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Working Paper

Responding to protracted displacement using the Humanitarian-Development-Peace nexus approach: UNDP and UNHCR theory of change

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Responding to Protracted Displacement Using the Humanitarian-Development-Peace Nexus Approach: UNDP and UNHCR Theory of Change



November 2020



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Resilient nations.*



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Table of Contents

Project Overview.....	1
What is the aim of this project?.....	1
How is the Theory of Change Used?.....	1
Why Use the HDP Nexus in Forced Displacement Contexts?	1
Record numbers of displaced populations	1
UN reform	1
GCR.....	1
SDGs.....	2
Donor demand	2
Conceptualizing the HDP Nexus and Displacement.....	2
The Challenges of the HDP Nexus	4
The Scope of the UNDP-UNHCR Theory of Change.....	4
UNDP-UNHCR Theory of Change for Adopting an HDP Nexus Approach to Situations of Displacement/Protracted Displacement.....	5
Pillars and cross-cutting issues	5
Peace interventions	5
Interdependence of the pillars and cross-cutting issues.....	6
Transition	6
How to Use the Theory of Change Diagram	9
Operationalizing the Theory of Change for Protracted Displacement.....	9
UNDP-UNHCR HDP nexus principles.....	10
Practical considerations for operationalizing an HDP nexus approach	10
Shared analysis and context-specific responses	11
Long-term strategies and sustainable capacity	12
Prevention, mediation and peacebuilding	12
Coordination and leadership.....	12
Financing	12
Foundation for successful HDP interventions.....	13
Key Areas for UNDP-UNHCR Collaboration in Situations of Protracted Displacement	13
Legal identity and protection.....	13
Governance and RoL.....	13
Livelihoods, employment opportunities and social protection	14
Useful Resources: Existing and Emerging Initiatives, Policies and Guidelines	14
Key initiatives for operationalizing the Theory of Change	14
UNHCR corporate position on engagement in the SDGs and UNHCR operational How to Guide: SDGs and UNSDCF	15
Promoting development approaches to migration and displacement	15
Collective outcomes.....	15
Transitioning from humanitarian assistance to national systems	15
Education	15

Health.....	15
Livelihoods, employment and social protection.....	16
Local governance and RoL	16
Statelessness and legal identity	17
UNDP-UNHCR joint action plan	17
Clarification of the peace pillar.....	17
HDP nexus best practice review.....	17
Abbreviations and Acronyms	18
References	19

List of Figures

Figure 1. Contextualizing the HDP Nexus.....	3
Figure 2. Transition in Responses to Displacement	7
Figure 3. UNDP-UNHCR Theory of Change Diagram.....	8
Figure 4. Implementation Processes of HDP Nexus Approach	11

List of Tables

Table A1. UNDP and UNHCR Commitments to the GCR and SDGs.....	22
Table A2. A Simplified Application of the ToC to an Actual Project in Turkey	23
Table A3. A Simplified Application of the ToC to a Planned Project in Malawi	24

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Project Overview

What is the aim of this project?

The United Nations Development Programme (UNDP) and the United Nations High Commissioner for Refugees (UNHCR) want to identify areas of strategic collaboration in situations of forced displacement.¹ The increasingly complex and protracted nature of forced displacement has precipitated a renewed interest in adopting a Humanitarian-Development-Peace (HDP) nexus approach in the UN, the international community and among donors. The project developed a Theory of Change (ToC) for use at the country level to support UNDP-UNHCR collaboration on forced protracted displacement; to understand how UNDP-UNHCR intervention responses support forcibly displaced persons, host populations and host governments; and to inform measures to prevent displacement. Responses should be people centred, needs based and not status based, so UNDP and UNHCR should work with other organizations to support different displaced groups depending on mandate, capacity and the presence of stakeholders. Contexts vary so target populations might, for example, include refugees and asylum seekers, internally displaced persons (IDPs), returnees and stateless persons alongside host populations.

How is the Theory of Change Used?

The ToC is intended to be adapted by UNDP and UNHCR to specific national and situational contexts as they collaborate or explore collaboration. It can be used as a reference document throughout the project management cycle in situations of displacement/protracted displacement in conjunction with other strategy and policy documents. It is recommended that the contextualized ToCs are regularly reviewed to capture changes in the policy, operational and institutional environments relevant to the UNDP-UNHCR collaboration.

The ToC diagram helps to identify opportunities for UNDP-UNHCR collaboration and to understand how interventions contribute to the HDP nexus, and can be revised and adapted to maximize the positive impact on the HDP nexus. UNDP and UNHCR country offices can show other stakeholders how their interventions contribute to the HDP nexus.

Why Use the HDP Nexus in Forced Displacement Contexts?

Record numbers of displaced populations

The growing numbers of displaced and protracted displaced populations, caused by the increasing number of prolonged conflicts and crises, has precipitated a renewed emphasis on comprehensive responses that combine humanitarian, development and peace activities. This approach responds to immediate needs while initiating longer-term solutions and addressing the root causes of conflict and crises that cause displacement, violence and instability, and impede social, economic, political and developmental progress.

UN reform

The 2016 New Ways of Working (NWoW) initiative called for greater humanitarian-development collaboration. Later that year, the United Nations Security Council and General Assembly Resolutions on Sustaining Peace stressed the need to prevent and address the root causes of conflict through integrating peace and security interventions with humanitarian and development activities. This approach has become known as the HDP nexus or triple nexus.

GCR

The Global Compact on Refugees (GCR) (2018) includes the Comprehensive Refugee Response Framework (CRRF) and builds on commitments made in the 2016 New York Declaration for Refugees

¹ This project has been generously funded by the Government of Japan.

and Migrants.² It calls for a combined humanitarian, development and peace approach and cooperation among humanitarian, development and peace actors to adopt a comprehensive response to situations of displacement and for preventing displacement. The GCR emphasizes a multistakeholder and whole-of-government approach. It aims to share responsibilities for displacement among host countries and the international community, enhance refugee self-reliance, prevent and address root cause of displacement, and identify and support expansion of third country solutions and opportunities to return. Protection is central to the GCR and it promotes international refugee law, international humanitarian law (IHL) and human rights law. IHL and human rights law protect everybody including forcibly displaced populations. Refugees are the only forcibly displaced groups provided additional protection under refugee law.

SDGs

The 17 Sustainable Development Goals (SDGs) and their 169 targets are mutually reinforcing, “integrated and indivisible”, promoting sustainable development through “economic, social and environmental” action. The SDGs are designed to bring transformative change to build inclusive peaceful and just societies, eradicate poverty, protect human rights and tackle global challenges including displacement (UNRISD 2016), recognizing and enhancing the contribution human mobility can make to sustainable development (UNDP 2020c, forthcoming). They aim “to reach the furthest behind first” and to “leave no one behind” which includes displaced and marginalized populations. The overarching SDG framework creates an HDP nexus approach relevant to protracted crises. UNHCR states that the SDGs provide an “entry point” “to advance protection and solutions for persons of concern” and “to work on inclusion of persons of concern into national systems” (UNHCR 2020a:3). However, the Organisation for Economic Co-operation and Development (OECD) argues that, while designed to tackle root causes to resolve and prevent conflict and crises, ongoing humanitarian need caused by conflict and crises could undermine the achievement of the SDGs (OECD 2020:6).

