

Multilateral Organisation Performance Assessment Network

Technical Report

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

**Volume II
Methodology Appendices and
Bibliography**

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Contents

| | |
|--|-----|
| Appendix I MOPAN methodology 2014 | 2 |
| Appendix II MOPAN Common Approach survey 2014 | 27 |
| Appendix III List of interviewees at headquarters, and in country offices | 43 |
| Appendix IV Organisational effectiveness: Document review ratings, criteria and key documents consulted by KPI and MI | 45 |
| Appendix V Bibliography | 130 |

Introduction

Volume II of the Technical Report presents:

- the MOPAN 2014 methodology
- the MOPAN 2014 survey instrument
- list of interviewees
- organisational effectiveness document review ratings, criteria and evidence by KPI and MI
- a full bibliography for the report.

Volume I of the Technical Report presents the detailed results of the MOPAN assessment for all micro-indicators and by country.

Appendix I MOPAN methodology 2014

1. Introduction

This document describes the MOPAN Common Approach methodology for the 2014 assessment.

Background

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 19 donor countriesⁱ with a common interest in assessing the organisational effectiveness of and evidence of contribution to development and humanitarian results achieved by the multilateral organisations that they fund.

The MOPAN Common Approach methodology was developed to address the recognised need for a common comprehensive system to assess multilateral organisations. Its aim is to respond to the information needs of donors by producing information that would not be available otherwise about how an organisation is doing in areas that donors consider important.

The Common Approach aims to reduce the need for other assessment approaches by bilateral donors. It was derived from existing bilateral assessment tools and draws on other assessment processes for multilateral organisations when relevant – such as the previous OECD Survey on Monitoring the Paris Declaration on Aid Effectiveness, the Global Partnership Monitoring Framework, and reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks.

Mission

The mission of MOPAN is to support its Members in assessing the effectiveness of the multilateral organisations that receive development and humanitarian funding. Aiming to strengthen the organisations' contribution to overall greater development and humanitarian results, the network generates, collects, analyses and presents relevant and credible information on the organisational and development effectiveness of multilateral organisations. This knowledge base is intended to contribute to organisational learning within and among multilateral organisations, their direct clients/partners and other stakeholders.

The MOPAN Common Approach does not compare multilateral organisations to one another as their mandates and structures vary too much in nature and scope.

MOPAN assesses multilateral organisations at repeated intervals, which can be helpful in identifying trends in a multilateral organisation's performance over time in the areas examined by the MOPAN Common Approach. It is important to note, however, that MOPAN has adjusted the methodology from year to year, and comparisons of one year's findings with those of previous years should be handled with caution.

2. MOPAN Common Approach

2.1 Evolution

The MOPAN assessment framework and methodology were initially designed to assess the organisational effectiveness of multilateral organisations, which MOPAN defined as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates. Given this focus, MOPAN assessments emphasised the organisational systems, practices, and behaviours that MOPAN believed were important for multilateral organisations in managing for humanitarian and development results.

In 2009, the MOPAN Common Approach replaced the Annual MOPAN Survey, which had been conducted since 2003. The MOPAN Common Approach is broader and deeper than the previous surveys and includes the following methods:

- **Survey** – The MOPAN survey brings in the views of MOPAN members (at both headquarters and country level), and of direct partners or clients of multilateral organisations, peer organisations, and other relevant stakeholder groups on the performance of the particular multilateral organisation
- **Document review** – Since 2010, survey data are complemented by a review of documents prepared by the multilateral organisations being assessed and from other sources. Evidence is analysed in detail to assess the extent to which a multilateral organisation has systems in place that MOPAN considers to be important factors that contribute to an organisation's internal effectiveness, as well as evidence of the extent of progress towards defined results at various levels
- **Interviews** – Since 2012, MOPAN has complemented survey data and the document review with interviews with staff of the multilateral organisations assessed. These are intended to contextualise the analysis of organisational systems and results and inform the findings.

The MOPAN methodology and assessment framework have been refined based on what has been learned from year to year and have also evolved in response to MOPAN member needs:

- In 2012, for example, MOPAN added a component to assess evidence of a multilateral organisation's contributions to development and/or humanitarian results.
- The MOPAN assessment framework has also been adapted to accommodate multilateral organisations with different mandates (e.g. development, humanitarian, normative).

In 2013, MOPAN commissioned an external evaluation of the Common Approach. On the basis of that evaluation and MOPAN member needs, certain changes are being introduced in 2014 while a broader strategic review and design of MOPAN are underway for 2015.

2.2 Performance areas and indicators

2.2.1 Overview

The MOPAN Common Approach assesses multilateral organisations in two areas: 1) organisational effectiveness and 2) development and/or humanitarian results.

2.2.2 Key performance indicators and micro-indicators used to assess organisational effectiveness

The current assessment of organisational effectiveness examines the organisational systems, practices, and behaviours that MOPAN believes are important for managing for results.ⁱⁱ

The Common Approach framework groups organisational capacities in four areas of performance:

- *Strategic management*: developing and following strategies that reflect good practices in managing for development and/or humanitarian results;
- *Operational management*: managing operations in a way that is performance-oriented, thus ensuring organisational accountability for resources and results;
- *Relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Busan Partnership for Effective Development Co-operation and previous aid effectiveness commitments; and

- *Knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these performance areas are broadly applicable to a range of types of multilateral organisations (including multilateral development banks and those involved in humanitarian and/or normative work), the dimensions explored in the MOPAN Common Approach are adjusted, as required, to reflect the mandates of each organisation assessed.

Organisational Effectiveness – Performance Areas



Within each performance area, organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in a series of micro-indicators (MIs).

The 2014 assessment draws on indicators that MOPAN first applied in 2009 (see sidebar) and tailors them, as required, for each of the organisations being assessed.

Evolution of MOPAN Indicators

2007: In an initial mapping exercise of existing bilateral donor assessment tools, MOPAN identified 250 indicators, many of which were overlapping.

2008: MOPAN reduced these to 35 key performance indicators (KPI) and 120 micro-indicators (MI)

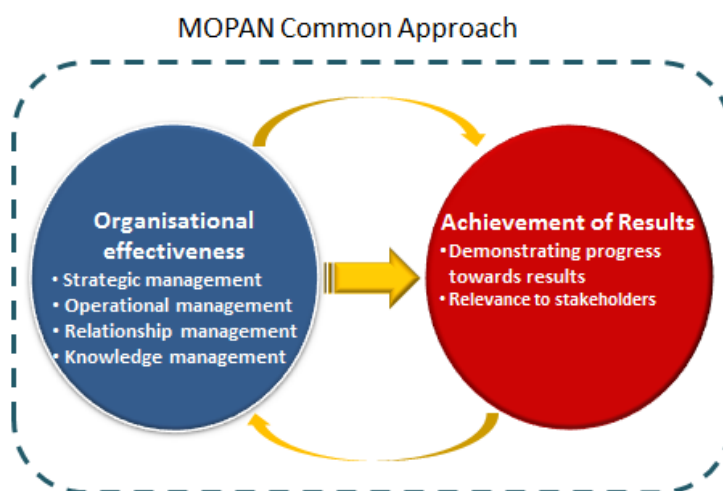
2009 – 2013: MOPAN assessments included between 18 and 21 key performance indicators and between 60 and 75 micro-indicators, depending on the nature of the organisation and its mandate.

