

Multilateral Organisation Performance Assessment Network

Technical Report

**United Nations High
Commissioner for Refugees
(UNHCR)**

**Volume I
Results by Micro-indicator and
by Country**

January 2015



Contents

1. Introduction	1
2. Respondent profile	1
3. Results of MOPAN assessment by micro-indicators	7
3.1 Organisational effectiveness component	7
3.1.1 KPI 1: Providing direction for results	7
3.1.2 KPI 2: Corporate strategy and mandate	10
3.1.3 KPI 3: Corporate focus on results	14
3.1.4 KPI 4: Focus on cross-cutting priorities	15
3.1.5 KPI 5: Country focus on results	19
3.1.6 KPI 6: Transparent and timely funding	24
3.1.7 KPI 7: Results-based budgeting	27
3.1.8 KPI 8: Financial accountability	29
3.1.9 KPI 9: Using performance information	35
3.1.10 KPI 10: Managing human resources	39
3.1.11 KPI 11: Performance-oriented programming	44
3.1.12 KPI 12: Delegating authority	46
3.1.13 KPI 13: Adherence to humanitarian principles and the UNHCR protection approach	48
3.1.14 KPI 14: Adjusting to local conditions and capacities	53
3.1.15 KPI 15: Contributing to policy dialogue	56
3.1.16 KPI 16: Cluster management	59
3.1.17 KPI 17: Harmonising procedures	63
3.1.18 KPI 18: Evaluating results	68
3.1.19 KPI 19: Presenting performance information	73
3.1.20 KPI 20: Disseminating lessons learned	77
3.2 Evidence of UNHCR's relevance and humanitarian results	79
3.2.1 KPI A: Evidence of UNHCR's relevance	79
3.2.2 KPI B: Evidence of progress towards organisation-wide results	81
3.2.3 KPI C: Evidence of progress towards stated country-level results	86
4. Results of MOPAN assessment by country	87
4.1 Introduction	87
4.2 Bangladesh	87
4.2.1 Country context	87
4.2.2 Profile of survey respondent groups in Bangladesh	88
4.2.3 Organisational effectiveness in Bangladesh	89
4.2.4 Evidence of relevance and contribution to humanitarian results in Bangladesh	93
4.3 Democratic Republic of Congo (DRC)	99
4.3.1 Profile of survey respondent groups in DRC	99
4.3.2 Country context	99
4.3.3 Profile of survey respondent groups in DRC	100
4.3.4 Organisational effectiveness in DRC	101
4.3.5 Evidence of relevance and contribution to humanitarian results in DRC	105
4.4 Ecuador	111

4.4.1	Profile of survey respondent groups in Ecuador	111
4.4.2	Country context	111
4.4.3	Profile of survey respondent groups in Ecuador	112
4.4.4	Organisational effectiveness in Ecuador	113
4.4.5	Evidence of relevance and contribution to humanitarian results in Ecuador	117
4.5	Kenya	121
4.5.1	Country context	121
4.5.2	Profile of survey respondent groups in Kenya	122
4.5.3	Organisational effectiveness in Kenya	123
4.5.4	Evidence of relevance and contribution to humanitarian results in Kenya	127
4.6	Tanzania	133
4.6.1	Country context	133
4.6.2	Profile of survey respondent groups in Tanzania	134
4.6.3	Organisational effectiveness in Tanzania	135
4.6.4	Evidence of relevance and contribution to humanitarian results in Tanzania	139
5.	Endnotes	144

1. Introduction

This Volume I of the Technical Report presents:

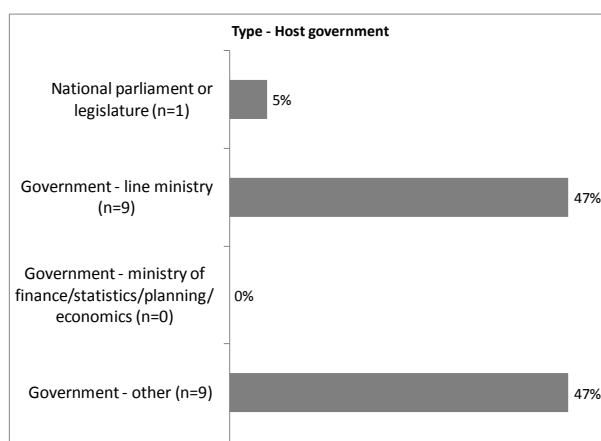
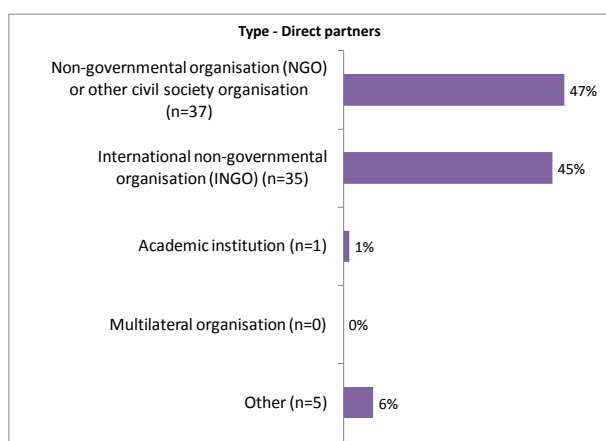
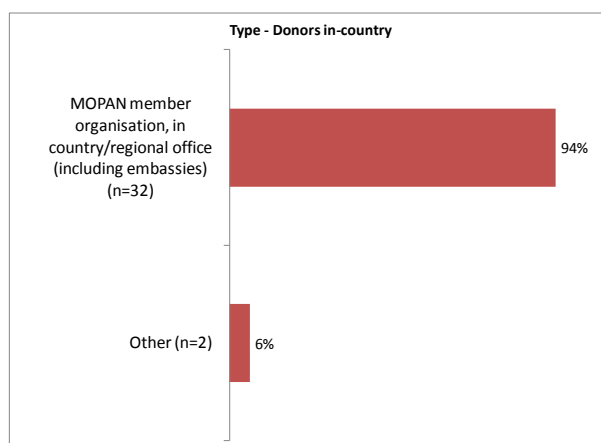
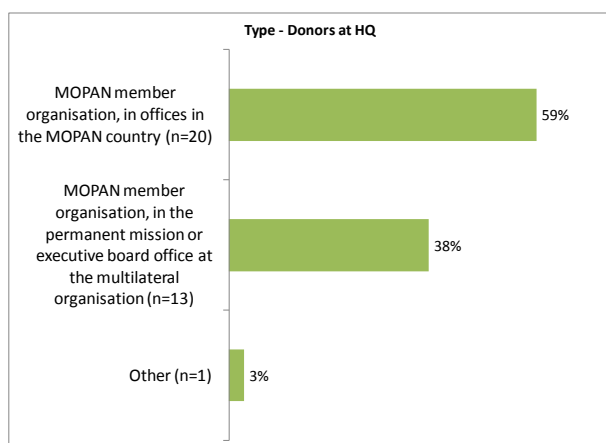
- The survey respondent profile (chapter 2)
- The detailed results of the MOPAN assessment for all micro-indicators for both the organisational effectiveness component and humanitarian results component (chapter 2)
- The detailed results of the MOPAN assessment by country (chapter 3).

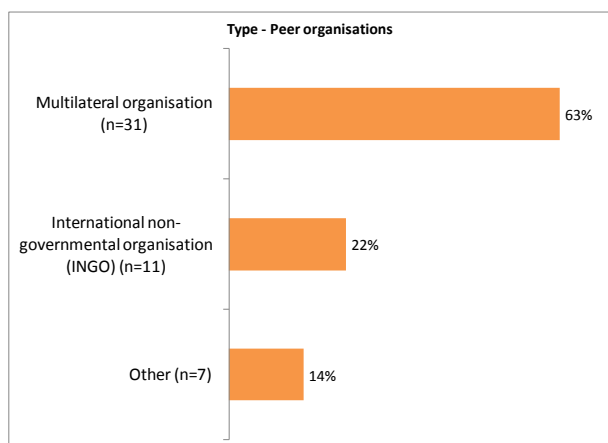
Volume II of the Technical Report presents the MOPAN 2014 methodology; the survey instrument; document review ratings, criteria and evidence by KPI and MI; and a bibliography.

2. Respondent profile

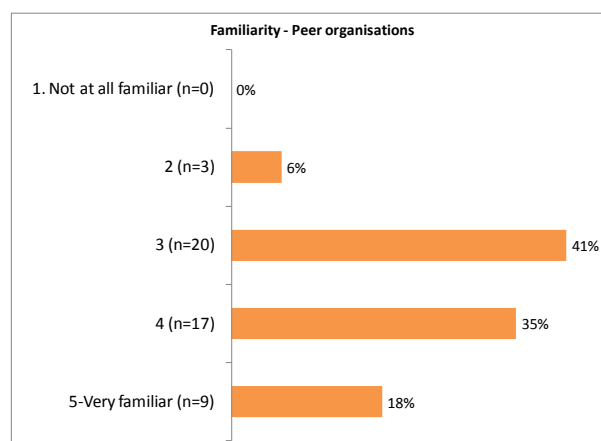
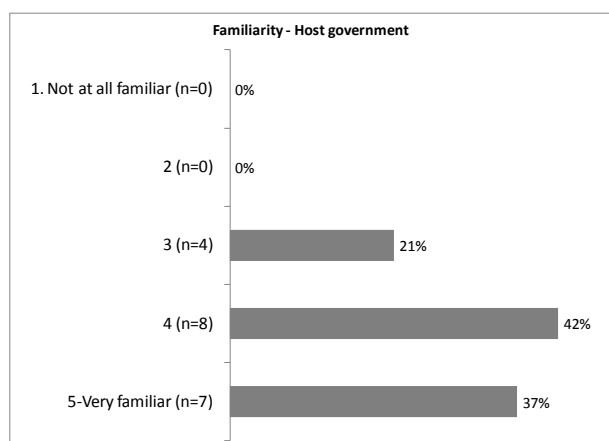
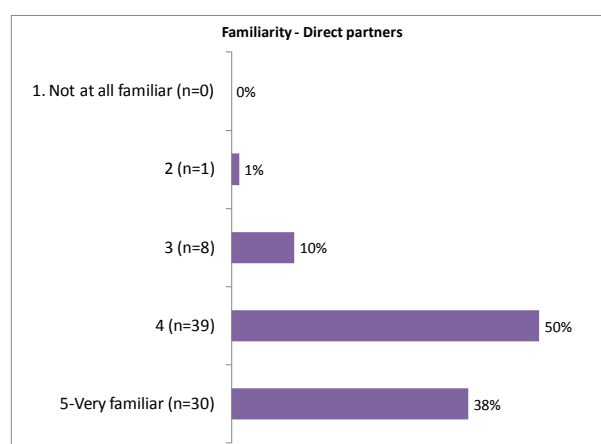
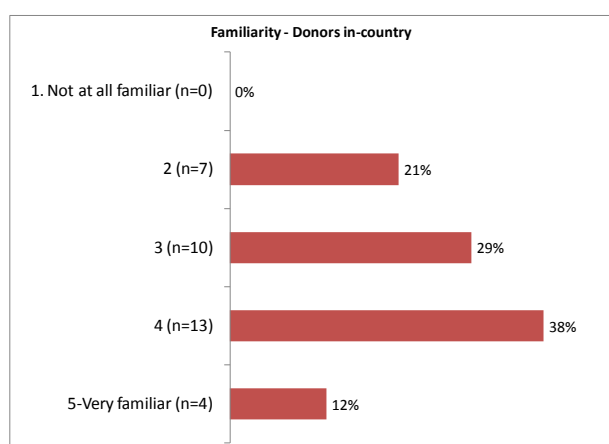
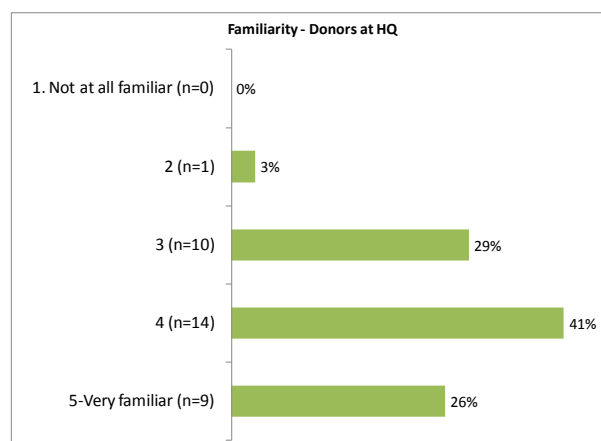
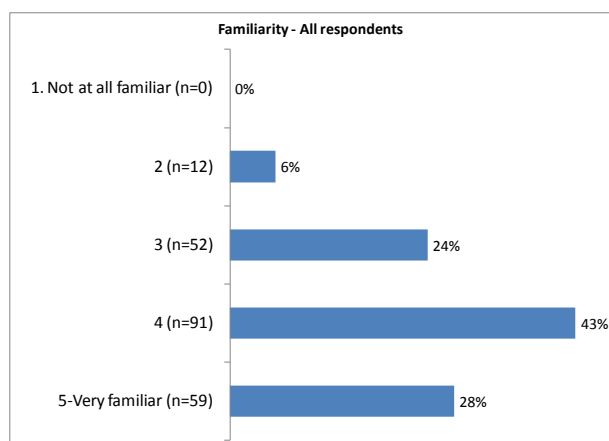
This section presents charts on various characteristics of respondents to the 2014 MOPAN survey on UNHCR. In the 2014 assessment, the survey results for UNHCR reflect the views of 214 respondents.

Type of respondents

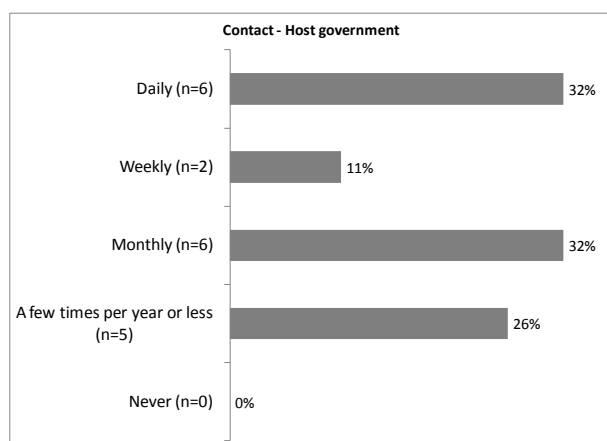
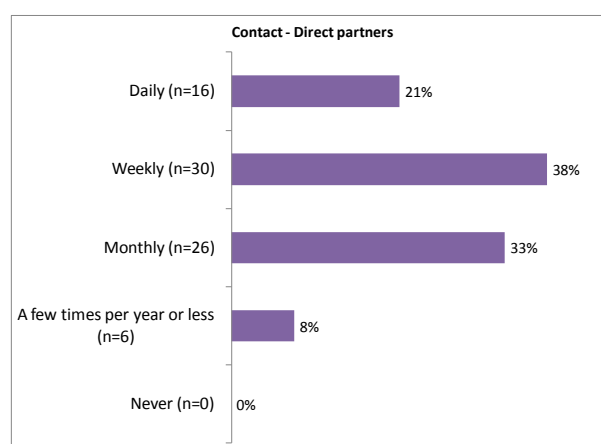
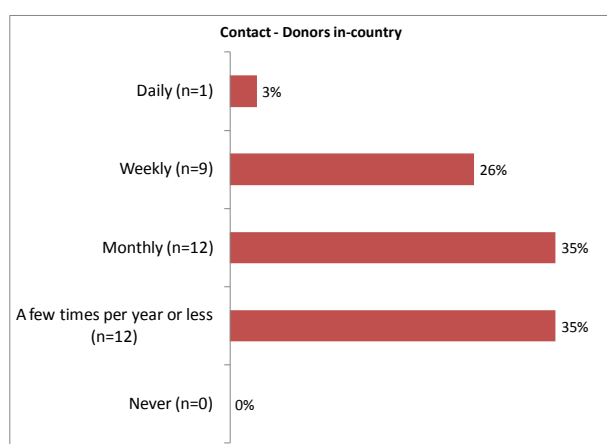
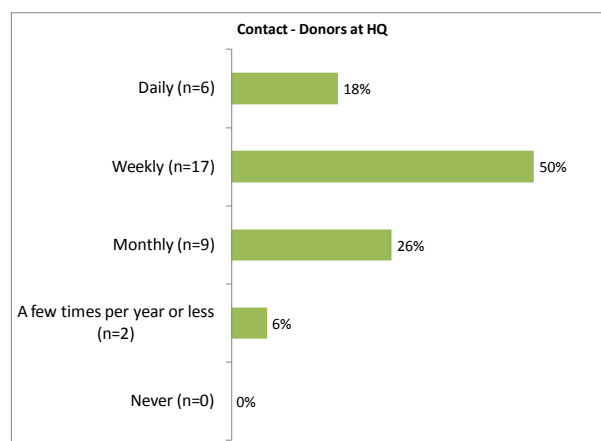
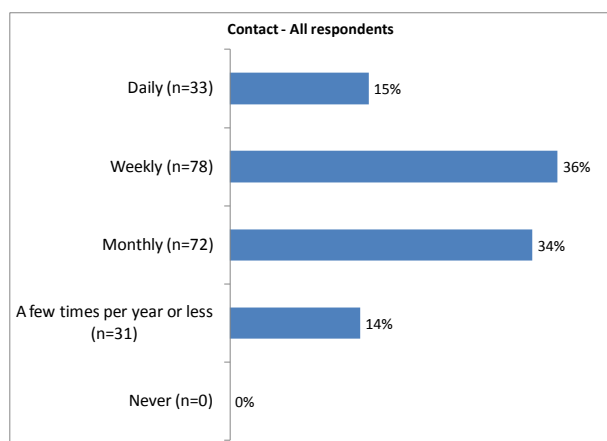




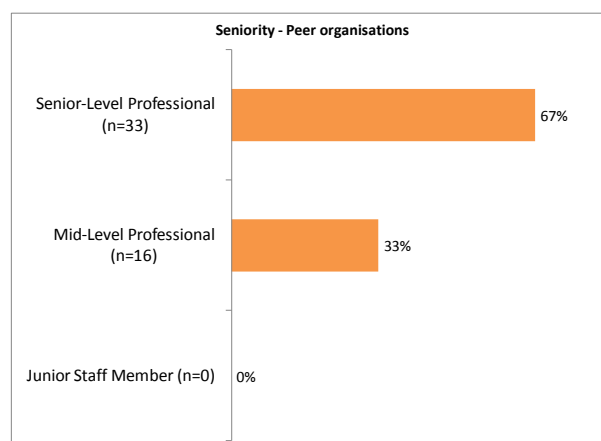
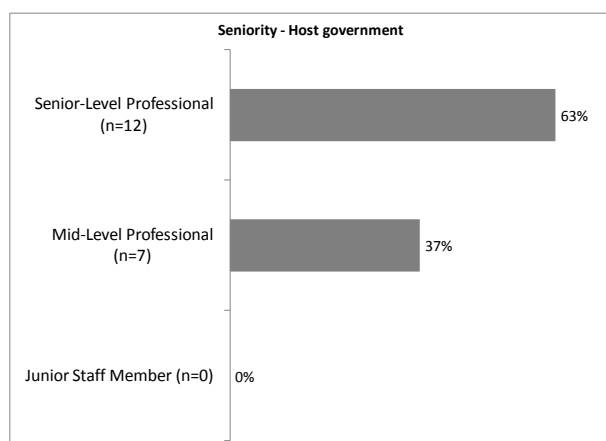
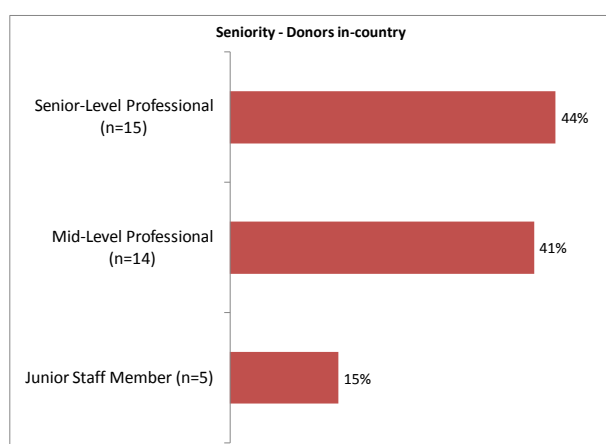
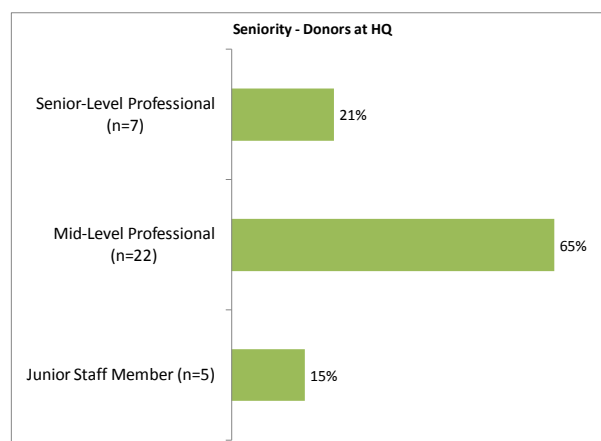
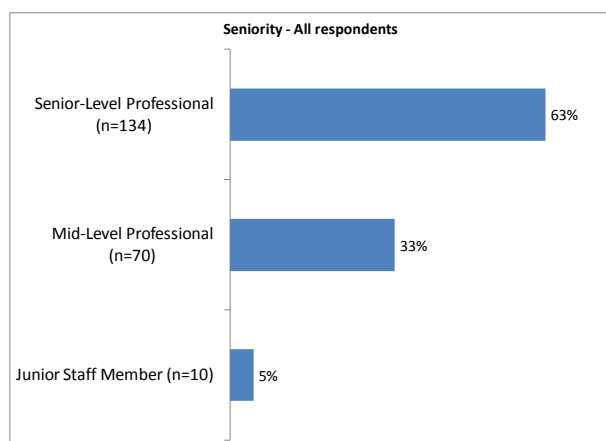
Respondent familiarity with multilateral organisation



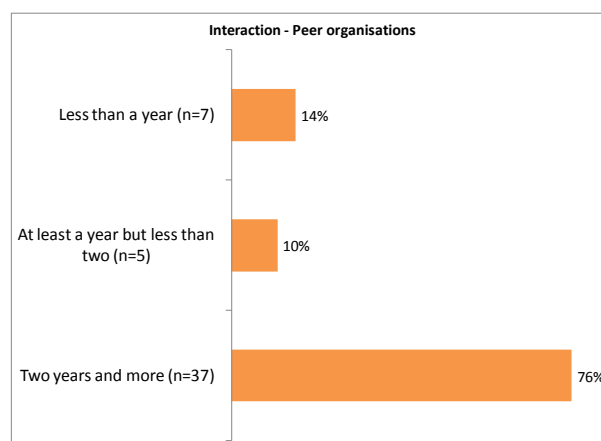
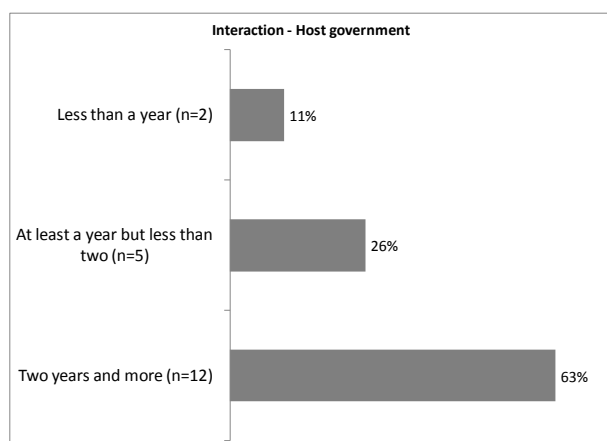
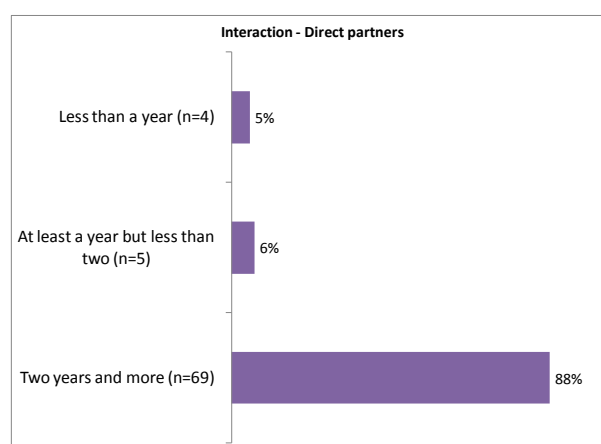
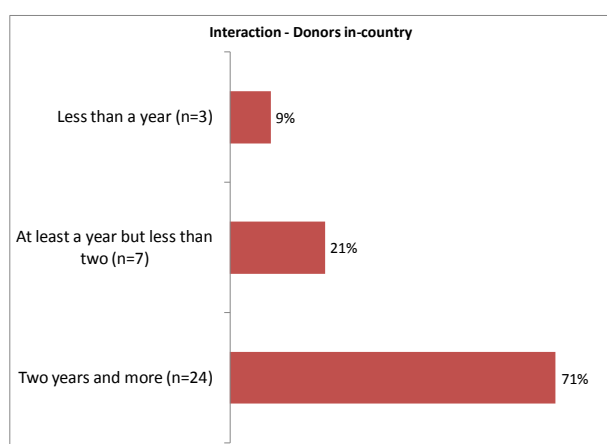
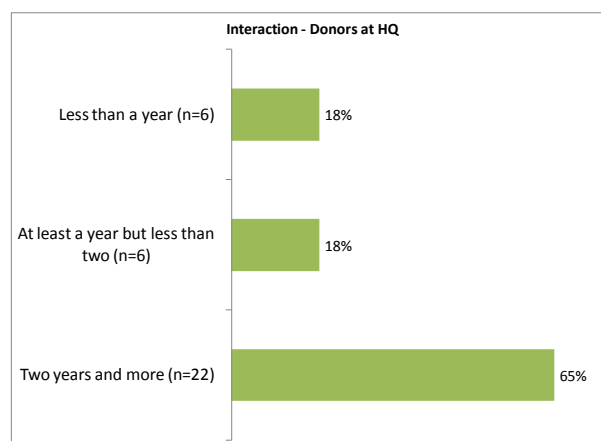
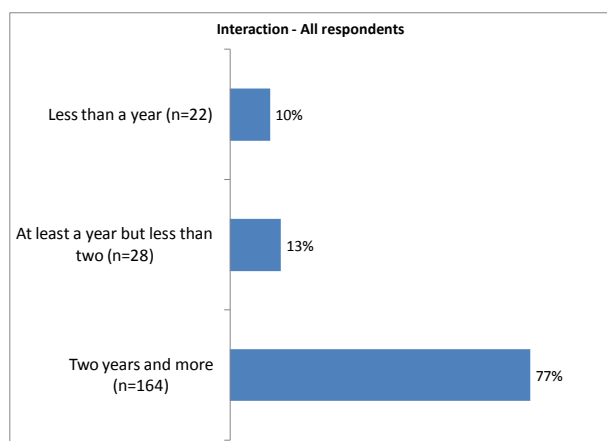
Respondent frequency of contact with multilateral organisation



Respondent level of seniority



Length of interaction with UNHCR



3. Results of MOPAN assessment by micro-indicators

3.1 Organisational effectiveness component

PERFORMANCE AREA I: STRATEGIC MANAGEMENT

3.1.1 KPI 1: Providing direction for results

KPI 1: The MO provides direction for the achievement of humanitarian results.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 1.1 – The MO has a value system that focuses on achievement of results for beneficiaries	4.63	--	All respondent groups were asked two questions on UNHCR’s institutional culture: i) whether it focuses on articulating results for beneficiaries; and ii) whether it promotes co-operation with partners to deliver results. More than half of respondents considered UNHCR strong or very strong on each question (respectively 59% and 52%), and there was strong agreement in particular across all five respondent groups (donors at headquarters, donors in-country, direct partners, host governments and peer organisations) on the first question, with these results being statistically significant.
MI 1.2 – The MO’s senior management shows leadership on results management	4.81	--	Donors at headquarters and host government respondents were consulted on UNHCR senior management’s leadership on results-based management. The majority (62%) perceived senior management’s performance as strong or very strong, 26% as adequate, and only 3% as inadequate or below.
MI 1.3 – The MO ensures application of an organisation-wide policy on results management	4.51	4	Donors at headquarters and direct partners were asked to rate UNHCR’s application of results-based management in its work. Donors responded less positively than direct partners (providing a rating of adequate instead of strong), and this difference is statistically significant. The document review rated UNHCR adequate on this MI. Ongoing efforts have been made to strengthen UNHCR’s results focus, in response to reports (such as the 2010 evaluation, “Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR”) that highlight the need to make additional efforts to foster a results-based management (RBM) culture in UNHCR by communicating the rationale and objectives of RBM (Allen & Li Rosi, 2010). Various corporate guidelines such as the Results-Based Management in UNHCR Handbook (UNHCR, n.d. [51]) and the RBM Framework (available on the Global Focus website) offer guidance on UNHCR’s

MI	Overall survey mean score	Document review rating	Observations
			<p>results-based management practices, although it is not clear which document is the main strategy or plan on RBM.</p> <p>UNHCR offers training to its staff on how to operationalise RBM, to assist them in preparing results-based plans and report on results achieved. In 2013, improvements were made to corporate tools supporting RBM (Focus Reader, TWINE, and Global Focus web portal which tracks information on baselines and targets for field operations), changes were made to UNHCR's results framework, and over 700 staff attended training sessions, workshops and webinars on RBM (UNHCR, 2014 [21]). In addition, the Global Focus Insight dashboard, a new business analysis tool that has been operational since mid-2013, brings together financial and performance information for senior managers across the organisation. It gives operations managers more opportunity to analyse trends (i.e. tracing and comparing back to 2010) and make full comparisons between country operations, and prompts a renewed focus on data quality.</p> <p>The 2010 evaluation of UNHCR's results-based approach, however, pointed out that the technical problems associated with the upgrade of the Focus Client software may have overshadowed discussions about the underlying purpose of the practice of managing for results (Allen & Li Rosi, 2010). UNHCR noted in a September 2013 response to a UN Board of Auditors recommendation that implementation of a new online system for results-based management had been slow. Indeed, testing of the software for the Global Focus results tracking system (i.e. Focus Client) identified ongoing challenges that have prevented UNHCR from completing the upgrade for use in operations. "Discussions are currently underway to decide on the best and most appropriate way forward for further system development, including how best to support project tracking taking into account the various approaches developed by operations and their interoperability with other systems." (UNHCR, 2013 [13])</p> <p>Relevant resources and accountability systems must be in place to support results-based management (Bester, 2012): this is an area for improvement at UNHCR, which acknowledged that it needs to improve direction on use of the budget structure, to assist country offices in planning and budgeting for long-term interventions. Field staff need assistance to strengthen capacity to track earmarked contributions and to track progress made towards the achievement of the global strategic objectives (UNHCR, 2010 [26]).</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.63	4.20	4.67	4.84	5.07	4.32	1.10	0.83	0.90	1.13	0.90	1.33
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.72	4.69	4.57	4.88	4.93	4.50	0.99	0.89	0.89	1.15	0.80	1.14

Survey mean scores								Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	4.53	3.72	4.76	4.81	5.20	4.14	1.21	0.77	0.90	1.10	0.99	1.51
MI 1.2	The MO's senior management shows leadership on results management	4.81	4.61	--	--	4.98	--	0.80	0.83	--	--	0.75	--
MI 1.3	The MO ensures application of an organisation-wide policy on results-based management	4.51	4.10	--	4.86	--	--	1.11	0.94	--	1.14	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 1.1	The MO has a value system that focuses on achievement of results for beneficiaries	12	7%	4	10%	5	19%	2	2%	0	0%	2	5%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	15	9%	5	15%	5	20%	2	3%	0	0%	3	7%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	9	6%	2	6%	5	19%	1	2%	0	0%	1	2%
MI 1.2	The MO's senior management shows leadership on results management	6	9%	6	18%	--	--	--	--	0	0%	--	--
MI 1.3	The MO ensures application of an organisation-wide policy on results-based management	6	8%	5	15%	--	--	1	1%	--	--	--	--