Donor demand

More people are becoming dependent on humanitarian aid for longer periods of time (Macrae 2019). Donors want transformative development, and greater stability and security, to move away from providing long-term humanitarian funding. Following commitments at the World Humanitarian Summit (WHS) 2016 and the Grand Bargain,³ aid architecture is being revised with the intention of providing more flexible multiyear funding to support interventions with combined humanitarian, development and peace objectives. OECD Development Assistance Committee (DAC) members have agreed legally binding recommendations for financing the triple nexus (OECD 2020).

Conceptualizing the HDP Nexus and Displacement

Figure 1 illustrates the three nexus elements—humanitarian, development and peace—as separate entities, as double nexus (humanitarian-development; humanitarian-peace; and development-peace), and the triple nexus of HDP.

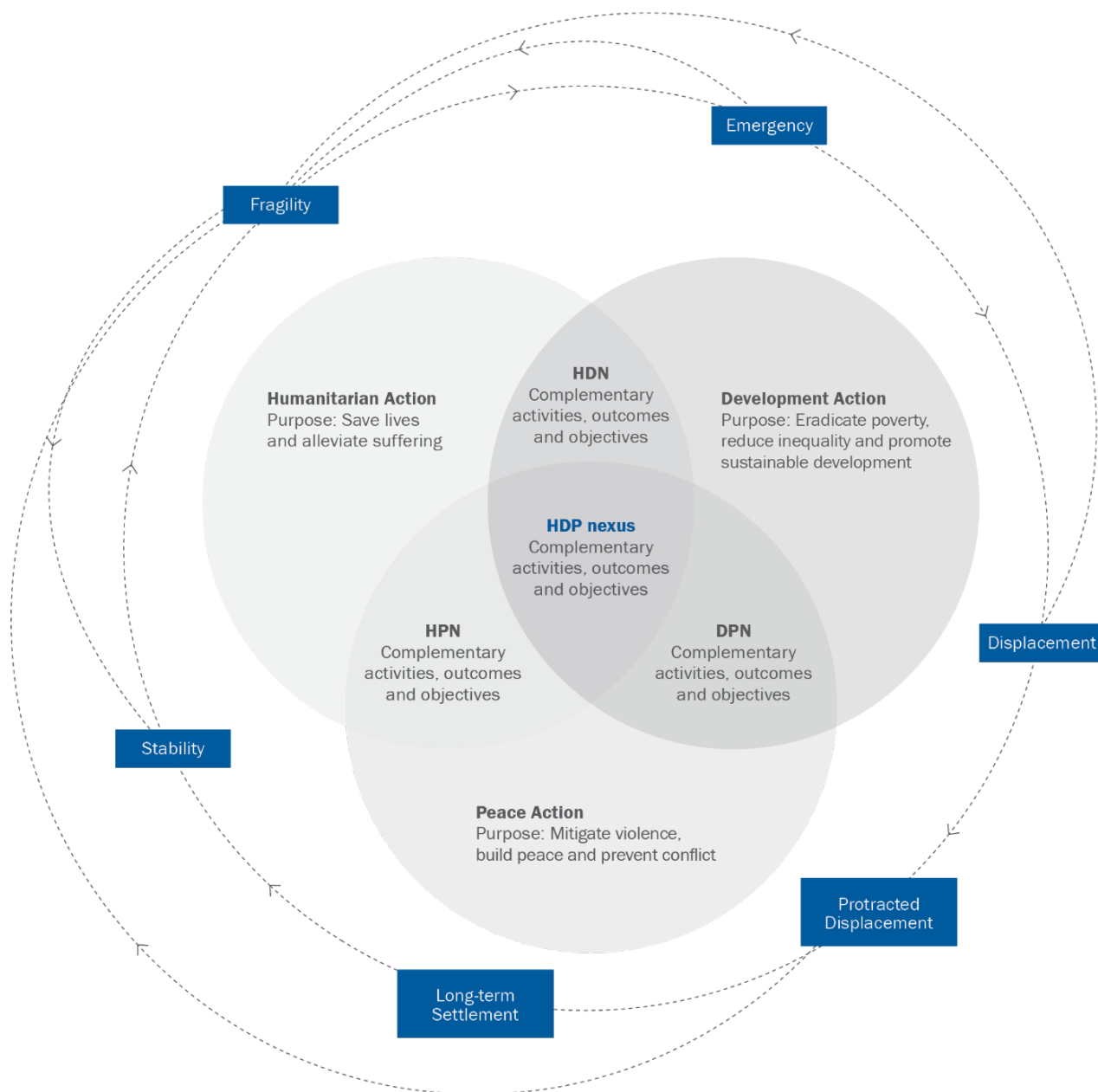
The HDP nexus is operationalized according to the specific context. In some contexts, activities under one element may be more relevant than under the other two, or activities falling under one of the double nexuses may be more important than those under the other two double nexuses. Sometimes the triple nexus will be the more important area of intervention. The relative importance of each element, each double nexus and the triple nexus changes over time in response to cycles of emergency and crises. The cyclical nature of emergencies and of crises (including displacement) and their interaction is shown by the ring of smaller circles and arrows indicating the direction of influence. Arrows go in two directions

² The GCR includes the CRRF, adopted as an integral part of annex 1 of the New York Declaration for Refugees and Migrants, and complemented by a Programme of Action. Experiences made during the state-led roll-out of the CRRF in 15 countries in 2016–18 have informed preparations for the GCR alongside broad multistakeholder consultations held in Geneva.

³ <https://interagencystandingcommittee.org/grand-bargain>.

because interventions can help to reverse trends by preventing crises (including displacement) from occurring, or may lead to long-term settlement and stability.

Figure 1. Contextualizing the HDP Nexus



Note: DPN–Development-Peace nexus; HDN–Humanitarian-Development nexus; HDP nexus–Humanitarian-Development-Peace nexus.

The Challenges of the HDP Nexus

The concept of linking humanitarian, development and peace interventions is not new and presents a number of challenges in all contexts, including situations of protracted displacement:

- fears of compromising humanitarian principles and space by working with or aligning with interventions that have political and security objectives;
- difficulties in coordinating and working across sectors and groups because of different mandates, working practices, expertise, planning horizons and access to funding;
- challenging and time-consuming processes for planning, sequencing and coordinating complex interventions in dynamic situations involving multiple actors with different agendas and objectives;
- problems in maintaining agility and flexibility in response to changing circumstances when implementing large-scale, multisectoral interventions;
- restrictive operating contexts in which host governments and populations reject the pursuit of longer-term responses to protracted displacement, or displaced populations themselves oppose interventions that seem to hinder return or resettlement in a third country; and
- lack of appropriate funding/financing to promote longer-term combined humanitarian, development and peace interventions despite efforts to change aid architecture.

It seems logical to focus on complex situations holistically using a multisector approach to address the immediate, medium and long-term needs of the host and displaced populations and the state structures intended to support them. Nevertheless, there has been little analysis of what might be considered successful examples of how to operationalize the HDP nexus (IOM 2019a; OECD 2019). Guidelines for planning, managing and funding the nexus have been developed but resemble widely accepted principles for good programming; they are general and not focused on the substance of nexus programmes.