2.2.3 Linking organisational effectiveness and progress towards development and/or humanitarian results

A key assumption in the Common Approach framework is that organisational effectiveness has an influence on an organisation's ability to achieve its strategic objectives and contribute to its proposed development or humanitarian results as illustrated in the figure below. Feedback on the achievement of objectives/results can, in turn, provide insights for further improvements in organisational practices. With a component that examines how an organisation measures and reports on concrete development and/or humanitarian results, MOPAN members can better

understand the way that organisational practices are facilitating or hindering the organisation's results on the ground. This information can then be used to enhance dialogue with the multilateral organisation.

A key assumption in the design of the methodology is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for discussions between donors and multilateral organisations on how best to document and report on results.ⁱⁱⁱ



2.2.4 Key performance indicators used to assess contributions to development and/or humanitarian results

In 2012, MOPAN introduced a new element to assess evidence of a multilateral organisation's contributions to results at both the institutional/organisation-wide level and the country level, as well as stakeholder perceptions of the relevance of the organisation's work in country. This component was tested with four of the six organisations assessed in 2012^{iv} and included as an integral component of all four assessments in 2013. In 2014, this component will continue to be included in all four assessments and will examine the following key performance indicators related to effectiveness and relevance. The indicators will be adapted as required for different types of organisations, especially for humanitarian organisations.

Relevance

KPI A: Evidence of the multilateral organisation's relevance

MOPAN assesses relevance primarily as a measure of the extent to which a multilateral organisation responds to the needs and priorities of partner countries and beneficiaries and aligns with global priorities and trends in the development or humanitarian field. It also assesses relevance in terms of the extent to which the multilateral organisation works towards results in areas within its mandate.^v KPI A is assessed through survey questions addressed to respondents at the country-level and MOPAN donors at headquarters and a review of documents.

KPI A builds on other indicators in the MOPAN framework that speak to the issue of relevance (e.g., alignment between national development strategies and a multilateral organisation's expected results in that country; consultation with country partners in the development of country strategies; involvement of partners and beneficiaries in programme design and evaluation).

Effectiveness

KPI B: Evidence of the multilateral organisation's progress towards its organisation-wide results

KPI B examines the extent to which a multilateral organisation is demonstrating progress towards its strategic objectives or stated organisation-wide results. It analyses an organisation's performance reports to identify the reported results achieved and the evidence provided to support its claims. In addition, the assessment addresses the main factors affecting organisation-wide performance reporting and evidence of improvement over time that are also discussed in the key performance indicator on "presenting performance information" in the organisational effectiveness section on knowledge management. (This analysis is also carried out as part of KPI C in its examination of similar elements at the country level). The assessment of KPI B relies on the review of documents and responses to survey questions that provide perceptual evidence about the extent to which the organisation is meeting its strategic objectives or achieving stated results. Information gathered during interviews with staff from the organisation provide context and inform the analysis of data collected in the survey and document review.

KPI C: Evidence of the multilateral organisation's progress towards its stated country-level results

KPI C examines the extent to which a multilateral organisation is demonstrating progress towards its planned country-level results. Since most organisations have a large number of planned results in each country and different strategy cycles, MOPAN works with the multilateral organisations to identify a limited number of high-level objectives or outcomes associated with these objectives to be assessed in the countries sampled for the MOPAN assessment. Due to differences in planned results between countries, a separate analysis is conducted for each multilateral organisation in each country. Based on the individual country analyses, an assessment of the multilateral organisation's evidence of progress towards planned results in this sample of countries is provided. The assessment of KPI C is based on a detailed review of documents and survey data, with survey questions tailored to the organisation's stated objectives or results in each country. Information gathered during interviews with staff from the organisation's country offices provides context and informs the analysis of data collected in the survey and document review.

KPI D: Evidence of the multilateral organisation's contribution to national goals and priorities, including the Millennium Development Goals (MDGs)

KPI D recognises that multilateral organisations commit to making contributions to national goals and objectives, including the MDGs. National goals and priorities as defined in national development plans, poverty reduction strategies, and other country plans to achieve the MDGs are often referred to by multilateral organisations in their country-level strategies and results frameworks. While partner countries are responsible for making progress toward their own national goals, including the MDGs, multilateral organisations ensure that their co-operation facilitates achievement of these goals.

This KPI analyses the evidence of a multilateral organisation's contributions to relevant national goals in the work that it carries out in the sampled countries.^{vi} KPI D is assessed through a limited number of survey questions, the review of documents, and is informed by interviews with staff in a multilateral organisation's country offices. This KPI will build upon the assessment of the extent of support for national plans (usually KPI 13 in the Relationship Management performance area).

2.3 Multilateral organisation selection

Each year MOPAN selects multilateral organisations for assessment on the basis of the following criteria:

- Perceived importance and interest to all MOPAN members
- Medium-term strategic planning (or equivalent) and replenishment cycles – with a view to assessing organisations prior to the planning process or the start of the replenishment negotiation process
- A mix of international financial institutions (IFI), UN funds, programmes, specialised agencies, and humanitarian organisations.

On the basis of these criteria MOPAN aims to assess multilateral organisations on a 3-5 year cycle.

In 2014, MOPAN assessed the following organisations: the Food and Agricultural Organisation of the United Nations (FAO), the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women), the United Nations Population Fund (UNFPA), and the UN Refugee Agency (UNHCR). All of these organisations, except UN Women, were assessed by MOPAN in either 2010 or 2011.

2.4 Country selection

Each year countries are selected for the MOPAN assessment based on the following criteria:

- multilateral organisation presence
- presence and availability of MOPAN members
- no inclusion in the survey in the past 2-3 years
- geographical spread
- a mix of low-income and middle-income countries (middle income countries being subdivided into lower middle and upper middle).

The assessment in 2014 will be conducted in Bangladesh, Cambodia, the Democratic Republic of Congo, Ecuador, Kenya and Tanzania. Organisations will be assessed only in those countries where they have operations.

