

Asylum Capacity Self-Assessment Questionnaire

Guidance and instructions for asylum authorities in using the Kobo tool.

1. Purpose

The Asylum Capacity Self-Assessment Questionnaire has been developed by UNHCR for national asylum authorities wishing to assess their capacity. It is intended to assist such authorities in analyzing their normative framework and institutional considerations in accordance with international standards. Ultimately, it helps them to identify strengths, weaknesses, gaps and areas for prioritizing institutional capacity development within the asylum system.

2. Questionnaire

This Kobo form is composed of **9 modules** and **20 sub-modules**, with a total of **564 statements** to assess. For the detailed structure and content, see the '*Structure and Content of the Asylum Capacity Self-Assessment Questionnaire*' document.

The Questionnaire is recommended to be used as the core data collection methodology for the capacity assessment. It is designed to fit any type of asylum system and context and provides information about the strengths, weaknesses and gaps in the asylum system. The modules of the Questionnaire are composed of statements to which respondent(s) answer on a scale indicating their level of agreement. The statements are organized around topics with the first four modules as core modules of analysis that have hence been made mandatory and an additional five optional modules also available. **The assessment team should customize the Questionnaire to suit their needs by selecting from the optional modules and sub-modules those that are relevant to the focus of the assessment.** The Questionnaire has a pre-defined scoring scheme and analysis framework.

Additionally, estimated timeframes required for a multi-functional team to complete the Self-Assessment Questionnaire are included below:

Mandatory modules:

- **Module 1. Enabling Environment** – 25 minutes
- **Module 2. Normative Framework** – 1.15 hours
- **Module 3. Stakeholder Engagement** – 25 minutes
- **Module 4. Planning and Resources Management** – 50 minutes

Optional modules:

- **Module 5. Operational Considerations** – 2.30 hours
- **Module 6. Processing of Personal Data and File Management System** – 1.15 hours
- **Module 7. Workforce** – 2 hours
- **Module 8. Material Assets and Infrastructure** – 50 minutes
- **Module 9. Oversight, Feedback Mechanisms and Risk Mitigation** – 2 hours

When filling in the Questionnaire, each statement should be given an answer option ranging from “not at all” to “very large extent”. If a multi-stakeholder team approach is taken, one Questionnaire should be completed amongst all participants, after discussion and agreement. Implementation of the Questionnaire through a survey provides a multitude of individual responses by respondents which need to be aggregated to reflect an average of the scores. Particularly if implemented as a survey, it is important that all respondents have a common understanding about the answer options. For the last implementation option, the “don’t know” answer is available to address the situation where some personnel with specific technical know-how at the individual/organizational level lack knowledge about certain topics.

0	Not at all	"Not at all" can be used whenever a "no" is the answer to the statement at hand.
1	Small extent	Basic elements of the information contained in the statement are available in the asylum system.
2	Moderate extent	The statement is true on average though important actions still need to be undertaken to fully address the topic of the statement.
3	Large extent	Substantial actions have been undertaken in the asylum system though the policies/systems/processes and practices are not adequately in line with the topic of the statement.
4	Very large extent	The information mentioned in the statement is almost perfectly in line with the policies/systems/processes and practices in the asylum system.
N/A	Don't know	The respondent is not sure or has no strong opinion in relation with the information mentioned in the statement or can also genuinely ignore how to assess it. The use of "don't know" is particularly relevant when the Questionnaire is used as a survey with stakeholders who individually fill out the Questionnaire or relevant parts
N/A	Not Applicable	The topic addressed in the statement has no relevance to the asylum system in question.

The Questionnaire is scored by assigning points to each answer option (from 0 to 4 and N/A). For the purposes of the analysis, the number of points reached by the respondent(s) and the maximum number of points for the module is then used to calculate a percentage score. "Not applicable" and "Don't know" do not affect the score. Respondents can provide comments along the different modules and sub-modules in the dedicated boxes: "Comments and notes to inform on priority areas". This will provide qualitative information to make the body of evidence richer and feed into recommendations and prioritization later during the validation workshop of the assessment process.

3. Reporting period

States users can add the starting date of the asylum capacity assessment under the 'Organizational information'. Data from the first self-assessment (Period 1) is baseline. Baseline data from Period 2 is equivalent to data for Period 1, and so on. Progress can thus be measured over time. It is also possible to have longer reporting intervals (for example to align with an Asylum Capacity Development multi-year strategy). Ultimately, assessment users can access the data at a later date, re-take the assessment and analyze what changes have occurred.