The Scope of the UNDP-UNHCR Theory of Change

UNDP and UNHCR have committed to the GCR and the 2030 Agenda for Sustainable Development (UN 2015), with its principle to leave no one behind, and to specific SDGs that respond to situations of displacement (UNHCR 2019a, 2020a; UNDP 2019; see table A1 in annex). Through “SDG 17: Partnership for the Goals”, UNDP and UNHCR have committed to working together and with other stakeholders toward common objectives. The scope of the ToC is determined by these commitments and key thematic interventions to support displaced and host populations and host governments. These are organized according to prevailing views of which interventions fall under which element of the HDP nexus. This organization may not reflect how UNHCR and UNDP categorize their activities. The table in annex 3 shows how the commitments made by UNDP and UNHCR to the GCR and SDGs relate to the HDP nexus.

The ToC comprises five pillars and four cross-cutting issues which form a triple nexus approach and capture the commitments of UNDP and UNHCR to the GCR and SDGs. The five pillars for different thematic interventions—basic needs, services, livelihoods, employment and social protection, soft peace and hard peace—are arranged according to the HDP nexus as illustrated below.

HDP Nexus	Humanitarian	Development		Peace	
Thematic interventions	Basic needs	Services	Livelihoods/Employment/Social protection	Soft peace activities	Hard peace activities

The cross-cutting issues of legal identity and protection, social cohesion and peaceful coexistence, gender and diversity, and environment are mainstreamed through each pillar but can also form distinct programme interventions.

UNDP-UNHCR Theory of Change for Adopting an HDP Nexus Approach to Situations of Displacement/Protracted Displacement

The ToC (figure 3) shows interventions from the initial emergency phase of displacement to the achievement of longer-term solutions in situations of protracted displacement. The ToC can also inform interventions to prevent and address the root causes of forced displacement.

Pillars and cross-cutting issues

The pillars relate to the HDP nexus and indicate the main activities for each pillar but are not exhaustive. The pillars should be seen from a dynamic (though not necessarily linear) perspective, illustrating the sequence of events from the emergency phase—when support for affected populations is facilitated by the international community and provided in parallel to national systems—to the inclusion of affected populations into national systems (see figure 2). It should be noted that there is no consistent correlation between passage of time, phases of response and transition to inclusion of displaced populations into national systems, as all situations are context specific.

The design, management and implementation of national systems is the responsibility of the national government, national institutions and local authorities. However, ongoing international resources in the form of funding and technical support may be necessary, following inclusion of displaced populations into national systems.

The pillars do not indicate which actors contribute to those pillars. *Multiple actors can contribute to each pillar*, with ultimate responsibility to ensure rights for displaced and host populations lying with national governments. Some interventions by humanitarian actors may contribute to development and vice versa, reflecting the holistic and integrated approach of the triple nexus, the GCR and the SDGs. For example, education and health care provided from the early stages of a displacement emergency, and overseen by UNHCR, are important elements of sustainable development so have been included in the development pillar of the nexus.

Interventions should be sensitive to each of the pillars to ensure that they support and do not undermine activities under another pillar. Interventions may, however, be designed to contribute to two or three pillars. For example, the Support Afghanistan Livelihoods and Mobility (SALAM) project (UNDP 2020b), designed to improve employment and livelihood opportunities for Afghans, contributes to the humanitarian, development and peace pillars. First, it contributes to basic needs by aiming to reduce poverty; second, it provides educational services to enhance the skills of potential employees and aims to strengthen national and local institutions to promote employment and livelihoods; and, finally, it facilitates the development of policies and procedures to support and protect Afghans planning to migrate for work.

Peace interventions

There is no consensus among donors, practitioners, policy makers and academics about the scope of the peace element of the nexus. Some argue that it means that all interventions should contribute to peace by being conflict sensitive, addressing issues to improve or maintain social cohesion and promote peaceful coexistence. For others, peace includes soft interventions such as governance, rule of law (RoL), access to justice and strengthening of state and local institutions: interventions that are seen as necessary to enable sustainable and inclusive development and that guarantee of human rights for all.

A third group maintains that the peace element includes hard as well as soft peace interventions such as national and international military, security sector reform (SSR), disarmament, demobilization and reintegration (DDR), as well as diplomacy, intelligence and defence.

The practices and interventions of UNDP and UNHCR have been used to develop the peace pillar, which is divided into soft and hard peace interventions, and the cross-cutting themes of legal identity

and protection, social cohesion and peaceful coexistence for the ToC (see scoping study, UNRISD 2020).

Depending on the context, UNHCR and UNDP may liaise with certain stakeholders implementing hard peace interventions to coordinate and share information in support of their humanitarian and development interventions. UNDP programmes preventing violent extremism (PVE), DDR and SSR fall under hard peace. UNDP may also provide technical support to UN missions.

Interdependence of the pillars and cross-cutting issues

The pillars and cross-cutting issues are of equal importance and the organization of activities between them is context specific. The cross-cutting issues should be mainstreamed through each pillar and are essential to achieving outcomes. *In some contexts, the cross-cutting issues will form distinct programme interventions.*

The soft peace interventions of governance, RoL and access to justice, and the cross-cutting issues of legal identity and protection, and of social cohesion and peaceful coexistence, are interdependent. Governance and RoL interventions provide the framework for legal identity and protection. These are fundamental to enable displaced (and host) populations to access their rights to humanitarian assistance, services, income-generating opportunities, justice and state administrative procedures.

Social cohesion and peaceful coexistence are vital to addressing and preventing tensions between host and displaced populations. “Do no harm” and conflict sensitivity should always form part of good programming and are particularly important in situations of protracted displacement. Ongoing research and analysis should monitor tensions and inform the design of interventions to mitigate against potential sources of conflict and “to avoid unintended negative consequences and maximize positive effects across humanitarian, development and peace actions” (OECD 2020: section IV:3).

Gender and diversity should be mainstreamed with respect for the different needs and capacities of the different demographic/social groups and recognition that these needs and capacities change over time. This is accepted best practice and in line with the SDGs and the GCR. Diversity includes differences in age, religion, ethnicity, socioeconomic status, location, and physical and mental ability, and can be cumulative and intersecting.