3.1.2 KPI 2: Corporate strategy and mandate

KPI 2: The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 2.1 – The MO's organisation-wide strategy is based on a clear definition of mandate	4.83	4	<p>Donors at headquarters, host governments and peer organisations were asked whether UNHCR has a clear mandate to protect: i) refugees, asylum seekers and stateless persons; and ii) internally displaced persons. While respondents considered the clarity of UNHCR's mandate for refugees, asylum seekers and stateless persons to be strong overall, they were less positive regarding its mandate for the internally displaced, rating it adequate.</p> <p>UNHCR's mandate has several elements. One is the Statute in resolution 428 of 14 December 1950 which stipulates that the High Commissioner “acting under the authority of the General Assembly, shall assume the function of providing international protection and of seeking permanent solutions for the problem of refugees.” (UNHCR, 1950 [01]) The Statute is not the only source of law of the High Commissioner and his office: the Statute has a couple of built-in provisions (Paragraphs three and nine) that left the door open to the General Assembly and the Economic and Social Council to permit the further evolution of the High Commissioner's functions and activities. UNHCR's mandate is also embedded in public international law, and in particular international treaty law (UNHCR, 2013 [02]).</p> <p>In addition to the mandate, two different sets of General Assembly resolutions are adopted annually: i) so –called “omnibus” resolutions referring to the High Commission and his Office in general, to its reports and to broader global developments in the area of forced displacement and ii) “situational” resolutions” which are country or region-specific. In addition the Executive Committee of the High Commissioner's Programme adopts conclusions annually on international protection, thus setting standards in the area of forced displacement and statelessness (UNHCR, 2013 [02]).</p> <p>UNHCR's mandate has been reviewed a number of times, particularly regarding its personal scope (its competence <i>ratione personae</i>). The persons of concern that fall within the High Commissioner's mandate have been clarified and extended, first regarding returnees, then stateless persons, and quite recently, internally displaced people. However, with respect to the latter, UNHCR does not have an exclusive mandate and can only act upon the Secretary-General or other competent UN organ request, and with the consent of the concerned State. Additionally, the General Assembly has extended in time UNHCR's mandate “until the refugee problem is solved” (UNHCR, 2013 [02], p. 2)</p> <p>Beginning in 2010-11, each biennium, UNHCR designs a set of Global Strategic Priorities (GSPs) that underscore areas of critical concern to the Office in pursuing its mandate of providing protection and assistance and to seek permanent solutions for refugees and other people of concern. (UNHCR, 2013 [06]) A continued management unit – GSP Management Team– was established at Headquarters and is coordinated jointly by the Division of Programme Support and Management and the Division of Emergency Security and Supply (UNHCR, 2013 [03]).</p> <p>UNHCR's current organisational strategic plan (<i>Global Appeal 2014-2015</i>) includes eight operational strategic</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>priorities and 20 impact indicators as well as a list of global engagements (targets) that are grouped into six <i>rights groups</i> (thematic categorizations of objectives). (UNHCR, 2013 [06]; UNHCR, 2013 [03]) Five of the rights groups relate to UNHCR's function to safeguard the rights and well-being of refugees and the remaining one is on the durable resolution of refugee problems. These strategic priorities are connected to UNHCR's mandate explored above: "[...] providing international protection [...] and [...] seeking permanent solutions for the problem of refugees", respectively (UNHCR, 1950 [01]).</p> <p>While UNHCR Global Appeal document is intended to translate UNHCR's mandate into operational priorities/objectives, a review of the 2014-15 document reveals several shortcomings which limit its clarity in explaining how UNHCR implementing its mandate for the two year period and its utility. Limitations include the absence of explanations in the Global Appeal document about the following: 1) the link between UNHCR's considerably more comprehensive and detailed Results Framework for the period 2014-15; 2) the rationale for the selection of the 8 GSPs (and related impact indicators and global engagement targets as listed in the Global Appeal document); and 3) the link between the Anticipated Areas of intervention and the GSPs (listed for each of the Rights groups) for 2014 (but not 2015).</p> <p>The Global Appeal was developed primarily as a resource mobilisation tool that provided donors with examples of country-level programming – and was not specifically designed to serve as a holistic report on corporate performance to stakeholders, which may have contributed to the above limitations.</p> <p>Since their introduction for the 2010-2011 biennium there is evidence on UNHCR having carried out internal consultations to monitor GSP's relevance and focus. The introduction to the Global Appeal document provides a general explanation of a <i>review process</i> (for 2014-15) <i>led by the HC with senior management and Member states confirmed that the GSPs for 2012-13-remained relevant [...] and that continuity over several years was important in order to achieve and measure progress.</i> (UNHCR, 2013 [06]) Although we do not have many details on the process of reviewing the organisational strategic priorities, we know that each biennium their relevance is examined and discussed. According to the hypothesis used in this analysis (GSP's are the operationalization of UNHCR mandate), examining GSP's relevance necessarily involves examining their focus on UNHCR mandate. Whether this is an established system, as considered suitable by the donor community, or an isolated practice, is not yet clear. There is no evidence of any discrepancy between the organisational strategic plan and UNHCR's mandate through the document review.</p>
MI 2.2 – The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities	--	3	<p>The alignment of UNHCR's strategic plan to the United Nations quadrennial comprehensive policy review (QCPR) guidance and priorities was assessed only through document review, and rated inadequate. There is almost no mention to QCPR in UNHCR documents. The organisation-wide strategies from the past years (the <i>Global Appeals</i>), do not refer to QCPR. While several UNHCR documents do refer to QCPR (including <i>UNHCR 2012 Global Report</i> section on <i>operational support and management</i> notes, with respect to the Secretariat and Inter-agency Service (SIAS), <i>2012 Update on Coordination Issues; Strategic partnerships. 2013 Update on Coordination Issues; Strategic partnerships Still Minding the Gap? A review of efforts to link relief and development in situations of human displacement, 2001-2012 (PDES/2013/01)</i>) the references tend to acknowledge the QCPR's existence rather than analyse the implications of QCPR for UNHCR. As a result, the documents at hand provide no evidence that UNHCR adopts directives of the QCPR. Global Appeal updates do not indicate that QCPR alignment is planned or underway. Interviews with UNHCR also indicate that it has not aligned its strategic reflection with QCPR. Finally, UNHCR does not report to its governing body on the QCPR (UN Secretary-General, 2014 [01]), unlike some other organisations.</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.83	5.03	--	--	4.82	4.63	0.97	0.70	--	--	0.99	1.11
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons.	5.61	5.74	--	--	5.67	5.43	0.70	0.62	--	--	0.57	0.86
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	3.93	4.34	--	--	3.61	3.82	1.31	0.90	--	--	1.54	1.33
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	4.95	5.00	--	--	5.17	4.65	0.90	0.58	--	--	0.87	1.12
MI 2.2	The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities	--	--	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	6	5%	2	5%	--	--	--	--	0	2%	4	10%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	1	1%	0	0%	--	--	--	--	0	0%	1	3%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	9	9%	2	6%	--	--	--	--	1	5%	6	15%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	7	6%	3	9%	--	--	--	--	0	0%	4	10%
MI 2.2	The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities	--	--	--	--	--	--	--	--	--	--	--	--

3.1.3 KPI 3: Corporate focus on results

KPI 3: The MO's corporate/organisation-wide strategies are results-focused

This KPI was assessed by document review only.



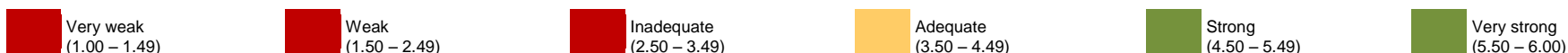
“--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 3.1 – Results frameworks have causal links from inputs through to outputs/outcomes	--	3	<p>This MI was assessed only through document review, and rated inadequate.</p> <p>UNHCR has a complex results architecture. In order to capture the range of work it conducts in the field, the organisation has developed a results framework which includes output and objective results statements. These are clearly interlinked, with specific outputs (products and services) identified to contribute to the achievement of each objective (outcome/impact-level results). This organisational results framework serves as the catalogue from which country operations pick their programming results. It is not however used by the organisation to aggregate results across all operations. Instead, UNHCR has formulated Global Strategic Priorities (GSPs), on which it has made a commitment to report annually to present performance information on aggregated global results (UNHCR, 2013 [06]).</p> <p>GSPs presented in UNHCR's corporate strategic plan (Global Appeal) for the 2014-2015 biennium include eight operational and eight support/management results statements. These are connected to the results framework through a subset of the objective-level indicators. However, as the organisation does not report on these indicators in practice (it reports on broader global engagements that identify the number of countries in which progress is being observed) the connection is obscured. Moreover, the GSP statements are composites of multiple ideas; the proposed mapping with the results framework indicators (and by association their corresponding objective statements) does not capture the range of ideas covered in the GSPs.</p>
MI 3.2 – Standard performance indicators are included in organisation-wide plans and strategies at a delivery (output) and humanitarian results level (outcome)	--	3	<p>This MI examined the quality of performance indicators included in UNHCR's organisation-wide plans, and was assessed only through document review.</p> <p>The indicators in UNHCR's results framework are generally SMART (specific, measurable, attainable, relevant and time bound). However, the organisation only uses a few of these to measure its programming performance at an aggregate, organisation-wide level. During interviews, the organisation mentioned that an attempt had been made in 2010 to report on the full framework, but that this had proved unwieldy. This is not surprising, as the framework currently includes 158 impact indicators and 724 output indicators.</p>

3.1.4 KPI 4: Focus on cross-cutting priorities

KPI 4: The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

♦ indicates insufficient data available to provide a rating

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 4.1 – Gender equality	4.76	5	<p>All respondent groups were asked whether UNHCR sufficiently mainstreams gender equality into its operations, and rated UNHCR strong overall: 57% of respondents rated UNHCR strong or very strong, 33% adequate, and 4% inadequate.</p> <p>Based on the documents reviewed, UNHCR’s mainstreaming of gender equality is rated strong. UNHCR’s commitment regarding the mainstreaming of gender equality is set out in its Age, Gender and Diversity Policy which explains the organisation’s rationale for promoting gender equality within its operations (UNHCR, 2011 [01]). UNHCR has also issued a Forward Plan 2011-2016 regarding the mainstreaming of its age, gender and diversity (AGD) approach which identifies seven strategic results to be achieved over a five year period, including increasing its capacity and knowledge on age, gender and diversity, and addressing shortcomings in resource allocation and expenditures in these areas (UNHCR, 2011 [02]). Gender equality concerns are also acknowledged in UNHCR’s Global Appeal (corporate strategic plan) (UNHCR, 2013 [06]), and the organisation reports that 52 of the impact indicators in the menu from which country offices pick results to achieve relate to age, gender and diversity (UNHCR, 2014 [14]). In fact, nearly all of the country strategies reviewed by the assessment team prioritised the prevention and reduction of sexual and gender-based violence in country operations.</p> <p>UNHCR has clearly defined roles and responsibilities with regard to the mainstreaming of gender. It has done so through its Accountability Framework for Age, Gender and Diversity Mainstreaming (UNHCR, 2007 [01]), which has set mandatory reporting requirements for all UNHCR regional and country offices, headquarter divisions, bureaus and the Executive Office that are being implemented at present (UNHCR, 2014 [14]). A Global AGD Accountability Report should be issued during 2014 to report on progress UNHCR is making in implementing the AGD Policy (UNHCR, 2014 [14]).</p> <p>UNHCR also has a Policy on achieving Gender Equity in Staffing (2007), but this policy is not up-to-date yet. The Division of Human Resource Management intends to review this policy in 2014, to ensure greater oversight of gender equality in terms of human resources.</p> <p>There is evidence that UNHCR uses various mechanisms for monitoring progress in mainstreaming gender equality in its operations. UNHCR reports to UN-Women on the UN System-wide Action Plan on Gender Equality and Women’s Empowerment (UN-SWAP) accountability framework. The SWAP report for the year 2013 revealed that UNHCR meets gender equality requirements in several areas. However, UNHCR does not currently track financial resources spent on specific themes such as improving age, gender and diversity mainstreaming. This is an area for improvement. UNHCR also recognises that it needs to systematically gather sex-disaggregated data in order to</p>

MI	Overall survey mean score	Document review rating	Observations
MI 4.2 – Environment	4.14	3	<p>understand and document the protection situation of refugee and displaced women and girls (UNHCR, 2014 [14]).</p> <p>Survey respondents perceived UNHCR adequate overall for promoting environmental sustainability in its work: two thirds (66%) rated UNHCR adequate or above, 17 % rated it inadequate or below, and 17% responded 'don't know'. The document review rated UNHCR inadequate on this MI.</p> <p>UNHCR adopted Environmental Guidelines in 1996 that establish UNHCR's environmental responsibilities regarding field operations (e.g. environmentally-friendly procurement, policy co-ordination, environmentally-friendly technologies, environmental training for staff). These guidelines were updated in 2005 to reflect UNHCR's experience and take into account new thinking on environmental management. The updated guidelines note that: "UNHCR has a primary responsibility for integrating environmental considerations into all of its decisions and activities affecting the protection and well-being of refugees. UNHCR, together with government, must jointly promote environmental protection and rehabilitation in the field" (UNHCR, 2005 [01], p. 13). . In addition, in 2014, UNHCR adopted a Global Strategy for Safe Access to Fuel and Energy (SAFE) with the objective of enabling refugees to meet their energy needs in a safe and sustainable manner.</p> <p>Efforts have been made to establish clear roles for UNHCR and its partners with regards to the integration of environmental concerns at both a corporate and programmatic level. Indeed, in 2009, UNHCR developed a toolkit to help managers and field staff adopt a more systematic approach to assessing and monitoring the environmental impacts of refugee operations (the Framework for Assessing, Monitoring and Evaluating the Environment in refugee-related operations or FRAME).</p> <p>However, UNHCR has not evaluated how it mainstreams environmental concerns at the global/corporate level. In addition, the review of programming documents at a country-level (i.e. for Bangladesh, DRC, Ecuador, Kenya and Tanzania) suggests that UNHCR's current country strategies do not include environmental sustainability or other environmental concerns as a priority. In other words, the integration of environmental concerns is not evident as a priority in global plans or country strategies reviewed, although UNHCR is in the process of developing new energy strategies in five priority countries, to be rolled out in 2015.</p> <p>There are a number of areas for improvement, such as disclosing information on human and financial resources dedicated to environmental activities, and defining clear lines of accountability regarding the mitigation of UNHCR's environmental impact.</p> <p>Interviews indicate that the Energy and Environment Unit, responsible for environmental sustainability at HQ, is small, has limited financial resources and relies heavily on staff who are either seconded or financed directly by interested donors. The unit has been working hard to find entry points (e.g. SGBV, domestic energy needs, etc.) but any mainstreaming that takes place is limited to pilot initiatives financed by donors.</p>
MI 4.3 – Good governance	4.38	◇	<p>All respondent groups other than direct partners (i.e. donors at headquarters and in-country, host governments and</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>peer organisations) were asked whether UNHCR sufficiently promotes the principles of good governance in its work. The majority (76%) rated UNHCR adequate or above, 7% rated it inadequate or below, and 17% responded 'don't know.</p> <p>Although UNHCR's work is often related to good governance principles, the organisation does not package it as such. Therefore, UNHCR documents did not provide sufficient information to rate this micro-indicator on a scale of very weak to very strong. UNHCR does not have a specific policy or guidelines to guide the promotion of good governance in its work, although various policies, guides and memorandums provide evidence that UNHCR engages in governance and legal issues like refugee protection and transitional justice. For instance, UNHCR's website describes how the Organisation assists States to revise national refugee legislation, and strengthens administrative and judicial institutions to implement national refugee status determination procedures.</p> <p>These areas of work seem to fall under the remit of the Assistant High Commissioner for Protection, who oversees protection policy development, advocacy for the rule of law and implementation of standards, and the integration of protection priorities into the management of field operations (UNHCR, 2013 [06], p. 1). However, UNHCR documents do not report on human or financial resources dedicated to supporting the promotion of good governance and the rule of law, nor does it define clear lines of accountability regarding the promotion of good governance in its operations.</p>
MI 4.4 – Emergency preparedness and response	4.59	5	<p>Donors at headquarters and in-country, as well as host government and peer organisation respondents were consulted on UNHCR's performance in integrating emergency preparedness and response in its work. More than half (56%) considered UNHCR strong or very strong, 20% adequate, and 9% inadequate or below.</p> <p>Based on documentary evidence, UNHCR was rated strong on this MI. In 2013, UNHCR issued an Emergency Preparedness Package for Refugee Emergencies and accompanying guidance note defining roles and responsibilities regarding preparedness co-ordination, planning, early warning and contingency planning. In addition, UNHCR's corporate strategic planning document (the 2014-2015 Global Appeal) defines emergency preparedness and response as one of the organisation's Global Strategic Priorities, and describes how UNHCR has improved its emergency response capacity, for instance through new staff deployment mechanisms and improved global supply management (UNHCR, 2013 [06], p. 34).</p> <p>UNHCR provides staffing, funding and technical expertise for its emergency preparedness and response work. A number of units within UNHCR, including the Division of Emergency, Security and Supply (DESS), provide central support to emergency preparedness activities, including emergency management. In addition, the Global Learning Centre and the Division for Programme Support and Management (DPSM) jointly offer a number of well established training courses for emergency support staff, on topics like Emergency Management and Information Management in Emergencies (UNHCR, 2013 [06], p. 5).</p> <p>There is also evidence of monitoring and evaluation efforts regarding emergency preparedness and response (for instance, the Global Report 2012 provides data on progress achieved in capacity building, policy co-ordination, logistics, security management and number of staff deployed for emergency operations). Reviews and evaluations of UNHCR's emergency preparedness and response performance in recent years identified a number of gaps in its capacity, policies and tools, including the need to systematically operationalise UNHCR's emergency policies and procedures (UNHCR, 2013 [01]; Richardson, Bush, & Ambroso, 2013).</p>

Survey mean scores and standard deviation, overall and by respondent group

Survey mean scores							Standard deviation					
	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 4.1 Gender equality	4.76	4.42	4.81	4.99	4.82	4.77	0.82	0.79	0.60	0.97	0.79	0.79
MI 4.2 Environment	4.14	3.70	4.23	4.43	4.25	3.97	0.97	0.56	0.79	1.16	0.90	1.07
MI 4.3 Good governance	4.38	4.26	4.53	--	4.53	4.22	0.90	0.86	0.93	--	0.79	1.02
MI 4.4 Emergency preparedness and response	4.59	4.46	4.95	--	4.70	4.35	0.98	0.96	0.52	--	0.97	1.18

Don't know responses, overall and by respondent group

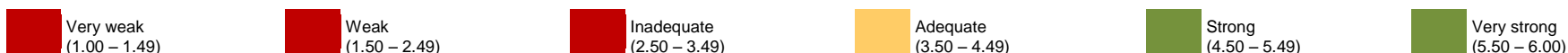
#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 4.1	Gender equality	10	6%	1	3%	5	17%	1	1%	0	0%	3	6%
MI 4.2	Environment	32	17%	11	32%	11	32%	2	3%	0	0%	8	17%
MI 4.3	Good governance	22	17%	7	21%	10	35%	--	--	0	0%	5	11%
MI 4.4	Emergency preparedness and response	18	15%	6	18%	10	37%	--	--	0	0%	2	4%

3.1.5 KPI 5: Country focus on results

KPI 5: The MO's country strategies are results-focused.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 5.1 – Country results frameworks have causal links from inputs through to outputs/outcomes	--	5	<p>UNHCR was rated strong on this MI, which was assessed only through document review.</p> <p>As previously noted under MI 3.1, UNHCR country operations pick relevant results statements to operationalise their strategies from those listed in the corporate results framework approved by headquarters. Country-level results framework thus mirror the structure of the corporate results framework, meaning that output and objective-level results statements are included and causally linked, with specific outputs (products and services) identified to contribute to the achievement of each objective (outcome/impact-level results).</p> <p>The organisation acknowledged during interviews that country operations have a tendency of picking too many objectives to focus on as part of their programming, especially given the one year strategic cycle at the country-level.</p>
MI 5.2 – Performance indicators are included in country plans and strategies at a delivery (output) and humanitarian results (outcome) level	--	5	<p>The quality of performance indicators in UNHCR country-level results frameworks was assessed only through document review, and rated strong. As mentioned under MI 3.2, indicators in UNHCR's corporate results framework, from which those in the country-level strategies are drawn, are generally specific, measurable, attainable, relevant and time bound (SMART). In practice however, some output indicators identified by UNHCR as requiring a yes or no response (e.g. capacity support provided to government or admission practices sensitive to persons of concern with specific needs promoted) are strangely measured using percentages. Moreover, UNHCR acknowledges that further improvements are needed in the “quality of data used to set baselines and capture progress and results” (UNHCR, 2013 [13]).</p>
MI 5.3 – Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.26	--	<p>77% of survey respondents gave UNHCR a rating of adequate or above for consulting partners and beneficiaries to design humanitarian response. 20% gave a rating of inadequate or below. This micro-indicator was assessed by survey only.</p>
MI 5.4 – The MO's humanitarian	4.55	5	<p>54% of survey respondents gave UNHCR a rating of strong or very strong for basing its operations on reliable needs assessments. 39% gave a rating of inadequate or below, and 7% said they don't know. Peer organisations chose a</p>

MI	Overall survey mean score	Document review rating	Observations
operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)			<p>rating of adequate while the other groups surveyed (donors in-country, direct partners and host governments) chose a rating of strong. This difference was statistically significant.</p> <p>According to the document review, UNHCR was rated strong for this MI. The UNHCR Manual and other corporate documents (including Global Needs Assessment: Prioritization) describe how the Organisation should conduct participatory needs assessments to inform operations planning, project and sub-project design, and reporting (UNHCR, 2010 [02]; UNHCR, 2005 [08]). As directed by UNHCR policy documents, needs assessments are to be carried out in a timely manner so as to be the first step of country operational planning. The Global Needs Assessment: Prioritization (2010) notes that needs-assessments are primarily field-based since regional and country offices are better equipped to identify needs and assign priority to them (UNHCR, 2010 [02]). Two types of assessment are carried out: participatory assessment (involving consultation with beneficiaries to identify protection risks and causes) and comprehensive needs assessment (UNHCR prioritizes and costs the existing needs as the basis for Country Operations Plans) (UNHCR, 2005 [08], pp. 1-2).</p> <p>Reviews, evaluations and mission reports provide evidence that UNHCR effectively implements its policy on needs assessment and uses it to guide operational planning and design of interventions. UNHCR carried out a comprehensive review of its needs assessments in 2012, which demonstrated that needs assessment at the country-level are carried out systematically and made recommendations to improve the assessment content and process (UNHCR, 2013 [38]). Furthermore, interviews with UNHCR country offices and relevant documents assessing UNHCR's humanitarian operations (real-time evaluations, refugee consultations reports, joint assessment mission reports, and even OCHA humanitarian response plans) confirmed that needs assessment have been undertaken in UNHCR countries of operations (Bourgeois, Diagne, & Tennant, 2007; OCHA, 2013 [03]; OCHA, 2013 [04]; UNHCR, 2013 [38]; UNHCR, 2007 [10]). Finally, the Biennial Programme Budget 2014-2015 shows that needs assessments at country level are used to determine UNHCR's total funding requirements (UNHCR, 2013 [07]).</p> <p>A number of guidance materials are available to train and guide staff on conducting needs assessments, such as the UNHCR Tool for Participatory Assessment in Operations (UNHCR, 2006 [07]). This tool outlines and explains the steps to be carried out for conducting a participatory needs assessment. The overall goals are to assist offices to apply the most appropriate protection strategies, to involve refugees in the design, implementation and evaluation of services, and to remain accountable to the target populations.</p>
MI 5.5 – Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.35	4	<p>Host governments and peer organisations gave a rating of adequate and donors at HQ gave a rating of strong for preparing contingency plans. 77% of respondents consulted considered UNHCR to be adequate or above, 11% gave a rating of inadequate or below, and 12% indicated they were unfamiliar with the state of UNHCR's contingency plans.</p> <p>The document review rated UNHCR adequate on this MI. In 2013, UNHCR updated its contingency planning guidance for refugee situations, resulting in a user-friendly Preparedness Package for Refugee Emergencies (UNHCR, 2014 [16]). Guidelines and handbooks suggest that contingency plans should be prepared on an as-needed basis, as part of UNHCR emergency operations (see for instance the Inter-agency Contingency Planning Guidelines for Humanitarian Assistance) (IASC, 2007 [01]) (UNHCR, 2003 [01]) (UNHCR, 2011 [05]) (UNHCR, 2014 [16]). UNHCR considers that contingency planning, along with risk assessment and security training, is an important component of efforts to strengthen a culture of security within the organisation (UNHCR, 2013 [06], p. 37).</p> <p>Recent reviews of UNHCR emergency operations (ex. in Syria and Lebanon) suggest that, while contingency plans were generally in place, their design, funding, and updating could be improved. The real-time evaluation of UNHCR's response to the Syrian crisis noted that "a regional contingency planning exercise is currently underway [but] has yet to translate into an operational plan that can respond to a large new influx of refugees" (Crisp, et al., 2013). In recent joint humanitarian operations for Syrian and Sudanese refugees, UNHCR and its partners have consulted key partners in the design of contingency plans.</p>

MI	Overall survey mean score	Document review rating	Observations
			Although UNHCR has updated its contingency plans in the past, it is still unclear whether this practice is institutionalized at the corporate or country level. In addition, documents reviewed did not produce evidence that UNHCR tests its contingency planning through simulations or other exercises; this would be an area for improvement.

Survey mean scores and standard deviation, overall and by respondent group

Survey mean scores							Standard deviation					
	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 5.1 Country results frameworks have causal links from inputs through to outputs/outcomes	--	--	--	--	--	--	--	--	--	--	--	--
MI 5.2 Performance indicators are included in country plans and strategies at a delivery (output) and humanitarian results (outcome) level	--	--	--	--	--	--	--	--	--	--	--	--
MI 5.3 Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.26	--	--	4.36	4.47	3.93	1.15	--	--	1.24	0.91	1.23
Sub-MI i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.25	--	--	4.25	4.52	3.97	1.11	--	--	1.22	0.91	1.14

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	4.26	--	--	4.47	4.42	3.89	1.20	--	--	1.26	0.91	1.32
MI 5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.55	--	4.67	4.80	4.55	4.15	1.13	--	1.08	1.14	1.07	1.17
MI 5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.35	4.55	--	--	4.38	4.08	0.95	0.50	--	--	1.08	1.14

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 5.1	Country results frameworks have causal links from inputs through to outputs/outcomes	--	--	--	--	--	--	--	--	--	--	--	--
MI 5.2	Performance indicators are included in country plans and strategies at a delivery (output) and humanitarian results (outcome) level	--	--	--	--	--	--	--	--	--	--	--	--
MI 5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4	2%	--	--	--	--	2	2%	0	0%	3	5%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	8	5%	--	--	--	--	3	3%	0	0%	5	11%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	0	0%	--	--	--	--	0	0%	0	0%	0	0%
MI 5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	9	7%	--	--	4	14%	1	2%	0	0%	4	11%
MI 5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	15	12%	3	9%	--	--	--	--	2	7%	10	22%

PERFORMANCE AREA II: OPERATIONAL MANAGEMENT

3.1.6 KPI 6: Transparent and timely funding

KPI 6: The MO's funding decisions are timely and transparent.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 6.1 – The MO's criteria for allocating un-earmarked resources are transparent	3.86	3	<p>Donors at headquarters were asked two questions regarding UNHCR's criteria for allocating un-earmarked resources: whether these criteria are shared publicly, and whether the organisation abides by these when making its budgetary allocations. Although the organisation was rated adequate overall, donor views were mixed on the first question: 47% perceived UNHCR inadequate or below for making its criteria known publicly, 38% rated it adequate or above, and 15% answered 'don't know'.</p> <p>UNHCR was rated inadequate based on a review of the documentary evidence. Broadly speaking, UNHCR prioritises allocations of un-earmarked funds to country operations on the basis of its global strategic priorities (i.e. key results areas), country-level needs assessments, and the volume of un-earmarked contributions received (ACABQ, 2013 [01]). More specifically, the organisation initially assigns budget envelopes (the operating level) to country offices based on the actual levels of contributions received. Funding allocations are later reprioritised using the needs-based approach during the annual programme review process, which examines plans and budgets for the upcoming year: as a first step, country operations consult with regional offices and bureaux as they prepare their plans; once the plans are submitted officially, the regional offices, followed by the bureaux, formally examine the plans, with other headquarter divisions and services able to provide feedback also; operations plans, once approved by the regional bureaux, are sent to the Executive Office for review. In consultation with the regional bureaux, the Executive Office allocates funds in accordance with the established priorities (UNHCR, 2011 [19]; ACABQ, 2013 [01]).</p> <p>The issue is that there is little information presented on this prioritisation process. The criteria that inform allocation are revised on a yearly basis and shared through internal documents with staff only. Furthermore, the justifications for the allocation decisions made per country are not made transparent. In fact, the UN Advisory Committee on Administrative and Budgetary Questions (ACABQ) recommended in September 2013 that UNHCR review its budgeting approach to increase transparency:</p> <p>While noting that, according to the High Commissioner's report, the Executive Committee has indicated its preference for the continuation of the needs-based budget methodology, the Committee is of the view that the presentation of the UNHCR budget could benefit from the preparation of a resource plan, along with the needs-based budget, that would integrate resource planning into UNHCR's planning and reporting processes, and would make the UNHCR programme budget more transparent and accessible. (ACABQ, 2013 [01])</p>

MI	Overall survey mean score	Document review rating	Observations
MI 6.2 – Financial resources are released in a timely manner	4.49	--	Respondents were asked two questions for this MI. First, donors at headquarters and in-country were consulted on whether UNHCR is adopting measures to enable timely delivery of funding to operations and rated the organisation adequate overall. A high proportion (35%) however indicated having insufficient knowledge to respond. Secondly, direct partners, host governments and peer organisations were surveyed on whether UNHCR transfers its financial instalments to humanitarian partners in a timely manner: the majority (72%) rated UNHCR adequate or above, 10% answered inadequate or below, and 18% responded 'don't know'.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 6.1	The MO's criteria for allocating un-earmarked resources are transparent	3.86	3.86	--	--	--	--	1.00	1.00	--	--	--	--
Sub-MI	i) UNHCR makes publicly available its criteria for allocating un-earmarked resources	3.55	3.55	--	--	--	--	1.02	1.02	--	--	--	--
Sub-MI	ii) UNHCR allocates un-earmarked resources according to the criteria mentioned above	4.17	4.17	--	--	--	--	0.98	0.98	--	--	--	--
MI 6.2	Financial resources are released in a timely manner	4.49	4.50	4.46	4.64	4.48	4.29	1.03	0.93	0.88	1.19	1.20	1.01
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	4.48	4.50	4.46	--	--	--	0.90	0.93	0.88	--	--	--
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	4.51	--	--	4.64	4.48	4.29	1.16	--	--	1.19	1.20	1.01

Don't know responses, overall and by respondent group

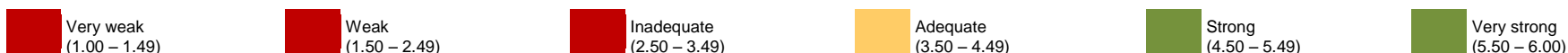
#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 6.1	The MO's criteria for allocating un-earmarked resources are transparent	11	31%	11	31%	--	--	--	--	--	--	--	--
Sub-MI	i) UNHCR makes publicly available its criteria for allocating un-earmarked resources	5	15%	5	15%	--	--	--	--	--	--	--	--
Sub-MI	ii) UNHCR allocates un-earmarked resources according to the criteria mentioned above	16	47%	16	47%	--	--	--	--	--	--	--	--
MI 6.2	Financial resources are released in a timely manner	24	26%	10	29%	11	40%	2	3%	0	0%	25	50%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	21	35%	10	29%	11	40%	--	--	--	--	--	--
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	27	18%	--	--	--	--	2	3%	0	0%	25	50%

3.1.7 KPI 7: Results-based budgeting

KPI 7: The MO engages in results-based budgeting.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 7.1 – Budget allocations are linked to expected results	4.10	4	<p>MOPAN donors at headquarters were asked whether UNHCR sufficiently links its budget allocations to expected results. The majority (74%) rated UNHCR adequate or above, and 18% rated it inadequate or below.</p> <p>UNHCR was rated adequate on this MI on the basis of the documents reviewed. In recent years, the organisation has made considerable changes and improvements to its budget processes to better align these with its results framework. Most significant is the change in methodology to a global needs assessment as of the 2010-2011 biennium, which provided an opportunity to better align needs assessments, planned programming and the organisation's budget. At the time, in commenting on this shift, the UN Advisory Committee on Administrative and Budgetary Questions (ACABQ) recognised UNHCR as “one of the first United Nations entities to implement results-based management” and noted that related lessons learned by the organisation would be of system-wide interest (ACABQ, 2010 [01]).</p> <p>While UNHCR's system allows it to track budget from activities through to outcomes at the operations level, the organisation has yet to present budget information by results (outputs or outcomes/ objectives) at the organisation-wide level. At the corporate level, budget information is currently presented by pillar (refugee programme, stateless programme, reintegration projects, and internally displaced person projects), by geographic location, as well as by rights groups (thematic groupings of objectives describing specific impact areas of interventions) (UNHCR, 2013 [07]).</p>
MI 7.2 – Expenditures are linked to results	3.78	3	<p>Donors at headquarters were surveyed on whether UNHCR's performance reports link expenditures to results achieved. More than half (53%) considered UNHCR adequate or above; 26% rated it inadequate or below, and 21% responded ‘don't know’.</p> <p>UNHCR was assigned a rating of inadequate through the document review. The organisation presents expenditures by objectives (high-level outcomes) but not by outputs in its country-level results reports. At an organisational level, UNHCR provides information on expenditures by pillar only (refugee programme, stateless programme, reintegration projects, and internally displaced person projects) in its reports to the Executive Committee – not by results.</p> <p>Shifting to results-based budgeting is complex for any organisation, as it requires significant systems changes, and few bilateral or multilateral organisations have achieved a state of maturity. Since 2009, UNHCR has invested considerable effort in adapting its enterprise resource planning software (Managing for Systems, Resources and People, or MSRP) and integrating it with Focus, its results-based management systems tool (ACABQ, 2010 [01]). Nevertheless, our team was informed by the organisation that producing expenditures at the output level at the country level remains impossible; as it currently requires too much data manipulation (i.e. data generated is unreliable). UNHCR reports that there is no timesheet system to track and allocate staff costs to specific outputs (UNHCR tried it in the past but it was found to be too burdensome); it was also pointed out that some donors are interested in knowing how their earmarked money is being</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>spent. The MSRP system is going through an upgrade however, which may provide the organisation with an opportunity to fix the lingering financial output data issues.</p> <p>It is also important to highlight UNHCR's recent development of Global Focus Insight, a business analysis tool that has been fully operational since 2013 and which provides dashboard views and analytical reports linking performance information extracted from the Focus database with financial information on expenditure extracted from MSRP. The 'Progress & Results' dashboard is considered particularly useful as it provides "a full comparison between different country operations with thresholds set for assessing the criticality of the measured values for key sectors" (UNHCR, 2014 [17]).</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 7.1	Budget allocations are linked to expected results	4.10	4.10	--	--	--	--	1.01	1.01	--	--	--	--
MI 7.2	Expenditures are linked to results	3.78	3.78	--	--	--	--	0.75	0.75	--	--	--	--

