

IPA III Results Framework Indicator Methodology Note

1. Indicator code and name
IPA III RF 1.4.2.1: Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support
2. Technical details
<p><u>OPSYS and Results Dashboard code:</u> 65236.</p> <p><u>Unit of measure:</u> Number of (#).</p> <p><u>Type of indicator:</u> <i>Quantitative: Numeric; Actual (ex-post); Cumulative (not annual).</i></p> <p><u>Level of measurement:</u> Specific Objective - Outcome; Direct Output; Output</p> <p><u>Disaggregation:</u> Where relevant / possible, please disaggregate by:</p> <ul style="list-style-type: none"> • gender; • age group (under 15; 16-19; 20-24; 25-34; 35-65; 66 and over) or at least adults vs. minors i.e. under 18; • unaccompanied versus accompanied minors; and • origin. <p><u>DAC sector codes:</u> 15130</p> <p><u>Main associated SDG:</u></p> <ul style="list-style-type: none"> • SDG 10 - Reduce inequality within and among countries • SDG 16: Peace, Justice and Strong institutions . <p><u>Other associated SDGs:</u> n/a .</p> <p><u>Associated IPA III Level 1 indicator:</u> Number of refugees, asylum-seekers and other persons of concern to the UNHCR by situation. (Source: UNHCR) (Ind. 1.4.2)</p> <p><u>Associated IPA III Level 3 indicators:</u> Amount and share of EU-funded external assistance directed towards migration and forced displacement-related interventions [SP] .</p>
3. Policy context and Rationale
<ul style="list-style-type: none"> • IPA III PF: This indicator is included in IPA III Results Framework for its relevance to Window 1 Rule of law, Fundamental rights and Democracy – Thematic priority 4 Migration and border management. • Chapter of the <i>Acquis</i>. The main concerned chapters of the EU <i>Acquis</i> relative to this indicator are Chapter 23 Judiciary and Fundamental rights and Chapter 24 Justice, Freedom and Security. • The indicator corresponds to GEF ind. 2.20: Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support. <p>The specific objective of IPA III in the area of Migration and border management “is to further step up strategic and operational cooperation on migration, along different pillars: irregular migration, border management, international protection and legal migration. Efforts are aimed especially at developing the necessary institutional framework and capacities that are necessary to manage migration in all its aspects. [The] alignment with EU and international standards on</p>

the external and internal dimensions of migration, including the New Pact on Migration and Asylum [is also a key aim].” (IPA III Programming Framework, pp. 16-17)

According to the Treaty on the Functioning of the EU (TFEU), the EU 'shall ensure the absence of internal border controls for persons' and shall 'frame a common policy on asylum, immigration and external border control, based on solidarity between Member States, which is fair towards third country nationals' (Article 67(2) TFEU). After reaching about 1.3 million in 2015, the total number of applications for international protection in the EU+ area (EU-27, Norway and Switzerland) dropped by half in 2017. Having decreased in 2020 due to the coronavirus pandemic, these numbers rebounded again in 2021, when 617 800 applications for international protection were recorded in the EU+ countries.

4. Values to report

- **Reporting values in the logframe:**
 - **Baseline value:** The value assumed by the indicator at time t0, against which progress will be assessed.
 - **Reporting of current value** is done at least once a year: actual latest value on the total number of migrants, refugees, and internally displaced people or individuals from host communities by the time of reporting and according to the applicable definitions provided in section 5 of the note. Values will be reported cumulatively across the whole implementation period.
 - **Final target value:** estimated total number of migrants, refugees, and internally displaced people or individuals from host communities by the target year and according to the applicable definitions provided in section 5 of the note.
- **Intermediate targets (milestones).** A tool has been developed in OPSYS to automate the generation of intermediate targets¹.
 - For outputs, the intermediate targets are generated using a linear interpolation between the baseline and target values because it is assumed that outputs materialise sooner and more progressively over implementation (than outcomes).
 - For outcomes, the expected progression over the course of implementation will vary across interventions. During the creation of a logframe, the expected outcome profile must be selected (OPSYS offers four options²) and this selection triggers the generation of intermediate targets for all 30 June and 31 December dates between the baseline and target dates for all output and outcome quantitative indicators. All automatically generated intermediate targets values and dates can be subsequently

¹ This has been done in the framework of the **Intervention Performance Assessment**. Two composite indicators have been developed to provide an overall assessment of an intervention's current implementation and future prospects. These scores will be calculated for all NEAR interventions participating in the annual results data collection exercise.