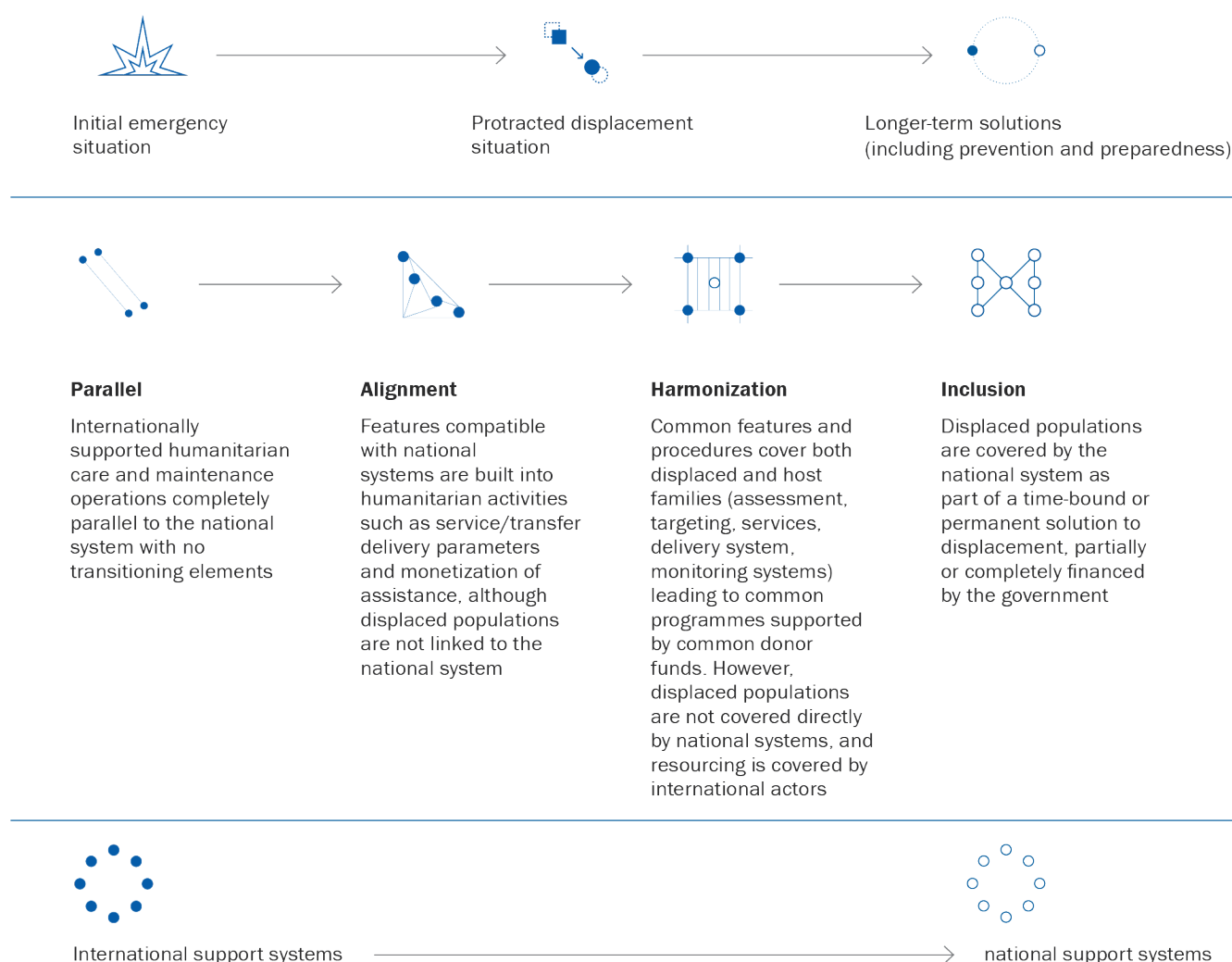
Environmentally sensitive programming and disaster risk reduction (DRR) are important to prevent displacement caused by climate change and environmental crisis, and to mitigate the environmental damage caused by displacement. Protecting the environment is an important element of the SDGs and the GCR.

Transition

The transition from international to national systems, a movement from parallel systems to inclusion, reflects the growing importance of national systems. The peace pillars do not show a transition from parallel to inclusive systems as it is assumed that national systems are present throughout all phases of displacement.

The concept of transition, from externally provided humanitarian assistance to inclusion of displaced populations into national systems, is being developed by UNHCR (2019c).

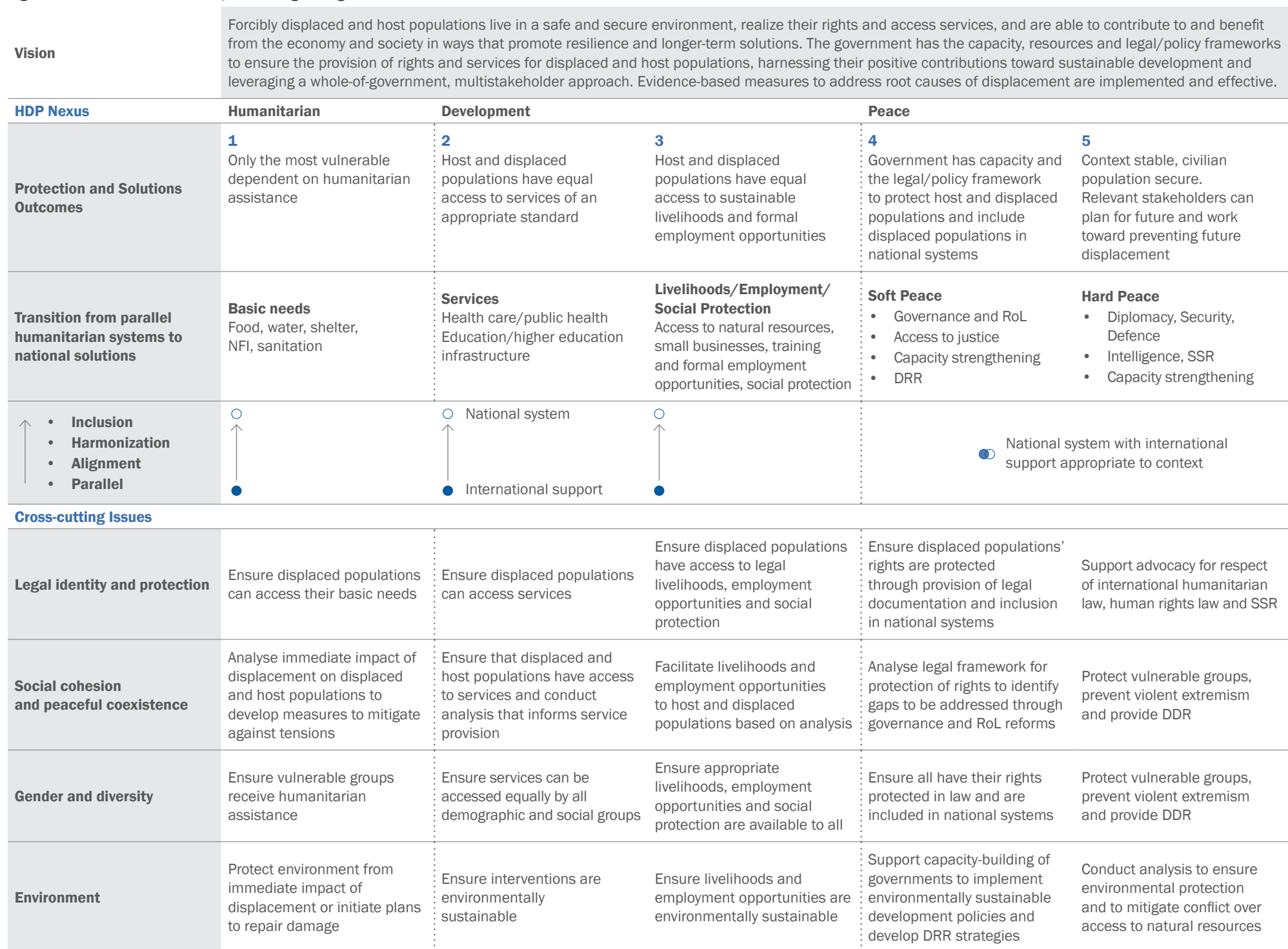
Figure 2. Transition in Responses to Displacement



The transition toward the inclusion of protracted displaced populations into national systems may offer long-term solutions, but it presents challenges:

- it is a huge undertaking, impossible to implement across all pillars simultaneously, and requires national government agreement and the support of multiple partners;
- funding requirements may be significant as there will be costs to increasing governance capacity and upgrading national services and infrastructure to acceptable standards to absorb additional populations;
- host governments may view inclusion of displaced populations as an additional responsibility they are assuming on behalf of the international community, and may expect extra funding from the international community to adopt such measures on top of the funding already provided; and
- displaced populations may reject longer-term solutions if such initiatives jeopardize/are perceived to jeopardize opportunities for return or resettlement in a third country.