Don't know responses, overall and by respondent group

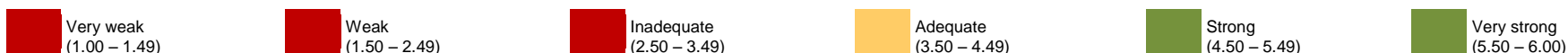
#DK = number of respondents who were asked the question (un-weighted data) and replied 'don't know'

% DK = percentage of respondents who indicated "Don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 7.1	Budget allocations are linked to expected results	3	9%	3	9%	--	--	--	--	--	--	--	--
MI 7.2	Expenditures are linked to results	7	21%	7	21%	--	--	--	--	--	--	--	--

3.1.8 KPI 8: Financial accountability

KPI 8 : The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 8.1 – External financial audits meeting recognised international standards are performed across the organisation (external or UN Board of Auditors).	--	6	<p>This MI was not assessed by survey.</p> <p>The document review rated UNHCR very strong for having organisation-wide external financial audits, meeting recognised international standards, performed annually by the United Nations Board of Auditors (BoA). External audits issued by the UN BoA are undertaken in accordance with International Accounting Standards (ISA), as stated in all UNHCR audited financial statements reviewed. The BoA's audit opinion on UNHCR's financial statements and an extended report on audit findings are published online along with UNHCR's financial statements.</p>
MI 8.2 – External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate)	--	5	<p>This MI was not assessed by survey.</p> <p>The document review rated UNHCR strong for ensuring that external financial audits are performed at the country or project level. In its annual external audits of UNHCR, the UN Board of Auditors (BoA) examines the financial management practices of a number of field operations, ensuring that they conform with International Standards on Auditing. In addition, it monitors and controls external auditing of implementing partners (for instance, by reviewing audit certificates). Implementing partners are externally audited once a year, a practice that has been confirmed through interviews with country offices. Project audit reports are confidential; they are shared with the implementing partner, and the audit opinion and financial implications can be shared with donors that request this information, but the audit report are not published online, in line with UNHCR's <i>Information, Classification, Handling and Disclosure</i> policy.</p>
MI 8.3 – Internal audit processes are used to provide management/ governing bodies with objective information	4.37	4	<p>Donors at headquarters gave UNHCR a rating of adequate for its use of internal audits to provide management/ governing bodies with objective information.</p> <p>Based on the review of documents, internal audit practices were also rated as adequate.</p> <p>Since 1997, the Internal Audit Division of the Office of Internal Oversight Services (OIOS/IAD) has provided internal audit services to UNHCR under UN Financial Regulations 5.15. OIOS was established in 1994 to enhance oversight in the United Nations. It is operationally independent of UNHCR's senior management responsible for programming, and reports directly to the High Commissioner, the Secretary-General and the General Assembly, thus ensuring that it can carry out its work with impartiality. In addition, in 2012, UNHCR decided to establish an Independent Audit and Oversight Committee (IAOC), to advise the High Commissioner and Executive Committee on the exercise of their oversight responsibilities.</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>OIOS reports annually to the UNHCR Executive Committee on its internal audit function. In its Internal Audit Report, OIOS lists of all internal audit reports completed over the reporting year, key audit findings and recommendations, as well as the status of implementation of these recommendations. Additionally, internal audit reports produced by OIOS are published on the OIOS website. OIOS tracks the implementation rate of important audit recommendations for each report. There is evidence that UNHCR management uses this internal audit information: indeed, according to OIOS, UNHCR is in the process of implementing a number of audit findings, including in the areas of private sector fundraising, global stock management, oversight and management of implementing partners, emergency procedures, procurement, and the recovery of value-added tax (UNHCR, 2013 [22]).</p> <p>UNHCR has studied the possibility of bringing the internal audit function in-house in response to its concerns that its existing arrangement with OIOS did not provide the full benefit of the resources employed for internal audit for reasons including persistent vacancy rates among auditor positions and inadequate provisions of advisory services. The Board of Auditors has noted that, on occasion, OIOS did not fully deliver planned assignments set out in the workplan, thus reducing the planned level of internal audit coverage of operations (UNBOA, 2012 [01]). While alternative arrangements for the internal audit function have been discussed, no conclusion has yet been reached. The most recent Board of Auditors report (for the year 2013) noted that “UNHCR and OIOS are engaged in ongoing discussions aimed at revising the memorandum of understanding to better define the responsibilities under the current audit arrangements. [...] This matter has been under discussion for more than two years and has consumed considerable management effort and attention. It is therefore essential that UNHCR and OIOS reach agreement on future internal audit arrangements as a matter of urgency.” (UNBOA, 2014 [01]) According to UNHCR, a revised Memorandum of Understanding between UNHCR and OIOS was expected to be signed shortly, at the time of writing this report.</p>
MI 8.4 – The MO implements its policy on anti-corruption	4.45	4	<p>Donors at headquarters gave a rating of adequate for this MI. Interestingly, 41% of donors admitted being unfamiliar with whether UNHCR implements its policy on anti-corruption.</p> <p>According to the documents reviewed, UNHCR updated its 2008 anti-fraud policy in response to UN Board of Auditors recommendations (UNBOA, 2012 [01]; UNHCR, 2014 [17]). The new Strategic Framework for the Prevention of Fraud and Corruption was adopted in July 2013, and establishes staff /managers' roles and responsibilities for detecting and reporting fraud and corruption (other offices which play a role in helping UNHCR detect, investigate and take action against fraud include: UNHCR Inspector General's Office (IGO), the UN Office for Internal Oversight Services (OIOS), UNHCR Ethics Office, UNHCR Division of Human Resources Management (DHRM), and the UN Board of Auditors).</p> <p>UNHCR has established mechanisms to ensure the implementation of its anti-fraud policy. First, the Organisation provides training to help staff understand how to prevent fraud and corruption (UNHCR, 2013 [39], p. 7). Second, complaint mechanisms to report on alleged misconduct are established. Staff who identify allegations of fraud or misconduct can contact the Inspector General's Office (IGO) by email or via an online complaint form (if the complaint relates to staff), or they may communicate with the UN Office of Internal Oversight Services (OIOS), if the alleged misconduct involves IGO staff or UNHCR Executive Office. Third, UNHCR has a policy to protect whistle blowers, which is implemented by the UNHCR Ethics Office (UNHCR, 2013 [39], p. 12). Finally, UNHCR developed a corruption risk assessment template to accompany the revised anti-corruption policy, although it is too early to evaluate whether this template is being used to assess UNHCR's exposure to fraud risk (UNHCR, 2013 [39]).</p> <p>UNHCR has not yet reported on the implementation of the Strategic Framework for the Prevention of Fraud and Corruption, given its novelty. However, the UNHCR Executive Committee and the UN General Assembly are made aware of issues related to fraud and corruption through annual reports from the Board of Auditors (BOA), Office of Internal Oversight Services (OIOS) and Inspector General's Office (IGO) (UNBOA, 2012 [01]; OIOS, 2013 [01]; UNHCR, 2013 [12]).</p>
MI 8.5 – Processes are in place to quickly follow up on any irregularities identified in audits at the country (or	4.50	4	<p>53% of donors at headquarters and in country offices said they don't know whether UNHCR has processes to quickly follow up on irregularities identified in audits. About half of those who rated UNHCR on this question (23%) gave a rating of strong or above and the other half (24%) gave a rating of adequate or below.</p>

MI	Overall survey mean score	Document review rating	Observations
other) level			<p>UN financial regulations provide the legal ground for UNHCR audits to identify irregularities and report to UNHCR governing bodies. They do not mention, however, measures to be taken by UNHCR to respond to these irregularities. In addition, UNHCR does not seem to have a specific audit policy describing measures to be taken against irregularities, although it has a recently updated Strategic Framework for the Prevention of Fraud and Corruption (as discussed in MI 8.4) which describes the steps that should be taken to prevent, report, investigate and take action in response to allegations of fraudulent acts (UNHCR, 2013 [39]).</p> <p>Major issues with UNHCR's financial management practices are reported to the Executive Committee through the report from the Board of Auditors, which draws attention to irregularities identified during external audits. UNHCR reports on measures taken or proposed in response to the UNBOA recommendations during the Standing Committee meetings.</p>
MI 8.6 – The MO's procurement procedures provide effective control on purchases of goods and services	4.98	4	<p>UNHCR's procurement procedures were rated strong by direct partners. 61% gave a rating of strong or above, 29% gave a rating of adequate and only 2% gave a rating of inadequate or below.</p> <p>The document review rated UNHCR adequate on this MI. UNHCR procurement and supply chain management processes are clearly described in Chapter 8 of the UNHCR Manual for staff, which UNHCR considers to be its key procurement guideline document.</p> <p>On its website, UNHCR specifies that it follows a "best value for money" principle, and also gives due consideration to principles of fairness and integrity, international competition, and the UN's interest. In addition, UNHCR notes that in times of emergency, rapid delivery may take priority over other considerations (UNHCR, n.d. [86]).</p> <p>Concerns about the procurement function were expressed by both internal and external auditors. UNHCR offices demonstrated "inadequate arrangements for monitoring how procurement was carried out by implementing partners", according to the Office of Internal Oversight Services, based on a review of field audits conducted in 2012-2013 (OIOS, 2013 [01], p. 9). The United Nations Board of Auditors Report identified a number of areas for improvement in 2011, such as low levels of training of procurement officers and lack of guidance on procurement planning to enable local supply staff to make informed replenishment decisions.</p> <p>As noted in the UNBOA Report for the year 2013 (UNBOA, 2014 [01]), most of the recommendations on the procurement function were subsequently addressed, though there are still some ongoing issues with the procurement system. UNHCR staff noted in communication with the assessment team that its procurement function has been strengthened by establishing a separate "Procurement and Contract Management Service". In addition, a standard operating procedure for the planning of the supply chain has been rolled out.</p> <p>Many of the measures to improve the procurement process are new, and it will take some time before their full effect can be felt across the organisation. The unit in charge of procurement at Headquarters has commissioned an external evaluation of UNHCR's supply chain organisation (including procurement) which should be available in 2015.</p>
MI 8.7 – The MO has strategies in place for risk management (identification, mitigation, contingency planning, monitoring and reporting)	--	4	<p>The document review rated UNHCR adequate for its risk management strategies. In 2014, UNHCR adopted a Policy for Enterprise Risk Management (UNHCR, 2014 [32]) after several years of planning and preparation. According to UNHCR, capacity gaps affected the initial timeline proposed to complete and launch its risk management policy (UNHCR, 2014 [17]). The ERM Policy complies with the principles prescribed by recognised international standards for risk management (ISO 31000). The policy describes the main roles responsibilities of the key actors involved. Representatives in the field and Directors at headquarters are 'risk owners' for all strategic and operational risks that pertain to their area of responsibility. In addition, the Chief Risk Officer shall be the custodian of the Corporate Risk Register (expected to be launched in 2015) and will be responsible for maintaining the Strategic Risk Register (still in preliminary stages of preparation) (UNHCR, 2014 [32]).</p> <p>The scope of the new Enterprise Risk Management Policy includes management of risks at the corporate and country/operation level. To date, a handful of risk assessments have been carried out for "high risk operations", to test</p>

MI	Overall survey mean score	Document review rating	Observations
			the risk assessment framework (UNHCR, 2014 [17]).
			Risk management at UNHCR may also encompass contingency planning. As noted at MI 5.5, UNHCR does not have a specific policy on contingency planning, but in 2013 it updated its contingency planning guidance for refugee situations and produced the Preparedness Package for Refugee Emergencies (UNHCR, 2014 [16]). Guidelines and handbooks suggest that contingency plans should be prepared on an as-needed basis, as part of UNHCR emergency operations.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 8.1	External financial audits meeting recognised international standards are performed across the organisation (external or UN Board of Auditors)	--	--	--	--	--	--	--	--	--	--	--	--
MI 8.2	External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate)	--	--	--	--	--	--	--	--	--	--	--	--
MI 8.3	Internal audit processes are used to provide management/ governing bodies with objective information	4.37	4.37	--	--	--	--	0.68	0.68	--	--	--	--
MI 8.4	The MO implements its policy on anti-corruption	4.45	4.45	--	--	--	--	0.51	0.51	--	--	--	--
MI 8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	4.50	4.46	4.61	--	--	--	0.73	0.66	0.95	--	--	--

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 8.6	The MO's procurement procedures provide effective control on purchases of goods and services	4.98	--	--	4.98	--	--	0.88	--	--	0.88	--	--
MI 8.7	The MO has strategies in place for risk management (identification, mitigation, contingency planning, monitoring and reporting)	--	--	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

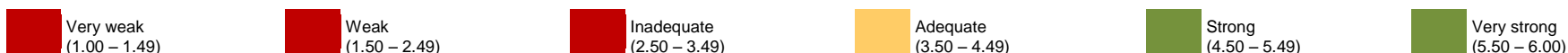
#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 8.1	External financial audits meeting recognised international standards are performed across the organisation (external or UN Board of Auditors)	--	--	--	--	--	--	--	--	--	--	--	--
MI 8.2	External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate)	--	--	--	--	--	--	--	--	--	--	--	--
MI 8.3	Internal audit processes are used to provide management/ governing bodies with objective information	7	21%	7	21%	--	--	--	--	--	--	--	--
MI 8.4	The MO implements its policy on anti-corruption	14	41%	14	41%	--	--	--	--	--	--	--	--
MI 8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	34	53%	10	29%	24	76%	--	--	--	--	--	--
MI 8.6	The MO's procurement procedures provide effective control on purchases of goods and services	6	7%	--	--	--	--	6	7%	--	--	--	--
MI 8.7	The MO has strategies in place for risk management (identification, mitigation, contingency planning, monitoring and reporting)	--	--	--	--	--	--	--	--	--	--	--	--

3.1.9 KPI 9: Using performance information

KPI 9: The MO demonstrates the use of performance information for decision-making.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 9.1 – Performance information is used by the MO for revising policies and strategies	4.30	4	<p>Donors at headquarters rated UNHCR adequate overall for using performance information to revise its organisational policies and strategies. However, nearly a third (32%) indicated having insufficient knowledge to respond.</p> <p>UNHCR presents information on its organisation-wide performance in terms of key results areas/objectives through its Global Report, which is issued annually and made available publicly. This report is prepared by the organisation and presents self-assessment data on performance. In addition, UN Board of Auditor external audit reports and Office of Internal Oversight Services (OIOS) internal audit reports examine performance issues related to organisational systems and practices, but not progress towards achievement of programming results directly. UNHCR’s Policy Development and Evaluation Service also issues evaluation reports (in addition to policy papers, think pieces and academic research papers), though the number which is organisation-wide in scope is limited.</p> <p>While there is evidence that UNHCR is using performance information to revise organisational policies and strategies, this practice has not been systematic, as highlighted in an OIOS audit completed in 2011 which noted that (OIOS Internal Audit Division, 2011 [01]):</p> <p style="padding-left: 20px;">There is no capacity within UNHCR to identify when the policies need to be replaced and updated which may prevent policies from being effective. The main impetus to update policies currently comes from staff feedback provided on an ad-hoc basis (...).</p> <p>In response to the audit recommendations and to strengthen its policy management system, UNHCR issued a Policy on the Development, Management and Dissemination of UNHCR Internal Guidance Material which has been effective as of January 1, 2014. This policy specifies that the High Commissioner or any delegated authority can review a policy at any time needed, but that at a minimum each policy must be subjected to “a time-limited review period, typically every 5 years, and must be reviewed before the expiry date” (UNHCR, 2014 [29]). UNHCR is considered by OIOS to have addressed all recommendations from the 2011 internal audit on policy creation and dissemination; as many changes are recent, it will take some time before the benefits of these new practices can be fully realised within the organisation.</p>
MI 9.2 – Performance information is used by the MO for planning new interventions at the country level	4.40	4	<p>MOPAN donors at headquarters and host government respondents were asked whether UNHCR uses performance information regarding its projects and programmes to plan new areas of co-operation at the country level: 54% rated UNHCR adequate or above, 14% rated it inadequate or below, and 32% responded ‘don’t know’ (53% of whom were donors).</p> <p>UNHCR was rated adequate on this MI, based on the documentary evidence. Monitoring of performance by country</p>

MI	Overall survey mean score	Document review rating	Observations
MI 9.3 – Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.25	3	<p>operations happens throughout the year, but reporting on progress through UNHCR's online Focus database happens twice yearly: at the midway point and at the end of the planning year (UNHCR, 2011 [21]).</p> <p>UNHCR indicates that its mid-year review, which involves an analysis of performance indicator data as well as a discussion of challenges and emerging opportunities, represents a key juncture for revising plans and reallocating resources across operations (UNHCR, 2011 [24]). While the annual review process also includes consideration and discussion of past performance, it coincides with UNHCR's comprehensive planning exercise for the following year, which is primarily framed around an assessment of beneficiary needs (UNHCR, 2011 [19]). Thus, informed by this needs analysis, country operation plans mainly present detailed information on the gaps that new programming is intended to address along with strong justifications as to why such programming is warranted within the specific country environment. Although there are some references made to how performance achievements/shortcomings are leading to modified or new programming within planning documents for the five countries assessed by MOPAN (Bangladesh, DRC, Ecuador, Kenya and Tanzania), these are rare.</p> <p>Donors at headquarters and direct partners were asked two questions on this MI: whether UNHCR regularly identifies poorly performing programmes and projects, and whether it proactively addresses performance issues once identified. Overall, UNHCR was rated adequate on both counts, but views were mixed across respondent groups and the differences are statistically significant: donors at headquarters considered UNHCR inadequate in identifying poorly performing interventions and adequate in dealing with such performance issues once identified, whereas direct partners considered UNHCR strong in both cases. Of note is that half of donors at headquarters indicated lacking sufficient knowledge to respond on each of the two questions.</p> <p>UNHCR was assigned a rating of inadequate through the document review, as it does not have a specific system in place for identifying and following up on poorly performing programmes. In fact, the UN Board of Auditors has highlighted areas for improvement over the last few years with regard to UNHCR's proactive management of interventions, noting for instance in 2011 that it had "identified deficiencies in monitoring and control by UNHCR of the performance of implementing partners, including instances of failure to comply with the requirements of the UNHCR verification framework" and in 2013 that "[t]he review of financial reports is not always aligned or coordinated with a review of performance, providing limited documentary evidence enabling UNHCR to intervene if the partner is not performing in line with the levels of funding provided" (UNBOA, 2011 [01]; UNBOA, 2013 [01]).</p> <p>UNHCR reports that it completed development of Global Focus Insight in 2013, a new business analysis tool that links performance information with expenditures and provides dashboard views that allow comparison of performance between different country operations and can generate a series of analytical reports (UNHCR, 2014 [17]). Staff interviewed reported that Global Focus Insight was proving to be a useful tool, and that it showed promise for helping the organisation monitor and address performance issues.</p>
MI 9.4 – Evaluation recommendations reported to the governing bodies are acted upon by the responsible units	4.09	2	<p>MOPAN donors at headquarters, the only group surveyed for this MI, rated UNHCR adequate for tracking the implementation of evaluation recommendations reported to its governing bodies. However, nearly a third (32%) responded 'don't know'.</p> <p>On the basis of the documents reviewed, UNHCR was rated weak on this MI. The process for responding to evaluation recommendations, as detailed in UNHCR's Evaluation Policy, is ambiguous: it is indicated only that the Executive Office may choose to issue a directive to senior managers for implementation of specific evaluation recommendations, and that a follow-up process is to be undertaken six months following the report (UNHCR, 2010 [10]). The OIOS pointed out in fact in a Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees conducted in 2013 that UNHCR lacks a systematic process for considering evaluation findings and conclusions, for issuing management responses and tracking implementation of evaluation recommendations. The OIOS report also noted that reports are not being tabled for consideration by governing bodies, and recommended that UNHCR table key strategic evaluations during governing body discussions. UNHCR</p>

MI	Overall survey mean score	Document review rating	Observations
			indicates that it has introduced a management response requirement for evaluations, which is being overseen by the Internal Compliance and Accountability Committee, and that PDES has been systematically using a management response matrix tool. Since these are new practices, their effectiveness was not yet evident at the time of writing..

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 9.1	Performance information is used by the MO for revising policies and strategies	4.30	4.30	--	--	--	--	0.56	0.56	--	--	--	--
MI 9.2	Performance information is used by the MO for planning new interventions at the country level	4.40	4.19	--	--	4.51	--	1.05	0.65	--	--	1.21	--
MI 9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.25	3.56	--	4.62	--	--	1.05	0.75	--	1.01	--	--
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	4.22	3.47	--	4.63	--	--	1.05	0.71	--	0.99	--	--
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	4.28	3.65	--	4.62	--	--	1.06	0.78	--	1.03	--	--

Survey mean scores							Standard deviation					
	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 9.4 Evaluation recommendations reported to the governing bodies are acted upon by the responsible units	4.09	4.09	--	--	--	--	0.84	0.84	--	--	--	--

Don't know responses, overall and by respondent group

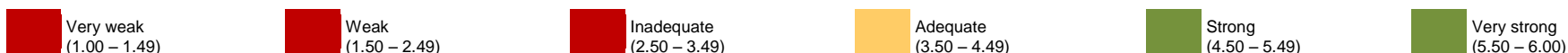
#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 9.1	Performance information is used by the MO for revising policies and strategies	11	32%	11	32%	--	--	--	--	--	--	--	--
MI 9.2	Performance information is used by the MO for planning new interventions at the country level	20	32%	18	53%	--	--	--	--	2	12%	--	--
MI 9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	24	29%	17	50%	--	--	7	8%	--	--	--	--
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	24	29%	17	50%	--	--	7	8%	--	--	--	--
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	23	29%	17	50%	--	--	6	7%	--	--	--	--
MI 9.4	Evaluation recommendations reported to the governing bodies are acted upon by the responsible units	11	32%	11	32%	--	--	--	--	--	--	--	--

3.1.10 KPI 10: Managing human resources

KPI 10: The MO manages human resources using methods to improve organisational performance.



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 10.1 – The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources	4.11	4	<p>Donors at headquarters rated UNHCR adequate for this micro-indicator, although nearly half (47%) indicated that they are unfamiliar with UNHCR's use of performance assessments to make human resource decisions.</p> <p>Based on the documents reviewed, UNHCR's use of performance assessments to make staffing decisions is adequate. Since 2009, UNHCR has made major reforms in its human resources management system, including introducing a new performance appraisal and management system (PAMS) for all staff. The aim of the PAMS is to establish a results framework for effective performance management and increase accountability, transparency and fairness of the performance management process, in line with current best practices among UN agencies. However, the extent to which UNHCR management use the PAMS as a basis to provide salary increments or other rewards, dismiss or promote staff, or make other human resources management decisions remains unclear.</p> <p>Compliance with the PAMS has been high, but UNHCR recognises that the system needs improvement, particularly with regards to its simplification and links between the PAMS and opportunities for career development (UNHCR, 2013 [17], p. 7). These developments are under discussion. UNHCR recently revised its promotions policy (released in February 2014), its performance management policy (launched in November 2014), and is revising its contracts policy (still being developed) to ensure that meritorious performance is recognised for promotion to higher grades and responsibilities (UNHCR, 2013 [17], p. 7).</p>
MI 10.2 – There is a transparent system in place to manage staff performance	4.00	4	<p>Donors at headquarters considered UNHCR to be adequate. However, the level of uncertainty was quite high, with 59% of surveyed respondents stating they are unfamiliar with the transparency of the staff performance assessment system.</p> <p>Based on documentary evidence, the transparency of the staff performance management system is rated adequate. Assessments of staff performance are guided by the UNHCR Competency Framework: Performance Appraisal and Management System (PAMS), which describes the main goals of the PAMS, adopted by UNHCR in 2009. The PAMS describes the competencies (skills, attributes and behaviours) which are considered important for staff and managers, according to the level of responsibility and complexity of their job. Annual reviews are expected to demonstrate whether a staff member has the appropriate competencies required for their post. The PAMS Competency Framework does not, however, explain how performance assessments are linked to incentives or rewards.</p> <p>External evaluations of UNHCR have not commented on transparency (or lack thereof) in human resources decisions. However, a 2012 report from the Office of Internal Oversight Services (OIOS) did comment on how the introduction of the PAMS has supported timely management and assessment of staff performance: “The</p>

MI	Overall survey mean score	Document review rating	Observations
MI 10.3 – The MO has appropriate measures in place to ensure staff security	4.82	5	<p>implementation of PAMS achieved over 85% adoption in the first year of the system rollout across various duty stations and categories of staff. PAMS supported consistency, enforced mandatory mid-term reviews and provided timely information for other human resources-related actions” (OIOS, 2012 [01], p. 8).</p> <p>Overall, survey respondents rated UNHCR strong for the appropriateness of security measures. 49% gave a rating of strong or above, 28%, a rating of adequate, and 3% consider this to be inadequate. 20% were unfamiliar with the question.</p> <p>The documentary analysis rated UNHCR as strong with respect to its systems and practices to ensure staff security. UNHCR adopted a Security Policy and an Action Plan on Security Management for 2013-2015 that is applicable to national and international staff. The Security Policy explains that UNHCR’s Field Safety Section (FSS) was created “to strengthen a culture of security based on sound risk practices, allowing the organisation to stay and deliver critical programmes even where risk remains” (UNHCR, 2013 [34], p. 3). FSS is responsible for ensuring that appropriate measures are taken to manage security risks, including for staff health and welfare. UNHCR regularly reports to the Executive Committee on measures taken to improve staff security, in line with the 2013-2015 Plan of action (see reports on Staff Safety and Security Issues (UNHCR, 2013 [18]) (UNHCR, 2014 [05])).</p> <p>The Action Plan on Security Management notes that UNHCR aims to reach 100% compliance with the United Nations’ Minimum Operating Security Standards (MOSS), which establish minimum operating standards that are specific to each country. FSS undertakes a biannual MOSS compliance review to monitor its progress on compliance at country level, and works with offices on follow-up actions; in recent years, compliance rates have been around 95% excluding new offices and situations (UNHCR, 2013 [34], p. 19).</p> <p>UNHCR’s Global Learning Centre and FSS collaborate to provide its staff with training and tools in security risk management. A number of online courses and in-person training workshops are available including a Workshop on Emergency Management, offered four times a year to security specialists and other staff. In addition, staff and managers have access to the Security Risk Management self-study learning module which includes content and tools on managing security, such as security risk assessments, risk reduction measures, critical incident management, and security relationships on the ground (UNHCR, 2009 [02]).</p>
MI 10.4 – Staff deployment in country is adequate for the development of effective country-level partnerships	4.53	--	<p>Survey respondents rated UNHCR strong for this micro-indicator. 41% gave a rating of strong or above, 32% gave a rating of adequate and 8%, a rating of inadequate or below. This MI was not assessed by document review.</p>
MI 10.5 – The MO has a code of conduct that is followed by staff members	4.45	6	<p>Overall, survey respondents gave a rating of adequate. 50% of respondents said they don’t know to what extent UNHCR monitors compliance with the code of conduct, and 59% indicated they don’t know to what extent UNHCR reports transparently on compliance with the code.</p> <p>Based on documentary evidence, UNHCR is rated very strong regarding its code of conduct, which must be signed by all staff members. The code outlines the main values and standards of behaviour that staff are expected to uphold, in line with the United Nations Charter and Staff Regulations and Rules. The UNHCR Ethics Office offers regular training on the code of conduct, in the form of orientation sessions for new personnel and refresher courses for all staff.</p> <p>There is a system in place for personnel to report on misconduct of managers or colleagues that can ultimately result in dismissal or written censure. The UNHCR Inspector General’s Office (IGO) is responsible for the investigation of misconduct complaints. If sufficient evidence is found in support of the complaint, the IGO will report to the Division of Human Resources Management, which is responsible for applying appropriate disciplinary sanctions, in accordance with staff regulations and rules.</p> <p>UNHCR reports annually on cases of non-compliance with the code of conduct, along with any attending disciplinary proceedings. An annual overview of IGO investigations of misconduct, <i>inter alia</i>, is provided to the General</p>

MI	Overall survey mean score	Document review rating	Observations
			Assembly, via the Report on Activities of the Inspector General's Office and the Report of the Board of Auditors (UNHCR, 2013 [12]; UNBOA, 2013 [01]).
MI 10.6 – The MO has rapid personnel deployment or surge mechanisms in place	--	4	<p>Based on the document review, UNHCR's rapid personnel deployment was rated adequate.</p> <p>UNHCR relies on the Emergency Response Team (ERT) roster to supply its main internal capacity for rapid deployment, and may call upon its internal network of technical experts for additional support. A Senior Corporate Emergency Roster was established in 2011 to complement the ERT. Guidelines on rapid deployment are described in the Handbook for Emergencies, and UNHCR reports to the Executive Committee on measures taken to enhance emergency deployment of personnel and its interoperability.</p> <p>In the event that rapid personnel deployment needs cannot be met in-house, UNHCR has procedures for accessing external emergency personnel. The access is ensured through formal standby arrangements with partners that guarantee availability of external personnel for emergency deployments. However, evaluations of recent emergency operations suggests that UNHCR's deployment of staff, particularly technical experts, is not fully effective (Ambroso, G.; Janz, J.; Lee, V.; Salomons, M., 2013; Richardson, Bush, & Ambroso, 2013).</p> <p>Since 2011, UNHCR has been reviewing its emergency systems and adapting practices in order to enhance emergency preparedness and response, including rapid personnel deployment. It may be too early to assess the effectiveness of these recent reforms. Evaluations of UNHCR's performance in deployment in recent emergency operations (Tunisia and Egypt, South Sudan, and Syria) leads to mixed conclusions on its effectiveness. An evaluation of UNHCR's response to the Libyan refugee situation noted that "UNHCR struggled to find deployees with appropriate skills in programme, administration and protection (with the exception of resettlement), while the organisation had to rely on external expertise in technical areas such as water, sanitation, health and site planning. UNHCR had to rely on the expertise of other agencies with mixed results" (Ambroso, Collyer, & Li Rosi, 2013).</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 10.1	The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources	4.11	4.11	--	--	--	--	0.83	0.83	--	--	--	--
MI 10.2	There is a transparent system in place to manage staff performance	4.00	4.00	--	--	--	--	0.78	0.78	--	--	--	--
MI 10.3	The MO has appropriate measures in place to ensure staff security	4.82	4.48	4.78	5.04	5.02	4.72	0.83	0.58	0.72	0.97	0.91	0.76
MI 10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.53	4.35	4.45	4.46	4.87	4.45	0.93	0.48	0.69	1.24	1.01	0.89
MI 10.5	The MO has a code of conduct that is followed by staff members	4.45	4.22	4.92	4.96	5.03	4.61	0.69	0.57	0.58	0.89	0.96	1.07
Sub-MI	i) UNHCR staff follow the code of conduct	4.89	--	4.92	4.96	5.03	4.61	0.94	--	0.58	0.89	0.96	1.07
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	4.24	4.24	--	--	--	--	0.56	0.56	--	--	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	4.21	4.21	--	--	--	--	0.57	0.57	--	--	--	--
MI 10.6	The MO has rapid personnel deployment or surge mechanisms in place	--	--	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 10.1	The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources	16	47%	16	47%	--	--	--	--	--	--	--	--
MI 10.2	There is a transparent system in place to manage staff performance	20	59%	20	59%	--	--	--	--	--	--	--	--
MI 10.3	The MO has appropriate measures in place to ensure staff security	38	20%	7	21%	13	47%	10	15%	2	7%	6	12%
MI 10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	41	19%	8	24%	9	27%	9	12%	2	10%	13	24%
MI 10.5	The MO has a code of conduct that is followed by staff members	27	45%	19	54%	21	65%	11	13%	1	3%	10	20%
Sub-MI	i) UNHCR staff follow the code of conduct	43	25%	--	--	21	65%	11	13%	1	3%	10	20%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	17	50%	17	50%	--	--	--	--	--	--	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	20	59%	20	59%	--	--	--	--	--	--	--	--
MI 10.6	The MO has rapid personnel deployment or surge mechanisms in place	--	--	--	--	--	--	--	--	--	--	--	--

3.1.11 KPI 11: Performance-oriented programming

KPI 11: Country/regional programming processes are performance-oriented.

This KPI was assessed by document review only.