2.5 Institutional reports

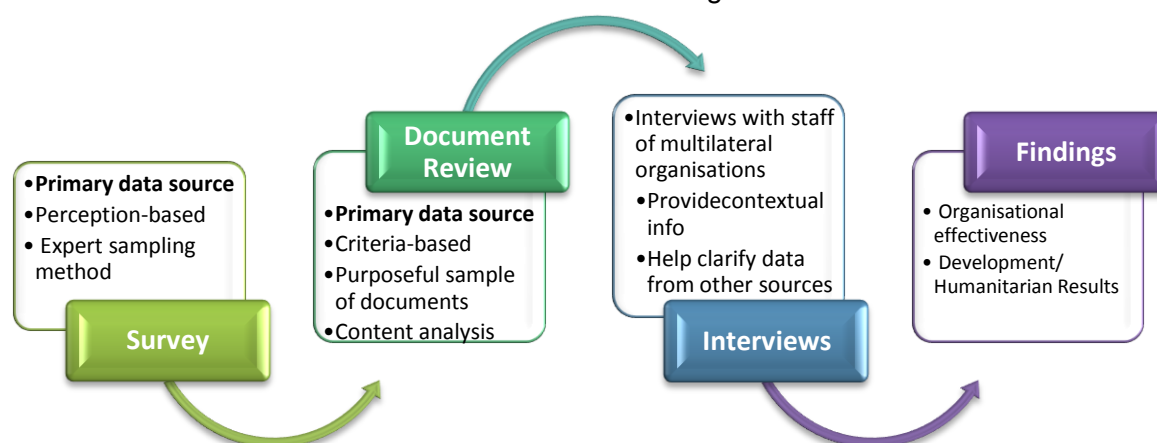
Individual institutional reports are produced for each multilateral organisation assessed. In 2014, reports include a Synthesis Report, which provides the overall findings and conclusions of the assessment, and a two-volume Technical Report: Volume I presents details on all micro-indicators and country assessments and Volume II provides the methodology and details on the sources of data that informed the overall findings.

In the past, MOPAN produced separate country-level data summaries. In 2014, data from each of the countries participating in the MOPAN survey are summarised in the Synthesis Report and details are provided in the Technical Report. The following data are reported for each country : i) a brief overview of the context for the multilateral organisation's work in that country; ii) a discussion of the evidence of results and an assessment of the quality of the results data; and, iii) an overview of the survey mean scores for the organisational effectiveness and results components.

3. Data collection methods

3.1 Introduction

The survey and document review are the two primary methods used to collect data for the MOPAN Common Approach assessments. Interviews with staff of multilateral organisations contribute to contextualising data and help clarify findings emerging from other data. While all three methods are used for both the organisational effectiveness component and the development/humanitarian results component, the data analysis and rating process is different for each one. Each method is described in the following sections.



Not all MOPAN micro-indicators (MI) are identified for rating by both survey and document review.

Prior to the MOPAN assessment each year, the MOPAN assessment teams and the Technical Working Group decide how each MI will be assessed (e.g. by survey, document review, or both). This is based on several factors: the need to keep the survey as short as possible, an analysis of past MOPAN survey responses (particularly the percentage of respondents that answered 'don't know' to specific questions), and the availability of relevant data sources. The selection of data collection methods for each MI is discussed with the Institutional Leads for each organisation being assessed each year.

- When questions in past MOPAN surveys generated high percentages of don't know responses but could be easily answered by document review alone, the approach has been to assess a micro-indicator by document review only. In the 2014 assessments, for example, this was the case for micro-indicators in the KPI on corporate focus on results and the KPI on performance-oriented programming.
- Conversely, some micro-indicators are assessed by survey only. For example, in the past, some micro-indicators in the KPIs on adjusting procedures, using country systems, and contributing to policy dialogue relied on information gathered from an organisation's reporting on the OECD Surveys on Monitoring the Paris Declaration. However, there have been challenges with using this source of data for individual UN Funds and Programmes. Therefore, the MOPAN assessment in 2014 relied on perception data only. Whenever possible, survey data is complemented by analysis derived from the review of an organisation's documents.

In the rating charts presented in the report, N/A indicates when a micro-indicator was "not assessed" by a specific data collection method (i.e. the survey or document review).

3.2 Survey

3.2.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and in-country) and of other key stakeholders of the multilateral organisations under review, including direct partners or clients, peer organisations, and host or recipient government representatives. The questions asked relate to both organisational effectiveness and the achievement of development and/or humanitarian results.

The instrument used to collect perception-based data is an online survey. In 2014, respondents are able to complete the web-based survey in English, French, or Spanish.^{vii} When it is not possible for respondents to complete the online survey, off-line methods are used; respondents may fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that is sent by email, or participate in a structured interview either in person or by telephone.

In order to ensure confidentiality, consultants (independent of MOPAN) manage the survey process and carry out the interviews.

Respondent types

To gather diverse perspectives on the multilateral organisations being assessed, MOPAN generally seeks the perceptions of the following primary respondent groups:^{viii}

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):** For most of the assessments, this group will include individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The exact definition of “direct partner” varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.

For some organisations, other respondent categories are also used, such as peer organisations, co-sponsoring agencies, technical partners and/or recipient/host governments.^{ix}

3.2.2 Sampling and response rates

Sampling

The Common Approach uses a purposive sampling method called ‘expert sampling’ in which potential respondents are identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed.

The identification process, which involves MOPAN members in collaboration with the multilateral organisations assessed, results in a list of the population (all potential respondents identified by the MOs in country) for each of the multilateral organisations.

Individuals are invited to complete the survey for each organisation for which they have functional responsibility and sufficient knowledge.^x This is confirmed through a screening question that asks respondents to indicate their level of familiarity with the multilateral organisation being assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents can continue the survey only if they indicate they are familiar with the multilateral organisation (i.e. a rating of 2, 3, 4, or 5).

Response rate

MOPAN aims to achieve a 70% response rate from donors at headquarters and a 50% response rate from all other target groups, which is considered acceptable for a survey of respondents who are required to have detailed knowledge about the organisation in order to participate.

During the survey period, response rates are monitored regularly. Respondents who do not access the survey or who do not complete it receive reminders from a range of sources:

- MOPAN country office and headquarter respondents will receive reminders from their MOPAN Focal Point
- Direct partners and any other respondent groups will receive reminders online and from the local survey consultant.

All responses provided through off-line methods (including paper-based surveys, surveys in MS Word provided by email, and surveys completed through structured interviews) are entered into the online instrument using a separate link to the survey. Data for online and off-line responses are merged only after quality control measures, such as confirming correct type of stakeholder, country, etc are performed.

3.2.3 Survey instrument

Survey customisation

The survey instrument draws on the existing set of indicators and is customised for each multilateral organisation assessed to reflect both the type of organisation and the types of respondents. This is done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who are familiar with these organisations.

A core set of questions is developed for all respondents and additional questions are designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, are asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems or the extent of contribution to country-level goals, are asked only of donors in-country and clients/direct partners (or other country-based respondent groups) of multilateral organisations. Some questions are adjusted to reflect the nature of the multilateral organisation (e.g. cross-cutting thematic priorities).