- The **implementation score** reflects the relevance, efficiency and effectiveness already achieved by the intervention. The information on relevance is provided by the Operational manager's response to a question in a survey. The information on efficiency and effectiveness is provided by the logframe data, if sufficiently available, or the response to a question in a survey, if not.
- The **risk score** reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability to be achieved by the intervention in the future. In this case, all the information is provided by the Operational manager's responses to questions in a survey.

² a. Constant: The outcomes are achieved continuously throughout implementation; b. Accelerating: The outcomes are achieved towards the end of implementation; c. At the end: The outcomes are mostly achieved at the end of implementation; d. None of the above.

modified by the Operational Manager or the Implementing Partner with the approval of the Operational Manager.
5. Calculation of values
<p>The value for this indicator is calculated by counting the Number of migrants, refugees, and internally displaced people or individuals from host communities, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.</p> <p><u>Technical Definitions</u></p> <ul style="list-style-type: none"> • Migrants in this context are considered to be <i>international</i> migrants: people who change their country of usual residence, irrespective of the reason for migration or legal status. Generally, a distinction is made between short-term or temporary migration, covering movements with a duration between three and 12 months, and long-term or permanent migration, referring to a change of country of residence for a duration of one year or more. • Refugees are persons who are outside their country of origin for reasons of feared persecution, conflict, generalized violence, or other circumstances that have seriously disturbed public order and, as a result, require international protection. • Internally displaced persons (IDPs) are persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of - or in order to avoid - the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognised state border. • For more on definitions of these groups see https://refugeesmigrants.un.org/ • A host community in this context refers to the country of present stay (or asylum) and to the local, regional and national governmental, social and economic structures within which refugees live. Urban refugees live within host communities with or without legal status and recognition by the host community. • Examples of protection measures and assistance include support in the areas of medical services and psycho-social assistance, access to basic services, training, skills development, legal assistance, voluntary return assistance (pre-departure counselling, assistance to obtain travel documents, transportation means, travel escorts and direct/immediate assistance upon arrival), reintegration services (housing, family tracing, documentation like birth certificate, work permit, driving license, etc.). <p><u>Counting Guidance</u></p> <ul style="list-style-type: none"> • It is not sufficient for individuals to have been protected or assisted; they have to be protected or assisted with EU assistance. • There is a significant risk of double counting as it is likely that individuals participate in several activities, implemented by different actors. If the same person benefits from different activities during the same reporting period, the individual should only be counted once against this indicator though he/she may be reported against several other customised indicators. It will be practically very difficult for implementing organisation(s) to keep records of participants across different activities. However, as it will not be sufficient to aggregate numbers of participants from these activities, the parties (NGOs, etc) carrying out the activities supporting migrants, refugees etc. will have to ask these individuals (and where possible check) whether they have participated in (a concrete set of) other activities that are being carried out in the same geographical area with the support of the EU. <p><u>Quality Control Checklist</u></p>

1. Has double counting been avoided as indicated in the Counting Guidance above?
2. Have all relevant disaggregations been reported?
3. Has the baseline and final target been encoded with the right dates?
4. Did you encode the latest current value available?
5. Did you use the comment box to inform on the values encoded?

6. Examples of calculations

Example A

An international NGO implements a programme aimed at strengthening the resilience and social cohesion in a region with many vulnerable migrants and refugees. The intervention plans to reach 2 500 individuals in need of which 25% local host community residents. The basis for the administration of the action consists of the ICLA (information, counselling and legal assistance) activities of the NGO.