“--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 11.1 – Prior to approval, new initiatives are subject to risk analysis (economic, social, etc.)	--	5	<p>UNHCR was assessed only through document review on this MI, and rated strong for subjecting new initiatives to risk analysis prior to approval.</p> <p>UNHCR's programming is founded on assessments of needs, a key component of which is to assess the protection risks faced by populations of concern during the planning phase, including main causes and consequences, and capacity of governments and communities to address these risks (UNHCR, 2010 [22]). As stipulated in UNHCR's Manual for staff, these assessments “should always include an analysis, conducted with the direct participation of refugees, of the differing resources, skills, activities, concerns and specific needs of women, girls, boys and men, the elderly and other distinct demographic groups, and of the impact of assistance and protection measures on these groups”. UNHCR's Manual also specifies that assessment findings feed directly into operations planning, project and sub-project design, and reporting (UNHCR, 2005 [08]), of which we have evidence in UNHCR's planning and reporting documents for the five countries assessed by MOPAN.</p> <p>To support the assessment of needs and risks by country offices, UNHCR has developed a number of guidance and tools. In particular, the UNHCR Tool for Participatory Assessment in Operations provides detailed instructions on the steps needed to obtain accurate information and assess the protection risks faced by particular groups of persons of concern using a consultative approach. The document includes a list of potential protection risks categorised according to the following main groupings: general risks, physical risks, social risks, economic risks, and potential risks associated with cultural practices (UNHCR, 2006 [07]).</p> <p>A Review of UNHCR Participatory Assessments in 2012 conducted by UNHCR's Division of International Protection reported a real commitment to the approach and confirmed the strength of the consultative process in practice, based on documentation from 42 country operations. The report highlighted however that there is still room for improvement in the process: the assessment findings and recommendations are not always made explicit and traceable in the country plans, and little information is presented on the methods or reasoning used to determine the programming priorities (UNHCR, 2013 [38]).</p>
MI 11.2 – Milestones/targets are set to rate the progress of (project) implementation	--	3	<p>This MI was assessed by document review only and examined the use of work plans to track progress being made in project or programme implementation; UNHCR was rated inadequate.</p> <p>A sample of project work plans for three of the five assessed countries was shared with our team. These plans are prepared using a standardised template, and correspond to a section of broader annual partnership agreements. The work plans include a list of activities for each programming output/objective, as well as site information and beginning and end dates per activity. Each work plan can be read in conjunction with the project description annex which can also be found in the partnership agreement document. While the project description file includes targets at the output level, the activities presented in the work plan, which are meant to enable output achievement, generally do not (i.e. it is often unclear what would represent a satisfactory measure of activity completion). The quality of the activities</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>presented in the plans reviewed were also observed to be highly variable, described at times in very broad terms that have limited potential for helping programme managers track progress in output implementation.</p> <p>UNHCR indicated in early 2014 (in response to a UN Board of Auditor recommendation) that it is developing tools to analyse the rate of implementation by partners, as well as procedures to enhance control mechanisms and ensure closer coupling of payments to implementing partners with their performance (UNHCR, 2014 [30]).</p>

3.1.12 KPI 12: Delegating authority

KPI 12: The MO delegates decision-making authority (to the country or other levels).



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 12.1 - The MO key operations/ management decisions can be made locally	4.57	5	<p>All respondent groups were asked whether key operational and management decisions within UNHCR are delegated and decentralised in a manner appropriate to the context, and the organisation was rated strong overall: 40% of survey respondents perceived UNHCR as strong or very strong, 32% as adequate, and 4% as inadequate or below. A high level of ‘don’t know’ responses was recorded among donors at both the headquarters and field levels (respectively 35% and 46%).</p> <p>UNHCR was rated strong on this MI by document review. UNHCR is recognised by the UN Board of Auditors as an organisation “with extensive delegations of authority from headquarters to country representatives” (UNBOA, 2013 [01]). The organisation has issued several documents in recent years to clarify authorities for decision-making at different levels, including the Global Management Accountability Framework (2010), which defines accountabilities, responsibilities and authorities at the headquarters, regional and country levels, and thus represents a guiding tool for managers to help enhance their individual and collective performance and now serves as the backdrop for UNHCR job descriptions. (UNHCR, 2010 [18]) The organisation also has a framework for resources allocation and management in place, which it revised in 2007 and updated further in 2011; this framework clarifies the division of responsibilities between the operational and financial branches and is guided by a series of principles, two of which make explicit UNHCR’s commitment to decentralisation and are to: “enable maximum and responsible delegation of authority to the country and sub-regional levels” and “provide for a clear delineation of responsibilities between actors responsible for the content of strategies and plans, and effective and efficient financial management” (UNHCR, 2011 [24]; UNHCR, 2007 [15]). Nevertheless, the UN Board of Auditors has highlighted that there is room for continued improvement in UNHCR’s system of delegations, for which it observed instances of non-compliance as well as inconsistencies in levels of scrutiny. To remedy these issues, the Board of Auditors recommended that UNHCR make improvements to its internal controls framework and benchmark its accountability structure against similarly devolved organisations. In response, UNHCR reported in January 2014 that: i) it would be updating its Delegation of Authority Plan (2006) as well as the section of UNHCR’s Manual pertaining to financial management; ii) the United Nations Office of Internal Oversight Services (OIOS) had undertaken an internal audit of UNHCR’s Delegation of Authority Plan; and iii) a consultant had been contracted to review the organisation’s financial internal control framework and its use in conducting financial transactions, and to benchmark UNHCR’s existing practices (UNHCR, 2014 [17]).</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>According to UNHCR's Global Appeal 2014-2015, the organisation has worked since December 2006 on strengthening and expanding the authorities of its regional offices. In 2014, its Organisational Development and Management Service (ODMS) will pursue this line of work further, collaborating with relevant headquarter bureaux and divisions to :</p> <p>(...) monitor, assist, and provide guidance on the implementation of recommendations, including questions of delegation of authority; lines of communication; the composition of countries which make up a regional grouping; the division of labour between a regional office and the country in which it is located; logistic challenges; and staff welfare issues. (UNHCR, 2013 [06])</p> <p>Staff interviewed was very positive about the changes made in recent years by the organisation to empower the field with greater decision-making authority and to concentrate a greater proportion of expenditures on field-level programming and support. A recurring concern expressed however was that headquarters had or was on the verge of becoming 'too lean', with resources to support the field and ensure internal controls overstretched.</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 12.1	The MO key operations/ management decisions can be made locally	4.57	4.64	4.52	4.51	4.91	4.23	0.81	0.58	0.51	0.92	0.79	0.92

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 12.1	The MO key operations/ management decisions can be made locally	46	24%	12	35%	16	46%	7	10%	2	10%	9	19%

3.1.13 KPI 13: Adherence to humanitarian principles and the UNHCR protection approach

KPI 13: The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 13.1 – The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.82	--	All respondent groups were asked whether UNHCR maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict. The majority of respondents (61%) rated UNHCR strong or very strong, 26% adequate, and 5% inadequate or below.
MI 13.2 – The MO respects humanitarian principles while delivering humanitarian action	4.92	2	<p>Survey respondents in all categories were asked two questions on this MI: whether UNHCR respects humanitarian principles (humanity, impartiality, neutrality, and operational independence) while delivering humanitarian assistance, and whether it takes relevant corrective action when unable to fully implement these principles into its emergency and relief operations (for instance, by actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring). Although UNHCR was rated strong on both counts, peer organisations were less positive than other groups on the second question, and this difference is statistically significant. On average across both survey questions, 63% of respondents considered UNHCR strong or very strong, 23% adequate, and 5% inadequate or below.</p> <p>The document review rated UNHCR weak on this MI. The guiding principles of humanity, impartiality, neutrality and operational independence for the provision of humanitarian assistance are enshrined in UN General Assembly resolutions 46/182 and 58/114 (UN General Assembly, 1991 [01]; UN General Assembly, 2003 [01]). Though UNHCR Statute specifies its non-political and humanitarian character, few UNHCR documents explicitly reference the humanitarian principles mentioned above. Noteworthy in particular is the absence of any reference to the principles in UNHCR's Global Appeal documents (i.e. UNHCR's organisation-wide strategic plan) for both the 2012-2013 and 2014-2015 biennia. While the Handbook for the Protection of Internally Displaced Persons, prepared by the Global Protection Cluster (which UNHCR leads), includes a section where the core principles of humanitarian action are defined, there does not seem to be an equivalent document for refugee situations – UNHCR's core mandate (GPC Working Group, 2010). Moreover, the organisation does not appear to have defined clear accountabilities for applying the principles in humanitarian or conflict-related situations, or to be monitoring their application systematically or at all.</p> <p>The UNHCR High Commissioner indicated in a recent report to the General Assembly that UNHCR recognises the importance of strengthening communication regarding the humanitarian principles:</p>

MI	Overall survey mean score	Document review rating	Observations
MI 13.3 – The MO has effective practices and systems in place to provide protection responses and activities in its work	4.70	6	<p>In this common endeavour of humanitarian action, as the humanitarian principles of neutrality, impartiality and independence come under pressure from different sides, UNHCR and its partners must also maintain a steadfast commitment to these principles, and redouble efforts to increase understanding of their vital importance. (UNHCR, 2013 [56])</p> <p>This is significant, as recent studies have underlined that host governments' respect for humanitarian principles is perceived to be diminishing, which is of concern as their withholding of humanitarian access represents a significant barrier to protection (Murray & Landry, 2013; Taylor, et al., 2012).</p>
			<p>On this MI all survey respondent groups were asked whether UNHCR has effective practices and systems in place to provide protection responses and activities in its work for: i) refugees; and ii) other persons of concern. All groups agreed that UNHCR has strong practices and systems for protecting refugees, and these results are statistically significant. Overall, however, UNHCR received a mean survey score of adequate for its protection practices and responses for other persons of concern, through the median survey score is strong, given the spread in data.</p> <p>UNHCR was rated very strong by document review on this MI. The centrality of UNHCR's protection focus for refugees was established in General Assembly resolution 428 (V) on December 14, 1950, which sets out the organisation's Statute. Subsequent General Assembly resolutions, Economic and Social Council resolutions, and UNHCR Executive Committee conclusions have expanded UNHCR's core mandate to include responsibility for the provision of international protection to asylum-seekers, returnees, and stateless persons. UNHCR has also been allowed to work and extend its protection focus to internally displaced persons (IDPs).</p> <p>While UNHCR's responsibility for providing protection to persons of concern is clearly identified as a key organisational function in governing body decisions and directives, a challenge has been that there is acknowledged ambiguity over what 'protection' encompasses, as noted in the organisation's Note on International Protection a few years back:</p> <p>The Office is frequently asked what its international protection mandate actually entails, especially when exercised in fragile host States or countries of origin. Some States are challenging the exercise by UNHCR of its statutory and hence mandatory protection responsibilities. In situations of large-scale influx, international assistance to affected States has increasingly overshadowed issues of international protection, causing confusion over the relationship between protection and assistance. To complicate matters further, a plethora of varying notions of protection has emerged recently in the international debate. In view of all this, there is a need to demystify protection and clarify its content. International protection is not an abstract concept. It is a dynamic and action-oriented function. It encompasses a range of concrete activities, covering both policy and operational concerns, and is carried out, in co-operation with States and other partners, with the goal of enhancing respect for the rights of refugees and resolving their problems. (UNHCR, 2000 [01])</p> <p>A recent study commissioned by the Global Protection Cluster concluded that the definitional issue remains a concern to this day, with different protection actors interpreting the protection concept differently, thus compromising the development of a clear and unified message on what protection is and why it is important (Murray & Landry, 2013).</p> <p>Despite these contextual challenges, there is clear evidence that UNHCR has resourced its protection strategy, with staff at all levels of the organisation dedicated to the provision of international protection, and a centralised unit (the Division of International Protection) providing advice and support to the field, other headquarter units, and external counterparts (e.g. governments, international non-governmental organisations, and national non-governmental organisations) on three pillars: i) policy, law and protection issues concerning asylum systems in the industrialised world; ii) protection operational support; and iii) comprehensive solutions and resettlement (UNHCR, 2013 [06]). In addition, the Biennial Programme Budget 2014-2015 demonstrates that UNHCR is dedicating funds to protection: USD 13.87 million has been budgeted for the Division of International Protection and USD 4.32 million for protection-related projects in 2014. The organisation has also developed a series of guidelines, frameworks and tools for staff and other actors, as well as a number of training programmes. There is also evidence that the organisation monitors and reports on progress made at the organisational scale on its protection-related work, notably through its Notes on International Protection submitted to the General Assembly, its Global Reports, and corporate evaluations on protection-related activities.</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.82	4.69	5.06	4.87	4.90	4.59	0.93	0.66	0.68	1.08	0.84	1.18
MI 13.2	The MO respects humanitarian principles while delivering humanitarian action	4.92	4.92	4.97	5.06	4.98	4.67	0.88	0.71	0.79	0.81	0.94	1.04
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	5.16	5.16	5.18	5.28	5.15	5.01	0.80	0.80	0.80	0.75	0.78	0.88
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.69	4.68	4.76	4.84	4.81	4.33	0.95	0.62	0.77	0.88	1.10	1.21
MI 13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.70	4.80	4.69	4.80	4.77	4.44	0.87	0.58	0.73	0.98	0.87	1.03

Survey mean scores								Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	4.91	5.03	4.78	4.93	5.20	4.57	0.81	0.59	0.71	0.91	0.71	0.95
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.49	4.56	4.59	4.68	4.33	4.31	0.93	0.56	0.75	1.06	1.02	1.11

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	12	7%	5	15%	5	18%	2	3%	0	0%	0	0%
MI 13.2	The MO respects humanitarian principles while delivering humanitarian action	19	9%	6	16%	4	11%	4	6%	1	3%	6	12%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	6	3%	2	6%	1	4%	2	3%	0	0%	1	2%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	32	16%	9	26%	6	18%	6	9%	1	5%	10	22%
MI 13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	14	6%	2	6%	5	16%	5	5%	0	0%	2	4%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	10	5%	2	6%	4	14%	2	3%	0	0%	2	4%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	17	7%	2	6%	6	19%	7	8%	0	0%	2	4%

PERFORMANCE AREA III: RELATIONSHIP MANAGEMENT

3.1.14 KPI 14: Adjusting to local conditions and capacities

KPI 14: The MO's procedures take into account local conditions and capacities.

This KPI was assessed by survey only.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 14.1- The procedures of the MO can be easily understood and completed by partners	4.58	--	All respondent groups other than peer organisations were asked whether UNHCR uses procedures (for instance with respect to funding and reporting requirements) that can be easily understood and followed by its humanitarian partners. UNHCR was perceived as strong overall, with half of respondents rating the organisation strong or very strong, 26% as adequate, and 11% as inadequate or below. Direct partners and host government respondents – who have more direct experience with UNHCR's procedures – responded more positively than donors at headquarters and in-country, and these differences are statistically significant.
MI 14.2- The length of time for completing MO procedures does not have a negative effect on implementation	4.23	--	Donors at headquarters and in-country, as well as direct partners and host governments were consulted on whether the length of time it takes to complete UNHCR's procedures affects implementation; they rated the organisation adequate overall.
MI 14.3- The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.61	--	More than half of respondents (54%) perceived UNHCR's operational agility for responding quickly to changing circumstances on the ground to be strong or very strong; 29% rated it adequate, and 10% inadequate or below.
MI 14.4- The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.26	--	Country-level respondents (donors in-country, direct partners, host governments, and peer organisations) were asked whether UNHCR ensures sufficient use of local resources, i.e. local expertise, goods and services. Overall, UNHCR's performance was deemed adequate; 72% of respondents rated the organisation adequate or above.
MI 14.5- The MO ensures that capacity development of local partners is undertaken	4.12	--	Country-level respondents considered that UNHCR adequately ensures capacity development of local partners. A third rated UNHCR strong or very strong, 31% as adequate, and 24% as inadequate or below.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 14.1	The procedures of the MO can be easily understood and completed by partners	4.58	4.14	4.16	4.87	4.97	--	1.09	0.80	1.15	1.07	1.07	--
MI 14.2	The length of time for completing MO procedures does not have a negative effect on implementation	4.23	4.00	3.73	4.39	4.42	--	1.01	0.94	0.75	1.00	1.08	--
MI 14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.61	4.81	4.70	4.65	4.62	4.29	0.91	0.87	0.90	0.95	0.89	0.90
MI 14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.26	--	4.20	4.50	4.02	4.31	1.15	--	1.02	1.11	1.40	0.95
MI 14.5	The MO ensures that capacity development of local partners is undertaken	4.12	--	4.32	4.18	3.92	4.13	1.24	--	0.99	1.37	1.31	1.18

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 14.1	The procedures of the MO can be easily understood and completed by partners	17	13%	6	18%	9	27%	1	2%	1	5%	--	--
MI 14.2	The length of time for completing MO procedures does not have a negative effect on implementation	33	25%	13	38%	19	59%	1	2%	0	0%	--	--
MI 14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	11	6%	3	9%	5	17%	1	1%	0	0%	2	3%
MI 14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	21	11%	--	--	11	28%	2	2%	0	0%	8	15%
MI 14.5	The MO ensures that capacity development of local partners is undertaken	21	12%	--	--	11	30%	2	3%	0	0%	8	15%

3.1.15 KPI 15: Contributing to policy dialogue

KPI 15: The MO adds value to policy dialogue with its humanitarian partners.

This KPI was assessed by survey only.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 15.1 – The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.72	--	The majority of survey respondents (61%) rated UNHCR's performance in this area as strong or very strong, 28% as adequate, and 8% as inadequate or below. Direct partners were least positive in their responses, and this difference is statistically significant.
MI 15.2 – The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.42	--	Overall, survey respondents rated UNHCR adequate for respecting the views of humanitarian partners when it undertakes policy dialogue. The majority (80%) provided ratings of adequate or above.
MI 15.3 – The MO uses advocacy with governments and other stakeholders to enhance protection	4.70	--	Donors in-country, direct partners and peer organisations were consulted on UNHCR's use of advocacy with governments and other stakeholders to enhance protection for refugees and other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees). On both counts, UNHCR's performance was rated strong overall.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.72	5.09	4.87	4.49	4.65	4.52	0.93	0.68	0.77	0.94	0.97	1.11
MI 15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.42	4.24	4.86	4.34	4.40	4.33	0.88	0.74	0.66	0.97	0.74	1.08
MI 15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.70	--	4.90	4.70	--	4.54	1.07	--	0.88	1.14	--	1.13
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	4.83	--	4.99	4.78	--	4.72	0.98	--	0.84	1.08	--	1.00
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.58	--	4.80	4.61	--	4.37	1.15	--	0.93	1.20	--	1.26

Don't know responses, overall and by respondent group

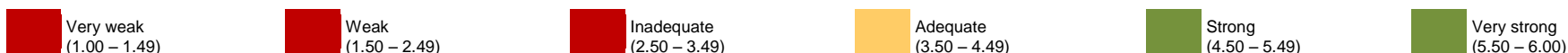
#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	9	3%	1	3%	3	8%	5	6%	0	0%	0	0%
MI 15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	18	8%	5	15%	8	20%	5	7%	0	0%	0	0%
MI 15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	9	6%	--	--	5	13%	4	5%	--	--	1	1%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	6	5%	--	--	4	11%	2	3%	--	--	0	0%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	11	8%	--	--	5	15%	5	6%	--	--	1	1%

3.1.16 KPI 16: Cluster management

KPI 16: The MO participates in the cluster system and dedicates sufficient resources for cluster management when it is a cluster lead or co-lead



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 16.1 - The MO adjusts its programmes to reflect strategic priorities agreed to by the cluster	4.11	--	Donors at headquarters and all respondent groups in DRC other than host governments were surveyed on this MI. UNHCR was rated adequate overall. The organisation was rated more positively by direct partners than other respondent groups, and the differences are statistically significant. The proportion of don't know responses was particularly high among donors in-country (50%).
MI 16.2 - The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination	4.68	--	Respondents in DRC rated UNHCR strong overall: 44% considered UNHCR strong or very strong, 23% adequate, 10% inadequate or below, and 23% responded 'don't know'.
MI 16.3 - The MO ensures that pertinent information is circulated within the cluster it leads or co-leads	4.61	--	Although UNHCR was rated strong on this MI by respondents in DRC, one quarter of respondents (including half of the donors in-country) responded 'don't know'.
MI 16.4 - The MO ensures effective and coherent sectoral needs assessments for the cluster it leads or co-leads	4.42	--	Overall, respondents in DRC considered UNHCR adequate for ensuring that effective and coherent sectoral needs assessments – involving all relevant partners – are completed for the clusters it leads or co-leads. Half of donors in DRC responded 'don't know'.
MI 16.5 - The MO has effective practices and systems in place to act as cluster lead or co-lead	4.32	4	<p>Donors at headquarters were surveyed on this MI, and considered UNHCR adequate overall: 32% rated UNHCR strong or very strong, 50% adequate, and 9% inadequate.</p> <p>Based on the documentary evidence reviewed, UNHCR was rated adequate on this MI. UNHCR has committed to operationalising the Inter-Agency Standing Committee (IASC) Transformative Agenda, which includes provisions for improving the co-ordination and performance of inter-agency clusters used to address internal displacement in conflict and natural disaster situations (UNHCR, 2012 [28]).</p> <p>In addition to leading the Global Protection Cluster, UNHCR co-chairs the Global Emergency Shelter Cluster with the International Federation of Red Cross and Red Crescent Societies (IFRC) and the Global Camp Coordination and Camp Management (CCCCM) Cluster with the International Organization for Migration (IOM). Within both the shelter and camp co-ordination and management clusters, UNHCR assumes primary leadership for conflict situations, while IFRC and IOM take the lead for natural disaster situations (UNHCR, 2014 [22]). In 2013, UNHCR also led 19 of the 29 protection clusters (or cluster-like mechanisms), 8 of the 23 shelter clusters, and 7 camp co-ordination and camp management clusters active at the country level (UNHCR, 2013 [06]).</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>Since the adoption of the Transformative Agenda by the IASC Principals in December 2011, UNHCR has taken numerous steps to strengthen co-ordination and collaboration with and between its partners in the cluster system in order to improve field-level responses in a variety of contexts. The organisation has developed strategies for all three global clusters under its leadership, the most recent of which is the <i>Global Shelter Cluster Strategy 2013-2017</i> (Shelter Cluster, n.d. [02]). The organisation has also produced many guidance papers and tools to inform field cluster operations, such as a <i>Protection Cluster Coordination Toolkit</i> (2012), a <i>Protection Mainstreaming Checklist</i> (2012), a <i>Handbook on Internal Displacement for Parliamentarians</i> (2013) prepared collaboratively with the Inter-Parliamentary Union, an updated <i>Coordination Toolkit</i> (2013) for country-level shelter clusters, <i>Camp Closure Guidelines</i> (2014), <i>Terms of Reference for CCCM Cluster Coordinators</i> (2014), etc. (UNHCR, 2013 [06]; UNHCR, 2014 [22]; GPC, n.d. [02]; Shelter Cluster, n.d. [01]; CCCM, n.d. [01]). In addition, the organisation has continued to develop and deliver training and learning programmes to build technical and co-ordination capacity, such as the <i>Protection Cluster Coordination Learning Program</i> which provides protection cluster partners in-country with technical and soft skills training to draft the cluster strategy, a pilot training on protection mainstreaming, an online (self-paced) CCCM induction training programme for UNHCR and partner staff launched in 2013, and the four month long <i>Tri-Cluster Coordination and Leadership Learning Programme</i> which has been offered to UNHCR and local partner staff (UNHCR, 2013 [06]; UNHCR, 2014 [22]; UNHCR, n.d. [02]). Moreover, UNHCR has developed or improved existing global cluster websites to facilitate information sharing with partners and stakeholders. UNHCR-led clusters have also enhanced their surge capacity: the Global Shelter Cluster developed new arrangements in 2013 to support missions from global focal points to countries, the Global CCCM Cluster established a Rapid Response Team which deployed experts to all new emergencies in 2013, and a roving senior protection officer, assigned through the ProCap surge-capacity project undertook regular support missions in 2013, with a focus on 'level 3' emergencies (UNHCR, 2014 [22]).</p> <p>While UNHCR's many efforts to align its policies and systems with the Transformative Agenda demonstrate an increased engagement in the inter-agency cluster approach, many measures are quite recent and being implemented progressively (e.g. training and guidelines are being rolled out using a phased approach). It may therefore take some time before these measures can lead to demonstrable improvements in cluster performance. At present, the available evaluative/research evidence points to ongoing challenges. For instance, a study on protection funding in complex humanitarian emergencies completed in September 2013 indicated that the global protection cluster is constrained by under-resourcing of its co-ordination function, and that its sub-structure, which involves multiple areas of responsibility each led by different agencies, has hidden the multidimensional character of protection and inhibited development of a unifying strategic approach (Murray & Landry, 2013). The study also reports that donors have expressed a desire for better outcome-level reporting.</p> <p>In order to improve lessons learning and take stock of performance, the Global Protection Cluster has commissioned research studies (see example in paragraph above) (Murray & Landry, 2013), the Global Camp Coordination and Camp Management Cluster has published twelve case studies as part of an ongoing series (CCCM, 2014 [01]), and the Global Shelter Cluster is developing and piloting a methodology for country-level impact evaluations (UNHCR, 2013 [06]).</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 16.1	The MO adjusts its programmes to reflect strategic priorities agreed to by the cluster	4.11	4.00	4.00	5.30	--	3.58	0.91	0.57	0.93	0.84	--	1.26
MI 16.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination	4.68	--	4.00	5.18	5.50	4.00	1.09	--	0.93	0.89	0.55	1.06
MI 16.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads	4.61	--	4.33	5.00	5.00	4.17	1.08	--	0.54	1.08	1.10	1.22
MI 16.4	The MO ensures effective and coherent sectoral needs assessments for the cluster it leads or co-leads	4.42	--	3.67	4.60	5.50	3.92	1.06	--	1.08	0.86	0.55	0.92
MI 16.5	The MO has effective practices and systems in place to act as cluster lead or co-lead	4.32	4.32	--	--	--	--	0.75	0.75	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 16.1	The MO adjusts its programmes to reflect strategic priorities agreed to by the cluster	14	25%	9	26%	3	50%	2	17%	--	--	0	0%
MI 16.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination	5	23%	--	--	3	50%	1	8%	1	33%	0	0%
MI 16.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads	6	25%	--	--	3	50%	2	17%	1	33%	0	0%
MI 16.4	The MO ensures effective and coherent sectoral needs assessments for the cluster it leads or co-leads	6	25%	--	--	3	50%	2	17%	1	33%	0	0%
MI 16.5	The MO has effective practices and systems in place to act as cluster lead or co-lead	3	9%	3	9%	--	--	--	--	--	--	--	--

3.1.17 KPI 17: Harmonising procedures

KPI 17: The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 17.1 – The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.60	5	<p>All respondent groups were asked about this MI. Overall, UNHCR was rated strong, but peer organisation respondents were less positive in their responses than other groups, and these differences are statistically significant.</p> <p>Documentary evidence suggests that UNHCR is a strong contributor to inter-agency plans and appeals and that it participates regularly in these plans. For instance, in 2013, the organisation committed in its <i>Global Appeal Update 2013</i> (UNHCR’s corporate strategic document) to participate with other members of the Inter-Agency Standing Committee (IASC) in 15 of 16 consolidated appeals, which involve an integrated approach to planning, implementing and appealing for funds to maximise effectiveness and avoid duplication of work in complex emergencies. UNHCR was also a member of the IASC Sub Working Group on the Consolidated Appeals Process, which though now defunct brought together aid agencies on a monthly basis “to further issues such as needs analysis and prioritisation, training and workshops in the field, and resource mobilisation”.</p> <p>As of 2014, the humanitarian needs overview and the strategic response plan replace the consolidated appeal process. This change has been made by the IASC to increase the focus on needs analysis and prioritisation and better link these to the planning of the strategic response, resource mobilisation, implementation, monitoring and evaluation in order to achieve evidence-based and measurable humanitarian action in line with the IASC Transformative Agenda. There is evidence that UNHCR has participated in the elaboration of the new strategic response plans in countries such as Afghanistan, the Central African Republic, the Democratic Republic of Congo, the Sahel region countries, Somalia, South Sudan, Sudan, Syria and Yemen (UNHCR, 2014 [22]). In fact, in December 2013, Mr. António Guterres, the High Commissioner of UNHCR, assisted Valerie Amos, the United Nations Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator, in launching the strategic response plans and requirements for 2014.</p> <p>In addition UNHCR has been an active member of the Humanitarian Programme Cycle Steering Group, a body composed of a few senior staff members with special expertise in operations management drawn from UN agencies and NGO consortia.</p> <p>At a corporate level however, UNHCR presents little documentation on its participation in the inter-agency appeals and it is not clear that UNHCR is doing its utmost to inform the donor community of its needs within inter-agency response to emergencies.</p>
MI 17.2 – The MO regularly	4.50	4	<p>UNHCR was considered strong overall on this MI: nearly half of respondents (49%) rated UNHCR strong or very strong,</p>

MI	Overall survey mean score	Document review rating	Observations
collaborates with partners in analysis, design, evaluation and needs assessments			<p>31% rated it adequate, and 12% rated it inadequate or weak.</p> <p>Based on documentary evidence UNHCR was rated adequate for this MI. The focus on the assessment is on UNHCR's collaboration with some of its main operational partners (UNICEF, WFP, and IOM). In the sample of country strategies analysed (i.e. Bangladesh, DRC, Ecuador, Kenya, and Tanzania), there is evidence of collaboration with operational partners at different stages of the humanitarian programme cycle. UNHCR works regularly with WFP, for example, on food security and nutrition needs assessment and planning for refugees. With regards to joint implementation, there is evidence of UNHCR carrying out joint programmes with IOM, WFP, UNDP or UNICEF, the latter being a long-standing partner of UNHCR.</p> <p>UNHCR monitors its co-ordination efforts with partners in different ways. At the corporate level, UNHCR monitors its co-ordination with operational partners through its annual Global Report and in its Updates on Coordination Issues, which are submitted annually to the Executive Committee. At the country-level UNHCR monitors and reports on some co-ordination achievements and strategies through the Focus software. The Global Report also comments on co-ordination efforts at the country-level, although it is not comprehensive. There are variations in the adequacy or clarity of monitoring and evaluation arrangements with its partners. For example, while it has established joint monitoring and evaluation procedures for its collaboration with WFP (through an official Memorandum of Understanding signed in January 2011), its arrangement with UNICEF relies on a two-page joint letter signed by UNHCR High Commissioner and UNICEF Executive Director in October 2011 that does not include clear procedures and parameters and does not seem as binding. There are some examples of joint evaluations carried out with WFP, such as the series of joint evaluations of UNHCR/WFP joint programmes in Bangladesh, Chad, Ethiopia and Rwanda.</p> <p>In general terms, evaluations that analyse UNHCR's role in joint programmes and other operations signal that there is room for improvement in monitoring joint programming, following up on the recommendations of joint assessments, and more generally strengthening its capacity and commitment to co-ordinate with partners (UNHCR & WFP, 2012 [03]; UNHCR & WFP, 2011 [01]; UNHCR & WFP, 2012 [04]; Crisp, y otros, 2013).</p>
MI 17.3 – The MO shares relevant information with humanitarian and other partners	4.47	--	UNHCR was perceived as adequate overall for sharing relevant information (in particular regarding needs) with humanitarian and other partners. Donors at headquarters responded less positively than other groups, and these differences are statistically significant.
MI 17.4 – The MO builds on the initiatives of others to avoid duplication	4.25	--	Direct partners and peer organisations were asked whether UNHCR sufficiently builds on the initiatives of other actors to avoid duplication, and rated the organisation adequate overall.
MI 17.5 – The MO effectively leads	4.48	4	Donors at headquarters, direct partners and peer organisations were asked to rate UNHCR's performance on this MI.