Survey instrument

At the beginning of the survey, respondents are asked open-ended questions on their views of the organisation's overall strengths and areas for improvement. Subsequently, respondents are invited to provide comments on each of the four dimensions of organisational effectiveness and then to respond to the relevant questions related to development and/or humanitarian results.

The main part of the survey consists of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Respondents are presented with a statement describing an organisational practice, system, behaviour or specific result and asked

to rate the organisation's performance on a scale of 'very weak' to 'very strong' as shown below. There is also a 'don't know' option.

| Band | Rating | Definitions | |
|------|-------------|---|--|
| | | Organisational Effectiveness | Development and/or Humanitarian Results |
| 1 | Very Weak | The multilateral organisation does not have this practice, behaviour or system in place and this is a source of concern. | The multilateral organisation has not made any contribution in this area and this is a source of concern. |
| 2 | Weak | The multilateral organisation has this practice, behaviour or system but there are important deficiencies. | The multilateral organisation has made some contributions in this area, but there are still some deficiencies. |
| 3 | Inadequate | The multilateral organisation's practice, behaviour or system in this area has deficiencies that make it less than acceptable. | The multilateral organisation has made some contributions in this area but they are less than acceptable. |
| 4 | Adequate | The multilateral organisation's practice, behaviour or system is acceptable in this area. | The multilateral organisation's contributions in this area are acceptable. |
| 5 | Strong | The multilateral organisation's practice, behaviour or system is more than acceptable yet without being "best practice" in this area. | The multilateral organisation's contributions in this area are more than acceptable. |
| 6 | Very Strong | The multilateral organisation's practice, behaviour or system is "best practice" in this area. | The multilateral organisation's contributions in this area could be considered as "best practice". |

3.2.4 Survey data analysis and ratings

SPSS and Stata statistical software are used to analyse survey responses.

First level data analysis

First level survey data analysis includes calculations of mean scores, medians, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions. This is carried out for all MIs and KPIs in both components.

Frequency Calculation: Frequencies are calculated on both a weighted and un-weighted basis (see below for further explanation of our approach to weighting) and are based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses are calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies are translated into percentages for ease of interpretation.

Mean Score Calculation: Scores are calculated based on answers to survey questions corresponding to micro-indicators. Mean scores are calculated on a weighted basis only, based on the number of valid responses to each question. Valid responses exclude 'don't know' responses and missing data (i.e. where respondents decide not to answer, or do not conform to required criteria such as location of work).

In the organisational effectiveness component, mean scores are calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight is applied to each MI. For example, a KPI consisting of three micro-indicators that individually score 2, 3, and 4 will have a KPI mean of 3. In cases where multiple survey questions are needed to develop a concept, micro-indicators are composed of multiple sub-indicators. In such cases, the mean score of the sub-indicators is used to calculate the score for that particular MI.

In the development/humanitarian results component, mean scores are not aggregated at the key performance indicator level. Survey data at the micro-indicator level is presented along with evidence from the document review. These data sources, as well as information gathered during interviews with HQ and country-based MO staff, are assessed together to determine a rating.

A weighting scheme applied to all survey data ensures that no single respondent group or country is under-represented in the analysis. The weighting is intended to correct for discrepancies/variation in:

- The number of individuals in each respondent group (to account for the different numbers of respondents in each respondent group, individual weights are applied to each group);
- The number of countries where the survey took place; and,
- The numbers of donors in-country, direct partners, and other respondent groups within each country where the survey took place (Weights for these groups are determined by the total number of respondents from each group who answer in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

A weight is calculated for each multilateral organisation using the following equation:

$$W = \frac{P}{RCG}$$

Where:

W = weight factor for a given respondent group set for the multilateral organisation

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

Weighted figures are carefully reviewed and analysed before inclusion in the multilateral organisation reports.

Converting individual scores to group ratings

A mean score is calculated for each respondent group (e.g. donors at HQ). Since mean scores are not necessarily whole numbers (from 1 to 6) MOPAN assigns numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

| Range of the mean scores | Rating |
|--------------------------|-------------|
| 1.00 to 1.49 | Very Weak |
| 1.50 to 2.49 | Weak |
| 2.50 to 3.49 | Inadequate |
| 3.50 to 4.49 | Adequate |
| 4.50 to 5.49 | Strong |
| 5.50 to 6.00 | Very Strong |

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

Second level analysis

Second level analysis examines differences in the responses among categories of respondents and other variables, as relevant for each organisation. Analyses include non-parametric statistical tests such as analysis of variance (ANOVA) for differences among multiple groups, paired t-tests and Kruskal-Wallis tests for comparisons of differences between pairs of groups. Because of the small numbers in some respondent groups, $p < .01$ was used in order to establish statistical significance. Where statistically significant differences are found, these are noted in the Technical Report.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

3.2.5 Quality assurance

The survey process is managed by a technical firm that specialises in survey research and is overseen by a consulting firm that implements the Common Approach assessments.^{xi} There are three steps in quality assurance for the survey data:

- the survey research firm conducts a first quality check of all the data sets
- an external expert in quantitative methods reviews all the calculations
- the teams analysing the survey data and drafting the reports for each multilateral organisation conduct reviews of the data at each stage of the process (i.e. from raw data to final data set).

3.3 Document Review

3.3.1 Overview

Through an examination of publicly available documents,^{xii} the MOPAN document review explores evidence that multilateral organisations have the systems, practices, or behaviours in place that MOPAN considers to be important factors in an organisation's effectiveness and evidence of its contributions to development and/or humanitarian results.

The document review considers various types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators, such as strategic plans, results frameworks, policies and procedures in various areas of organisational effectiveness. Documents that present the results achieved at various levels of the organisation are also consulted. The organisations help to identify these documents.
- Organisational evaluations, reviews, or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies are either found on the organisation's web site or are provided by the organisation.^{xiii}
- External assessments such as the International Health Partnership (IHP+Results assessments) and reviews of the Quality of Official Development Assistance conducted by the Brookings Institution and the Center for Global Development.

- Evaluations, either internal or external, of the achievement of results at the institutional/organisation-wide, thematic, or country programme levels.

3.3.2 Document sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents follows a number of overall principles to ensure consistency and focus the sampling process.

All documents, regardless of type or level within the organisation, should be approved by the relevant authority (e.g. organisation-wide documents are usually approved by the multilateral organisation's Executive Management or Board).^{xiv}

All documents (including policies, guidelines, strategies, thematic documents and web site information) are selected, at least in part, based on the requirements noted below.