Figure 3. UNDP-UNHCR Theory of Change Diagram



Note: DDR–disarmament, demobilization and reintegration; DRR–disaster risk reduction; HDP–Humanitarian-Development-Peace; NFI–non-food items; PVE–preventing violent extremism; RoL–rule of law; SSR–security sector reform.

How to Use the Theory of Change Diagram

It is envisaged that the ToC will be used at the country level as a reference document throughout the project management cycle in situations of displacement/protracted displacement in conjunction with GCR, SDGs, Country or Regional Refugee Response Plans, Humanitarian Response Plans (HRPs), National Development Plans (NDPs), the United Nations Sustainable Development Cooperation Framework (UNSDCF) and other strategy, policy or fundraising documents.

The ToC diagram helps to identify opportunities for UNDP-UNHCR collaboration and understand how interventions contribute to the HDP nexus. It can be revised or adapted during the design and implementation phases to maximize the positive impact on the HDP nexus. It requires adaptation to the specific country and situational context. UNDP and UNHCR country offices can show other stakeholders—including implementing organizations, national and local hosting authorities, host and refugee populations, and donors—how their interventions contribute to the HDP nexus.

A simplified version of the ToC has been applied to projects from situations of protracted displacement to illustrate its use (see table A2 in annex).

Operationalizing the Theory of Change for Protracted Displacement

The pillars and the cross-cutting issues are designed to respond to situations of protracted displacement, as well as to prevent displacement, to work toward achieving the vision and outcomes. The context and needs determine how interventions are designed, how the pillars and cross-cutting issues relate to each other and how they contribute to achieving the vision and outcomes. All interventions should be designed to be complementary and to protect the humanitarian space.

The ToC should be adapted to each specific context, taking into account the needs of the displaced and host populations, the permissiveness of the operating environment (for example the legal, policy and operational context and recent or anticipated changes to it), the capacity of the government and national authorities, the presence of suitably capacitated stakeholders and adequate resources. Interventions should be designed and adapted in response to changing needs and ongoing context analysis. All but emergency life-saving interventions should adopt a longer-term perspective. Actors should be encouraged to operate across the nexus, by cooperating with actors promoting different aspects of the triple nexus, or by adapting their own programmes to support different aspects of the nexus.

Not all interventions are required in all situations, and they should be scaled up and down as situations evolve; this requires significant forward planning. The transition period will differ for each pillar and, in some instances, will not be possible. For example, legal access to livelihoods, employment opportunities and national social protection systems is often restricted, and may require longer-term engagement to facilitate an enabling environment.

UNDP-UNHCR HDP nexus principles

The UNDP-UNHCR ToC HDP nexus for protracted displacement is based on the following principles:



A ***shared vision*** among all stakeholders, including humanitarian, development and peace sectors, national and local governments, affected populations and donors about the composition and objectives of HDP nexus interventions, the potential for transition and the timing for initiating longer-term responses to displacement.



An ***exit strategy*** developed from the initial emergency phase of displacement to transition from humanitarian to development responses, including peace components to build stability and to work toward longer-term solutions.



Ongoing context analysis to develop a shared vision to design and plan relevant interventions, identify appropriate implementing partners, monitor and evaluate progress and understand the operating context to ensure interventions are appropriate and responsive to changing environments.



Strong leadership and effective coordination mechanisms to create a positive working environment and maintain effective and efficient communication among all stakeholders including humanitarian, development and peace actors, host governments and populations, and displaced populations.

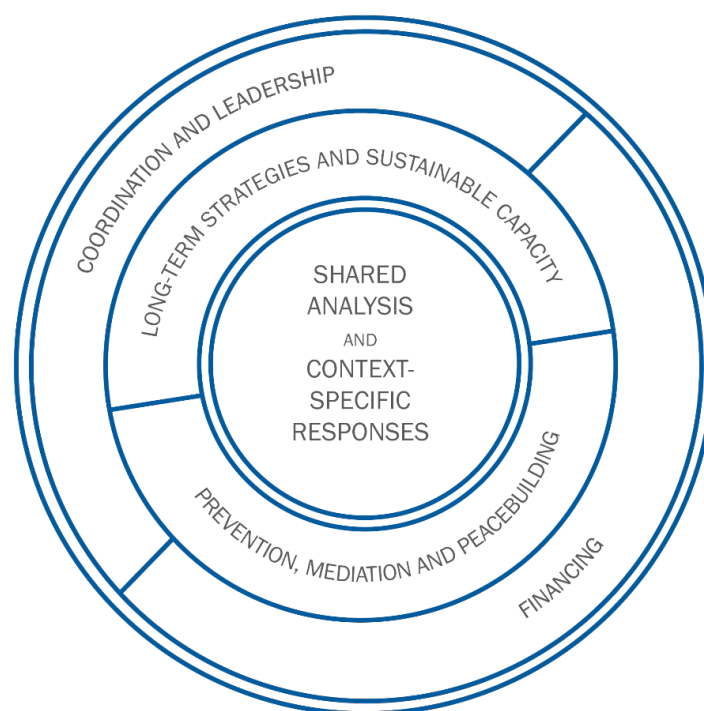


Flexible multiyear funding that facilitates long-term planning for comprehensive interventions to support displaced populations and host governments and populations.

Practical considerations for operationalizing an HDP nexus approach

The following considerations to design, manage and review the implementation of UNDP-UNHCR nexus programmes in situations of protracted displacement (see figure 4) are based on the principles identified above, and have been adapted from the OECD DAC Recommendation on the Humanitarian-Development-Peace nexus (2020) which was supported by contributions from UNDP. The DAC Recommendations have been supplemented with inputs from CARE (2018), IOM (2019a) and Oxfam (2019).

Figure 4. Implementation Processes of HDP Nexus Approach



Note: HDP–Humanitarian-Development-Peace.

Shared analysis and context-specific responses

- Conduct qualitative and quantitative research and analysis, and collect data to develop in-depth understanding of the context to inform programming and policy, monitor and evaluate the positive and negative impacts of interventions, and identify and share lessons learned. Maintain ongoing research and analysis to facilitate the adaptation of interventions to changing situations. Analysis should inform conflict-sensitive programming and facilitate planning to prioritize humanitarian principles and protect humanitarian space.
- Conduct joint research (with the participation of impacted communities) with multiple stakeholders including UNDP, UNHCR and other humanitarian, development and peace actors:
 - to identify the root causes of displacement and potential conflict triggers between host and displaced populations; to understand the needs and vulnerabilities as well as capacities of affected host and displaced populations to ensure that interventions are designed to reduce vulnerabilities, enhance capacities and maintain social cohesion and peaceful coexistence;
 - to assess national and local governance and RoL capacities, and to identify entry points to support and strengthen capacity and systems to respond in the immediate and longer term to hosting displaced populations;
 - to assess the legal identity and protection needs of displaced (and host) populations and design interventions to address legal identity and protection needs as required;
 - to undertake analysis to identify and facilitate opportunities for longer-term livelihoods and employment interventions that include analysis of the private sector, private financing, potential entry points/sectors for interventions, the capacity and potential of the displaced and host workforce and the needs of the marketplace; and
 - to develop interventions with maximum impact by ensuring that they are sensitive to each nexus pillar and mainstream cross-cutting issues as fully as possible to avoid undermining other interventions or missing opportunities to derive maximum benefit from each activity.
- Ensure that analysis is sensitive to gender and diversity as well as to evolving situations to understand the needs and capacities of different demographic and social groups.

