, Mr. Pablo Mateu *UNHCR Conference room*	
Meeting 2	12:30 German embassy *25 Bohdana Khmelnytskogo Str.* Ms. Daniela Bergelt, Economic Cooperation and Development Officer Ambassador is not available	11:00 UNHCR Senior Advisor on Operational Solutions and Transition to Recovery, former Deputy Representative, Mr. Vanno Noupech *UNHCR Small meeting room*
Meeting 3	14:30 OSCE SMM H.E. Mr. Ertugrul Apakan *26 Turgenivska Str.* Assistant Valentyna Pyrozhko: +38067 408 05 34, Valentyna.Pyrozhko@osce.org	14:00 Council of Europe *8 Illinska Str., 7 entrance, 6 floor* Mr. Martin Ehnberg Assistant: Dmytro Prydatko: +38044 425 02 62, Dmitriy.PRYDATKO@coe.int
Meeting 4	15:30 WFP Mr. Giancarlo Stopponi, Deputy Head of Office *20 Esplanadna Str., office 401* Assistant Kseniya Shendryk: +380 50 91 333 74, Kseniya.shendryk@wfp.org	16:00 IP NGO R2P, Head Mr. Oleksandr Galkin *55 Shchekavytska Str.*
	17:00 Head of UNHCR Field Office in Lugansk, Mr. Dimitar Jelev *UNHCR Small meeting room*	
21 February, Tuesday		
Meeting 1	10:00 State Migration Service Ms. Natalia Naumenko, Head of Department for Foreigners and Refugees *9 Volodymyrska Str.* Contact: Petro Syniavskyi: +38050 382 01 70	9:30 Danish Refugee Council Ms. Krista Zongolowicz, Head *4/26 Pyrogova Str.* Krista: +38093 760 81 11, krista.zongolowicz@drc.dk

	TEAM 1	TEAM 2
Meeting 2	11:30 NGO Forum Mr. Fredric Larsson, Head *7 Yaroslaviv Val Str.* +380 95 499 2967, flarsson@ngoforum.org.ua	11:00 Sheler/NFI Cluster Coordinator, Mr. Igor Chantefort *UNHCR Small meeting room*
Meeting 3	15:00 UNICEF Ms. Giovanna Barberis, Representative in Ukraine *5 Klovskyi uzviz* Assistant Viktoria Reshetnik: +38050 312 96 79, vreshetnik@unicef.org	14:00 UNHCR Senior Protection Officer Mr. Hugues Bissot *UNHCR Small meeting room*
Meeting 4	17:00 Minister for Temporarily Occupied Territories and IDPs Mr. Vadym Chernysh *1 Lesi Ukrainky square* Assistant Anna Shikita: +38066 295 62 27, anna.shikita@gmail.com	16:00 State Border Guard Service Mr. Oleksandr Vasyliovych Pinchuk, Head of Unit for Foreigners and Admin Proceedings, Department of State Border Protection +38067-449-20-64, o.pinchuk@pvu.gov.ua *UNHCR Small meeting room*
22 February, Wednesday		
Meeting 1	9:15 UN Resident/Humanitarian Coordinator, Mr. Neal Walker *UNHCR Conference room* Assistant Yeva Gershberg: +38095 276 1397, yeva.gershberg@undp.org	9:00 UNHCR Associate Field Officer, Ms. Asel Ormonova *UNHCR Small meeting room*
Meeting 2	10:30 UNHCR Associate Legal Officer, Mr. Dmytro Plechko *UNHCR Conference room*	10:00 UNHCR Senior Programme Officer, Mr. Srecko Neuman *UNHCR Small meeting room*
Meeting 3	15:15 OHCHR HRM *20 Esplanadna Str.* Ms. Fiona Frazer, Head of Office Assistant Anastasiya Sientsova: +38050 382 51 40, asientsova@ohchr.org	14:00 IP NGO "10th of April", Odesa (by skype) Ms. Marina Kurochkina, Head Skype name: Desyate.kvitnya +38096 624 68 90 *UNHCR Small meeting room*
Meeting 4	16:30 UNHCR Associate PI Officer, Ms. Nina Sorokopud *UNHCR Small meeting room*	16:30 People in Need (PIN) Ms. Vanessa Merlet, Country Director *4 Prorizna Str.* +380 93 595 51 29, vanessa.merlet@peopleinneed.cz