- Policies or guidelines, at any level within the multilateral organisation, are selected only if they are in force as of the year of assessment
- Strategies, regardless of level within the multilateral organisation, are selected only if they are being implemented within the year of assessment
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, are selected in order to provide a review from a sample of thematic areas
- Any information presented on the multilateral organisation's web site (i.e. the text from a page on this site, not a downloadable document available on the site) is retrieved within the year of assessment, and is assumed to be current unless the web page itself states otherwise
- All documents (except for policies, guidelines and strategies) should be published within the following timelines, unless there is a strong rationale for reviewing older documents:
 - Project/programme level documents: the current or previous year
 - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- When specific MIs require a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach is developed and tailored for each multilateral organisation.

3.3.3 Document collection

The collection of documents follows the general steps outlined below, although it is not a linear process:

- Initial document research on the web site of the multilateral organisation
- Preparation of a preliminary list of all documents to be reviewed, by indicator
- Consultation with the multilateral organisation to fill any gaps in the list of documents
- Multilateral organisation reviews and refines the list of documents (through the MOPAN Institutional Lead)
- Finalisation of document list.

Once the document list is finalised and the document review has commenced, further documentation needed to fill any gaps in information for certain indicators is requested from the multilateral organisation. If the documents obtained from the third request do not contain the

information needed, the consultant team makes the assessment based on the information available.

3.3.4 Document analysis

Content analysis

Documents are reviewed by content analysis based on the themes of the micro-indicators. Specific criteria for assessing the content of documents have been developed, based on existing standards and guidelines for each of the indicator areas (for example, any UNEG or OECD-DAC guidelines), on MOPAN identification of key aspects to consider, and on the input of subject-matter specialists.

The analysis of indicators in the organisational effectiveness component may include an examination of one or more of the following elements, depending on the nature of the indicator, criteria and sources of information:

- **Quality:** Documents are assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics defined by MOPAN as standards of best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document are examined, such as evidence from budget documents that a certain policy or priority area is being financed, or evidence from evaluations that show implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type are examined (such as country strategies in different countries) to assess the extent to which criteria are met consistently across the organisation.
- **Improvement over time:** In some cases, documents are examined over several years to assess the extent to which progress can be seen over time.

Documents are also used to aid in understanding the contexts in which the multilateral organisations work.

In the development and/or humanitarian results component, both institutional and country level documents are reviewed to determine the extent to which planned results from the strategic period were achieved and to identify evidence of the multilateral organisation's relevance and contributions to national goals and priorities. The document review focuses on performance reports and thematic or programme evaluations in relevant areas to examine the data on results and issues of quality.

Rating scales

The multilateral organisations are assessed on relevant micro-indicators in the Common Approach document review framework. Not all MOPAN micro-indicators are identified for rating by document review. However, information from documents is used when relevant to provide context for some of the indicator areas that are only rated by survey respondents.

The document review ratings are defined according to two scales: a) a six-point scale for the majority of the organisational effectiveness questions (very weak, weak, inadequate, adequate, strong, very strong); b) a four-point scale for the assessment of evidence for the development and/or humanitarian results component (weak, inadequate, adequate, strong).

For the component on development results, the four-point scale was developed to facilitate judgments based on a qualitative assessment that draws on a mix of data sources. A six-point scale would require a degree of precision in the development of descriptors for each level that is not appropriate given the nature of the data. The descriptors for these four points are presented in Annex I below.

a. Organisational effectiveness component

The document review ratings determined for the majority of the MIs in the Common Approach build on the definitions and scale used in the survey, as described in Section 3.2.3 above.^{xv}

For most micro-indicators, five criteria are established which, taken together, are considered to represent ‘best practice’ in that topic area as defined by MOPAN members. Each criterion is designed as a ‘met/not met’ alternative and each ‘met’ counts as one point. Ratings are arrived at by totalling the number of criteria met, taking into account all the evidence in the assessment (giving special attention to evaluations that address the topic of the indicator), and the assessment team’s judgment. Quality assurance processes to continuously check the ratings are described in Section 3.3.5 below.

Document review criteria descriptors and definitions

| Number of criteria met | Descriptors | Definitions |
|--|-------------|--|
| No criteria met (or required document(s) do not exist) | Very Weak | The multilateral organisation does not have this practice, behaviour or system in place and this is a source of concern/ or the multilateral organisation has limited documentation of such a system being in place. |
| One criterion met | Weak | The multilateral organisation has this practice, behaviour or system but there are important deficiencies. |
| Two criteria met | Inadequate | The multilateral organisation’s practice, behaviour or system in this area has deficiencies that make it less than acceptable. |
| Three criteria met | Adequate | The multilateral organisation’s practice, behaviour or system is acceptable in this area. |
| Four criteria met | Strong | The multilateral organisation’s practice, behaviour or system is more than acceptable yet without being “best practice” in this area. |
| All five criteria met | Very Strong | The multilateral organisation’s practice, behaviour or system is “best practice” in this area. |

Ratings for key performance indicators (KPIs) are based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating is calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI rounded to the nearest whole number. This number is then given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator are highly divergent (i.e. if there are two micro-indicators, and one is rated as “very weak” while the other is rated as “very strong”), this is noted in the narrative of the report.

b. Development/humanitarian results component

The assessment team reviews the documents provided to find evidence of concrete results that relate to the organisation’s strategic objectives and any theory(ies) of change that may have been developed. The criteria considered in assessing the evidence of progress towards the multilateral organisation’s stated results, which are rated as ‘met’ or ‘not met’, include:

- a) Evidence of an explicit theory or theories of change^{xvi}
- b) Baselines included for indicators
- c) Targets included for indicators
- d) Reports on outputs^{xvii}
- e) Reports on outcomes^{xviii}
- f) Data reliability and quality^{xix}

These criteria provide an indication of the quality of the multilateral organisation’s systems specifically related to the measurement of and reporting on results at different levels.

3.3.5 Quality assurance

The consulting teams for each multilateral organisation being assessed carry out quality assurance during the document review process at various stages and at multiple levels.

At the level of individual document review criteria, the research analyst and junior consultant on each team conduct the initial document review and analysis, which is then vetted by the senior consultant leading the assessment for that multilateral organisation. As necessary, the document review ratings are also reviewed by the project manager and by the senior methodological advisor.

At the level of the micro-indicator, the assessment teams for each multilateral organisation hold regular joint meetings by topic area to help ensure consistency across reports – in conceptual interpretation of the various indicators, data sources, and the standards/criteria against which the documentation is rated. These meetings are overseen by the project manager and the senior methodological advisor.

At the level of the key performance indicator, the senior consultants leading each of the multilateral organisation assessments and the project manager review the ratings given to each of the organisations to ensure that ratings are accurate.

For the results component, each assessment team reviews all the evidence available for each KPI and comes to a preliminary judgment on the rating. The ratings are then discussed with the project manager prior to presentation of evidence and proposed ratings to a Results Panel which includes the senior methodological advisor and other experts in managing for development results and/or with knowledge of the organisation.