- Share context-specific analyses to foster a shared vision based on a common understanding of terminology and concepts. There is no standard HDP nexus design as each context demands a different emphasis on each pillar and cross-cutting intervention at different times.
- Develop methods for effective Monitoring, Evaluation, Accountability and Learning (MEAL), standardized data collection, qualitative research methods and sharing findings.

Long-term strategies and sustainable capacity

- Engage in long-term planning and, at the earliest stage possible in a forced displacement situation, develop sustainable national capacity that includes agreeing and working toward longer-term solutions and an exit strategy.
- Actively include all relevant stakeholders in planning and implementation processes. From the initial stages of an intervention, invest in and use national capacities at all levels, in both the public and private spheres, to minimize the creation of parallel systems and to enhance and maintain indigenous skills, expertise and resources.
- Prioritize working with and funding local partners including civil society, remove bureaucratic barriers to effective working partnerships and promote best practices.
- Promote respect for humanitarian principles, IHL and Human Rights law, which could include strengthening national capacities for good governance, RoL, security and access to justice to improve legal identity and protection for displaced (and host) populations.

Prevention, mediation and peacebuilding

- Conduct ongoing conflict analysis to ensure that humanitarian, development and peace interventions are conflict sensitive and do no harm.
- Engage politically at all levels—international, regional and national—and at all administrative levels in a country to prevent displacement and resolve situations of protracted displacement.
- Develop and support indigenous capacities and mechanisms to prevent crises, resolve conflict and build peace.
- Actively include and address the needs of marginalized groups and mitigate tensions between host and displaced populations.
- Undertake advocacy with host governments and populations and the displaced populations to explain the benefits of adopting longer-term policies toward displacement.
- Incentivize development and peace actors to address structural causes of displacement/protracted displacement so that humanitarian aid can be reduced.

Coordination and leadership

- Use existing or establish effective and appropriate coordination mechanisms at all levels and across the nexus to facilitate joined-up programming among UNDP, UNHCR and other stakeholders. Avoid creating multiple and duplicate systems, although—to protect humanitarian space—a separate coordination mechanism may be necessary.
- Plan joined-up interventions and identify collective outcomes and the organizations that have the mandate, expertise, comparative advantage and access to funding to contribute to those collective outcomes. Actively involve national and local actors in analysis and planning.
- Recognize and support the leadership of legitimate formal and informal national authorities at all levels.
- Identify and liaise with legitimate leadership and governance structures and RoL institutions for the displaced populations.
- Adopt a regional approach where appropriate to address regional issues including triggers for and drivers of conflict, displacement and vulnerabilities, and capacities for humanitarian, development and peace responses.

Financing

- Conduct advocacy with donors to explain the rationale for adopting longer-term approaches to displacement based on an HDP nexus approach to encourage the provision of adequate,

flexible, multiyear funding, and justify potentially higher funding needs to transition from humanitarian to development interventions.

- Share funding with the most appropriate implementing partners.
- Ensure that funding mechanisms are transparent and accountable.
- Identify and develop mechanisms to strengthen national budgets and national funding of services.

Foundation for successful HDP interventions

There are many challenges for UNDP and UNHCR in operationalizing a triple nexus approach in situations of protracted displacement. The foundation for successful UNDP-UNHCR collaborations is strong leadership to create a positive working relationship between the two agencies, particularly at the country level. In addition, the operating context must permit innovation and the pursuit of longer-term responses to protracted displacement, and appropriate, adequate and timely funding must be available.

Key Areas for UNDP-UNHCR Collaboration in Situations of Protracted Displacement

UNHCR and UNDP have previously collaborated in situations of displacement, guided by the prevailing ideology of the time. To fulfil their commitments to the 2030 Agenda for Sustainable Development and the GCR, UNDP and UNHCR have agreed to address displacement, particularly that of refugees, by (UNDP 2019):

- integrating refugee issues into the implementation of the SDGs;
- focusing on early recovery and livelihoods;
- promoting RoL, justice and human rights; and
- developing early warning and preparedness.

The findings of the scoping study (see UNRISD 2020) for this project are consistent with UNDP and UNHCR commitments to responding to protracted displacement, including UNDP's commitments at the 2019 Global Refugee Forum. Key areas for UNDP-UNHCR collaboration include, among others:

- legal framework and guidelines for legal identity and protection of displaced populations;
- governance and RoL; and
- livelihoods, employment opportunities and social protection.

Legal identity and protection

The legal framework is the foundation for all interventions to support displaced and host populations. It determines access to rights in all aspects of life and is essential in achieving the objectives of the humanitarian, development and peace pillars. Displaced populations often lack proof of legal identity as documents are lost or destroyed out of fear of discrimination or may never have existed. To receive basic services and cash support (both public and private) displaced populations should be registered on a civil (or at least functional) registry of the host country and receive an identity card or other credentials.

Governance and RoL

National capacity in governance and RoL, which is not limited to state entities, is needed to ensure that the development and implementation of the legal framework is sustainable and that authorities in hosting areas have the capacity to manage and deliver public resources and to ensure basic public service delivery. National capacity is needed to generate resources, budget, plan, manage, coordinate and adapt public services in an inclusive and accountable manner which are essential for local socioeconomic development. Effective governance and RoL are essential to achieving stability, security and access to justice; and a fair and equitable system that recognizes all populations by registering them, meets the needs of all demographic/social groups and integrates marginalized and diverse populations effectively. Good governance is a means of addressing and preventing conflict and crises.

Livelihoods, employment opportunities and social protection

Access to livelihoods and employment opportunities enables individuals and households to be self-reliant and to contribute to the national economy and services. Legal income-generating opportunities reduce vulnerabilities by reducing the numbers of displaced persons working illegally, and being exploited by employers, or being co-opted into criminal gangs or radical groups. Negative coping mechanisms such as child labour, sex work, limiting food consumption or selling off assets are also reduced. Livelihood and employment opportunities must be complemented by appropriate social protection mechanisms for displaced populations, providing income transfers and preventing poverty in the case of lifecycle or market risks.

Useful Resources: Existing and Emerging Initiatives, Policies and Guidelines

Key initiatives for operationalizing the Theory of Change

A number of initiatives and documents that have been finalized, or are in draft form, provide useful guidance for UNDP-UNHCR nexus approaches.⁴ Some of these are specific to UNDP and UNHCR, while others have been generated by partner UN organizations and other stakeholders. This list indicates key initiatives that appear pertinent to operationalizing the ToC for protracted displacement.