MI	Overall survey mean score	Document review rating	Observations
and co-ordinates comprehensive responses for refugees with all concerned stakeholders			<p data-bbox="913 240 2007 261">The majority (50%) rated UNHCR strong or very strong, 29% rated it adequate and 17% rated it inadequate or weak.</p> <p data-bbox="913 276 2045 616">UNHCR was rated adequate on this MI based on the documentary analysis. UNHCR has primary responsibility for ensuring the care and protection of refugees within the United Nations system, with leadership and co-ordination of refugee responses representing a core function of its mandate. While there is clear evidence that UNHCR dedicates technical expertise, funding, and staffing for the co-ordination of refugee responses, and that it reports to the Executive Committee on co-ordination issues on an annual basis (e.g. in sections of its <i>Global Reports</i> and in its <i>Update on Coordination Issues</i>), recent evaluation reports have highlighted areas for improvement. For instance, a 2013 real-time evaluation of the Syrian refugee response (UNHCR's largest operation) indicated that the organisation should strengthen the co-ordination skills of staff deployed in emergencies, or be receptive to support offered in that regard from OCHA, other UN agencies and NGOs. The evaluation also reported that UNHCR's triple role as an operational organisation, a funder of other agencies and a co-ordinating body is perceived by some as leading to conflict of interest situations, and that some stakeholders view the organisation as being more concerned with managing its own operations than with co-ordinating the system-wide response, and as being dismissive of the expertise of and initiatives undertaken by partners. (Crisp, et al., 2013) UNHCR has taken the conclusions and recommendations from this evaluation seriously, and has implemented numerous actions in response to improve co-ordination (e.g. developing tools</p> <p data-bbox="913 635 2045 730">and providing training to strengthen co-ordination skills, deploying additional experienced senior staff, delinking its inter-agency co-ordination functions from operational functions, undertaking a broad participatory planning process, instituting monthly results-based reporting on activities with partners, etc.). (UNHCR, 2013 [64])The organisation is at present conducting a follow-up evaluation, which will help gauge the success of measures undertaken.</p> <p data-bbox="913 743 2045 936">Recognising the importance of clarifying its role in co-ordination, UNHCR has since 2012 worked to establish clearer models to explain UNHCR's different approaches to co-ordination in refugee-only or mixed situations (i.e. when refugees are assisted alongside internally displaced persons and the IASC cluster system is active). In 2013, UNHCR issued a note that presented the key features of its standard and mixed situation co-ordination models. This was followed in 2014 by a note prepared jointly by OCHA and UNHCR that formalises the accountability interface between UNHCR's co-ordination of a refugee response and OCHA's co-ordination of the broader humanitarian response. The agreement represents a significant step toward enhancing co-ordination and ensuring it is further "streamlined, complementary and mutually reinforcing, and to avoid duplication at the delivery level" (OCHA & UNHCR, 2014 [01]).</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)		214	34	34	78	19	49	214	34	34	78	19	49
MI 17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.60	4.67	4.51	4.81	4.85	4.21	1.06	0.80	0.92	0.90	0.95	1.43
MI 17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.50	4.27	4.56	4.62	4.70	4.33	1.00	0.82	0.99	1.15	0.79	1.17
MI 17.3	The MO shares relevant information with humanitarian and other partners	4.47	3.93	4.66	4.64	4.71	4.41	1.10	1.01	0.90	1.01	0.95	1.37
MI 17.4	The MO builds on the initiatives of others to avoid duplication	4.25	--	--	4.53	--	3.97	1.15	--	--	1.05	--	1.19
MI 17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	4.48	4.60	--	4.53	--	4.33	1.11	1.00	--	1.11	--	1.22

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	25	13%	4	12%	8	28%	10	14%	2	12%	1	2%
MI 17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	14	8%	4	12%	8	22%	0	0%	0	0%	2	4%
MI 17.3	The MO shares relevant information with humanitarian and other partners	11	7%	4	12%	6	18%	0	0%	1	7%	0	0%
MI 17.4	The MO builds on the initiatives of others to avoid duplication	6	5%	--	--	--	--	3	5%	--	--	3	6%
MI 17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	5	4%	4	12%	--	--	1	1%	--	--	0	0%

PERFORMANCE AREA IV: KNOWLEDGE MANAGEMENT

3.1.18 KPI 18: Evaluating results

KPI 18: The MO consistently evaluates its results.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 18.1 – The MO has a structurally independent evaluation unit within its organisational structure that reports to senior management or governing bodies	4.36	3	<p>Donors at headquarters were the only respondent group surveyed on whether UNHCR ensures the independence of its evaluation unit. The majority (62%) rated UNHCR adequate or above, 12% rated it inadequate or below, and more than one quarter (26%) responded ‘don’t know’.</p> <p>UNHCR’s evaluation function has been restructured numerous times over the years since the establishment of a single evaluation post at UNHCR headquarters in 1973 (OIOS, 2013 [02]). The last major reconfiguration occurred during the 2005-2006 period, when the Policy Development and Evaluation Service (PDES) replaced the former Evaluation and Policy Analysis Unit (EPAU). This last transformation brought the evaluation function within the High Commissioner’s Executive Office (UNHCR, 2006 [08]). Nonetheless, the 2011 MOPAN report pointed out that the current reporting lines did not fully guarantee the independence of the evaluation unit, with the Head of PDES reporting to the Deputy High Commissioner on evaluation matters but to the High Commissioner on policy matters. A recent OIOS peer review of UNHCR’s evaluation capacity considered this issue problematic also and identified the following additional concerns regarding the evaluation unit’s independence: i) PDES staff contribute to the formulation, dissemination and promotion of policies on top of their evaluation responsibilities, blurring programming and evaluation lines and leading to real or perceived conflicts of interest; and ii) PDES shares an annual report on its yearly activities with the UNHCR Executive Committee, but evaluation reports are not directly tabled for discussion or review. In light of these observations, the review recommended that UNHCR establish a “dedicated and discrete evaluation unit in headquarters”, that its evaluation policy clarify reporting lines for the evaluation function, and that the organisation consider direct reporting of key, strategic evaluations to the Executive Committee (OIOS, 2013 [02]).</p> <p>In their management response to the OIOS review, UNHCR opined that its demand-driven approach to evaluation (whereby the evaluation unit’s programme is defined primarily in response to requests from the High Commissioner, senior management, the Executive Committee and operational partners) does not constrain independence, stressed that its evaluation office benefits from methodological independence (i.e. protection from outside interference) in designing its evaluations, and highlighted that evaluation and policy are closely interlinked, with co-location favouring use of evaluation findings and recommendations to inform policy-making (OIOS, 2013 [02]).</p> <p>UNHCR provided the assessment team with a copy of a new draft Evaluation Policy in which it proposes to eliminate dual reporting lines and have an evaluation function which reports directly to the High Commissioner on all matters. The draft is currently being reviewed by the High Commissioner’s Office. If endorsed, it should contribute to enhancing the independent of the evaluation unit.</p>

MI	Overall survey mean score	Document review rating	Observations
MI 18.2 – The evaluation function provides sufficient coverage of the MO's programming activity (situations, projects, programmes, etc.)	--	2	<p>This MI was assessed through document review only.</p> <p>The UNHCR Policy Development and Evaluation Service's work programme is largely demand-driven, determined based on consultations with the High Commissioner, senior management, the Executive Committee as well as UN, NGO and academic partners (UNHCR, 2010 [10]). The work programme is also flexible, reviewed and revised on a rolling basis every six months (Crisp, UNHCR's New Policy Development and Evaluation Service: Some frequently asked questions [Presentation], 2006). However, a shortfall of this approach, as noted in the 2013 OIOS review of UNHCR's evaluation capacity, is that evaluation work planning is not informed by a systematic analysis of those risks which pose the greatest threat to the organisation (OIOS, 2013 [02]). Furthermore, it is unclear from documents reviewed what the organisation's own expectations are regarding evaluation coverage. In fact, the UN Board of Auditors recommended in 2010 that UNHCR clarify expectations regarding decentralised evaluations, which are at present being conducted in an ad hoc fashion:</p> <p><i>The Board recommends that UNHCR re-establish and entrench the principles laid down in its own guidance by establishing at the country level a policy clearly specifying the circumstances in which country operations should normally commission programme and project evaluations, and requiring explicit planning and budgeting for evaluation during project design.</i></p> <p>A UNHCR document on actions being taken in response to UN Board of Auditor recommendations issued in January 2014 indicates that the above recommendation is still under implementation. Although the organisation has highlighted the importance of commissioning and budgeting for programme and project evaluations in recent instructional documents for staff at the country operations level, there is recognition that clearer guidance is warranted. The organisation also indicates that it is presently working on developing a strategy to strengthen decentralised evaluation in the field, but notes that implementation will take time as it will require increased resources and enhanced expertise and capacity for quality control and monitoring of field evaluations (UNHCR, 2014 [17]).</p> <p>In addition, , the OIOS 2013 report acknowledges that the UNHCR evaluation function has had insufficient resources allocated to it:</p> <p><i>Overall, the resources dedicated to staffing the evaluation function are very small in relation to the size and breadth of the work of UNHCR. Evaluation resources constitute .05 to .08 per cent of the overall UNHCR budget, which is below the standard benchmark established for evaluation of 3 to 5 per cent of the overall budget of a programme. (OIOS, 2013 [02])</i></p> <p>It also notes that the unit has been able to achieve a lot given its limited resources:</p> <p><i>With a small cadre of five staff (1 D-1, 1 P-5, 2 P-4 and 1 GS) to support the three integrated functions of evaluation, policy development and research, the Service produced 61 evaluations/reviews, 5 policy reports and 106 publications of "New Issues" web publications between 2006 to 2011. (OIOS, 2013 [02])</i></p> <p>The draft revised Evaluation Policy currently under review proposes that UNHCR should offer a balanced coverage of evaluations that takes into account elements such as geography, funding, duration, risks, dimensions, and vulnerability. According to the draft revised policy, by the end of 2016, between 15 and 20 decentralised evaluations should be supported annually by UNHCR.</p>
MI 18.3 – The MO ensures the quality	--	2	<p>UNHCR's performance in ensuring the quality of its evaluations was assessed through document review only, and</p>

MI	Overall survey mean score	Document review rating	Observations
of its evaluations			<p>rated weak.</p> <p>Although <i>UNHCR's Evaluation Policy</i> (2010) includes a section on quality control, the specifications provided are minimal, referring only to lessons learned exercises after major evaluations are completed and to efforts made by the organisation to encourage internal and external stakeholders to comment on evaluation findings, recommendations and general quality. In addition, the 2013 OIOS review of UNHCR's evaluation capacity highlighted that there is at present no quality assurance mechanism in place to oversee decentralised evaluations or common organisational standards and procedures for such evaluations. The OIOS report also identified a number of quality concerns based on a review of 28 centralised evaluations completed by the UNHCR Policy Development and Evaluation Service (PDES): lack of information on the evaluation criteria, data-collection methods and analytical framework; methodological limitations in assessing programme results and impact; and frequent lack of clear findings. Evaluation reports conducted by external consultants were observed to be of higher quality than those conducted by PDES staff or by mixed teams of consultants and PDES staff (OIOS, 2013 [02]).</p>
MI 18.4 – Evaluation findings are used to inform decisions on programming, policy, and strategy	3.90	--	<p>Although donors at headquarters rated UNHCR adequate overall for using evaluation findings in its decisions on programming, policy and strategy, views amongst this group were mixed: 15% considered UNHCR strong, 26% adequate and 21% inadequate. In addition, a large proportion (38%) answered "don't know", suggesting that they have insufficient knowledge on how UNHCR is using evaluation findings.</p>
MI 18.5 – Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.06	4	<p>Respondent groups other than donors (i.e. direct partners, host governments and peer organisations) were consulted on whether UNHCR involves stakeholders in evaluations of its projects and programmes. Overall, they rated UNHCR adequate for involving both key partners and key beneficiaries in such exercises. However, a third of peer organisation respondents indicated having insufficient knowledge to answer.</p> <p>UNHCR was rated adequate by document review on this MI. <i>UNHCR's Evaluation Policy</i> identifies consultation with stakeholders throughout the evaluation process as a key principle, and makes multiple references to the importance of involving and giving voice to refugees and other persons of concern in evaluations (particularly in those sections pertaining to 'participatory self-evaluations' and 'beneficiary-based evaluations'). The policy also emphasises use of "a disaggregated approach to beneficiary and other populations, taking due account of issues such as gender, age, socio-economic status and other forms of diversity" (UNHCR, 2010 [10]).</p> <p>However, our review of a sample of evaluations conducted by the UNHCR Policy Development and Evaluation Service in recent years suggests that stakeholders are primarily treated as informants and little involved in the planning, analysis and reporting stages. Moreover, no review process/system to ensure involvement of direct beneficiaries and other stakeholders seems to be in place. There thus remains room for improvement.</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	<i>Base (un-weighted)</i>	214	34	34	78	19	49	214	34	34	78	19	49
MI 18.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its senior management or governing bodies	4.36	4.36	--	--	--	--	0.95	0.95	--	--	--	--
MI 18.2	The evaluation function provides sufficient coverage of the MO's programming activity (situations, projects, programmes, etc.)	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.3	The MO ensures the quality of its evaluations	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.4	Evaluation findings are used to inform decisions on programming, policy, and strategy	3.90	3.90	--	--	--	--	0.76	0.76	--	--	--	--
MI 18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.06	--	--	3.98	4.11	4.11	1.20	--	--	1.27	1.13	1.20
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	4.15	--	--	4.15	4.22	4.08	1.20	--	--	1.27	1.06	1.30
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	3.97	--	--	3.82	4.00	4.13	1.19	--	--	1.27	1.20	1.09

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 18.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its senior management or governing bodies	9	26%	9	26%	--	--	--	--	--	--	--	--
MI 18.2	The evaluation function provides sufficient coverage of the MO's programming activity (situations, projects, programmes, etc.)	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.3	The MO ensures the quality of its evaluations	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.4	Evaluation findings are used to inform decisions on programming, policy, and strategy	13	38%	13	38%	--	--	--	--	--	--	--	--
MI 18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	17	12%	--	--	--	--	3	4%	1	3%	13	28%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	11	8%	--	--	--	--	1	1%	0	0%	10	23%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	22	15%	--	--	--	--	5	7%	1	5%	16	33%

3.1.19 KPI 19: Presenting performance information

KPI 19: The MO presents performance information on its effectiveness.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 19.1 – The MO reports against its organisation-wide strategy, including contribution to outcomes	4.48	3	<p>Donors at headquarters were asked to consider two questions for this MI: i) whether UNHCR's reporting against its organisation-wide strategy is useful; and ii) whether UNHCR's reports to its governing bodies provide clear measures of contribution to outcomes. Overall, they rated UNHCR strong for the usefulness of its reports on corporate strategy, but adequate for its performance in reporting on outcomes. In contrast, UNHCR was rated inadequate by document review on this MI.</p> <p>UNHCR presents information on its organisation-wide performance through its Global Report, an annual publication which is primarily produced for governments, private donors and partners but also shared publicly (UNHCR, 2014 [27]). This report summarises UNHCR's organisational achievements during the year, providing information on the wide ranging nature of UNHCR interventions and highlighting challenges encountered in implementing the organisation's strategic plan (i.e. the Global Appeal). Key strengths of this document are that it presents a wealth of information on the activities and outputs completed by the organisation throughout the year, and includes regional, sub-regional and country-level chapters that report on “achievements and impact”. Within the country chapters in particular, the UNHCR Global Report 2013 provides tables on priority programming objectives that include narrative descriptions of progress made during the year and explain gaps between targeted and achieved results, supported by UNHCR impact-level indicator data.</p> <p>However, the Global Report includes little organisation-wide aggregate information on programming performance at the outcome/impact levels. Such information is presented only in the section on the Global Strategic Priorities (GSPs), and provides only partial coverage of the themes included in the operational GSP statements (e.g. no data is presented on reproductive health care, domestic energy, sanitation and hygiene).</p> <p>In addition, the report hinges almost entirely on self-monitoring data, with little to no references to independent feedback such as evaluation findings, which diminishes the credibility of the information shared.</p>
MI 19.2 – The MO reports on its organisation-wide performance using data obtained from measuring indicators	--	2	<p>This MI was assessed only through document review, and rated weak.</p> <p>At an aggregate, organisation-wide level, UNHCR reports on ‘global engagements’ made regarding its operational global strategic priorities (GSP). Each of these global engagements represents a target for achievement at the end of UNHCR's strategic planning biennium, and is framed around the number of country operations that have exhibited progress or stability along one dimension included in a GSP results statement (e.g. citizenship laws against statelessness or shelter). However, it should be noted that many of these ‘global engagements’ lack specificity and are not easily measurable. For instance, a fifth state only that improvements will be sought in a certain number of countries; what qualifies as acceptable evidence for such engagements is unclear, and this is reflected in UNHCR's</p>

MI	Overall survey mean score	Document review rating	Observations
			<p>reporting. As an example, one global engagement made by UNHCR during the 2012-2013 biennium was that it would seek improvements to national law and policy for persons of concern in 112 countries in line with international standards. UNHCR's reporting for the year 2013 suggests that this target has been achieved, even though it is unclear what results the organisation contributed to in 54 of the 112 countries:</p> <p><i>Improvements to national laws and policies, in accordance with international standards concerning refugees, asylum-seekers and IDPs, were pursued in 112 countries in 2013. Legislative changes were reported in 8 countries, and in another 50 countries, UNHCR was involved in the process of legislative revisions. (UNHCR, 2014 [22])</i></p> <p>It should be noted that the organisation does not report on the select impact indicators from UNHCR's corporate results framework to which the global engagements are associated. These impact indicators are reported by UNHCR to be the most common ones used by country operations (UNHCR, 2013 [06]); in the country context, they present valuable information on the magnitude of change observed along key dimensions (e.g. average number of liters of water per person per day or mortality rate for children under the age of five) (UNHCR, 2014 [31]). Such aggregate outcome/impact-level information on changes made in the lives of beneficiaries is noticeably absent in the UNHCR 2013 Global Report.</p> <p>Another issue is that the Global Report does not present trends based on indicator performance information measures across years. Although the 2012-2013 Global Appeal (UNHCR's corporate strategy) had indicated that the 2013 Global Report would present a report of achievements on UNHCR global engagements for the full biennium, the 2013 Global Report states that the performance information presented on these engagements is for the second year of the biennium only. Moreover, variances in results achieved versus those expected on the Global Strategic Priorities are not explained, though some country-level examples are provided to illustrate key developments.</p>
MI 19.3 – The MO reports against its country strategies, including contribution to outcomes	4.33	4	<p>Donors at headquarters were the only respondent group surveyed on this MI. They rated UNHCR adequate overall for reporting against its country strategies.</p> <p>At the country level, UNHCR's main vehicle for reporting on performance is the Global Focus platform, which allows country offices to share many sections of their internal reports with the donor community twice yearly: subsequent to the mid-year review and the end-year/annual programme review (UNHCR, 2014 [31]; UNHCR, 2013 [60]). Such transparency should be commended as it is rare among multilateral organisations.</p> <p>UNHCR's Global Focus documents are rich in detail, explaining in great depth the context in which UNHCR operates at the country level and the rationale for the chosen programming (by presenting gaps identified through the needs assessment process), in addition to reporting progress against performance indicator targets for planned outputs and objectives. Moreover, the reports often provide some explanation on the variances between planned and achieved results; these explanations generally relate to contextual challenges or opportunities, though UNHCR performance issues are also at times reported. Nevertheless, there is some variability in the quality of the reports prepared across country offices. One recurring issue observed is that the reports often reproduce sections from earlier performance reports submitted (particularly with respect to context and planning sections), which may no longer contain exact references (e.g. mentions of upcoming elections that took place two years earlier); this creates confusion for the reader. In addition, there appear to be significant delays in the release of the reports to the donor platform from the moment they are produced. UNHCR indicates that this is to ensure a review of the reports and a quality check by the Regional Bureaux. The reviewed reports do not identify limitations in the data or refer to efforts made to ensure the quality of the collected and reported data.</p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 19.1	The MO reports against its organisation-wide strategy, including contribution to outcomes	4.48	4.48	--	--	--	--	0.88	0.88	--	--	--	--
Sub-MI	i) UNHCR's reporting against its organisation-wide strategy is useful	4.61	4.61	--	--	--	--	0.91	0.91	--	--	--	--
Sub-MI	ii) UNHCR's reports to its governing bodies provide clear measures of contribution to outcomes	4.35	4.35	--	--	--	--	0.84	0.84	--	--	--	--
MI 19.2	The MO reports on its organisation-wide performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--	--	--
MI 19.3	The MO reports against its country strategies, including contribution to outcomes	4.33	4.33	--	--	--	--	0.87	0.87	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 19.1	The MO reports against its organisation-wide strategy, including contribution to outcomes	7	21%	7	21%	--	--	--	--	--	--	--	--
Sub-MI	i) UNHCR's reporting against its organisation-wide strategy is useful	6	18%	6	18%	--	--	--	--	--	--	--	--
Sub-MI	ii) UNHCR's reports to its governing bodies provide clear measures of contribution to outcomes	8	24%	8	24%	--	--	--	--	--	--	--	--
MI 19.2	The MO reports on its organisation-wide performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--	--	--
MI 19.3	The MO reports against its country strategies, including contribution to outcomes	7	21%	7	21%	--	--	--	--	--	--	--	--

3.1.20 KPI 20: Disseminating lessons learned

KPI 20: The MO encourages identification, documentation and dissemination of lessons learned and/or best practices.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 20.1 – The MO encourages learning and sharing of lessons	4.05	4	<p>The survey included two questions in relation to this MI. The first asked all respondent groups other than peer organisations whether UNHCR sufficiently documents lessons learned from performance information. The second was asked to all groups, and focused on whether UNHCR disseminates useful lessons learned to stakeholders. UNHCR was rated adequate on both counts.</p> <p>UNHCR was rated adequate on this MI by document review. Since the last MOPAN assessment in 2011, UNHCR has issued a learning policy and guidelines to operationalise the organisation’s learning framework (UNHCR, 2012 [29]). The aim of this policy and guidelines is to help optimise “the quality and volume of learning that UNHCR is able to provide to its staff and partners and, ultimately, the quality of protection and other assistance that UNHCR provides to other persons of concern”. The document maps out authorities, responsibilities, accountabilities and roles within the organisation with respect to learning. Interestingly, UNHCR’s learning approach is heavily focused on training, with only a short section of the policy mentioning that UNHCR managers and staff should also consider informal learning, of which structured reflections on lessons learned is listed as one example.</p> <p>In addition to UNHCR’s Global Learning Centre (GLC) which was established in 2009 to formulate policies, lead development of a coherent learning strategy, and facilitate learning for staff, the following entities and platforms play a key role in sharing learning within and beyond UNHCR: the Policy Development and Evaluation Service encourages the exchange of information and ideas produced by evaluation and policy research; the Learn & Connect platform offers online learning and other training opportunities for UNHCR staff and partners, and members of other UN agencies (UNHCR, n.d. [87]); the UNHCR Regional Centre for Emergency Preparedness (eCentre) is focused on the Asia Pacific region and delivers capacity-building activities on emergency preparedness (i.e. general planning for emergency response, specific contingency planning, international standards of protection, safety in the field, and security risk management among others (UNHCR, n.d. [74])); RefWorld is an online repository for a vast collection of reports, policy papers, case law, and other documents available publicly that help inform decision-making on refugee status and that have been collected for over two decades by UNHCR’s Electronic Publishing Unit and the Division of International Protection (UNHCR, n.d. [86]; UNHCR, 2013 [65]); and Operational Data Portals which are inter-agency information sharing portals on UNHCR and partners’ response to current emergencies and other protracted refugee crises (UNHCR, n.d. [88]).</p> <p>Although UNHCR has in recent years invested efforts to unify its learning strategy and strengthen its practices and systems for learning, a recent review by the UN Office of Internal Oversight Services (OIOS) noted that the organisation still has some ways to go to systematise production and dissemination of lessons learned from evaluations (OIOS, 2013 [02]):</p> <p><i>Additionally, while the reports are on the UNHCR website, there are no formal mechanisms for extracting lessons learned from the evaluations and integrating them back into organizational work processes and programmes.</i></p>

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores						Standard deviation					
		Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
	Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
MI 20.1	The MO encourages learning and sharing of lessons	4.05	3.59	4.13	3.95	4.49	3.96	1.05	0.72	0.95	1.23	0.92	1.24
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	4.11	3.68	4.22	4.02	4.47	--	0.98	0.69	0.91	1.24	0.83	--
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	4.00	3.50	4.04	3.89	4.52	3.96	1.11	0.76	0.99	1.22	1.01	1.24

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 20.1	The MO encourages learning and sharing of lessons	31	18%	9	25%	11	32%	8	11%	2	9%	4	8%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	32	22%	9	26%	12	36%	9	13%	2	12%	--	--
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	29	15%	8	24%	10	27%	6	9%	1	7%	4	8%

3.2 Evidence of UNHCR's relevance and humanitarian results

3.2.1 KPI A: Evidence of UNHCR's relevance



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group.

Survey mean scores and standard deviation, overall and by respondent group

Survey mean scores							Standard deviation					
	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Host government	Peer organisations
Base (un-weighted)	214	34	34	78	19	49	214	34	34	78	19	49
A1 The MO is pursuing results in areas within its mandate	4.96	5.00	4.93	5.16	4.82	4.89	0.93	0.74	0.81	0.91	0.95	1.17
A2 The MO's results are in line with global trends and priorities in the humanitarian field	4.87	4.82	4.82	5.09	5.00	4.61	0.83	0.62	0.66	0.87	0.86	1.02
A3 The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.62	--	4.57	4.80	4.52	4.60	1.00	--	0.74	1.00	1.21	0.99
A4 The MO adapts its operations to the changing needs and priorities of the country	4.28	--	4.56	4.34	4.12	4.11	1.18	--	1.02	1.26	1.14	1.25

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall results		Donors at HQ		Donors in-country		Direct partners		Host government		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
A1	The MO is pursuing results in areas within its mandate	4	2%	0	0%	2	7%	1	2%	0	0%	1	3%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	7	4%	0	0%	3	12%	1	1%	1	3%	2	3%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	3	3%	--	--	2	7%	0	0%	1	3%	0	0%
A4	The MO adapts its operations to the changing needs and priorities of the country	6	5%	--	--	3	11%	0	0%	0	0%	3	8%

3.2.2 KPI B: Evidence of progress towards organisation-wide results

Because of the focus on results, KPI B drew largely on the performance information related to Global Strategic Priorities and the Global Engagements as articulated in UNHCR's Global Appeal 2012-2013. The scope of the review is therefore the period of 2012-2013. The key documents used for the assessment were the UNHCR Global Reports for 2012 and 2013. As noted below, there were no evaluations available at the organisation-wide level.

MOPAN donors at headquarters were asked survey questions about UNHCR's contributions in each of the five "Rights Groups."

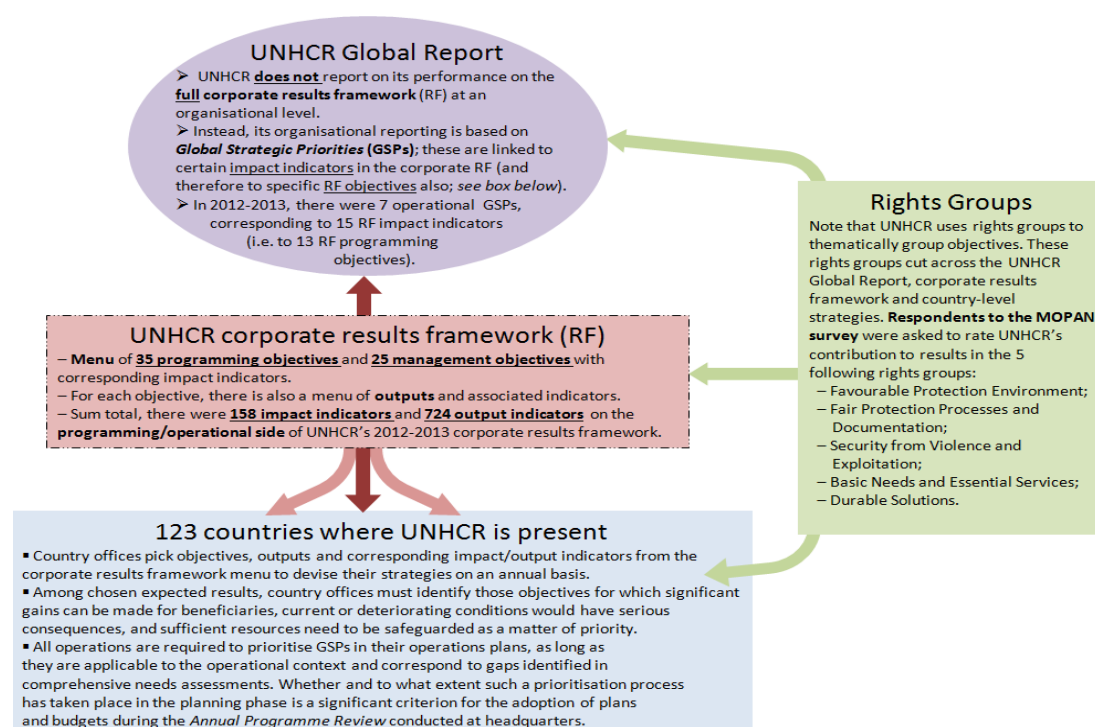
The following sections provide an overview of the analyses carried out by the assessment team.

Analysis of coverage of UNHCR's reporting on results

UNHCR's reporting on results presents only a partial view of its work at an organisation-wide level. According to our analysis (see table below), UNHCR's annual global reports for 2012 and 2013 present aggregate programming data for the organisation's seven operational Global Strategic Priorities (GSPs) that are based on 15 impact indicators; these impact indicators correspond to 15 of the 35 programming objectives included in the organisation's corporate results framework (i.e. 37% of corporate objectives). However, the rationale for only presenting data related to these specific impact indicators/objectives does not appear to be shared publicly; it is unclear how and why these were selected or how they are representative of the organisation's effectiveness.

Another reporting gap concerns UNHCR's global programmes. Aggregate data on contribution to high-level humanitarian results for the majority of UNHCR global programmes are not yet captured in the annual corporate global report, and evidence shared with the UNHCR Standing Committee in separate reports mostly includes general notes on strategy. These programmes are managed from headquarters but take place at the country level, and focus on the following technical sectors: shelter; education; public health; reproductive health and HIV; nutrition and food security; water, sanitation and hygiene; information management; livelihoods; and the environment. The UNHCR Director of the Division of Programme Support and Management indicated during the 64th session of the Executive Committee (in September 2013) that monitoring and evaluation frameworks were being developed to measure results in these technical areas.

Overview of UNHCR's system for reporting on organisation-wide results



Analysis of Global Strategic Priorities: the implications for reporting

The majority of UNHCR's operational Global Strategic Priorities represent composites of ideas, which complicates monitoring and reporting on results. As noted by Kusek and Rist, "[o]utcomes should be disaggregated sufficiently to capture only one improvement area in each outcome statement" (Kusek & Rist, 2004). An added issue is that the impact indicators and global engagements (or targets) selected by UNHCR to track progress on the GSPs rarely focus on the full dimensions mentioned in the GSP results statements, as demonstrated in the two examples in the table below.

The majority of the GSPs and their corresponding impact indicators for 2012-2013 remained unchanged for the 2014-2015 biennium, thus somewhat dispelling our hypothesis that the GSPs were created to be broad enough to enable yearly fluctuations and flexibility in reporting. The question then is what added value the GSP statements bring. Perhaps these broad statements are meant to be aspirational, but this is not explained in the documents reviewed.

Global Strategic Priorities	Impact Indicators	Global Engagement	Observation
GSP 4 – Reducing malnutrition and anaemia; addressing major causes of morbidity and mortality; and providing adequate reproductive health care	Prevalence of Global Acute Malnutrition (6-59 months)	Maintain UNHCR standards or reduce levels of Global Acute Malnutrition in 24 situations where refugees live in camps or settlements	Anaemia, morbidity and reproductive health care are not covered by the impact indicators and global engagements
	Under-5 mortality rate	Maintain UNHCR standards or reduce mortality levels of children under 5 years old in 30 situations where refugees live in camps or settlements	
GSP 5 – Meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene	% of households living in adequate dwellings	Maintain or increase the percentage of households living in adequate dwellings in 54 refugee situations Maintain or increase the percentage of households living in adequate dwellings in 12 situations where UNHCR is operationally involved with IDPs Maintain or increase the percentage of households living in adequate dwellings in 7 returnee situations	Domestic energy, sanitation and hygiene are not covered by the impact indicators and global engagements
	Average number of litres of potable water available per person per day	Maintain or increase the level of water supply in 44 refugee situations	

Analysis of the evidence base

Ambiguities in UNHCR documents/systems make it difficult to interpret the reported results data. The GSP engagements (targets) in the UNHCR Global Appeal 2012-2013 corporate strategy document were set for the biennium, yet UNHCR's reporting in its Global Reports is annual; therefore, it is difficult from the performance reports to assess the organisation's progress against its intended results. There are also inconsistencies in the reporting measurements (see examples in table below).

Global engagement	Mid-biennium progress end-2012	End-biennium progress 2013	Observations
Provide and seek improved provision of support to known SGBV survivors in 7 returnee situations	Improvements in the provision of support to known SGBV survivors were reported in 5 returnee situations.	Improvements in the provision of support to known SGBV survivors were reported in 4 returnee situations.	The improvement values in the provision of support to known SGBV survivors are reported annually. It is unclear based on the yearly data whether a total of 9 returnee situations (5 in 2012 and 4 in 2013) have demonstrated progress at the end

Global engagement	Mid-biennium progress end-2012	End-biennium progress 2013	Observations
			of the biennium (in which case the global engagement target would have been surpassed), or whether progress reported in 2013 refers to further advances made in the same refugee situations as those reported in 2012 (in which case the target for the biennium was not reached).
Support local integration in 45 refugee situations where conditions permit	Improvements in opportunities for local integration were reported in 19 refugee situations.	Improvements in opportunities for local integration were reported in 23 refugee situations.	It is unclear in how many refugee situations UNHCR supported improvements in opportunities for local integration during the 2012-2013 biennium: is it equal or less than 42 refugee situations. It is not possible without such information to gauge UNHCR's progress towards its biennium target.
Seek to maintain or increase the percentage of people who depart for resettlement among those submitted, thereby supporting solutions in 73 situations	Increases in the percentage of refugees who departed for resettlement among those submitted were reported in 35 refugee situations.	The number of resettlement submissions increased by 26% from 74,835 to 93,226. The percentage of refugees who departed for resettlement also increased by 4%, from 68,397 in 2012 to 71,411 in 2013.	The data reported for 2012 presents improvements in the # of refugee situations, while that for 2013 presents the overall number/percentage of resettlement submissions. The latter is not aligned with the global engagement target.

The assessment of UNHCR's progress towards organisation-wide results is also constrained by the lack of evaluation reports on organisation-wide results/themes. Of the few global evaluations that have taken place in the last three years, many are research studies, lessons learned papers or evaluations of practices. One of the rare global reports that assess UNHCR's programming effectiveness is *A Review of the Strategic Use of Resettlement* (2013) which highlights the lack of documented evidence as problematic for demonstrating progress towards results:

There are several cases in which local UNHCR representatives have apparently used resettlement in a strategic way to achieve a particular goal, and hearsay suggests they have been successful, but there is no documentation of the cases by which to evaluate that success.