In the report for each organisation assessed, Volume II of the Technical Report provides the document review criteria, a list of the main documents used to assess each criterion, and any comments or explanations for the ratings.

3.4 Interviews

3.4.1 Overview

Semi-structured interviews are conducted at headquarters, regional offices,^{xx} and country offices of multilateral organisations with staff members who are knowledgeable in areas that relate to the MOPAN assessment.

In 2014, the interviews serve two main purposes: i) to provide the most accurate information about a multilateral organisation's on-going reform agenda and the key documents that explain the various systems and practices that have been established to support it; ii) to provide contextual insight to clarify, refute and/or validate observations emerging from other lines of evidence/data sources (e.g. document review, survey data analysis).

3.4.2 Identification of Interviewees

The consulting firm and the Secretariat work with each multilateral organisation to identify individuals who are most knowledgeable on particular topic areas and on the organisation's reform agenda.

3.4.3 Process

Initial consultations are conducted with the multilateral organisation to obtain background information and key documents required for the assessment. These consultations are usually carried out over the phone and often take place during the process of reviewing and tailoring the set of indicators for the organisation.

Later in the assessment process, the assessment teams conduct interviews to confirm or clarify trends or tentative findings, particularly those emerging from the review of documents. The interviews are conducted after the assessment team has conducted a preliminary review of documents and are usually scheduled between March and May. The interviews are conducted in-person during visits to the headquarters of the multilateral organisations and over the phone, Skype or via video conference with regional offices or country offices in each of the MOPAN countries.

- Interviews are conducted with a small number of staff who work in the primary units that relate to areas of the MOPAN assessment (e.g. strategy and planning, programming, human resources, RBM, and evaluation). Interviewees are identified by the multilateral organisation in conjunction with the assessment team and MOPAN.
- Interviews are semi-structured but flexible, allowing new questions to be brought up during the interview as a result of what the interviewee says. This type of interview does not follow a tightly prescribed protocol, but does require prior preparation of the key interview themes and questions – these are shaped by the MOPAN assessment framework and are tailored for each of the respondents according to his/her functional responsibility. An interview guide is prepared and interviewees are advised of the content areas beforehand.
- The interviews are conducted by a 2-person team made up of a senior and junior consultant. If timing of the assessment cycle permits, additional follow up interviews may also be conducted to clarify any outstanding gaps in information for the analysis after documents and survey data have been considered.

3.4.4 Data analysis and use

The information collected during the interviews is analysed using a ‘content analysis’ approach. It is not used as an independent line of evidence but rather to provide contextual insight and to confirm or refute observations from other data sources.

The information gathered during the interviews remains confidential. It is transcribed and used by the consulting firm solely for analytical purposes to inform the findings in the assessment reports.

4. Basis for judgement

4.1 Overview

From 2003 to 2009, the basis for the determination of ratings in MOPAN assessments was the perceptions of survey respondents. With the introduction of the document review in 2010 and interviews in 2012, ratings now draw on a variety of sources that are compared and triangulated.

- **Survey:** Survey respondent perceptions remain an important component of the ratings on multilateral organisation performance and now include a broader range of stakeholders.

Basis for judgement

Organisational effectiveness

- Perception-based survey scores
- Perception-based survey scores
- Document review based on criteria and expert judgment
- Document review based on criteria and expert judgment
- Contextual interviews
- Overall survey and document review ratings use a 6-point scale (Very Strong to Very Weak) based on descriptors in Section 3.3.4 (a)

Progress towards results (“best fit” approach)

- Perception-based survey scores
- Criteria-based document review
- Expert judgement
- Contextual interviews
- Overall ratings use a 4-point scale (Strong to Weak)

- **Document Review:** The document review process is guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g. OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach. Both criteria-based judgements and expert judgements are used to determine the ratings.
- **Interviews:** The interviews are used to validate observations emerging from other lines of evidence and inform the overall findings and conclusions of the assessment.

4.2 “Best fit” approach for the determination of ratings for the evidence results achievement

The development/humanitarian results component’s key performance indicators examine the concrete evidence of results achieved and the relevance of country-based activities. Unlike the methodology used to determine ratings for organisational effectiveness (which are based on a calculation of the sum of data points), the methodology for this component draws on a set of descriptors of different levels of evidence of results achievement and an assessment of where the multilateral organisation best fits within the range of these descriptors.

This is referred to as a “best fit approach”, which is a type of criteria-referenced basis for judgement that is more suitable when: criteria are multi-dimensional, there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points.^{xxi}

The ‘best fit’ assessment is carried out in several steps:

- The teams for each multilateral organisation first review the organisation’s systems and practices for measuring and reporting on results
- They then consider the quality of the evidence that is actually presented by the organisation in its reports (drawing on the criteria presented in 3.3.4 (b))
- The teams analyse all lines of evidence (document review, survey and interviews) to determine a preliminary rating for the KPI (strong, adequate, inadequate, weak) based on the descriptors in Annex I below
- The proposed ratings are based on the recommendation of a panel of experts who review and validate the preliminary ratings and draft findings.^{xxii}

While this approach does not allow for a mathematical calculation of ratings as a sum of data points (as is the case in assessing organisational effectiveness), the assessment report and its appendices include the criteria used as a basis for judgement and the process followed to arrive at a final rating.

4.3 Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias, and detect errors or anomalies^{xxiii} in the use of more than one approach to the investigation of a research question.^{xxiv} In the Common Approach, triangulation is done in a number of ways:

- Document review ratings and survey results are presented separately in order to illustrate convergence or divergence
- External evaluations and assessments of the organisations are reviewed to help validate or question information from other sources on the performance areas
- Interviews are conducted to provide contextual information and validate observations emerging from other lines of evidence, as well as to highlight additional sources of data

- The analysis and proposed ratings for the development / humanitarian results component are presented to a panel of experts for discussion and finalisation
- The findings are widely vetted within the MOPAN network and revised based on feedback from members
- The reports are then shared with the multilateral organisations and their feedback is considered in the final draft of the report.

5. Strengths and limitations of the Common Approach

MOPAN has continued to improve methodology based on experience each year. The following strengths and limitations should be considered when reading MOPAN reports.

Strengths

- The MOPAN Common Approach now includes an assessment of organisational effectiveness and an assessment of an organisation's measurement of and reporting on development and/or humanitarian results at both the organisation-wide and country levels.
- The original intent of the Common Approach was to replace or reduce the need for other assessment approaches by bilateral donors. Some donors now rely solely on MOPAN reports for their decision making, while others use the reports as input for their own bilateral assessments (see also section on limitations below).
- MOPAN assessments draw on multiple sources of data (stakeholder surveys, document review, interviews) to enhance validity of the assessment findings.
- In line with donor commitments to aid effectiveness (harmonisation, partner voice and mutual accountability), MOPAN assessments gather the perceptions of a range of stakeholders of each multilateral organisation assessed.
- MOPAN strives for consistency in survey questions and document review criteria across the organisations assessed each year, while allowing for customisation to account for differences between types of multilateral organisations.
- Although there have been changes in methodology since the Common Approach was initiated in 2009, MOPAN assessments provide indications of an organisation's progress over time.
- The findings and ratings in MOPAN reports are subject to multiple reviews by the consulting firm, MOPAN members, the multilateral organisations assessed, and the MOPAN Secretariat.