	TEAM 1	TEAM 2
23 February, Thursday		
Meeting 1	9:30 IP NGO Rokada Ms. Natalia Gourjii, Head Refugee Community Meeting *7 Chumaka Str.*	9:30 IP NGO Crimea SOS Ms. Tamila Tasheva, Coordinator and Eugenia Andriyuk, Deputy Coordinator *3, Nemetskaia Street* +380676797976 +3800506040730 IDP Community Meeting
Meeting 2		14:30 ICRC Mr. Alain Aeschlimann, Head of Mission *4/26 Pyrogova Str.* +38096 361 42 17, aaeschlimann@icrc.org
Meeting 3	15:00 Swedish embassy H.E. Mr. Martin Hagstroem, Ambassador, and Mr. Daniel Gronvius, First Secretary/Programme Officer – Development Cooperation *34/33, Ivan Franko Str.* Assistant: Victoria Gurina +38 044 494 42 82/70, +38 067 735 57 91 victoria.gurina@gov.se	16:00 IOM Mr. Manfred Profazi, Chief of Mission *8 Mykhailivska Str.* Assistant Anastasia Vynnychenko: +38067 233 46 32, avynnychenko@iom.int
Meeting 4	17:00 Protection Cluster Coordinator Ms. Anna Rich *UNHCR Small meeting room*	17:30 Norwegian Refugee Council (NRC) Mr. Christopher Mehley, Head *by Skype: christopher.mehley* *UNHCR Conference room*
24 February, Friday		
Meeting 1	09:30 YC UNHCR Field Associate (Protection), IDP Field Unit, Ms. Vera Shelest *UNHCR Small meeting room*	09:30 JM UNHCR Assistant Protection Officer, Ms. Oksana Babich *UNHCR Conference room* 10:00 Katerina Office of the Ombudsman *21/8 Instytutska Str.* Ms. Zhanna Lukyanenko, Representative for IDP issues: +38050 353 50 57, Lukyanenko@ombudsman.gov.ua

	TEAM 1	TEAM 2
Meeting 2	11:00 Canadian embassy *13A Kostelna Str.* H.E. Mr. Roman Waschuk, Ambassador (the earliest he is avaialble) Assistant: Iryna Lavriv: +38044 590 31 07, iryna.lavriv@international.gc.ca	11:00 KS Chair of Parliament Committee for Human Rights Mr. Grygorii Nemyria 5/7 Bankova Str. Assistant: Yulia Dudchak: +38050 380 31 78, Yulia.dudchak@gmail.com
Meeting 3	13:00 USA embassy H.E. Ms. Joanne Wagner *4 Sikorskogo Str.* Assistant Yadviga Hetun: +38044521 57 55, hetunYI@state.gov	14:00 JM UNHCR Associate Legal Officer Ms. Lidiia Kuzmenko *UNHCR Small meeting room*
Meeting 4	16:00 JM UNHCR Assistant Programme Officer Ms. Oksana Panasenko *UNHCR Small meeting room*	15:30 OCHA Ms. Barbara Manzi, Head of Office Assistant Yuliya Pyrig: +38050 445 45 27, pyrig@un.org

Mamar Merzouk, ECHO: +38068 389 0804, mamar.merzouk@echofield.eu was met after return from the East

EU Delegation Head is not available, neither is Mr. Mr. Berand de Groot, Head of Cooperation

Swiss Amb unavailable, Swiss Cooperation Office Mr. Christian Disler also unavailable

Appendix IX Field Mission Plan

Evaluation of UNHCR's Country Programme in Ukraine 2014-2016
Data Collection Phase: Field Missions Plan (Draft)

	MONDAY, 20 FEBRUARY 2017	TUESDAY, 21 FEBRUARY	WEDNESDAY, 22 FEBRUARY	THURSDAY, 23 FEBRUARY	FRIDAY, 24 FEBRUARY	SATURDAY, 25 FEBRUARY
Both Teams						
	Arrival in Kyiv					Kyiv to Dnipro via train
		Programme at Kyiv	Programme at Kyiv	Programme at Kyiv	Programme at Kyiv	Afternoon discussion with
						Mamo, David, Sherzod, Andrea
						and Dimitar from FO Luhansk