Without documentation, there is little or no way to record successes or failures of the approach, establish something of a standard operating procedure, evaluate outcomes or use situations in any way as examples for the future. Memories become 'altered': documentation from the time of events is invaluable for future reviews and evaluations of the approach as a whole or of specific cases. There can be a certain utility to having no evidence of failure, but as governments seek 'evidence based' policies, the attractions of the 'strategy' label without evidence of success probably have a limited shelf-life. (Van Selm, 2013)

Overview of the characteristics of results reporting

This section examines UNHCR's measurement of outputs (and outcomes where appropriate) and its reporting processes. It focuses on the extent to which there is integration of theories of change, baselines, and target information. It also considers the processes that are in place to ensure quality of the data reported.

	UNHCR Global Strategic Priority for 2012-2013	Theory or theories of change ⁱ	Baselines included for indicators	Targets included for indicators	Reports on outputs ⁱⁱ	Reports on outcomes ⁱⁱⁱ	Quality of data ^{iv}
1	Ensuring access to territorial protection and asylum procedures; protection against <i>refoulement</i> ; and the adoption of nationality laws that prevent and/or reduce statelessness	Not met	Not met	Met	Met	Not met	Not Met

	UNHCR Global Strategic Priority for 2012-2013	Theory or theories of changeⁱ	Baselines included for indicators	Targets included for indicators	Reports on outputsⁱⁱ	Reports on outcomesⁱⁱⁱ	Quality of data^{iv}
2	Securing birth registration, profiling and individual documentation based on registration	Not met	Not met	Met	Met	Not met	Not Met
3	Reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment	Not met	Not met	Met	Met	Not met	Not Met
4	Reducing malnutrition and anaemia; addressing major causes of morbidity and mortality; and providing adequate reproductive health care	Not met	Not met	Met	Met	Not met	Not Met
5	Meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene	Not met	Not met	Met	Met	Not met	Not Met
6	Promoting human potential through education, training, livelihoods support and income generation	Not met	Not met	Met	Met	Not met	Not Met
7	Facilitating durable solutions	Not met	Not met	Met	Met	Not met	Not Met



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

a) equal weight is given to the views of each of the respondent groups

b) equal weight is given to each of the countries where the survey took place

c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group.

#DK = number of respondents who were asked the question (un-weighted data) and replied “don’t know”

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Evidence of contributions/progress towards results: Survey mean scores, standard deviation, and don’t know responses – donors at headquarters

		Survey mean scores	Standard deviation	#DK	%DK
Base (un-weighted)		34	34	34	34
B1	Favourable protection environment	5.18	0.79	0	0%
B2	Fair protection processes and documentation	5.09	0.75	0	0%
B3	Security from violence and exploitation	4.56	0.86	0	0%
B4	Basic needs and services	4.97	0.67	0	0%
B5	Durable solutions	3.76	1.07	0	0%

3.2.3 KPI C: Evidence of progress towards stated country-level results

This section is based on UNHCR's country-level objectives in each country that was part of the MOPAN 2014 assessment and focuses on the nature of reporting at the country level. Detailed survey data by country and examples/evidence of contributions to each objective (based on the review of documents) are provided in Section 4 below on results of the MOPAN assessment by country.

UNHCR's measurement and reporting on country-level results

The table below is based on the reporting provided through the Focus Online platform for the years 2012-2013. Country offices do a reasonable job of reporting on outputs and on their objectives and are generally consistent in referring to targets. Although the country offices do not have documented theories of change, they do have elements of those theories in place, such as a complete results framework and analysis of context and assumptions. The reports are based on monitoring data, but there are few evaluations available for the countries reviewed.

Country	Criteria					
	Theory or theories of change ^v	Baselines included for indicators	Targets included for indicators	Reports on outputs ^{vi}	Reports on objectives ^{vii}	Quality of data ^{viii}
Bangladesh	Partially met	Met	Met	Met	Partially met	Not met
DRC	Partially met	Met	Met	Met	Partially met	Not met
Ecuador	Partially met	Met	Met	Met	Partially met	Not met
Kenya	Partially met	Met	Met	Met	Partially met	Not met
Tanzania	Partially met	Met	Met	Met	Partially met	Not met

4. Results of MOPAN assessment by country

4.1 Introduction

The following sections on each country that participated in the MOPAN 2014 assessment include:

- A profile of the survey respondent groups
- Survey data on the organisational effectiveness indicators that were assessed at the country level (Note: There was no document review component on organisational effectiveness indicators at the country level.)
- Survey data on relevance and humanitarian results in each country (Note: Documents were reviewed in the analysis of humanitarian results in each country and that information is reflected either here or in the Synthesis Report.)

To ensure confidentiality, survey data are not broken down by respondent group unless there were sufficient respondents in each group in each country.

4.2 Bangladesh

4.2.1 Country context

In 1982, the government of Myanmar issued a Citizenship Law which declared Rohingya as ‘non-national’ or ‘foreign residents’, rendering this population group stateless (CSIS, 2014 [01]; UNHCR, n.d. [82]).

While there have been numerous waves of influx of Rohingya fleeing Myanmar and seeking refuge within Bangladesh in the last few decades, UNHCR has not been authorised by the government of Bangladesh – which is not a signatory to the 1951 Refugee Convention or its 1967 Protocol – to pursue registration of Rohingya from Rakhine State since mid-1992. UNHCR’s access to Rohingya remains restricted to registered refugees in the official camps (a little over 30 000), leaving an estimated 200 000 to rely on their own survival tactics and on limited life-saving assistance provided by certain international non-governmental organisations, which the government has commanded must stop.

Key contextual factors with a bearing on UNHCR operations in Bangladesh include the fact that:

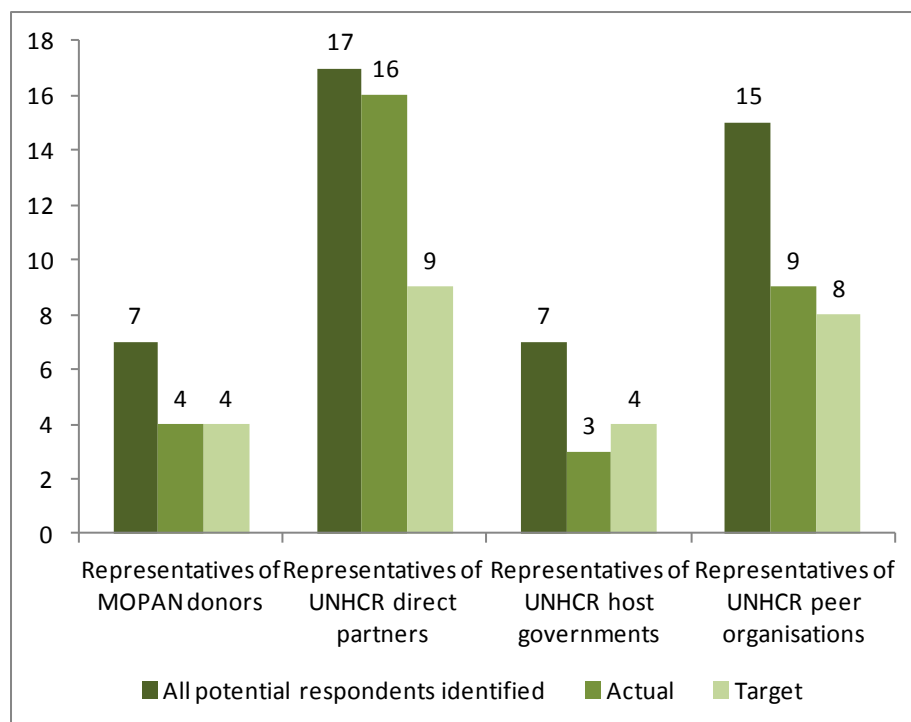
- The majority of refugees in-camp in Bangladesh (more than 70%) were born or arrived as young children in Bangladesh. Their containment and the protracted nature of their situation have thus led to them to develop a strong dependency on aid and a lack of self-reliance.
- The country considers it has borne a sufficient share of the costs/responsibility for the Rohingya population, having welcomed a large share (more than 30 000) for decades.
- Prospects for durable solutions are stated by UNHCR as remaining grim: resettlement is still on hold and local integration is not deemed an option by the Bangladeshi government.
- UNHCR notes that the modalities of its assistance in Bangladesh continue to resemble those of an emerging situation, even though the operation has been in protracted mode for over two decades.
- Government restrictions for refugees limit their freedom of movement and ability to access employment, relevant forms of vocational training, secondary education and basic social services (UNHCR, 2014 [31]).
- The government of Bangladesh adopted a new National Strategy on Myanmar Refugees and Nationals of Myanmar in 2013 that focuses not only on strengthening border control, but on the continued provision of humanitarian services to address human rights violations. This formal recognition of rights is considered a positive step.

In Bangladesh, UNHCR operations focus primarily on improving living conditions in camps as well as ensuring the provision of health care, education, and access to justice for the population in Cox’s Bazar district. The Agency also promotes refugee self-reliance, though current governmental policies render progress more difficult in this area. UNHCR in Bangladesh provides humanitarian assistance to both the host community and the refugee population, seeking to improve their harmonious co-

existence. Finally, the Agency works with authorities to advocate for policies that favour the well-being and self-reliance of refugee populations (UNHCR, n.d. [02]; UNHCR, 2014 [31]).

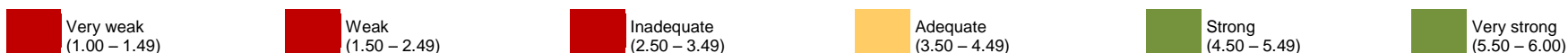
4.2.2 Profile of survey respondent groups in Bangladesh

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.2.3 Organisational effectiveness in Bangladesh



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)
 N/A indicates that all respondents answered “don’t know” to that question.

Survey results (mean scores) in Bangladesh and don’t know responses

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of humanitarian results	4.60	
1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.73	9%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.65	9%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	4.81	9%
1.2	The MO's senior management shows leadership on results management	4.67	0%
1.3	The MO ensures application of an organisation-wide policy on results-based management	4.40	6%
KPI 2	The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate	4.55	
2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.55	7%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	5.61	0%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	3.24	6%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	4.80	17%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN	4.58	
4.1	Gender equality	4.91	8%
4.2	Environment	4.06	19%
4.3	Good governance	4.53	29%
4.4	Emergency preparedness and response	4.82	17%

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
KPI 5	The MO's country strategies are results-focused	4.43	
5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.45	2%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.57	4%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	4.33	0%
5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.54	3%
5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.29	22%
Performance area II: Operational management			
KPI 6	The MO's funding decisions are timely and transparent	5.00	
6.2	Financial resources are released in a timely manner	5.00	50%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	5.00	75%
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	4.99	26%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	4.88	
8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	N/A	100%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services	4.88	0%
KPI 9	The MO demonstrates the use of performance information for decision-making	4.12	
9.2	Performance information is used by the MO for planning new interventions at the country level	3.67	0%
9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.58	3%
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	4.53	6%
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	4.63	0%
KPI 10	The MO manages human resources using methods to improve organisational performance	4.68	
10.3	The MO has appropriate measures in place to ensure staff security	4.49	29%
10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.58	15%
10.5	The MO has a code of conduct that is followed by staff members	4.98	34%
Sub-MI	i) UNHCR staff follow the code of conduct	4.98	34%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	--	--

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.80	
12.1	The MO key operations/ management decisions can be made locally	4.80	38%
KPI 13	The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations	4.69	
13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.71	2%
13.2	The MO respects humanitarian principles while delivering humanitarian action	4.78	9%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	5.17	4%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.39	15%
13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.57	14%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	4.99	11%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.14	17%
Performance area III: Relationship management			
KPI 14	The MO's procedures take into account local conditions and capacities	4.45	
14.1	The procedures of the MO can be easily understood and completed by partners	4.94	8%
14.2	The length of time for completing MO procedures does not have a negative effect on implementation	4.58	17%
14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.75	8%
14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.18	13%
14.5	The MO ensures that capacity development of local partners is undertaken	3.80	11%
KPI 15	The MO adds value to policy dialogue with its humanitarian partners	4.29	
15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.20	5%
15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.37	2%
15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.29	4%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	4.40	2%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.18	6%

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate	4.57	
17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.57	23%
17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.52	6%
17.3	The MO shares relevant information with humanitarian and other partners	4.68	0%
17.4	The MO builds on the initiatives of others to avoid duplication	4.55	14%
17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	4.53	3%
Performance area IV: Knowledge management			
KPI 18	The MO consistently evaluates its results	4.25	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.25	17%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	4.24	13%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	4.27	21%
KPI 20	The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	4.00	
20.1	The MO encourages learning and sharing of lessons	4.00	9%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	3.98	15%
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	4.03	4%


4.2.4 Evidence of relevance and contribution to humanitarian results in Bangladesh

 Very weak
(1.00 – 1.49)

 Weak
(1.50 – 2.49)

 Inadequate
(2.50 – 3.49)

 Adequate
(3.50 – 4.49)

 Strong
(4.50 – 5.49)

 Very strong
(5.50 – 6.00)

Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

a) equal weight is given to the views of each of the respondent groups

b) equal weight is given to each of the countries where the survey took place

c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I

“--” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Bangladesh

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
A.	Evidence of UNHCR's relevance		
A1	The MO is pursuing results in areas within its mandate	4.82	0%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	4.68	8%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.70	0%
A4	The MO adapts its operations to the changing needs and priorities of the country	3.95	0%
C.	Evidence of UNHCR's progress towards its stated country-level results		
C1	Favourable protection environment (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	4.66	0%
C2	Fair protection processes and documentation (e.g. securing birth registration, profiling and individual documentation based on registration)	4.68	3%
C3	Security from violence and exploitation (e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)	4.60	0%
C4	Basic needs and services (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	4.88	0%
C5	Durable solutions (e.g. voluntary repatriation, local integration and resettlement)	3.50	2%

Evidence of UNHCR's contribution to humanitarian results

The table below presents a brief overview of UNHCR's contribution to humanitarian results in Bangladesh during the 2012-2013 period. Survey respondents were asked to provide their perceptions of UNHCR's performance in making progress towards the organisation's rights groups (i.e. thematic groupings of objectives), while the document review examined contributions at a more granular level (i.e. at the objective and output levels).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C1 – FAVOURABLE PROTECTION ENVIRONMENT <i>(e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)</i>	MI C1.1 Access to legal assistance and legal remedies improved	Met	Partially met	UNHCR has organised trainings to familiarise staff in charge of camps, camp police, and security forces with international refugee and human rights law, statelessness, sexual and gender-based violence (SGBV) response, child protection, trafficking, and the role of host countries in refugee protection. It has also provided material support (law books, computers, and furniture) to entities involved in the legal representation of refugees. In 2012, 45 refugees received legal assistance, and 31 refugees received such support in the first half of 2013. All cases of SGBV referred to UNHCR were provided with legal counselling. Although outputs are met, the objective of providing access to legal assistance and legal remedies for refugees in Bangladesh remains limited, due to gaps in the Bangladeshi judicial system.
C2 – FAIR PROTECTION PROCESSES AND DOCUMENTATION <i>(e.g. securing birth registration, profiling and individual documentation based on registration)</i>	MI C2.1 Quality of registration and profiling improved or maintained	Partially met	Partially met	Due to government restrictions, official registration of refugees has been possible only for those living in two camps, which represents roughly one in six Rohingya refugees from Rakhine State, living in Bangladesh in 2013 (i.e. a little more than 30 000 among an estimated total population of 240 000). Following a joint registration operation with authorities, 21% of camp refugees (around 7 000 individuals) were yet to be recognised by the government and did not have access to food assistance, pending regularisation of the results of the 2013-2014 joint-harmonisation exercise. Annual registration data in camps targets and covers only around 80% of camp refugees.
C3 – SECURITY FROM VIOLENCE AND EXPLOITATION <i>(e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)</i>	MI C3.1 Risk of SGBV is reduced	Met	Partially met	All indicators for the three outputs reported for this objective reached their selected target (this is not surprising given the low values assigned for these targets). This objective focused on reducing the risk of SGBV, and UNHCR's results indicator reflected an increased number of reported incidents of SGBV. While this growth in reporting could be attributed to growing sensitivity around SGBV, it does not provide evidence that the result has been achieved.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C3.2 Protection of children strengthened	Partially met	Unmet	A mechanism has been put in place to identify children at risk in camps through the education sector and a survey on extremely vulnerable individuals (EVI). However, in its 2013 mid-year report, UNHCR recognised the weakness of its overall child protection mechanisms: only 30% of children of concern with specific needs were identified and assisted, and only 16% of school adolescents participated in the programmes. A three-year child protection strategy is in the final stages of completion and its implementation should fill some of the gaps still present in the field of child protection.
C4 – BASIC NEEDS AND SERVICES <i>(e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)</i>	MI C4.1 Population has sufficient basic and domestic items	Met	Met	Throughout 2012 and 2013, UNHCR distributed non-food items (NFIs) to respond to essential domestic and hygienic needs (e.g. bath and laundry soap, compressed rice husks, kerosene, and cooking fuel) of all refugee families in the camps. Sanitary materials (cloth, underpants, anti-septic liquid, and soap) were also distributed regularly to all refugee women and girls. UNHCR is aware that distribution can reinforce dependency and create disparities with the local population, and that this risk should be closely examined.
	MI C4.2 Population has optimal access to education	Met	Partially met	More than 1 200 children attended early childhood education, and nearly 7 800 children were enrolled in primary education. Moreover, attendance rates at these grade levels are observed to be rising. Despite efforts from UNHCR, the operating environment remains difficult, as refugee children do not have access to local schools, and education in camp schools is restricted (pre-primary level to grade 6, granted very recently by local authorities). Government restrictions on access to education are such that refugee populations have minimal and sub-optimal access to education: poor results observed are not UNHCR's responsibility.
	MI C4.3 Population has optimal access to reproductive health and HIV services	Met	Met	UNHCR has enjoyed good co-operation with the Ministry of Health and other health partners. Family planning, maternal and newborn services, as well as HIV prevention programmes were accessible to all refugees. Antenatal care (ANC) coverage and deliveries at health facilities totalled over 90% in 2012 and 2013, with zero maternal deaths from January to June of 2013.
	MI C4.4 Health status of the population improved	Met	Met	With two equipped health facilities on the camp site and around forty health workers, refugees have fair access to health care. Crude mortality and under-five mortality rates have slightly decreased from 2012 to 2013 (i.e. at around 0.2/1000 per month, they remain within a normal and acceptable range).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C4.5 Nutritional well-being improved	Met	Met	Each year, many staff and volunteers receive trainings on malnutrition management and basic health, nutrition, hygiene, sanitation, community screening, and care practices at the community level. Community awareness sessions and cooking demonstrations were also organised. Around 3 800 children attended the growth monitoring and promotion centre each month, and 2 300 pregnant and lactating mothers received take-home dry rations on a weekly basis. An annual health and nutrition survey showed a decrease in prevalence of global acute malnutrition (GAM) and anaemia. In 2013, the recovery rate for moderately malnourished children in the supplementary feeding programme was more than 80%, while the recovery rate among severely malnourished children was over 75% (note that the UNHCR and WFP standard is 75% for both rates). However, the prevalence of chronic malnutrition is more than 55% among children aged 6-59 months.
	MI C4.6 Population lives in satisfactory conditions of sanitation and hygiene	Met	Met	Latrines, a rainwater-fed hand-washing facility, and bathing blocks were constructed. Shed areas, garbage bins, and drainage system were built by Action contre la faim (ACF), a French NGO. Around 40-45% of the camp waste generated is covered by four STFs, and three additional STFs are planned in 2013. For the first time, special latrines for children were constructed. More than 8 500 women and girls of reproductive age received sanitary materials. The ratio of persons of concern by unit of service remains stable over time, meaning that maintenance and/or replacement are ensured to help preserve sanitation and hygiene conditions.
	MI C4.7 Shelter and infrastructure established, improved and maintained	Met	Partially met	The shelter reconstruction project initiated in 2006 was completed in January 2012, with 1 015 semi-permanent shelters (6 090 rooms) constructed in both camps. Completion of this project meant that 100% of households lived in adequate shelter with improved space, ventilation, and privacy. The average floor space per person increased from 0.93 m ² to 3.18 m ² , though this indicator is still lower than the Sphere standard of 3.5 m ² . Due to government restrictions, only semi-permanent shelters are allowed to be constructed in the camps. Therefore, 99% of shelters in the camps have plastic sheet/bamboo net roofs, which deteriorate quickly. A more durable roofing material is needed to replace the existing worn-out plastic sheet roof covering.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C4.8 Supply of potable water improved or maintained	Met	Met	A water reservoir in Nayapara was re-excavated in June 2012 (19 000 m ³ of silt materials were removed) and restored to its original capacity of 60,000 m ³ (compared to 40 000 m ³ before restoration). This rehabilitated water treatment plant is not only providing more water, but also better quality water (through the addition of a filtration unit in the treatment system). The combined average water supply in both camps was increased to 21 litres/person/day, from 19 litres/person/day, in 2012.
	MI C4.9 Services for persons with specific needs strengthened	Partially met	Partially met	In 2012, residual stocks were distributed on a needs basis to over 560 extremely vulnerable individuals (i.e. disabled individuals, elderly persons at risk, single-headed households, pregnant and lactating women). Thirteen vulnerable disabled individuals received assistive devices (12 wheelchairs and 1 crutch). One of the main challenges in the area of services to EVIs was the absence of a partner organisation focused on persons with disabilities. As a result, elderly persons and persons with disabilities had limited access to specialised services.
C5 – DURABLE SOLUTIONS (e.g. voluntary repatriation, local integration and resettlement)	—	—	—	Although refugees have been present in camps in Bangladesh for over two decades, there are no durable solutions available at this time: resettlement remains suspended, and the Bangladeshi government does not consider local integration an option. The UNHCR-promoted durable solutions are presently not available to the population of concern. Therefore, the objectives and indicators related to the global strategic priority of facilitating durable solutions have not been prioritised.
	Community mobilisation strengthened and expanded	Met	Met	To reverse aid dependency created by twenty years of a protracted refugee situation, UNHCR emphasised the importance of self-management and community participation through Camp Management Committees (CMC) and Block Management Committees (BMC), in 2012. In order to build up leadership, 140 CMC and BMC members in both camps received training on leadership and community conflict resolution. Annual participatory assessment was conducted with the participation of 850 refugees (435 female and 415 male) in 80 focus group discussions and 50 semi-structured discussions. Camp authorities started relying more on community leaders, and began referring cases to the CMC dispute resolution panel (around 60% of cases). Refugees recognised that community representation and leadership had improved.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	Self-reliance and livelihoods improved	Partially met	Partially met	In 2012 and 2013, more than 3 000 refugees received basic and advanced computer training, and another 2 300 received support with vocational training in tailoring, carpentry, and electrical goods and appliances. Seventy tailoring graduates, in particular adolescent female refugees vulnerable to sex work, were given a sewing machine, and seventy EVIs received training on income-generation activities, including record keeping and financial management.
	Natural resources and shared environment better protected	Partially met	Partially met	UNHCR continued to provide compressed rice husks (CRH) to limit the need to collect firewood, thereby reducing pressure on the surrounding national forest areas as well as the likelihood of conflicts with the host community. Solar energy is used in camps, and the environmental sanitation programme allows for the treatment and safe disposal of 40-45% of the waste generated in Kutupalong camp. STFs, such as biogas plants, are expected to be introduced, though these can only cover 20% of camp waste. The lack of adequate sludge treatment is contaminating the environment and is a source of major tension with the host community, especially during dry season.

4.3 Democratic Republic of Congo (DRC)

4.3.1 Profile of survey respondent groups in DRC

4.3.2 Country context

DRC is party to the 1951 Refugee Convention and its 1967 Protocol, as well as to the 1969 Convention Governing the Specific Problems of Refugees in Africa. As of January 2014, DRC counted nearly 3 million internally displaced persons (IDPs), over 113,000 refugees, nearly 1 500 asylum seekers, and over 600 000 returned refugees and IDPs (UNHCR, n.d. [83]). In addition, the organisation reports that more than 400 000 Congolese remain outside of DRC in asylum countries. Within DRC, refugees are diverse, coming from Angola, Rwanda, Burundi, Sudan, the Central African Republic, and the Republic of Congo (UNHCR, 2014 [31]).

Ongoing conflict in the Eastern and North-eastern regions of DRC have worsened the humanitarian situation: clashes between local armed groups, foreign armed groups, and national army troops have engendered widespread violence and led to large-scale violation of human rights, sexual violence, and internal displacement, and have also impeded humanitarian access (UNHCR, 2014 [31]).

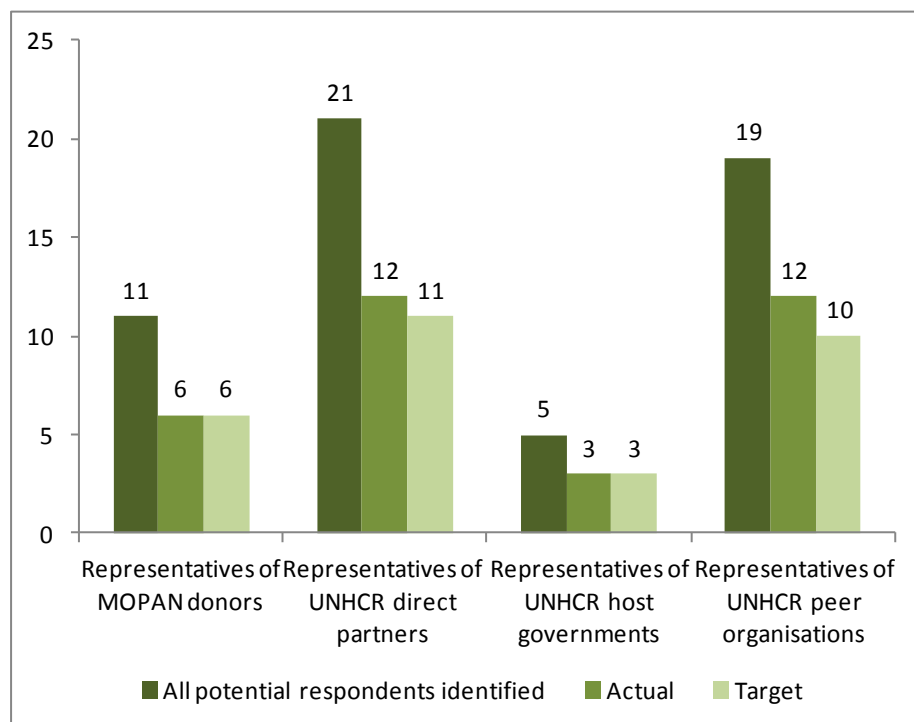
Key contextual factors with a bearing on UNHCR operations in DRC include the fact that:

- Persistent insecurity and poor infrastructure continue to limit UNHCR's access to a significant number of vulnerable people.
- The administrative and legal structures of many DRC territories are weak, which prevents humanitarian actors from performing their responsibilities effectively.
- The withdrawal of the UN peacekeeping mission in DRC is expected to affect UNHCR's capacity to ensure adequate presence in the field. The downsizing of some agencies at the same time could also represent a significant obstacle to ensuring the sustainability of UNHCR's return programme.
- Tensions in hosting areas may hamper peaceful coexistence.
- Attracting reliable and qualified partners to work in high-risk and isolated areas has proven difficult (UNHCR, 2014 [31]; UNHCR, 2013 [06]; UNHCR, n.d. [02]).

UNHCR operations in DRC focus primarily on improving self-reliance and livelihoods, while continuing to address the basic needs of refugees (both in camps and in urban contexts) and IDPs. Regarding the latter, UNHCR continues to act under the inter-agency umbrella, leading the protection cluster and focusing on protection monitoring, access to social structures, and life-saving activities. Durable solutions, particularly local integration and voluntary repatriation, are a priority for the protracted situations of Angolan and Rwandan refugees. Assistance to refugees from the Central African Republic is based mainly on the provision of non-food items, shelter, and reproductive health services. With respect to returnees, UNHCR's strategy in DRC focuses on the provision of basic needs and programmes that seek to build peaceful coexistence. During the past few years, UNHCR has also been building capacities of the government of DRC, notably with respect to refugee status determination (UNHCR, 2014 [31]; UNHCR, 2013 [06]; UNHCR, n.d. [02]).

4.3.3 Profile of survey respondent groups in DRC

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.3.4 Organisational effectiveness in DRC



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in DRC and don’t know responses

Indicators		Survey mean scores (DRC)	% DK (DRC)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of humanitarian results	4.95	
1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.67	12%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.65	10%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	4.69	13%
1.2	The MO's senior management shows leadership on results management	5.00	0%
1.3	The MO ensures application of an organisation-wide policy on results-based management	5.17	0%
KPI 2	The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate	4.82	
2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.82	0%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	5.71	0%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	3.75	0%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	5.00	0%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN	4.38	
4.1	Gender equality	4.81	10%
4.2	Environment	4.11	23%
4.3	Good governance	4.19	25%
4.4	Emergency preparedness and response	4.43	22%

Indicators		Survey mean scores (DRC)	% DK (DRC)
KPI 5	The MO's country strategies are results-focused	3.93	
5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	3.92	3%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.00	6%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	3.83	0%
5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.02	13%
5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	3.86	8%
Performance area II: Operational management			
KPI 6	The MO's funding decisions are timely and transparent	3.77	
6.2	Financial resources are released in a timely manner	3.77	35%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	3.33	50%
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	4.21	19%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	4.67	
8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	4.00	83%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services	5.33	0%
KPI 9	The MO demonstrates the use of performance information for decision-making	4.07	
9.2	Performance information is used by the MO for planning new interventions at the country level	3.50	33%
9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.64	8%
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	4.64	8%
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	4.64	8%
KPI 10	The MO manages human resources using methods to improve organisational performance	4.76	
10.3	The MO has appropriate measures in place to ensure staff security	5.00	23%
10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.48	31%
10.5	The MO has a code of conduct that is followed by staff members	4.78	23%
Sub-MI	i) UNHCR staff follow the code of conduct	4.78	23%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	--	--

Indicators		Survey mean scores (DRC)	% DK (DRC)
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.49	
12.1	The MO key operations/ management decisions can be made locally	4.49	27%
KPI 13	The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations	4.68	
13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.86	13%
13.2	The MO respects humanitarian principles while delivering humanitarian action	4.77	6%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	4.92	0%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.62	13%
13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.40	6%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	4.80	4%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.00	8%
Performance area III: Relationship management			
KPI 14	The MO's procedures take into account local conditions and capacities	3.95	
14.1	The procedures of the MO can be easily understood and completed by partners	4.03	17%
14.2	The length of time for completing MO procedures does not have a negative effect on implementation	3.88	28%
14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.17	13%
14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	3.72	19%
14.5	The MO ensures that capacity development of local partners is undertaken	3.95	17%
KPI 15	The MO adds value to policy dialogue with its humanitarian partners	4.61	
15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.56	10%
15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.45	17%
15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.83	17%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	5.13	17%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.53	17%

Indicators		Survey mean scores (DRC)	% DK (DRC)
KPI 16	The MO participates in the cluster system and dedicates sufficient resources for cluster management when it is a cluster lead or co-lead	4.50	
16.1	The MO adjusts its programmes to reflect strategic priorities agreed to by the cluster	4.29	22%
16.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination	4.68	23%
16.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads	4.61	25%
16.4	The MO ensures effective and coherent sectoral needs assessments for the cluster it leads or co-leads	4.42	25%
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate	4.61	
17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.66	21%
17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.57	13%
17.3	The MO shares relevant information with humanitarian and other partners	4.87	17%
17.4	The MO builds on the initiatives of others to avoid duplication	4.55	8%
17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	4.42	0%
Performance area IV: Knowledge management			
KPI 18	The MO consistently evaluates its results	3.85	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	3.85	7%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	4.14	3%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	3.56	11%
KPI 20	The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	4.17	
20.1	The MO encourages learning and sharing of lessons	4.17	33%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	4.30	36%
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	4.03	29%

4.3.5 Evidence of relevance and contribution to humanitarian results in DRC



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“--” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in DRC

Indicators		Survey mean scores (DRC)	% DK (DRC)
A.	Evidence of UNHCR's relevance		
A1	The MO is pursuing results in areas within its mandate	4.87	4%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	4.78	4%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.33	4%
A4	The MO adapts its operations to the changing needs and priorities of the country	4.14	10%
C.	Evidence of UNHCR's progress towards its stated country-level results		
C1	Favourable protection environment (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	4.41	8%
C2	Fair protection processes and documentation (e.g. securing birth registration, profiling and individual documentation based on registration)	4.55	8%
C3	Security from violence and exploitation (e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)	4.26	2%
C4	Basic needs and services (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	3.85	4%
C5	Durable solutions (e.g. voluntary repatriation, local integration and resettlement)	3.64	6%