Limitations

Overall

- Despite MOPAN's efforts, a number of bilateral assessment tools are still being used to assess multilateral organisations concurrently with the MOPAN process.
- The Common Approach framework was initially designed to assess multilateral organisations that have operations in the field. The framework and data collection have been adjusted for organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, but do not fully reflect regional dimensions of the organisation's practices or results.
- The Common Approach framework was initially designed to assess multilateral organisations that have a development mandate. MOPAN has tested and adapted the

framework for organisations with a humanitarian mandate but considerable adaptation is required.

- The countries selected for review each year are based on established MOPAN criteria but comprise only a small proportion of each institution's operations, thus limiting broader generalisations.
- In the assessment of organisational effectiveness, there are no indicators related to governance and financial viability of the multilateral organisations. In the section focused on development results, the emphasis is on the evidence of achievement of objectives/results and relevance, but there is no assessment of the sustainability of results.

Survey

- For the survey, the Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified by MOPAN members and the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. While the survey aims to gather diverse perspectives on the multilateral organisations being assessed, the collected survey responses are not representative of the entire "population" of donors, partners, etc.
- MOPAN members and the organisations assessed select the individuals to complete the survey and aim to identify respondents who are knowledgeable about the organisation being assessed. However, MOPAN has no means of determining whether the most knowledgeable and qualified individuals are selected. Some respondents may not have the knowledge to respond to all questions (e.g. on internal operations of the organisation, such as financial accountability and delegation of decision making). A significant percentage of 'don't know' responses may imply that respondents did not understand certain questions or that the question was inappropriate for certain respondent groups. Because one of MOPAN's intentions has been to merge previously existing assessment tools and forestall the development of others, the survey instrument remains quite long and respondent fatigue may affect both the quality of responses and rate of response.
- The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment. One potential limitation is 'central tendency bias' (i.e. a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.
- MOPAN reports provide mean survey scores. The advantage is that the mean is the most commonly understood measure of central tendency; the disadvantage is that the mean is sensitive to extreme scores (outliers), particularly when samples are small, which is usually the case at the country level. The assessment teams also review the median and standard deviations for each survey question (standard deviations are provided in Volume I of the Technical Report).
- In addition, in order to ensure confidentiality, the Technical Report does not provide a breakdown by respondent group in the country section.

Document review

- While MOPAN uses recognised standards and criteria for what constitutes good or best practice for a multilateral organisation, such criteria do not exist for all MOPAN indicators and some of the criteria used in reviewing document content were developed by MOPAN in the course of the assessment process. These criteria have also evolved since 2009 to reflect MOPAN member expectations. The criteria are a work in progress and should not be considered definitive standards.

- While the document review can evaluate the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).
- The document review component works within the confines of an organisation's disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the report.

Ratings and sources

- MOPAN assessments use different rating scales and different methods of assigning ratings in the organisational effectiveness and results components.
- In the organisational effectiveness component, the KPI ratings are mathematical averages of the survey and document review scores. The assessment produces numerical scores and ratings that appear to have a high degree of precision, yet can only provide general indications of how an organisation is doing. They provide a basis for discussion among MOPAN members, the multilateral organisation and its stakeholders, including direct partners.
- In the results component, the ratings are based on a "best fit" approach (see section 4.2). The methodology draws on evidence of results achieved as presented in the reports by or about a multilateral organisation. However, there is a critical difference between assessing the actual results achieved on the ground and assessing the evidence of results in evaluations and in the organisation's reports to its key stakeholders.

As MOPAN's methodology has changed considerably since 2009, comparisons of this year's assessments and previous assessments should take this into consideration.

MOPAN believes that the large amount of data and the efforts to explore convergence of the different sources help to mitigate the limitations. The reports thus provide a reasonable picture, at a particular moment in time, of both the systems associated with the organisational effectiveness of multilateral organisations and the evidence of development and/or humanitarian results achieved.

Annex I – Performance descriptors used to determine the ratings for the development/humanitarian results component KPIs

Note: In assessing humanitarian organisations, all descriptors concerning country priorities and national goals are reviewed and adjusted accordingly.

KPI A – Evidence of the multilateral organisation's relevance

| | |
|-------------------|--|
| Strong | There is clear evidence of the congruence/alignment between the organisation's stated results and partner country priorities, beneficiary needs and priorities, global trends and priorities in development or humanitarian field, and the organisation's mandate. Consistent data emerges from corporate (organisation-wide) and country-level sources. |
| Adequate | There is evidence of the congruence/alignment between the organisation's stated results and country priorities, beneficiary needs and priorities, global trends and priorities in development, and the organisation's mandate. However, the data is less consistent across country and corporate (organisation-wide) sources, with compelling evidence in some areas, and less evidence in others. |
| Inadequate | There is only modest evidence from country and corporate (organisation-wide) sources that the organisation's stated results are congruent/aligned with country priorities, beneficiary needs and priorities, global trends and priorities, and the organisation's mandate. |
| Weak | There is no evidence of congruence/alignment between the organisation's results and country priorities, beneficiary needs and priorities, global trends and priorities, and the organisation's mandate. |

KPI B – Evidence of the multilateral organisation's progress towards its institutional/organisation-wide results

| | |
|-------------------|--|
| Strong | The organisation provides solid evidence of its progress towards all its key planned organisation-wide results. The organisation is demonstrating progress or contributions towards its key corporate objectives or outcomes and clearly explains where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The description of progress is well supported by reliable, robust data from measuring indicators, evaluations, or other sources. The organisation has articulated theories of change that link the kinds of products and services that it provides to the development and/or humanitarian outcomes that it hopes to support. There is consistency across the different data sources, including the perceptions of the organisation's key stakeholders. |
| Adequate | The organisation is demonstrating progress towards most of its planned organisation-wide results. Although the organisation does not yet have a strong evidence base that describes progress or contributions towards all outcomes, it does clearly explain where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The organisation provides evidence that is supported by reliable data on its contributions to the majority of planned outcomes. Theories of change exist in different areas and are understandable. There may be some inconsistency across data sources. |
| Inadequate | The organisation does not provide evidence that it is meeting or moving toward most of its stated results. In addition, the theories of change are not well articulated. The exploration of different sources of data (including perceptions of key stakeholders) does not provide consistent evidence with regard to the achievement of results at output and outcome level. While the organisation presents some data on progress towards its expected results, the evidence base is weak. |
| Weak | The organisation is not demonstrating progress towards its key corporate results. The organisation does not clearly articulate theories of change and the various sources of data collected do not provide a picture of an effective MO. Data quality is questionable. |