- UNHCR Corporate Position on Engagement in the SDGs (UNHCR 2019a) and UNHCR Operational How to Guide: SDGs and UNSDCF (UNHCR 2020a).
- UNDP-UNHCR SDG tool for forced displacement contexts.⁵
- Promoting Development Approaches to Migration and Displacement: UNDP's Four Specific Focus Areas, 2019.
- Light Guidance on Collective Outcomes: planning and implementing the HDP nexus in context of protracted crises, Office for the Coordination of Humanitarian Affairs (OCHA) February 2020 (fourth draft).
- Transitioning from Humanitarian Assistance to National Systems Supported by Development Actors: concept note, UNHCR, 2019.
- Refugee Education 2030, UNHCR September 2019.
- Draft Global Action Plan "Promoting the health of refugees and migrants" (2019–2023), World Health Organization (WHO), 2019.
- Guiding Principles: The Access of Refugees and Other Forcibly Displaced Persons to the Labour Market, International Labour Organization (ILO), 2016.
- Local Governance and RoL contributions to prevent, address and solve forced displacement and statelessness situations, UNHCR-UNDP Programmatic Framework 2020-2023 (draft).
- Global Action Plan to End Statelessness 2014–2024, UNHCR, 2017.
- United Nations Strategy for Legal Identity for All (UN Legal Identity Agenda Task Force), 2019.
- Implementation of the United Nations Legal Identity Agenda "United Nations Country Team Operational Guideline" (UN Legal Identity Agenda Task Force), 2020.
- UNDP is in the process of producing guidelines for conflict-sensitive programming and programming to promote social cohesion.
- UNHCR is developing a UNHCR position paper on the HDP nexus (under development as of September 2020).
- Ongoing clarification of the peace pillar, led by OECD and the Inter-Agency Standing Committee (IASC).
- HDP nexus Best Practice Review (forthcoming), OECD.

⁴ Some documents are cited in draft form as final versions were not available to the author, or the drafting process was not finalized at the time of writing. They are listed, nevertheless, as they indicate important ongoing processes.

⁵ Under development as of September 2020, added by Kaori Kwarabayashi, UNHCR, September 2020.

UNHCR corporate position on engagement in the SDGs and UNHCR operational How to Guide: SDGs and UNSDCF

The SDGs provide UNHCR with an entry point for identifying development options for displaced populations and transitioning them from humanitarian to development assistance. UNHCR suggests that it should analyse which SDGs are relevant to each context, the protracted displaced populations and the host government, to ensure that it engages in development planning and with development actors to promote development responses to displacement.

Promoting development approaches to migration and displacement

UNDP has identified four focus areas for promoting development in situations of migration and displacement working at the national, regional and global levels:

- addressing the root causes of displacement and mitigating the negative drivers of migration and factors compelling people to leave their homes;
- supporting governments to integrate migration and displacement issues in national and local development plans;
- supporting refugees, migrants, IDPs and host communities to cope, recover and sustain development gains in crisis and post-crisis situations; and
- supporting national and local authorities in achieving sustainable, community-based (re)integration.

Collective outcomes

Collective outcomes are a strategic tool for humanitarians, development and peace actors to identify concrete and measurable objectives in a particular context, and have the overall aim of reducing people's needs, risks and vulnerability. The work on the HDP nexus is advancing, and collective outcomes are being developed that bridge the HRP and UNDAFs/Cooperation Frameworks. Collective outcomes are part of the NWoW initiative and are overseen by the Joint Steering Committee to Advance Humanitarian and Development Collaboration (JSC) which is supporting the piloting of this approach in seven countries. The collective outcomes help to achieve the aims of the GCR, which bridges the Regional Response Plans (RRPs) and the NDPs as well as the UN Development Assistance Frameworks/UN Sustainable Development Cooperation Frameworks that support the NDPs (UNHCR, 2019a).

Transitioning from humanitarian assistance to national systems

UNHCR has developed a concept note for assessing, planning and implementing the transitioning of displaced populations from humanitarian into national systems. It works across the HDP nexus, is aligned with the GCR and the SDGs and involves working with the host government and strengthening the capacity of its systems to include displaced populations (UNHCR 2019c).

Education

The UNHCR education strategy is informed by the HDP nexus and aligned with the GCR and the 2030 Agenda. It aims “to foster the conditions, partnerships, collaboration and approaches that lead to all refugee, asylum seeker, returnee and stateless children and youth and their hosting communities, including the internally displaced in those communities, to access inclusive and equitable quality education that enables them to learn, thrive and develop their potential, build individual and collective resilience and contribute to peaceful coexistence and civil society” (UNHCR 2019b:6; see also <https://www.unhcr.org/education.html>).

Health⁶

The draft Global Action Plan to promote the health of refugees and migrants has been developed by the WHO in consultation with IOM, UNHCR and other partners (WHO 2019). It is aligned with Agenda 2030 and the GCR and aims to provide short- and long-term health responses. It is based on the premise

⁶ See also <https://www.unhcr.org/health.html>, accessed 6 October 2020, and <https://www.unhcr.org/public-health.html> for updates on relevant health initiatives, accessed 6 October 2020.

that, regardless of nationality and legal status, access to health care should be universal and equitable. The draft action plan has three priorities:

- to promote the health of refugees and migrants through short-term and long-term public health interventions;
- to promote continuity and quality of essential health care, while developing, reinforcing and implementing occupational health and safety measures; and
- to advocate the mainstreaming of refugee and migrant health into global, regional and country agendas; the promotion of refugee-sensitive and migrant-sensitive health policies and legal and social protection; the health and well-being of refugee and migrant women, children and adolescents; and gender equality and empowerment of refugee and migrant women and girls.

Livelihoods, employment and social protection

Improving livelihoods through socioeconomic inclusion involves access to labour markets, finance, entrepreneurship and economic opportunities and is a key component in achieving protection and longer-term solutions for forcibly displaced populations as well as vulnerable and underserved groups of the host community (UNHCR n.d.). The UNDP 3x6 approach has found targeting displaced populations and vulnerable host communities together in livelihoods programming is essential for socioeconomic integration (UNDP 2016). Digital platforms and tools can also offer opportunities for displaced people and host community members to access livelihood opportunities (UNDP 2020a).

Although there is growing consensus that access by refugees and other forcibly displaced persons to labour markets and productive employment is of critical importance, ILO reports that member States have found providing this access challenging. Programmes facilitating access to labour markets incur initial costs, but there are long-term benefits for the economy, development and social cohesion. The ILO argues that expenditure on inclusion policies and programmes can be a form of expansionary fiscal policy in emerging and more recently emerging economies, as well as in advanced economies (ILO 2016). Livelihood and employment opportunities must be complemented by appropriate social protection mechanisms for displaced populations, providing income or in-kind transfers in the case of lifecycle or market risks. Social protection is increasingly considered as an important policy response in contexts of fragility and displacement to address poverty, vulnerability and social exclusion (Regional undg Working Group on Social Protection 2016; European Commission et al. 2018, and of high importance during the current Covid-19 pandemic, Gray Molina and Ortiz-Juarez 2020; UNHCR 2020b).

ILO standards and norms provide guidance on including refugees and displaced groups in the labour market (see, for example, Employment and Decent Work for Peace and Resilience Recommendation No. 205 (ILO 2017)) and evidence suggests that states are using these to help overcome some of the challenges. Promoting a shift from humanitarian to development assistance for forcibly displaced populations, through creating livelihood and employment opportunities and access to labour markets and social protection, contributes to the longer-term management of protracted displacement (ILO 2016:29; ILO 2017; UNHCR n.d.).

Local governance and RoL

Good governance and RoL are essential for the effective promotion, respect and protection of the rights of asylum seekers, refugees, IDPs, stateless persons, returnees and the local population to access public services. They provide longer-term development responses, promoting peace and facilitating durable solutions to displacement (UNHCR and UNDP 2020a). UNDP and UNHCR already collaborate on governance and RoL and, according to the joint draft strategy, do so across the HDP nexus. The new joint framework aims to strengthen collaboration, in particular for longer-term developmental support of governance and RoL, to facilitate fulfilment of the GCR. The key objectives are:

- to provide local governance and RoL institutions with adequate tools and knowledge to work across the HDP nexus to address situations of protracted and recurrent displacement;

- to provide technical and financial support to sustain and promote successful programming in identified country or cross-border situations; and
- to share lessons and experiences from RoL and governance programming with national and local partners and practitioners to prepare, prevent and address situations of displacement (UNHCR and UNDP 2020a).