Evidence of UNHCR's contribution to humanitarian results

The table below presents a brief overview of UNHCR's contribution to humanitarian results in DRC during the 2012-2013 period. Survey respondents were asked to provide their perceptions of UNHCR's performance in making progress towards the organisation's rights groups (i.e. thematic groupings of objectives), while the document review examined contributions at a more granular level (i.e. at the objective and output levels).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C1 – FAVOURABLE PROTECTION ENVIRONMENT <i>(e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)</i>	MI C1.1 Administrative institutions and practice developed or strengthened	Insufficiently documented	Not met	In Gabon, high-ranking staff of the Ministry of the Interior have participated in seminars on refugees in Italy and Benin. Employees of institutions dealing with refugees have also participated in an information and awareness-raising session concerning refugees. UNHCR has continued to advocate for the restructuring of the CNR and the improvement of its procedures, without success.
	MI C1.2 International and regional instruments acceded to, ratified or strengthened	Partially met	Not met	Reports from 2012 and 2013 provide little explanation on what was done and why. Planning for 2014 allocated 148 273 USD for this objective, but no description of activities (past or future) was given. Given this lack of information, it is impossible to support the 100% achievement rate reported (especially because DRC and Gabon made little progress towards ratification of international conventions). The initial target was set to only 20%, and such a large overachievement requires strong justification.
	MI C1.3 Law and policy developed or strengthened	Insufficiently documented	Partially met	The financial section of the 2012 year-end report indicates expenses of 121 984 USD, but the descriptive section does not mention this objective. The 2013 report includes only crude data, without describing activities. If some activities were conducted, they were insufficient to meet the indicator established.
	MI C1.4 Public attitude towards persons of concern improved	Partially met	Partially met	UNHCR conducted some activities to sensitise the population and authorities around better refugee hosting or returnee accommodation. The 2014 planning report acknowledges progress made in 2012 and 2013, mainly by partner Search For Common Ground (SFCG) in DRC, but also recognises that more work must be done.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C2 – FAIR PROTECTION PROCESSES AND DOCUMENTATION <i>(e.g. securing birth registration, profiling and individual documentation based on registration)</i>	MI C2.1 Access to and quality of status determination procedures improved	Partially met	Not met	Nothing is said about this objective in the 2012 year-end report. Although the 2013 report notes an improvement in refugee status determination for R&AS in Gabon, it also acknowledges continued use of previous national procedures: despite UNHCR advocacy, these procedures were not replaced. As stated in the 2014 planning document: <i>“the procedures for determining refugee status have not seen any particular change. The local partner has not improved its regular procedures. Asylum claims are not recorded on time due to the absence of partner in the field.”</i>
	MI C2.2 Civil registration and civil status documentation strengthened	Met	Met	Overall, outputs for this objective were achieved, even though the situation was rapidly deteriorating and a large part of the territory became unreachable. Activities were conducted to sensitise authorities on the threat of statelessness in Congo, and lobbying was carried out at senior levels for DRC accession to the 1961 Convention. Refugees and asylum-seekers who expressed the need to obtain a birth certificate were assisted. CCCM clusters achieved a registration rate of 100% among IDPs in camps (although the large majority of IDPs – estimated at around 95% – live on other sites and with host families).
	MI C2.3 Quality of registration and profiling improved or maintained	Met	Partially met	In 2012, over 7 920 individuals from the CAR and Angola were individually registered as refugees (100% compared to 48% in 2011) and around 113 970 IDPs (32,560 households) housed in CCCM camps were registered (100%). As the security situation in DRC and neighbouring countries deteriorated in 2012 and 2013, the number of PoC for UNHCR grew to exceed registration rates, which reduced the overall effect of this output at the impact level.
C3 – SECURITY FROM VIOLENCE AND EXPLOITATION <i>(e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)</i>	MI C3.1 Protection from effects of armed conflict strengthened	Partially met	Not met	UNHCR deployed 225 monitors to IDP camps, allowing for the documentation of 22 535 protection incidents in North and South Kivu and in Katanga (as the security in these areas continued to deteriorate in 2013). Contrary to 2012 when most IDP sectors were accessible, around a third of the Congolese territory fell out of reach in 2013 due to the presence of different armed groups. Thus, despite UNHCR efforts, the security context deteriorated in East DRC.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C3.2 Protection of children strengthened	Met	Partially met	In 2012, BID procedures were implemented in Kinshasa, Bukavu, Goma, and Uvira. People were trained on their use in the first half of 2013, and 14 BID were conducted during the second half (compared to a target of 20). The 251 UASC refugees from the CAR were registered and placed in foster families. For IDPs and returnees children, the protection situation continues to be preoccupying.
	MI C3.3 Risk of SGBV is reduced and quality of response improved	Partially met	Partially met	UNHCR is strongly involved in SGBV prevention in six Congolese provinces (PO, NK, SK, KTG, EQT, and Kinshasa), including the four Eastern provinces, where the Agency takes a leadership role. Here, UNHCR held 60 co-ordination meetings and some 200 training activities for partners and government representatives. In 2013, 5 855 SGBV incidents, of which rape was the most common, were reported in these provinces. UNHCR programmed activities in response to SGBV crimes, but did so with limited funding. UNHCR training and awareness campaigns have reached at least 200 000 persons. Despite these efforts, which have had positive effects, much remains to be done in order to reach this objective (i.e. financing remains a concern).
C4 – BASIC NEEDS AND SERVICES (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	MI C4.1 Health status of the population improved	Met	Met	UNHCR made concerted efforts to improve access to/quality of health services for urban refugees. All refugees had access to primary care, and medication was offered free of charge. The capacities of UNHCR partners were reinforced, as were public health services. By the end of 2012, 100% of returnees (around 46 320 individuals) had access to six months of free treatment in facilities supported by UNHCR and partners. Since then, returnees have had to pay themselves, which they are not always able to do. The health situation has improved for refugees, so long as they maintain their refugee status (except for some refugees living in rural areas, like Rwandan refugees in North Kivu, which is difficult to access due to security concerns).
	MI C4.2 Population has optimal access to education	Met	Partially met	Overall, the five outputs under this objective have been reached. In 2012, 44% of returnee children accessed primary school. The situation improved for returnees in 2013, but remained under the target (i.e. 62% compared to 95%). For IDPs, UNHCR

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
				has actively led advocacy campaigns so that displaced children have access to education. However, the surge in the number of IDPs in CCCM camps following the M23 attacks made it difficult to meet operational needs. It is among refugees and asylum-seekers (R&AS) that UNHCR demonstrates the best results (i.e. 100% enrolment rate in the primary and secondary levels).
	MI C4.3 Population has sufficient basic and domestic items	Met	Met	Given that Congolese refugees in Congo-Brazzaville are enthusiastic about returning, the number of returnees assisted in 2013 reached 40 774 in DRC (i.e. 20% more than what was planned). All returnees are said to have received NFIs (in cash or in kind) before repatriation. Among refugees and asylum-seekers (R&AS), 81% of households received NFIs during the first semester, but year-end data reports 100% coverage.
	MI C4.4 Population lives in satisfactory conditions of sanitation and hygiene	Partially met	Partially met	The 2013 report indicates that around 40% of women (5 377 women out of a targeted 12 900) received sanitary and hygienic supplies for six months, prior to repatriation. Though the annual report claims having reached all urban refugee women and girls (of reproductive age and asking for repatriation), we conclude that this objective is only partially met, based on the output data available.
	MI C4.5 Shelter and infrastructure established, improved and maintained	Partially met	Partially met	At the end of 2011, 92% of the most vulnerable IDPs in the CCCM camps of North Kivu had access to emergency shelter. At the end of 2012, housing conditions improved with the delivery of emergency shelter kits. However, due to an increase in the number of displaced individuals, the completion rate has dropped to 71% (compared to 92% at the beginning of the year). In 2013, the rate dropped again to 66%. In the middle of 2012, only 15% of returnees had received shelter support, due to financial constraints. In 2013, this rate went up to more than half. In DRC, UNHCR helped new refugees, mainly from the CAR, with shelter. However, the number of new arrivals surpassed the number of shelters installed, so the percentage of households satisfied remains unchanged.
C5 – DURABLE SOLUTIONS (e.g. voluntary repatriation, local integration and resettlement)	MI C5.1 Potential for voluntary return realised	Partially met	Partially met	In 2012, UNHCR expected the voluntary repatriation of nearly 60 000 Congolese refugees (from ROC, Tanzania, Burundi, and Rwanda). In DRC, 46 318 individuals were repatriated (out of the 49 000 planned), 330 returned to South Kivu, and

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
				<p>16 813 went to North Kivu, mainly from Uganda and Rwanda. Factors contributing to this objective include sensitisation programmes in zones of return, the creation of welcome centres, the distribution of NFI kits, and the allocation of finances to pay for transportation fees and complement the NFIs. In DRC, 62 529 individuals were repatriated in 2013, totalling 109 205 returnees since the beginning of repatriation. In 2013, another 5,529 individual returnees went to South or North Kivu and Katanga, totalling 68 058 returnees in 2013.</p> <p>In 2011, only 50% of DRC refugees that hailed from neighbouring countries intended on returning voluntarily to their country of origin. In 2012, close to 26 830 of these refugees were repatriated (15 570 Angolans, 10 780 Rwandans, and 476 Burundians). 46% of operational needs were unmet. The repatriation of Angolan refugees was particularly difficult, following the invocation of the cessation clause. Despite an unfavourable context in South and North Kivu in 2013, 8,298 refugees (7 133 Rwandans and 1 165 Burundians) were repatriated, out of a target of 16 000.</p>

4.4 Ecuador

4.4.1 Profile of survey respondent groups in Ecuador

4.4.2 Country context

Ecuador is party to the 1951 Convention relating to the Status of Refugees, its 1967 Protocol, the 1954 Convention on the Status of Stateless Persons and the 1961 Convention on the Reduction of Statelessness. Ecuador is also signatory of the Cartagena Declaration on Refugees of 1984, in which the definition of refugee was broadened (UNHCR, 2010 [15]).

Twenty-eight years later, Refugee Decree no. 1182 narrowed this definition and introduced restrictive admissibility procedures in Ecuador. Though over 1 000 persons seek asylum each month, their recognition remains limited (UNHCR, 2014 [31]; UNHCR, n.d. [05]). Indeed, 160 000 asylum-seekers have arrived in Ecuador over the last ten years, but only 55 000 refugees have been granted official refugee status (as of September 2013). Ecuador has the largest displaced population in South America, 98% of which are Colombians wishing to escape internal conflict (UNHCR, 2013 [06]; UNHCR, 2014 [31]).

The Ecuadorian army has increased its presence along the Colombian border and works closely with its Colombian counterpart. Nevertheless, illegal armed groups continue to pose a serious threat to the security of refugees and local populations. The effects of the Colombian conflict are also felt in the Northern border provinces of Esmeraldas, Carchi and Sucumbíos, and have increased protection needs (UNHCR, n.d. [05]). Many refugees are leaving border provinces to settle in cities, such as Quito and Guayaquil, but this further complicates their protection because they are living among local populations (UNHCR, 2014 [31]; UNHCR, n.d. [05]).

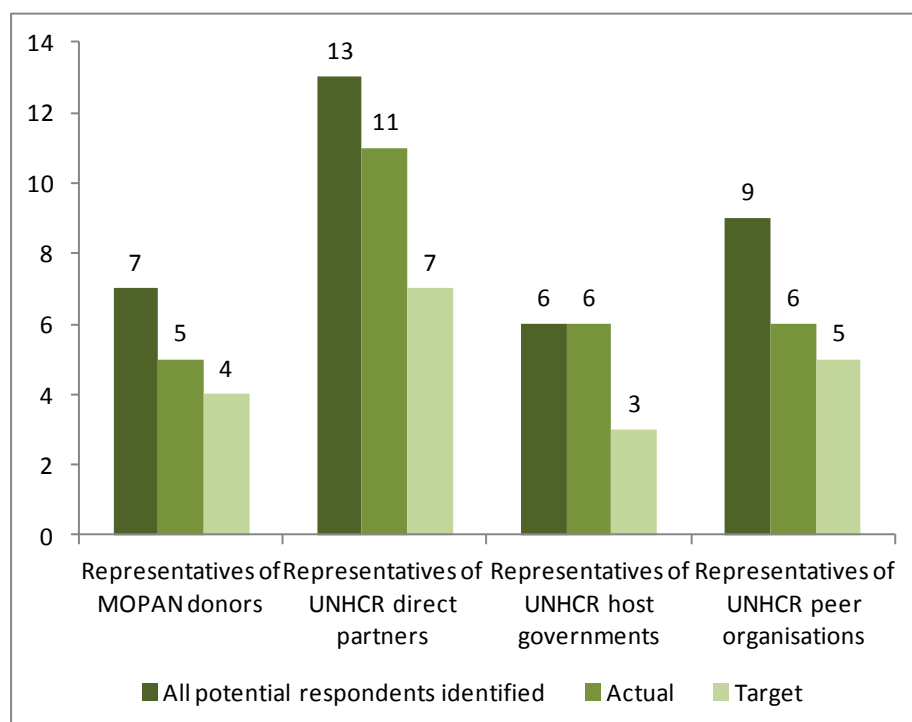
Key contextual factors with a bearing on UNHCR operations in Ecuador include:

- UNHCR's operations in Ecuador are impeded by a significant drop in recognition rates (i.e. 60% in 2004 to 19% in 2012), due to the restrictive protection policy adopted by the country. In border areas, "invisible refugees" are also a challenge for protection.
- The local population often perceives refugees and asylum-seekers in a negative light, associating them with crime and insecurity. This situation renders coexistence difficult, while providing popular support for restrictive asylum policies.
- Persons of concern to UNHCR in Ecuador are found in urban contexts, among local populations, or are settled in Northern border regions, where they have poor access to basic services and are difficult for UNHCR to reach.
- There is a substantial gap between Ecuador's progressive 2008 Constitution, which is favourable to the integration of displaced populations, and their effective access to rights. Ensuring refugee access to public health and education services is proving to be a key challenge (UNHCR, 2014 [31]; UNHCR, 2013 [06]; UNHCR, n.d. [05]).

UNHCR operations in Ecuador focus primarily on re-expanding the country's protection space and aim to implement a comprehensive solutions-oriented strategy, in line with national refugee policy. More specifically, this strategy focuses on local integration of rural and urban refugees – considered more feasible in the current context – and on augmenting their self-reliance and access to rights. Finally, UNHCR's strategy in Ecuador works to tackle discrimination and negative perceptions of persons of concern (UNHCR, 2013 [06]; UNHCR, 2014 [31]; UNHCR, n.d. [02]).

4.4.3 Profile of survey respondent groups in Ecuador

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.4.4 Organisational effectiveness in Ecuador



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Ecuador and don’t know responses

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of humanitarian results	5.06	
1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.93	10%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.82	14%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	5.03	5%
1.2	The MO's senior management shows leadership on results management	5.17	0%
1.3	The MO ensures application of an organisation-wide policy on results-based management	5.09	0%
KPI 2	The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate	4.85	
2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.85	11%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	5.55	8%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	4.10	17%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	4.91	8%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN	4.46	
4.1	Gender equality	4.85	9%
4.2	Environment	4.06	16%
4.3	Good governance	4.47	12%
4.4	Emergency preparedness and response	4.44	20%

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
KPI 5	The MO's country strategies are results-focused	4.45	
5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.18	3%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.24	6%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	4.12	0%
5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.73	9%
5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.44	25%
Performance area II: Operational management			
KPI 6	The MO's funding decisions are timely and transparent	4.89	
6.2	Financial resources are released in a timely manner	4.89	26%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	5.00	40%
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	4.78	11%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	5.10	
8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	5.00	80%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services	5.20	9%
KPI 9	The MO demonstrates the use of performance information for decision-making	4.80	
9.2	Performance information is used by the MO for planning new interventions at the country level	5.00	0%
9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.59	0%
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	4.64	0%
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	4.55	0%
KPI 10	The MO manages human resources using methods to improve organisational performance	4.89	
10.3	The MO has appropriate measures in place to ensure staff security	5.06	27%
10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.63	25%
10.5	The MO has a code of conduct that is followed by staff members	4.97	30%
Sub-MI	i) UNHCR staff follow the code of conduct	4.97	30%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	--	--

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.56	
12.1	The MO key operations/ management decisions can be made locally	4.56	16%
KPI 13	The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations	4.99	
13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.92	7%
13.2	The MO respects humanitarian principles while delivering humanitarian action	5.15	13%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	5.43	5%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.87	21%
13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.89	5%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	5.00	5%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.79	5%
Performance area III: Relationship management			
KPI 14	The MO's procedures take into account local conditions and capacities	4.76	
14.1	The procedures of the MO can be easily understood and completed by partners	4.95	13%
14.2	The length of time for completing MO procedures does not have a negative effect on implementation	4.69	20%
14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.77	5%
14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.64	5%
14.5	The MO ensures that capacity development of local partners is undertaken	4.75	10%
KPI 15	The MO adds value to policy dialogue with its humanitarian partners	4.78	
15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.99	0%
15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.42	5%
15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.91	0%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	4.97	0%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.85	0%

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate	4.23	
17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.33	5%
17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.55	5%
17.3	The MO shares relevant information with humanitarian and other partners	4.35	10%
17.4	The MO builds on the initiatives of others to avoid duplication	3.89	0%
17.5	The MO effectively leads and coordinates comprehensive responses for refugees with all concerned stakeholders	4.02	0%
Performance area IV: Knowledge management			
KPI 18	The MO consistently evaluates its results	3.85	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	3.85	14%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	3.96	11%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	3.74	17%
KPI 20	The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	4.23	
20.1	The MO encourages learning and sharing of lessons	4.23	17%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	4.31	19%
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	4.15	15%

4.4.5 Evidence of relevance and contribution to humanitarian results in Ecuador



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Ecuador

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
A.	Evidence of UNHCR's relevance		
A1	The MO is pursuing results in areas within its mandate	4.95	7%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	4.85	9%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.66	9%
A4	The MO adapts its operations to the changing needs and priorities of the country	4.70	9%
C.	Evidence of UNHCR's progress towards its stated country-level results		
C1	Favourable protection environment (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	5.02	0%
C2	Fair protection processes and documentation (e.g. securing birth registration, profiling and individual documentation based on registration)	4.88	0%
C3	Security from violence and exploitation (e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)	4.54	5%
C4	Basic needs and services (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	4.28	5%
C5	Durable solutions (e.g. voluntary repatriation, local integration and resettlement)	4.60	0%

Evidence of UNHCR's contribution to humanitarian results

The table below presents a brief overview of UNHCR's contribution to humanitarian results in Ecuador during the 2012-2013 period. Survey respondents were asked to provide their perceptions of UNHCR's performance in making progress towards the organisation's rights groups (i.e. thematic groupings of objectives), while the document review examined contributions at a more granular level (i.e. at the objective and output levels).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C1 – FAVOURABLE PROTECTION ENVIRONMENT <i>(e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)</i>	MI C1.1 Law and policy developed or strengthened	Partially met	Not met	UNHCR supported studies on refugee law and practice and lobbied among important government officials, which led to the ratification of the 1961 Convention on the Reduction of Statelessness. However, the new admissibility procedure and the Refugee Decree 1182 do not meet minimum international standards: today, at least 40% of asylum applications nationwide are not admitted to the refugee status determination procedure. Furthermore, refugees risk being returned to their country of origin, and those who are not admitted to the procedure risk becoming part of the "invisible population."
	MI C2.1 Access to and quality of status determination procedures improved	Partially met	Not met	In order to facilitate access to the RSD procedures, UNHCR provided transportation to some potential asylum-seekers. During the first semester of 2013, the Refugee Directorate recognised only 363 refugees (out of 5 840 who registered), which represents only 6.2%.
	MI C2.2 Civil registration and civil status documentation strengthened	Partially met	Partially met	UNHCR, the Refugee Directorate, and the Civil Registry have agreed to cooperate regarding refugee documentation. UNHCR's ultimate objective is for the Civil Registry to become fully responsible for the issuance of refugee documentation and ID cards. For now, refugees continue to face serious obstacles in trying to register children born in Ecuador as Ecuadorian nationals.
	MI C2.3 Quality of registration and profiling improved or maintained	Partially met	Partially met	Over 12 000 new asylum claims were registered in 2012, and 5 mobile brigades were launched in order to renew refugee visas and update individual profiles in border areas. In June 2013, a new urban profiling study was initiated in Quito. The Refugee Directorate focuses on refugee status determination and bio data collection rather than on profiling. As a result, data generally lacks useful individual information that is necessary for planning and implementing protection and assistance responses for the refugee population.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C3 – SECURITY FROM VIOLENCE AND EXPLOITATION <i>(e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)</i>	MI C3.1 Protection of children strengthened	Partially met	Partially met	Not all refugee needs in Ecuador could be met, because available resources only covered 50% of requirements. Although protection of children was prioritised, the gap in available funding <i>“threaten[s] many projects to engage adolescents in constructive activities and [the] achievement of impact results for this objective.”</i>
	MI C3.2 Risk of SGBV is reduced and quality of response improved	Partially met	Partially met	UNHCR supported local NGOs offering legal counselling and specialised assistance to victims/survivors of SGBV, as well as a network of safe-houses for survivors. However, these activities were limited in some regards, due to lack of funding. As a result, SGBV remains a major concern for refugees (in the Sucumbíos province, it is estimated that around 60% of all women have experienced SGBV).
C4 – BASIC NEEDS AND SERVICES <i>(e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)</i>	MI C4.1 Population has optimal access to education	Met	Met	Some outputs for this objective lack targets, so it is almost impossible to determine the significance of change. Several educational facilities have been constructed and equipped, mostly in co-ordination with local municipalities and authorities. Some vulnerable children were provided with uniforms and education supplies. Decree 337 (guaranteeing access to education for refugees) has been incorporated into the general education regulation law. Nonetheless, rampant discrimination continues in schools.
	MI C4.2 Health status of the population improved	Met	Not met	UNHCR has supported the provision of equipment to health centres, as well as medicine, medical examinations, and hospitalisation when public services were not able to provide them. Progress observed in the first semester of 2012 was lost during the second semester, when the access rate fell to 61%.
	MI C4.3 Shelter and infrastructure established, improved and maintained	Met	Not met	In 2012, shelter support was provided mainly to safe-house networks for female survivors of SGBV and shelters for unaccompanied minors. But, as acknowledged by UNHCR, it <i>“has become necessary to improve and maintain shelter facilities, which are now dilapidated and overcrowded.”</i>
C5 – DURABLE SOLUTIONS <i>(e.g. voluntary repatriation, local integration and resettlement)</i>	MI C5.1 Potential for integration realised	Partially met	Insufficient data	Fifteen community-based small infrastructure projects were implemented in 2012. Projects with the potential for rapid impact on communities were selected in order to benefit refugees and host communities, supporting local integration. A survey reveals that 5% of refugees have a formal job, 70% have an informal job (with a high level of precariousness), and 25% are unemployed. In total, 68% of refugees would like to locally integrate. No result was reported for the impact indicator in 2012 or 2013.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C5.2 Potential for resettlement realised	Met	Met	In 2012, close to 480 cases involving 1 615 individuals (including 355 women and children at risk) were submitted to resettlement countries. This represents a substantial increase compared to 2011. Overall, 87% of cases submitted for resettlement consideration have been accepted, and some 560 individuals have departed to their resettlement country.

4.5 Kenya

4.5.1 Country context

Kenya is party to the 1951 Convention relating to the Status of Refugees, its 1967 Protocol and the 1969 Convention Governing the Specific Aspects of Refugee Problems in Africa (UNHCR, 2013 [60]). However, the country is not signatory to the 1954 Convention relating to the Status of Stateless Persons or to the 1961 Convention on the Reduction of Statelessness. Nevertheless, the country is in the process of developing the Kenya Citizenship and Immigration Act 2011, which will provide a definition for statelessness and the legal framework for people, who would otherwise be stateless, to register as citizens of Kenya (UNHCR, 2014 [31]).

Citing security concerns, Kenya's Department of Refugee Affairs (DRA) announced a forced encampment policy for urban refugees, in December 2012. The country has had an encampment policy for refugees since the early 1990s, but it had never been fully enshrined in law, and measures were less restrictive (Oxford Monitor of Forced Migration, 2013). The policy specifies that all Somali asylum-seekers and refugees in urban areas must relocate to Dadaab Refugee Camp, that all other asylum-seekers and refugees in urban areas must move to Kakuma, that registration of asylum-seekers and refugees in urban areas must be halted, and that all urban registration centres must be closed. However, UNHCR partners have appealed the legality of the directive, and the Kenyan High Court has ruled in their favour (UNHCR, 2014 [31]).

UNHCR reports that Kenya hosts just over 400 000 refugees in Dadaab Refugee Camp, 95 000 refugees in Kakuma camp (surpassing the 90 000 camp capacity), and approximately 56 000 refugees in urban areas (UNHCR, n.d. [85]; UNHCR, 2014 [31]; UNHCR, n.d. [84]).

Key contextual factors with a bearing on UNHCR operations in Kenya include:

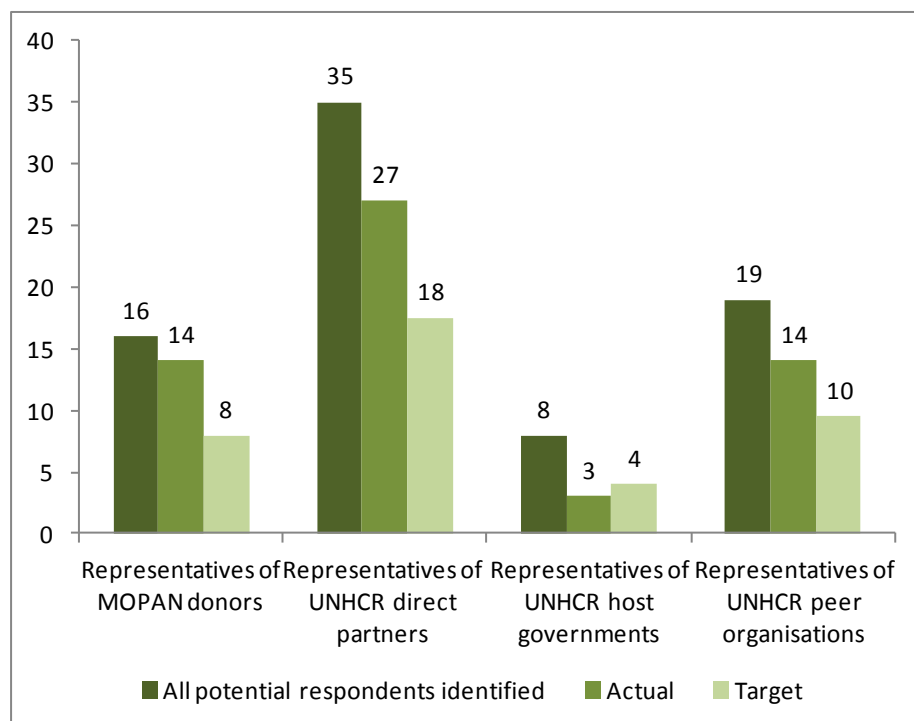
- Political alliances and areas of fighting and displacement have resulted from the devolution of power to counties and new county borders. UNHCR also notes that devolution has increased the need for close co-ordination with line ministries at the county level, though this may be met with "possibly unrealistic expectations and demands from the refugee hosting counties on revenues and other support from the refugee operations."
- Security in refugee hosting areas is a major concern for both UNHCR and the Government of Kenya: threats of kidnapping or assassinating humanitarian workers, government security officials, and refugee leaders, as well as small arms-induced violence, are particularly high in the Lagadera and Fafi Districts within Garissa County, where close to 90% of Somali refugees in the country are found.
- Due to security concerns, asylum space is shrinking, and numerous reports (and threats) of refoulement have been made. Somali asylum-seekers and refugees are affected disproportionately by these realities.
- Provisions in the 2010 Kenyan Constitution (e.g. freedom of movement, dual citizenship, and local integration opportunities) could greatly benefit people of concern to UNHCR. While the Refugees Act gives refugees the right to work and receive a work permit, this has yet to materialise.
- In Dadaab, restricted space limits the availability of resources and access to basic services, thereby increasing vulnerability to sexual and gender-based violence, involvement in criminal activity, and illegal departures notably to Nairobi, Mombasa, Malindi and Garissa, to seek better opportunities.
- Little is known about the actual populations at risk of statelessness or the number of internally displaced persons in Kenya.
- The inclusion of key government partners is of particular importance. This remains challenging, given that nationality is viewed through a political lens and is associated with the ability of the populations and groups to stake claims on land (one of the key natural resources in the country). UNHCR expects that positive engagement with the Task Force on nationality and legislation established towards the end of 2010 could help achieve progress in this regard (UNHCR, 2014 [31]).

In Kenya, UNHCR operations focus primarily on preserving current asylum access and protection space for its persons of concern, as well as resolving security and safety issues. In addition to providing basic

services, UNHCR works to increase advocacy and co-ordination so as to favour protection, humanitarian assistance, and solutions in Dadaab, Kakuma, and urban contexts. The Agency aims to provide assistance, protection, and opportunities to urban refugees, as well as to support continued capacity-building among its counterparts around refugee status determination (UNHCR, 2014 [31]; UNHCR, 2013 [06]; UNHCR, n.d. [02]).

4.5.2 Profile of survey respondent groups in Kenya

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.5.3 Organisational effectiveness in Kenya



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Kenya and don’t know responses

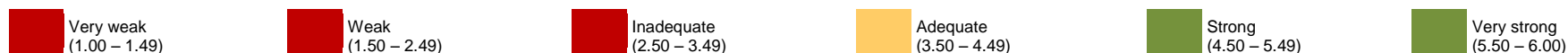
Indicators		Survey mean scores (Kenya)	% DK (Kenya)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of humanitarian results	4.78	
1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.44	1%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.65	2%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	4.24	0%
1.2	The MO's senior management shows leadership on results management	5.33	0%
1.3	The MO ensures application of an organisation-wide policy on results-based management	4.56	0%
KPI 2	The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate	4.82	
2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.82	1%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	5.58	0%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	3.83	4%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	5.06	0%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN	4.56	
4.1	Gender equality	4.77	4%
4.2	Environment	4.22	7%
4.3	Good governance	4.44	7%
4.4	Emergency preparedness and response	4.79	5%

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
KPI 5	The MO's country strategies are results-focused	4.51	
5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.36	2%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.26	4%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	4.46	0%
5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.54	0%
5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.63	4%
Performance area II: Operational management			
KPI 6	The MO's funding decisions are timely and transparent	4.44	
6.2	Financial resources are released in a timely manner	4.44	14%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	4.08	14%
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	4.79	14%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	4.23	
8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	3.83	57%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services	4.63	11%
KPI 9	The MO demonstrates the use of performance information for decision-making	4.92	
9.2	Performance information is used by the MO for planning new interventions at the country level	5.67	0%
9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	4.17	11%
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	4.17	11%
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	4.17	11%
KPI 10	The MO manages human resources using methods to improve organisational performance	4.83	
10.3	The MO has appropriate measures in place to ensure staff security	4.96	6%
10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.64	18%
10.5	The MO has a code of conduct that is followed by staff members	4.87	24%
Sub-MI	i) UNHCR staff follow the code of conduct	4.87	24%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	--	--

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.61	
12.1	The MO key operations/ management decisions can be made locally	4.61	15%
KPI 13	The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations	4.78	
13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	4.75	0%
13.2	The MO respects humanitarian principles while delivering humanitarian action	4.89	4%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	5.13	0%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.65	7%
13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.69	5%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	4.68	4%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.70	7%
Performance area III: Relationship management			
KPI 14	The MO's procedures take into account local conditions and capacities	4.29	
14.1	The procedures of the MO can be easily understood and completed by partners	4.67	7%
14.2	The length of time for completing MO procedures does not have a negative effect on implementation	4.01	14%
14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.45	2%
14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.41	15%
14.5	The MO ensures that capacity development of local partners is undertaken	3.90	14%
KPI 15	The MO adds value to policy dialogue with its humanitarian partners	4.57	
15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.65	3%
15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.45	8%
15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.59	4%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	4.69	2%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.50	6%

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate	4.36	
17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.63	4%
17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.40	5%
17.3	The MO shares relevant information with humanitarian and other partners	4.43	4%
17.4	The MO builds on the initiatives of others to avoid duplication	4.02	4%
17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	4.30	0%
Performance area IV: Knowledge management			
KPI 18	The MO consistently evaluates its results	4.29	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.29	7%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	4.21	5%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	4.38	9%
KPI 20	The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	4.04	
20.1	The MO encourages learning and sharing of lessons	4.04	10%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	4.11	11%
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	3.97	10%

4.5.4 Evidence of relevance and contribution to humanitarian results in Kenya



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“--” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Kenya

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
A.	Evidence of UNHCR's relevance		
A1	The MO is pursuing results in areas within its mandate	4.87	0%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	4.94	4%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.55	0%
A4	The MO adapts its operations to the changing needs and priorities of the country	4.00	0%
C.	Evidence of UNHCR's progress towards its stated country-level results		
C1	Favourable protection environment (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	4.89	1%
C2	Fair protection processes and documentation (e.g. securing birth registration, profiling and individual documentation based on registration)	4.85	4%
C3	Security from violence and exploitation (e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)	4.58	0%
C4	Basic needs and services (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	4.69	3%
C5	Durable solutions (e.g. voluntary repatriation, local integration and resettlement)	4.03	2%