The NGO uses a baseline survey to register potential participants to the programme, sometimes directly upon arrival in refugee camps but also in open counselling centres throughout several cities and villages. The baseline survey corresponds to, and is supplemented by, shorter questionnaires to be filled out upon registration for specific services that are offered in the framework of the programme.

The baseline values for all 4 categories of individuals in need are set to zero.

During the first year of the programme, 1 240 individuals fill in the baseline survey. This is corrected to 1 199 after removing from the database the people who turn out to have filled in the survey twice. From the service-based questionnaires, it turns out the NGO has assisted individuals 2 967 times. In 1 540 cases, the person filling out the questionnaire indicated to have received one or more other services provided by this programme.

The progress report for the first year reports a total number of 1 427 (2 967 - 1 540) individuals assisted or protected, while indicators referring in particular to individuals benefitting from counselling, medical assistance, etc will report other figures.

It is quite likely that being based on questionnaires filled-out by the beneficiaries of the services, data on gender, age group and country of origin will be reported, if so, this data should also be reported as relevant.

Example B

An EU intervention is providing support to migrants in the form of psychological and legal assistance. In the period 2014-2015, the following results were achieved by the intervention.

- 203 persons received information on integration, legal residence;
- 160 persons provided with legal assistance;
- 100 persons were helped in applying for family reunification (all of whom also received legal assistance);
- 200 persons received psychological and social assistance;

110 persons were provided with support and information on possible return to the home country.

From the information above, we know all beneficiaries provided with support on family unification were also provided with legal assistance. In all other cases, the report of the implementing partner specifies that target groups of the different set of activities were different. Considering only unique number of individuals, the final value for this indicator corresponds to: $203+160+200+110 = 673$

7. Data sources and issues

Data sources in the logframe:

- Data for this indicator must derive directly from the intervention, i.e. intervention internal monitoring and reporting systems from implementing organisations (e.g. governments, international organisations, non-state actors). This often means that implementing parties will require (often small) NGOs to report numbers of participants on a regular basis.
- Other possible sources include studies carried out in the framework of the interventions and external monitoring and/or evaluation reports.

Data source categories specified in OPSYS:

- EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention; Baseline and endline surveys conducted and budgeted by the EU-funded intervention ; ROM reviews)

8. Reporting process & Corporate reporting

Who is responsible for collecting and reporting the data?

- The implementing partner (i.e. the entity responsible for delivering the results) will need to ensure the counting starts at the lowest level of intervention and is reported upwards and aggregated for the entire intervention in the framework of regular monitoring and reporting systems.
- Data verification:
 - For indirect management by beneficiary countries, the National IPA Coordinator will verify the data.
 - For other modes of implementation, the Operational Manager in HQs/EUD will verify the data.
- It is then the responsibility of DG NEAR to centrally receive and verify data for this indicator from all relevant interventions and to eventually ensure aggregation within and across all IPA Beneficiaries.

This indicator is used for corporate reporting in the following contexts:

- IPA III via the Annual Report
- IPA III via the Programme Performance Statements
- NEAR Strategic Plan via the Annual Activity Report

This indicator has been included in the following other Results Measurement Frameworks:

- NDICI (GERF 2.20)
- TEI-MORE

9. Other uses

IPA III RF 1.4.2.1 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- Forced Displacement (ForcedDisp);
- GE RF - Level 2 (GERF L-2);
- IPA III RF Window 1: Rule of law, fundamental rights and democracy (IPA III W1);
- NEAR GERF L2 (GERF 2);

- Team Europe Initiative - MORE Framework (TEI-MORE)

For more information, see: [Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev \(europa.eu\)](#)

Other organisations use similar indicators, e.g. UNDP - Number and proportion of people accessing basic services, disaggregated by target groups: a) Poor; b) Women; c) People with disabilities; d) Youth; e) Displaced population; f) Other marginalised group.

10. Other issues

Confidentiality is an important aspect and potentially extreme sensitivity for data on refugees and internally displaced persons.

Capturing the number of beneficiaries may be more difficult for interventions working with migrants and forcibly displaced people due their high mobility rate, potential sensitivities to questions and/or language difficulties.