Statelessness and legal identity

In line with the Global Action Plan to End Statelessness, UNHCR (2017) aims to work with UNDP, which has an important role in preventing and reducing statelessness as part of its work on governance, RoL, access to justice, electoral assistance, institutions and livelihoods (Lawry-White 2017:28).

Fourteen UN agencies are working toward SDG 16.9 “legal identity for all”, under the UN Legal Identity Agenda Task Force, which is co-chaired by UNDP, UN DESA and UNICEF. UNHCR is an active member.⁷

UNDP-UNHCR joint action plan⁸

The UNDP-UNHCR joint action plan was initiated in 2017 and is regularly updated (latest version available for this study: April 2020). This study and the development of a ToC are among the agreed activities. Programme activities include:

- collaboration on the COVID-19 response;
- operationalization of the GCR;
- implementation of the SDGs and advocacy for inclusion in national and local development programmes;
- RoL, human rights, access to justice, community security and local governance;
- livelihoods programming in areas of forced displacement;
- partnership in early warning and preparedness to crisis;
- collaboration on internal displacement;
- collaboration on environmental issues; and
- collaboration on joint regional and country approaches.

The two agencies have also identified various support areas:

- UNDP-UNHCR Joint Resource Mobilization Action Plan;
- staff exchanges and secondments;
- joint trainings and workshops; and
- joint senior missions.

Clarification of the peace pillar

When the scope of the peace element of the HDP nexus is agreed it could affect funding opportunities and coordination structures. The OECD States of Fragility Report (OECD 2018) attempts to define peace and its scope. A new edition of this report is forthcoming.

HDP nexus best practice review

In 2020 the OECD DAC will review ongoing HDP nexus initiatives to identify best practices and obstacles in operating the nexus.

⁷ See also <https://www.unhcr.org/ending-statelessness.html>, accessed 6 October 2020.

⁸ Updated by Kaori Kawarabayashi, UNHCR, 10 June 2020.

Abbreviations and Acronyms

CARE	Cooperative for Assistance and Relief Everywhere
CRRF	Comprehensive Refugee Response Framework
DAC	Development Assistance Committee
DDR	disarmament, demobilization and reintegration
DPN	Development-Peace nexus
DRR	disaster risk reduction
GCR	Global Compact on Refugees
HDN	Humanitarian-Development nexus
HDP nexus	Humanitarian-Development-Peace nexus
HRP	Humanitarian Response Plan
IASC	Inter-Agency Standing Committee
IDP	internally displaced person
IHL	international humanitarian law
ILO	International Labour Organization
IOM	International Organization for Migration
JSC	Joint Steering Committee to Advance Humanitarian and Development Collaboration
MEAL	Monitoring, Evaluation, Accountability and Learning
NDP	National Development Plan
NFI	Non-food items
NRM	Natural resource management
NWoW	New Ways of Working
OCHA	Office for the Coordination of Humanitarian Affairs
OECD	Organisation for Economic Co-operation and Development
PVE	preventing violent extremism
PwD	persons with disabilities
RoL	rule of law
RRP	Regional Response Plan
SALAM	Support Afghanistan Livelihoods and Mobility
SDGs	Sustainable Development Goals
SSR	security sector reform
ToC	Theory of Change
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNRISD	United Nations Research Institute for Social Development
UNSDCF	United Nations Sustainable Development Cooperation Framework
WHO	World Health Organization
WHS	World Humanitarian Summit

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Table A1. UNDP and UNHCR Commitments to the GCR and SDGs

ToC: Integrated Solutions	Pillars					Cross-Cutting Issues			
	Basic Needs	Services	Livelihoods/ Employment	Governance	Hard Peace	Legal Protection	Social Cohesion	Gender & Diversity	Environmental Management
GCR	78-79 Accommodation energy & NRM 80-81 Food security & nutrition	72-73 Health 68-69 Education	70-71 Jobs/livelihoods Specific UNDP GCR pledge	84 Fostering good relations & peaceful coexistence 97-98 Local integration	8-9 Preventing & addressing root causes	59-60 Attending specific needs 61-63 Identify protection needs 97-98 Local integration	8-9 Preventing & addressing root causes 97-98 Local integration Specific UNDP GRF pledge	74-75 Women/girls/PwD 76-77 Children, adolescents, youth	8-9 Preventing & addressing root causes 78-79 Accommodation Energy & NRM
SDG UNHCR	1 No poverty 2 No hunger 7 Affordable & clean energy	1 No poverty 3 Health 4 Education 6 Clean water sanitation 7 Affordable & clean energy 11 Sustainable cities & communities	8 Work & economic growth	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	5 Gender equality	7 Affordable & clean energy 13 Climate action
SDG UNDP	1 No poverty 7 Affordable & clean energy	1 (1.4) No poverty 7 Affordable & clean energy 11 Sustainable cities & communities	8 Work & economic growth	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	10 Reduce inequalities 16 Peace, justice & strong institutions	5 Gender equality	13 Climate action 15 Life on land

Note: UNDP has an integrator role for the SDGs and UNHCR a catalytic and supporter role for the GCR (GCR 2018:para 101). GCR–Global Compact on Refugees; NRM–natural resource management; SDGs–Sustainable Development Goals; ToC–Theory of Change.

Table A2. A Simplified Application of the Theory of Change to an Actual Project in Turkey

Turkey: Waste Management in Response to the Syria Crisis					
HDP Nexus/ Cross-cutting issues	Basic needs	Services	Livelihoods/ Employment/Social protection	Soft peace	Hard peace
Project activities	Upgrade waste management to improve sanitation	Upgrade waste management services for the long term Waste management for refugees Transitions to inclusion in national systems		Support municipalities to upgrade waste management	
Social cohesion & peaceful coexistence		Refugee & host populations benefit Tensions about waste & environmental damage reduced			
Environment		Waste management services protect the environment		Municipal waste management policies & procedures protect the environment	

Note: This table is a simplified application of the ToC to a UNDP project showing how it addresses the HDP nexus through humanitarian, development and peace activities. It also shows contributions to two cross-cutting issues (social cohesion; environment). For more details see related Scoping Study (UNRISD 2020). HDP–Humanitarian-Development-Peace; ToC–Theory of Change.

Table A3. A Simplified Application of the Theory of Change to a Planned Project in Malawi

Malawi: Registration and ID Cards for Refugees					
HDP Nexus/ Cross-cutting issues	Basic needs	Services	Livelihoods/ Employment/Social protection	Soft peace	Hard peace
Project activities				Strengthen capacity of government institutions Contribute to RoL through development of accurate host & refugee data Refugees transition into national systems	
Legal identity & protection	Improve legal protection through registration & ID cards	Improve access to services through registration & ID cards	Limited number of work permits available to registered refugees	Register refugees and provide ID cards	
Gender & diversity				All refugees (men and women) over the age of 16 to be registered	

Note: This project is in the planning phase. The table is a simplified application of the ToC to a UNHCR-UNDP project showing how it addresses the HDP nexus through humanitarian, development and peace activities. It also shows contributions to two cross-cutting issues (legal identity; gender). For more details see related Scoping Study (UNRISD 2020). HDP–Humanitarian-Development-Peace; RoL–rule of law; ToC–Theory of Change.