Evidence of UNHCR's contribution to humanitarian results

The table below presents a brief overview of UNHCR's contribution to humanitarian results in Kenya during the 2012-2013 period. Survey respondents were asked to provide their perceptions of UNHCR's performance in making progress towards the organisation's rights groups (i.e. thematic groupings of objectives), while the document review examined contributions at a more granular level (i.e. at the objective and output levels).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C1 – FAVOURABLE PROTECTION ENVIRONMENT (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	MI C1.1 Law and policy developed or strengthened	Insufficient data	Partially met	Kenya is party to the 1951 Convention relating to the Status of Refugees, its 1967 Protocol and the 1969 Convention Governing the Specific Aspects of Refugee Problems in Africa (the OAU Convention). Due to the Constitution's provision that all international instruments ratified by Kenya form part of Kenyan law, the country has not acceded to the two Statelessness Conventions or ratified the <i>Kampala Convention</i> . The government is in the process of developing legislation (a new constitution, a Citizenship and Immigration Act, and a national internally displaced person policy) before the ratification of all future instruments.
C2 – FAIR PROTECTION PROCESSES AND DOCUMENTATION (e.g. securing birth registration, profiling and individual documentation based on registration)	MI C2.1 Access to and quality of status determination procedures improved	Partially met	Partially met	Budget constraints limited UNHCR's ability to adequately support the government in activities aimed at helping the Department of Refugee Affairs to assume full responsibility for registration and refugee status determination (RSD) processes. These delays impacted negatively on the timely reception and registration of asylum-seekers. Although limited, capacity-building of DRA in RSD contributed to reducing the average number of days between submission and the first interview (from 630 to 463 days).
	MI C2.2 Civil registration and civil status documentation strengthened	Met	Met	In 2012, the Civil Registrar issued 16 485 birth certificates to refugee children. SOPs for civil registration in the refugee camps were revised and aligned with the provisions of the Births and Deaths Act of Kenya, with a focus on the inclusion of provisions for the registration of home deliveries and applications for late registration. These revisions and the regularisation of the Registrar's activities in the camps since September 2012 have contributed to reducing the waiting period for the issuance of birth certificates (i.e. 5-6 months in 2011 to 2-3 months today). However, UNHCR reports note that 10% of children under 12 months have still not received a birth certificate.
	MI C2.3 Quality of registration and profiling improved or	Met	Partially met	At the beginning of 2012, registration was suspended by the government, following a string of security incidents in 2011. In late 2012, the Department of Refugee Affairs closed all urban registration centres in accordance with a government directive to strengthen the

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	maintained			enforcement of camp policy and close urban programmes. New refugees were recorded by UNHCR and issued family tokens to access assistance while waiting for formal registration with the DRA. UNHCR reported that dozens of new arrivals were not registered by the DRA and estimated that about 5 000 individuals would still require registration by the end of 2012, if the government failed to reactivate the registration exercise. In Kakuma, a backlog of 14 148 cases (i.e. 40 390 individuals) still remained due to inadequate staffing. Only around 13% of adult refugees received proper identity documentation (ID).
C3 – SECURITY FROM VIOLENCE AND EXPLOITATION <i>(e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)</i>	MI C3.1 Protection of children strengthened	Partially met	Partially met	Unaccompanied asylum-seeking children (UASC) are currently estimated to total over 14 000. In 2013, best interest determination (BID) processes were conducted for 7 087 UASC, and 440 of the latter were placed in alternative care arrangements. The logistical context (heightened insecurity in the camps) and human resource challenges (one government official for over 260 000 refugee children) hindered timely interventions for child protection cases at the camp level. Although 30% of out-of-school adolescents were expected to participate in targeted programmes in 2013, only 7% (1 011 adolescents) did. UNHCR and partners response capacities are overstretched, as the operation under this objective remains under-funded.
	MI C3.2 Risk of SGBV is reduced and quality of response improved	Met	Met	In 2013, a total of 371 dissemination events about sexual and gender-based violence (SGBV) were organised and conducted, reaching a cumulative population of 46 000 people. Forty community sessions were also conducted, and 500 information, education and communication (IEC) materials with key thematic messages on SGBV were distributed. A total of 2 343 SGBV survivors received legal, medical and psychosocial support, and some 105 were hosted in existing safe-houses. The level of awareness among community members concerning sexual exploitation and abuse is low, so stigmatisation and discrimination of survivors by some community members contributed to silencing victims of SGBV.
	MI C3.3 Protection from crime strengthened	Partially met	Partially met	In 2013, discussions between the police and community, with the participation of Community Peace and Protection Teams (CPPTs), were held in order to improve the community security system within the refugee camps. A total of 18 sessions were conducted in 2012 and 2013. Peace committees incorporating host community and refugee representatives were instituted within the framework of the community policing project, and trainings were held for officers and community members. Across the camps, 610 women were equitably represented in the CPPTs. The Security Partnership Project (SPP)

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
				was extended for another two years, beyond April 2014. The target of 600 police in camps/communities has not been achieved, so the ratio of refugees to police officers is not satisfactory.
C4 – BASIC NEEDS AND SERVICES <i>(e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)</i>	MI C4.1 Health status of the population improved	Partially met	Partially met	Throughout 2012-2013, access to essential medicine and health services was ensured in the 3 camp hospitals and 18 satellite health posts. A total of 382 526 consultations and 14 224 in-patient admissions were recorded in 2013 alone. The average number of consultations per clinician, per day, grew from 65 to 75 (target was less than 50), due to high staff turnover and delayed replacement. Under-five mortality rates improved from a baseline of 0.6/1000/month to 0.2/1000/month, across all camps. Conflicts in neighbouring countries continued to drive asylum-seekers to UNHCR camps, overstretching available resources for health care delivery (there was no additional funding to respond to the influx of new refugees). Most health partners lacked adequate staffing. This gap increased the service provider to patient ratio beyond the standard, thus compromising the quality of services delivered to the beneficiaries.
	MI C4.2 Nutritional well-being improved	Met	Met	In 2013, in-patient care was provided to 1,954 children with severe acute malnutrition and infections (down from 9 767 in 2012, which points to improvement in the general nutrition status). An average of 62 573 children aged 6-59 months received complementary food through the distribution of green grams. The overall reduction of malnutrition was made possible through treatment and preventive activities. To ensure treatment of children, nutrition programmes for management of children with acute malnutrition ran throughout the year, and bi-weekly supplementary feeding sessions were held in 18 centres. Improved preventive programmes contributed to a drop in prevalence of anaemia among children aged 6-59 months (from 55.8% in 2012 to 44.4% in 2013).
	MI C4.3 Population has optimal access to education	Partially met	Partially met	In Dadaab, overall enrolment (early childhood, primary and secondary education) increased from 89 574 in June to 92 925 (40% girls) in December 2013. The percentage of primary school children enrolled in primary education (net enrolment) improved from 32% to 34%, while net enrolment for secondary schools remained low, at 1%. The 2013 implementation target for primary education (45%) was not met due to lack of resources. In 2013, 180 new teachers were recruited, but this did not fully address needs (i.e. 1 232 teachers were required). Despite relative improvement in access to quality education in 2012, meeting the required standards continues to be a challenge, and much of the progress made was lost in 2013 (notably due to new

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
				arrivals). A directive issued by the Ministry of Education in 2011 required a birth certificate to register for national exams, and this reduced the accessibility of education for stateless children.
	MI C4.4 Population lives in satisfactory conditions of sanitation and hygiene	Partially met	Not met	By the end of 2013, family latrine coverage had increased to 61% in Kakuma, and solid waste management had improved thanks to the excavation of an additional 60 garbage pits. Distribution of soap for personal hygiene was at 75%, and distribution of sanitary materials to refugee women and girls covered about 60% of needs. Around 40% of households in camps do not have latrines. Shared latrines are often not kept clean and thus risk contributing to the spread of disease (such as dysentery, poliomyelitis, and cholera). The use of open fields for defecation remains widespread, also increasing the risk of hygiene-related diseases. The sanitation situation at the household level continues to be affected by the influx of new arrivals.
	MI C4.5 Shelter and infrastructure established, improved and maintained	Partially met	Not met	At the beginning of the year, 68% of refugee households in Kakuma had adequate durable shelters, leaving a population of about 32% (34,305 individuals) without adequate shelter. In the same year, the Kakuma operation received an influx of 22 329 new arrivals, which increased this percentage from 32% to 43% (55 640 individuals). Moreover, no camps showed improvement with regard to shelter due to insufficient funding. The government of Kenya discontinued UNHCR's durable shelter programme in 2012, arguing that because refugees' presence was short-term, only temporary shelter could be offered. This shift in policy affects the quality of asylum significantly, and exposes refugees to unacceptable protection risks, as confirmed by the participatory assessment and GBVIMS data.
	MI C4.6 Supply of potable water improved or maintained	Partially met	Partially met	In 2013, UNHCR and its partner maintained the water distribution system and increased the amount of water extracted from boreholes in Kakuma (i.e. from a monthly average of 101 000 m ³ to 114 000 m ³) by adding extra pumping hours. Water distribution was further improved by extending the pipeline and adding new tap stands (to facilitate access to water by reducing the distance to the nearest tap stand). From 2012 to 2013, the volume of potable water available per/day increased from 21.9 litres to 23.64 litres in Dadaab camps, but dropped from 22.8 litres to 16 litres in Kakuma, due to new arrivals. With the increased camp population and growing number of persons per tap, the trend shows a deteriorating situation in the provision of water to persons of concern.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C4.7 Population has optimal access to reproductive health and HIV services	Met	Met	In Dadaab camp in 2013, 11 640 live births occurred, of which 79% were attended by skilled health workers. Further, 97% of sexual violence survivors who reported the abuse within 72 hours received post-exposure prophylaxis (PEP) for HIV. Budget constraints resulted in reduced HIV prevention services. In Kakuma, 95% of 2013 deliveries were conducted in healthcare facilities, and coverage of both antenatal and postnatal care was 81%. The proportion of rape survivors who received post-exposure prophylaxis within 72 hours of assault was 97.4%. In spite of scaling-up conventional interventions for reducing maternal mortality, little improvement was registered in Kakuma. In total, 11 maternal deaths were reported in 2013 (compared to 8 in 2012), which translates to a maternal mortality ratio (MMR) of 358/100 000 live births.
C5 – DURABLE SOLUTIONS (e.g. voluntary repatriation, local integration and resettlement)	MI C5.1 Potential for resettlement realized	Partially met	Partially met	In 2012, some 1 190 refugees of various nationalities in Kakuma were submitted for resettlement consideration. Of these, 1,145 departed to third countries (i.e. 96% of those submitted). By the end of 2013, a total of 1 038 cases (2 966 individuals) had been processed, and 546 cases (1 719 individuals) had departed. In 2013, among the five camps in Dadaab and Alinjugur, a total of 871 cases (2,074 individuals) were submitted, resulting in the departure of 416 cases (1 356 refugees) to 10 resettlement countries. According to UNHCR reports: “out of 6,824 individuals submitted for resettlement in 2013 only 2 176 (31%) departed.” One of the challenges facing UNHCR is that the number of places offered by resettlement countries continues to decrease.

4.6 Tanzania

4.6.1 Country context

The United Republic of Tanzania (Tanzania) is party to the 1951 Convention relating to the Status of Refugees, its 1967 Protocol, as well as the African Union 1969 Convention Governing the Specific Aspects of Refugee Problems in Africa. The country is also a signatory of the 2009 African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa (also referred to as the Kampala Convention), but the latter is not legally binding since the country has yet to proceed to its ratification. Tanzania is not a signatory to the 1954 Convention relating to the Status of Stateless Persons or the 1961 Convention on the Reduction of Statelessness.

For over forty years, Tanzania has hosted one of the largest refugee populations on the African continent, and is a long-standing UNHCR partner in the search for durable refugee solutions (UNHCR, 2013 [06]; UNHCR, n.d. [05]). Of particular note is the 2010 government decision to naturalise over 162,000 Burundian refugees in a protracted situation (“newly-naturalised Tanzanians” or NNTs) and relocate them to other regions. In August 2011, however, the relocation was halted, pending internal government consensus. Currently, NNTs reside in Mishamo, Katumba, and Ulyankulu settlements (UNHCR, 2014 [31]; UNHCR, n.d. [05]; UNHCR, 2013 [06]). Another unprecedented success related to durable solutions involves the voluntary repatriation of around 34 000 Burundians no longer needing international protection. In fact, the closure of Mtabila camp was carried out without complications (UNHCR, 2014 [31]; UNHCR, n.d. [05]; UNHCR, 2013 [06]).

Persons of concern to UNHCR in Tanzania primarily comprise Congolese refugees who sought asylum as a result of the 1996 conflict in the Eastern Democratic Republic of Congo; Burundian refugees who arrived in the 1990s and are not considered for voluntary repatriation; and Burundian refugees who fled conflict in 1972, some of whom have been naturalised. In 2014, 310,250 individuals are considered to be in need of international protection (UNHCR, 2014 [31]; UNHCR, 2013 [06]).

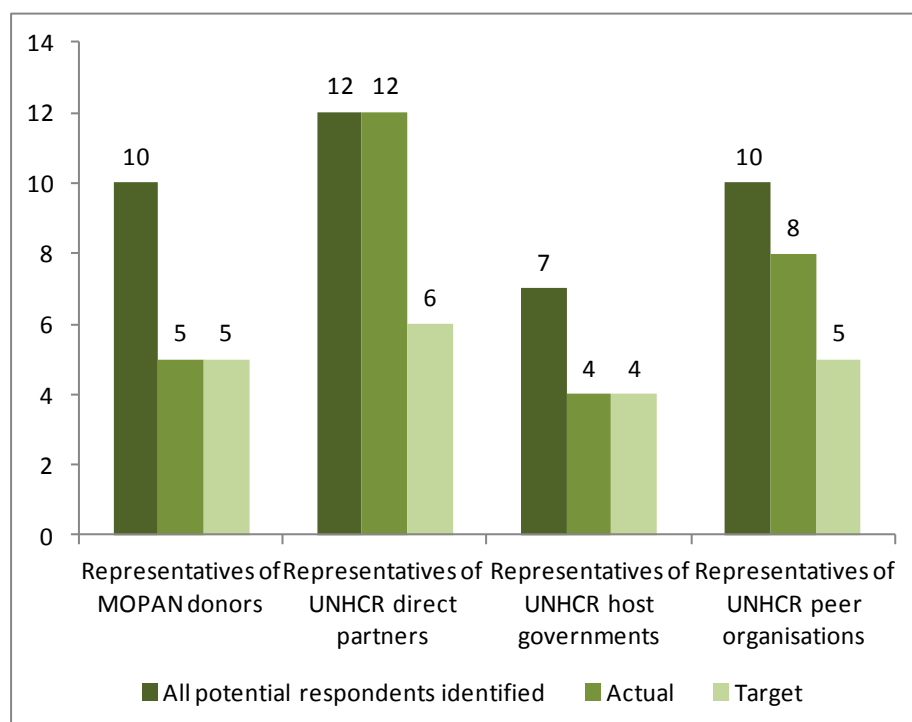
Key contextual factors with a bearing on UNHCR operations in Tanzania include:

- Growing security concerns and perceptions of generous asylum as a burden to Tanzania are jeopardising and delaying the naturalisation and relocation process of over 160 000 Burundian refugees. The finalisation of naturalisation is the biggest challenge and opportunity for UNHCR operations in Tanzania. Access to fair and efficient asylum procedures is also compromised as a result of the shift in political and security perceptions of asylum.
- Given the persistent political instability in DRC, voluntary repatriation of over 63 000 refugees is out of the question, and there are no prospects for local integration. Additionally, a new influx of refugees is increasingly likely. The humanitarian implications of such a situation are challenging, particularly given current public perceptions in Tanzania.
- Over recent years, funding issues have contributed to the deterioration of the situation in Nyarugusu camp (hosting over 68 000 refugees). Needs include sanitary and health and education infrastructure, as well as non-food items especially.
- A strict governmental policy on refugee mobility threatens the self-reliance and livelihood component of UNHCR assistance. This, combined with the protracted situation of the operation, greatly increases aid dependency among refugee populations, and means that long-term protection assistance from UNHCR will be required.
- Depletion of wood stocks forces refugees to travel long distances, which is believed to increase vulnerability to sexual and gender-based violence. The number of SGBV cases in Tanzania remain high (UNHCR, 2013 [06]; UNHCR, n.d. [05]; UNHCR, 2014 [31]).

UNHCR operations in Tanzania are aligned with the agreed outcomes of the 2011-2015 United Nations Development Assistance Programme (UNDAP; “Delivering as One” approach). Interventions focus on local integration of newly naturalised Tanzanians, including access to basic services and improved livelihoods; assistance, protection, and durable solutions for refugees and asylum-seekers in camps; and the expansion and strengthening of the Tanzanian asylum system, notably reducing the risk of *refoulement* in mixed migratory flows (UNHCR, 2013 [06]; UNHCR, n.d. [05]; UNHCR, 2014 [31]; UNHCR, n.d. [02]).

4.6.2 Profile of survey respondent groups in Tanzania

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.6.3 Organisational effectiveness in Tanzania



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Tanzania and don’t know responses

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of humanitarian results	4.91	
1.1	The MO has a value system that focuses on achievement of results for beneficiaries	4.89	2%
Sub-MI	i) UNHCR's institutional culture focuses on articulating results for beneficiaries	4.88	2%
Sub-MI	ii) UNHCR's institutional culture promotes co-operation with partners to deliver results	4.90	2%
1.2	The MO's senior management shows leadership on results management	4.75	0%
1.3	The MO ensures application of an organisation-wide policy on results-based management	5.08	0%
KPI 2	The MO's corporate/organisation-wide strategies and plans are clearly focused on the mandate	4.60	
2.1	The MO's organisation-wide strategy is based on a clear definition of mandate	4.60	8%
Sub-MI	i) UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons	5.31	0%
Sub-MI	ii) UNHCR has a clear mandate to protect internally displaced persons	3.67	25%
Sub-MI	iii) UNHCR's organisation-wide strategy is aligned with its mandate	4.81	0%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN	4.65	
4.1	Gender equality	4.90	0%
4.2	Environment	4.61	0%
4.3	Good governance	4.48	4%
4.4	Emergency preparedness and response	4.63	4%

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
KPI 5	The MO's country strategies are results-focused	4.42	
5.3	Design of humanitarian response is developed through consultation with humanitarian partners (including governments) and beneficiaries (whenever feasible and appropriate)	4.38	2%
Sub-MI	i) UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate	4.20	4%
Sub-MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate	4.55	0%
5.4	The MO's humanitarian operations are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern)	4.88	8%
5.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required	4.00	13%
Performance area II: Operational management			
KPI 6	The MO's funding decisions are timely and transparent	4.38	
6.2	Financial resources are released in a timely manner	4.38	19%
Sub-MI	i) UNHCR is adopting measures to enable timely delivery of funding to operations	5.00	20%
Sub-MI	ii) UNHCR transfers financial instalments to humanitarian partners in a timely manner	3.76	18%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)	5.15	
8.5	Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level	5.50	60%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services	4.80	17%
KPI 9	The MO demonstrates the use of performance information for decision-making	4.77	
9.2	Performance information is used by the MO for planning new interventions at the country level	4.33	25%
9.3	Poorly performing humanitarian programmes, projects and/or initiatives are addressed proactively so as to improve performance	5.20	17%
Sub-MI	i) UNHCR regularly identifies poorly performing programmes and projects	5.20	17%
Sub-MI	ii) UNHCR proactively addresses performance issues identified in poorly performing programmes and projects	5.20	17%
KPI 10	The MO manages human resources using methods to improve organisational performance	4.77	
10.3	The MO has appropriate measures in place to ensure staff security	4.97	15%
10.4	Staff deployment in country is adequate for the development of effective country-level partnerships	4.50	2%
10.5	The MO has a code of conduct that is followed by staff members	4.85	15%
Sub-MI	i) UNHCR staff follow the code of conduct	4.85	15%
Sub-MI	ii) UNHCR monitors compliance with the code of conduct	--	--
Sub-MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	--	--

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
KPI 12	The MO delegates decision-making authority (to the country or other levels)	4.38	
12.1	The MO key operations/ management decisions can be made locally	4.38	10%
KPI 13	The MO ensures adherence to humanitarian principles (humanity, impartiality, neutrality, and operational independence) and a protection approach in its field operations	4.95	
13.1	The MO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict	5.01	5%
13.2	The MO respects humanitarian principles while delivering humanitarian action	5.06	7%
Sub-MI	i) UNHCR respects humanitarian principles while delivering humanitarian action	5.16	2%
Sub-MI	ii) UNHCR takes relevant corrective action when it is unable to fully implement humanitarian principles into its emergency and relief operations (e.g. actively engaging with other humanitarian actors for joint advocacy, building alliances with donors, and strengthening programme monitoring)	4.96	11%
13.3	The MO has effective practices and systems in place to provide protection responses and activities in its work	4.79	1%
Sub-MI	i) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees	4.92	2%
Sub-MI	ii) UNHCR has effective practices and systems in place to provide protection responses and activities in its work for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.66	0%
Performance area III: Relationship management			
KPI 14	The MO's procedures take into account local conditions and capacities	4.46	
14.1	The procedures of the MO can be easily understood and completed by partners	4.92	11%
14.2	The length of time for completing MO procedures does not have a negative effect on implementation	4.27	23%
14.3	The MO has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground	4.63	0%
14.4	The MO ensures that it sufficiently uses local resources (local expertise, goods and services)	4.28	3%
14.5	The MO ensures that capacity development of local partners is undertaken	4.18	8%
KPI 15	The MO adds value to policy dialogue with its humanitarian partners	4.75	
15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.72	0%
15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.63	2%
15.3	The MO uses advocacy with governments and other stakeholders to enhance protection	4.91	6%
Sub-MI	i) UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees	4.99	3%
Sub-MI	ii) UNHCR uses advocacy with governments and other stakeholders to enhance protection for other persons of concern (e.g. asylum seekers, stateless persons, internally displaced persons, and returnees)	4.83	9%

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
KPI 17	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, NGOs, governments, etc.) as appropriate	4.68	
17.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals, and annual programming exercises)	4.78	15%
17.2	The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments	4.71	5%
17.3	The MO shares relevant information with humanitarian and other partners	4.69	0%
17.4	The MO builds on the initiatives of others to avoid duplication	4.31	0%
17.5	The MO effectively leads and co-ordinates comprehensive responses for refugees with all concerned stakeholders	4.90	0%
Performance area IV: Knowledge management			
KPI 18	The MO consistently evaluates its results	4.06	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.06	13%
Sub-MI	i) UNHCR involves key partners in evaluations of its projects or programmes	4.21	8%
Sub-MI	ii) UNHCR involves key beneficiaries in evaluations of its projects or programmes	3.90	17%
KPI 20	The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	4.44	
20.1	The MO encourages learning and sharing of lessons	4.44	13%
Sub-MI	i) UNHCR sufficiently documents lessons learned from performance information	4.55	21%
Sub-MI	ii) UNHCR disseminates useful lessons learned to stakeholders	4.34	5%

4.6.4 Evidence of relevance and contribution to humanitarian results in Tanzania



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“--” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Tanzania

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
A.	Evidence of UNHCR's relevance		
A1	The MO is pursuing results in areas within its mandate	5.25	3%
A2	The MO's results are in line with global trends and priorities in the humanitarian field	5.15	0%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries)	4.86	0%
A4	The MO adapts its operations to the changing needs and priorities of the country	4.63	3%
C.	Evidence of UNHCR's progress towards its stated country-level results		
C1	Favourable protection environment (e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)	4.83	0%
C2	Fair protection processes and documentation (e.g. securing birth registration, profiling and individual documentation based on registration)	4.79	0%
C3	Security from violence and exploitation (e.g. reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment)	4.89	0%
C4	Basic needs and services (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	4.72	0%
C5	Durable solutions (e.g. voluntary repatriation, local integration and resettlement)	4.69	2%

Evidence of UNHCR's contribution to humanitarian results

The table below presents a brief overview of UNHCR's contribution to humanitarian results in Tanzania during the 2012-2013 period. Survey respondents were asked to provide their perceptions of UNHCR's performance in making progress towards the organisation's rights groups (i.e. thematic groupings of objectives), while the document review examined contributions at a more granular level (i.e. at the objective and output levels).

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
C1 – FAVOURABLE PROTECTION ENVIRONMENT <i>(e.g. ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness)</i>	—	—	—	—
C2 – FAIR PROTECTION PROCESSES AND DOCUMENTATION <i>(e.g. securing birth registration, profiling and individual documentation based on registration)</i>	MI C2.1 Quality of registration and profiling improved or maintained	Met	Met	In Nyarugusu camp (the only remaining active camp in Tanzania), registration data was continuously updated, including the registration of new-born babies (1 419 in the first half of 2013) and newly arrived asylum-seekers, the provision of new addresses, the profiling of people with specific needs, and the updating of bio data. Population verification was postponed due to delays in the preparatory activities and recruitment of staff. Tanzania has indicated no change in its encampment policy, which requires all refugees to live in designated areas. Refugees and asylum-seekers registered on an individual basis increased from 50% to 80%, while the number of cases of refoulement was reduced by more than half (from 120 to 50).
	MI C2.2 Civil registration and civil status documentation strengthened	Not met	Not met	In April 2010, the government of Tanzania announced the naturalisation of more than 162 000 Burundian refugees living in the Old Settlements. Since then, only 749 individuals received their citizenship certificates, leaving more than 160 000 NNT in a legal vacuum, as they are neither refugees, nor free citizens.
C3 – SECURITY FROM VIOLENCE AND EXPLOITATION <i>(e.g. reducing protection risks faced by people of concern, in particular,</i>	MI C3.1 Protection from crime strengthened	Partially met	Met	In total, 57 special police officers and 23 regular policemen of the Regional Police were deployed in the Old Settlements. The Police department conducted more patrols, resolved security cases brought to their attention, held more meetings with the community, and conducted more training sessions on community policing techniques to detect

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
<i>discrimination, sexual and gender-based violence and child recruitment)</i>				criminals. Police reinforcement has contributed to reducing criminality in the settlements.
	MI C3.2 Protection of children strengthened	Partially met	Partially met	In 2012, a more integrated child protection programme and comprehensive case management system were developed. Although BIDs for all unaccompanied minors were completed in 2012, only half of the identified separated children underwent BIDs. Girls continue to drop out due to inadequate sanitary materials, early pregnancy, and forced marriage.
	MI C3.3 Risk of SGBV is reduced and quality of response improved	Partially met	Partially met	During the first six months of 2013, 264 new cases of sexual and gender-based violence (SGBV) were reported in Nyarugusu camp, and 24 cases were reported at the NMC transit centre. Of these 288 cases, only seven survivors received psychosocial, medical, security and material support, due to resource constraints. Although work and consultations have started, the SGBV strategy initiated during the country-wide community services and SGBV workshop in Mwanza has not yet been completed.
C4 – BASIC NEEDS AND SERVICES (e.g. reducing malnutrition and anaemia, addressing major causes of morbidity and mortality, providing adequate reproductive health care, meeting international standards in relation to shelter, domestic energy, water, sanitation and hygiene, and promoting human potential through education, training, livelihoods support and income generation)	MI C4.1 Health status of the population improved	Partially met	Met	Health services are very poor and require major improvements, but available funding has only allowed for minor tweaks in the health system. Medical staff is limited, and poor working conditions in camps make it difficult to attract more. Despite these challenges, the under-five mortality rate is 0.7 deaths/1 000 amongst the population of refugees and asylum-seekers. Although the health situation is improving for NNTs, only 30% have access to primary health care (this remains better than in 2012, when access was reported to be 10%).
	MI C4.2 Population has optimal access to education	Partially met	Met	Improvement in education services, principally the construction of classrooms and dormitories, could not be addressed due to financial constraints. Some 20 primary school teachers were recruited, bringing the teacher-to-pupil ratio to 1:53. Primary school enrolment for all 12 primary schools in Nyarugusu camp increased from 22 532 to 22 673 over the past two years. This raised the enrolment rate from 95.5% in 2012 to 99.8% in 2013. For the NNTs in the Old Settlements, limited investment in education has led to low enrolment (i.e. only 57.3% of children aged 6-13 years are enrolled in primary education). School truancy is high (at least 60%), particularly among girls, and around 60% of primary school children drop out after the primary exams.

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
	MI C4.3 Shelter and infrastructure established, improved and maintained	Not met	Not met	Due to continued funding constraints, the general distribution of plastic sheets to beneficiaries was not conducted in 2013. Only 416 families received shelter material. Nevertheless, adequate shelter coverage was 80.3% at the end of 2013, compared to 78% in December 2012. However, most shelters are temporary in nature, requiring regular refurbishment. For NNTs living in Old Settlements, the situation is worse: while many appear to have shelters, most are either unsafe or inadequate. Sanitation facility coverage is very low, with most families having no secure bathing shelters. In addition, some 30% of families do not have household latrines, as many latrines have collapsed. Most of the communal infrastructure is in a state of disrepair and requires urgent rehabilitation. Household shelters are in such poor state, that as many as 30% of them are expected to collapse.
	MI C4.4 Supply of potable water improved or maintained	Met	Met	The gradual deterioration of water systems has caused severe breakdowns and affected water service delivery to beneficiaries. However, water systems were regularly maintained to the extent possible with available resources. In 2013, refugees in Nyarugusu camp continued to receive 26 litres of safe and potable water per person, per day, on average. At least 95% of the refugees live within 200 metres of water distribution points, with 118 persons per water tap. The situation for NNTs showed some improvement in 2012, as the number of users per usable well/handpump dropped from 1 186 to 824.
	MI C4.5 Nutritional well-being improved	Met	Partially met	In 2012, 1 826.3 kilocalories of food (per person, per day) were provided during general distribution cycles. A total of 1,423 people with special needs and their family members (5 361 people, in all) were included in the supplementary feeding programme. A nutrition survey in October 2012 revealed a global acute malnutrition (GAM) rate of 2.6% and a severe acute malnutrition (SAM) rate of 0.9%, both of which fall within an acceptable level. Household food security, as measured by the food consumption score, is relatively good, with most households (81%) having an acceptable consumption score.
C5 – DURABLE SOLUTIONS (e.g. voluntary repatriation, local integration and resettlement)	MI C5.1 Potential for integration realised	Not met	Not met	Of the 187 423 persons registered in the three Old Settlements as of January 1, 2012, 162 152 individuals – mainly 1972 Burundian refugees – were naturalised in 2010. Only 767 of them (less than 1%) have actually been able to operationalise their citizenship (i.e. receive certificates). Since August 2011, when the government placed a moratorium on

MOPAN Micro-indicator (i.e. UNHCR rights group)	UNHCR objective	Documented evidence to support achievement of expected results		Key documented results achieved
		Output level	Objective level	
				local integration, NNTs have been awaiting the government's final decision on this issue. The Evaluation of the Protracted Refugee Situation (PRS) for Burundians in Tanzania (October 2010) noted weaknesses in the transition between naturalisation and integration of NNTs, as the government decided to issue citizen certificates only after relocation. NNTs are thereby put in a situation where their legal status and rights are unclear, and this has had (and will continue to have) severe consequences on NNTs' future living situations. The Evaluation anticipated that full integration of the NNTs, still at the planning stage, <i>"could become the most difficult part of the comprehensive solutions strategy to implement."</i>
	MI C5.2 Potential for resettlement realised	Partially met	Partially met	From January to July 2013, 261 persons were submitted for resettlement, and 505 new cases were initiated. During the same period, 371 Congolese refugees and 75 Burundian refugees were resettled. For external reasons, the targeted number of cases was reduced by 40% (from 2 520 to 1 520). In the context of growing insecurity and terrorism across the globe, UNHCR has faced important challenges, as the number of resettlement places offered by countries has continued to decrease, and delays for analysing cases have increased.
	MI C5.3 Potential for voluntary return realised	Met	Met	In-depth interviews of Burundian refugees were conducted between September 2011 and August 2012 in order to facilitate their return to Burundi. More than 90% (37 582 persons) were found to not require international protection. The orderly return operation, which started on October 31, 2012 and ended on December 11, 2012, resulted in the repatriation of approximately 34 000 people. In 2013, UNHCR undertook the orderly return of 220 of the 1 425 remaining Burundian refugees. The voluntary repatriation of Congolese refugees remains unfeasible, due to the security situation in DRC.
	Peaceful co-existence with local communities promoted	Not met	Not met	Two infrastructure improvement projects were designed and targeted both host communities and NNTs within the settlements: i) procurement of 625 desks and chairs and 18 cupboards for the schools in Ulyankulu settlement and the schools in the host communities; and ii) rehabilitation of a health post in Ulyankulu settlement, which would also benefit the host communities. Although a change was observed in the communities with respect to increased female participation in leadership and management structures, no noticeable change was observed in terms of intercommunity relations.

5. Endnotes

ⁱ This criterion is considered ‘partially met’ if the organisation has elements of a theory of change, and ‘met’ if the organisation reports according to its theory of change. ‘Theory of change’ is understood in the sense defined by Rist and Morra Imas (2009) as, “a representation of how an intervention is expected to lead to desired results” and in the sense defined by Michael Quinn Patton who has stated that a theory of change is more than the sequential order of results statements presented in a logic model; it requires key assumptions related to the results chain and context (e.g. policy and environment), and important influences and risks to be made explicit - *Qualitative Research and Evaluation Methods* (2002). Reporting according to a theory of change is understood to mean the extent to which organisations provide a narrative describing the actual implementation process and results achieved in relation to that foreseen in the initial ‘theory of change’.

ⁱⁱ This refers to the existence of reports on outputs as defined by the OECD (i.e. lower level results). Some MOs use different terminology for the various levels of results.

ⁱⁱⁱ This refers to the existence of reports on outcomes as defined by the OECD (i.e. higher level results). Some MOs use different terminology for the various levels of results.

^{iv} Quality of data refers to accuracy and credibility of the data used for the report, particularly considering the extent to which data used to substantiate contributions to results was derived from or validated by an external and/or independent source.

^v This criterion is considered ‘partially met’ if the organisation has elements of a theory of change, and ‘met’ if the organisation reports according to its theory of change.

^{vi} This refers to the existence of reports on outputs as defined by the OECD (i.e. lower level results).

^{vii} This refers to the existence of reports on outcomes as defined by the OECD (i.e. higher level results).

^{viii} Quality of data refers to accuracy and credibility of the data used for the report, particularly considering the extent to which data used to substantiate contributions to results was derived from or validated by an external and/or independent source.