	SUNDAY, 26 FEBRUARY	MONDAY, 27 FEBRUARY	TUESDAY, 28 FEBRUARY	WEDNESDAY, 01 MARCH	THURSDAY, 02 MARCH	
Team A						
	Dnipro to Slovyansk by car		Slovyansk to Severodonetsk by car	Severodonetsk to Kharkiv by car	Kharkiv to Kyiv by morning train	
		Structured interviews with persons of concern, partners, government, officials, and FO Kharkiv staff at Slovyansk and Svetogorsk	Structured interviews with persons of concern, partners, government, officials, and FO Severodonetsk staff	Structured interviews with persons of concern, partners, government, officials at FO Kharkiv		

	SUNDAY, 26 FEBRUARY	MONDAY, 27 FEBRUARY	TUESDAY, 28 FEBRUARY	WEDNESDAY, 01 MARCH	THURSDAY, 02 MARCH	
		Meetings with Slavic Heart, R2P	NRC, R2P, possibly SFLAC	Visit to Collective Centre, DoSP,		
		Proliska; Local authorities?		UN Partners		
Team B						
	Dnipro to Zaphorizhzhia by car	Zaphorizhzhia to Mariupol by car	Mariupol to Dnipro by car		Dnipro to Kyiv by morning train	
	Visit to City Aid Centre; PoC; R2P	Structured interviews with persons of concern, partners, government, officials, and FO Mariupol	Visit to Marinka to see checkpoint; Kurahove	Structured interviews with persons of concern, partners, government, officials, and SO Dnipro		
		R2P, DoSP, UN Partners	Meeting with Marsiana, FO Donetsk			
			Proliska	Regional Administration; DoSP, UN partners (UNFPA)		

Appendix X Ukraine Response Timeline

DATE	ACTIVITY
21 Nov 2013	First pro-Europe demonstrations in Maidan
20 Feb 2013	End of demonstrations where over 100 demonstrators were killed in Maidan
22 Feb 2014	President Yanukovich leaves Ukraine for Russia
19 Mar 2014	Russian federation annexes Crimea
Mar 2014	UNHCR leads UN preparation of a contingency plan for Crimea displacement
5 Apr 2014	Armed groups take control of parts of the Donbass region
May 2014	UNHCR Budget Committee approves initial allocation of USD 2 million
25 May 2014	Election of Poronchenko as PM of Ukraine (no voting in Donbass and Mariupol)
June 2014	Ceasefire agreement reached
10 Jul 2014	Senior Field Coordinator deployed (first emergency deployee)
1 Aug 2014	PRP launched (USD 33M including USD 11.3M for UNHCR)
Aug 2014	UNHCR 2014 Supplementary appeal (USD 11.3M)
5 Aug 2014	UNHCR declares Ukraine an internal L1 emergency
5 Sep 2014	Minsk Protocol (cease fire agreement) signed
20 Oct 2014	Law on IDPs adopted by Parliament
Oct 2014	Council of Ministers resolution 505 on financial assistance to IDPs
Oct 2014	Council of Ministers resolution 509 on IDP registration
Nov 2014	UNHCR distributions start in Luhansk
28 Nov 2014	Assignment of Senior Emergency Operations Coordinator
Dec 2014	UNHCR opens office in Donetsk
23 Dec 2014	UNHCR strategy 3-zone approved
23 Dec 2014	Cluster approach adopted in Ukraine
21 Jan 2015	GoU restricts movement of people and goods across the contact line
16 Jan 2015	UNHCR declares Ukraine an L2 emergency
5 Feb 2015	UNHCR 2015 Supplementary Appeal (USD 40 million)
11 Feb 2015	Minsk II Protocol (cease fire agreement) signed
Mar 2015	GoU starts de-registering IDPs on the basis of absence from listed addresses

DATE	ACTIVITY
July 2015	De Facto authorities in NGCAs introduce registration requirements
17 Aug 2015	Registration of humanitarian organizations starts in NGCAs
Nov 2015	HCR resumes humanitarian deliveries in Luhansk
1 Feb 2016	UNHCR HQs issues Operational Guidelines on UNHCR's Engagement in IDP Situations
Mar 2016	GoU suspends social benefits to approx. 600,000 IDPs
Mar 2016	Global Cluster Coordination mission to Ukraine to review cluster coordination
16 Apr 2016	Ministry of Temporarily Occupied Territories and IDPs created
31 Aug 2016	GoU approves the State Target Programme for IDPs
22 Jul 2016	HCT retreat agrees to deactivate the Early Recovery Cluster
Oct 2016	UNHCR signs Letter of Understanding with MinTOTIDPs
Dec 2016	GoU requires verification of pensioners