4. Method

There is no one-size-fits all approach to answer this Kobo form; though a multi-stakeholder should assemble (either virtually or face-to-face) to answer the Self-Assessment Questionnaire. Hence, the assessment team should decide between the following two approaches:

- 1) A multi-stakeholder team, composed of the relevant actors, that goes through each question together and makes a reasoned estimation of the value to attribute to each answer; or,
- 2) The different relevant stakeholders who individually fill out the Questionnaire or relevant parts. The final scores for each question will be determined based on an average of their respective scores.

The choice of the approach will depend on context. For example, if the scope of the assessment is complex, with a wide range of stakeholders involved in the process, the second option is more appropriate. If the first option is selected, it is important that the multi-stakeholder team is supported by technical personnel who can speak to questions in specific modules and sub-modules. With that, complementary information will be given to provide an accurate picture of the reality in the country.

5. Outcome

Once the Asylum Capacity Self-Assessment Questionnaire is completed, a dashboard will be generated through Power Bi. The link to the dashboard will be sent by email directly to the assessment coordinator. A static report can also be printed out on the dashboard to support the multi-stakeholder discussion to validate the results of the assessment (i.e. validation workshop).

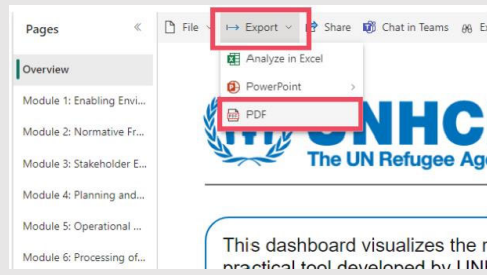
Instructions on how to navigate the dashboard

The dashboard consists of 15 tabs: A tab with instructions for the use of the dashboard, an overview tab, a tab for each of the 9 modules, a tab for each thematic tag, and a tab presenting qualitative comments manually entered throughout the Questionnaire. To navigate between tabs, users should use the buttons on the left-hand side of the screen.

By dragging the cursor over the module in the overview tab, it is possible to display their names. In every module and thematic tabs, another layer of results is accessible, providing an overview of the answers to all the questions that were undertaken. This includes a color-coding indication equivalent to the main color-coding system explained in the overview tab.

When several assessments have been completed, it is possible to filter the results by the date of the assessment and also display all results to measure progress over time. Graphs are included in every tab of the dashboard to facilitate the comparison of results between the different assessment exercises.

To convert the dashboard for printing, the user can click at the "Export" button in the top menu:



The dashboard visualizes the results of the Asylum Capacity Self-Assessment Questionnaire, providing scores per module and selected sub-module. It also provides complementary data analysis on broader thematic comparisons on:

- 1) The level of capacity (individual, organizational and/or enabling environment);
- 2) Stages in the national asylum system that are relevant to ensuring access to asylum and entitlement to refugee status (registration, RSD first instance and RSD appeal process); and,
- 3) The institutional structures and mechanisms for decision-making.

The average percentage score per module, sub-module and thematic will assist the assessment team identify areas requiring particular attention:

- **The average score is below 60%:** Generally, priority action should be taken to address the situation. For example, if the score of the sub-module 'General' in the module 'Processing of Personal Data and File Management' is 20%, this outlines that data protection in the asylum procedure is weak and there is a high risk of a data breach. This may represent a priority area to reflect on during the multi-stakeholder validation discussion while exploring the root causes of this weakness/gap.
- **The average score is between 60 and 80%:** Action should be taken to build on or consolidate the area in question.
- **The average score is over 80%:** The related thematic area assessed could be seen as a relative strength in the asylum system. Action can be taken to further enhance capacity as deemed fit.

6. Practical suggestions

In case of poor connectivity, UNHCR recommends printing out the entire Kobo form, which the respondent(s) can use to mark down its responses. For the vast majority of questions, the respondent(s) will have the knowledge to answer each question, without referring to any document or having to conduct interviews or research. When the entire set of questions has been answered on paper, one designated person should enter all responses into Kobo.

7. Data ownership and usage

Data from the Kobo form will be stored in the UNHCR corporate Kobo server. Each country user will have access to its dedicated secured Kobo folder and retain ownership of and have access to the raw data (i.e. the answers to all questions from the Self-Assessment Kobo Questionnaire). Each country user will then be able to determine its own procedures for external reporting and sharing of results.

As Kobo is not intended for long-term data storage, UNHCR recommends that countries designate their own storage space for the data, such as a SharePoint folder. UNHCR developers can then connect the SharePoint folder to Power BI to allow for further data analysis.

8. Questions

Should you have any content-specific questions regarding this Questionnaire, please contact: acsg@unhcr.org. In case you face technical issues, UNHCR's Kobo Support Team can be reached at: kobohq@unhcr.org.