KPI C – Evidence of the multilateral organisation’s progress towards its stated country-level results

| | |
|-------------------|---|
| Strong | The organisation provides solid evidence of its progress towards all its planned country-level results in all countries assessed (taking into account their context). The organisation is demonstrating progress or contributions towards its key country-level outcomes and clearly explains where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The description of progress is well supported by reliable, robust data from measuring indicators, evaluations, or other sources. The organisation has articulated theories of change that link the kinds of products and services that it provides to the development and/or humanitarian outcomes that it hopes to support in country. There is consistency across the different data sources, including the perceptions of the organisation’s key stakeholders. |
| Adequate | The organisation is demonstrating progress towards most of its planned results in all countries assessed (taking into account their context). Although the organisation does not yet have a strong evidence base that describes progress or contributions towards all outcomes, it does clearly explain where progress has been significant or where progress has been slower, as well as the factors that have affected that progress. The organisation provides evidence that is supported by reliable data, of its contributions to the majority of planned outcomes. Theories of change exist in different areas and are understandable. There may be some inconsistency across data sources. |
| Inadequate | The organisation does not provide useful evidence that indicates that it is meeting or moving toward most of its stated results in the countries assessed. In addition, its theories of change are not well articulated. The exploration of different sources of data (including perceptions of key stakeholders) does not provide consistent evidence with regard to the achievement of results at output and outcome level. While the organisation presents some data on progress towards its expected results in the countries assessed, the evidence base is weak. |
| Weak | The organisation does not provide evidence that it is making progress towards key results articulated in its country strategies. The organisation does not clearly articulate theories of change and the various sources of data collected do not provide a picture of an effective MO. Data quality is questionable. |

KPI D – Evidence of the multilateral organisation’s contributions to national goals and priorities, including the Millennium Development Goals (MDGs)

This KPI is reviewed and adjusted as necessary in the case of humanitarian organisations. In 2014, the KPI was not included in the assessment of UNHCR.

| | |
|-------------------|---|
| Strong | The organisation provides clear evidence that it has contributed to the achievement of national goals and priorities, including relevant MDGs, in all countries assessed. It explains where its contributions have been significant and where its contributions have been less successful, as well as the factors that have affected that progress. The description of contribution is well supported by reliable, robust data from measuring indicators, evaluations, or other sources. The organisation’s key stakeholders perceive that it is significantly contributing to the achievement of national goals and priorities, including the MDGs and that partner countries positively benefit from the organisation’s work. There is consistency across the different data sources, including the perceptions of the organisation’s key stakeholders. |
| Adequate | The organisation provides some evidence of contribution to the achievement of national goals and priorities, including relevant MDGs, in some countries assessed. It provides some evidence of contributions that have been significant and where they have been less successful, as well as the factors that have affected that contribution. The description of contribution is supported by some reliable data from measuring indicators, evaluations, or other sources. The organisation’s key stakeholders perceive that it is contributing to the achievement of national goals and priorities, including the MDGs and that partner countries positively benefit from the organisation’s work. There is some consistency across the different data sources, including the perceptions of the organisation’s key stakeholders. |
| Inadequate | The organisation provides little evidence of contribution to the achievement of national goals and priorities, including relevant MDGs, in some countries assessed. Little evidence of its contributions or the factors that have affected that contribution is provided. Unreliable data sources are used to justify contributions. The perceptions of the organisation’s key stakeholders are inconsistent on the extent to which the organisation is contributing to the achievement of national goals and priorities, including the MDGs. Perceptions vary on the extent to which partner countries positively benefit from the organisation’s work. There is little consistency across the different data sources, including the perceptions of the organisation’s key stakeholders. |

Weak

The organisation provides no evidence of contribution to the achievement of national goals and priorities, including relevant MDGs, in all countries assessed. No evidence of its contributions or the factors that have affected that contribution is provided. Data sources used are unreliable. The organisation's key stakeholders perceive that it is not contributing meaningfully to the achievement of national goals and priorities, including the MDGs, and that partner countries do not benefit meaningfully from the organisation's work. There is no consistency across the different data sources, including the perceptions of the organisation's key stakeholders.

ⁱ MOPAN members in 2014: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany,

ⁱⁱ It is important to note that the presence of a system or practice does not always mean that it is being used effectively. In addition, organisational practices may not be the only facilitating/hindering factor with respect to the achievement of results. The country context or environment, for example, also plays an important role.

ⁱⁱⁱ MOPAN assessments examine how an organisation measures and reports on its planned results and the relevance of its work. The assessments do not examine the sustainability of results or the efficiency with which they are achieved.

^{iv} AfDB, UNDP, UNICEF, and the World Bank – These organisations were selected because they had been assessed by MOPAN in 2009. The 2009 assessment focused on organisational effectiveness and was based only on survey data.

^v The relevance of the multilateral organisation's work to donor priorities is also of interest to MOPAN, but the relevance to donor development policy is assessed separately by each individual MOPAN member.

^{vi} Only those national goals or priorities that relate directly to the multilateral organisation's approved programme or strategy in that country will be considered. If there are no references to national goals or the MDGs in the approved programme of the organisations, this will be noted in the assessment report.

^{vii} A paper version of the questionnaire is translated into local languages, as required.

^{viii} The number and type of respondent groups may vary for each organisation and additional respondent types may be included.

^{ix} The exact definitions vary for each organisation. Peer organisations may include: UN organisations or international NGOs that have collaborated with the MO in its thematic area of work in the countries included in the assessment. These organisations collaborate with but do not receive any direct funding from the organisation assessed. Recipient governments normally refer to: governments in the countries selected for the assessment that receive assistance from or host the activities of the organisation assessed.

^x Each individual respondent is provided with a unique link that reflects the respondent type and the multilateral organisation(s) they have been assigned to. Some individuals, particularly MOPAN members, may complete surveys on more than one organisation.

^{xi} In 2014, Universal Management Group is the consulting firm hired to support the MOPAN Secretariat in conducting the MOPAN assessments. Epinion is the technical firm that manages the on-line survey.

^{xii} Documents are considered to be "publicly available" if they are on the organisation's web site or if the organisation is able to provide them upon request for the purpose of assessing the micro-indicators.

^{xiii} The review of documents excludes bilateral assessments of the multilateral organisations.

^{xiv} This is intended to ensure that documents reviewed are final documents (rather than drafts) and that they are providing guidance for organisational behaviour.

^{xv} For document review, however, the definition of "Very Weak" is expanded to mean that "the multilateral organisation does not have this system in place and this is a source of concern / or the organisation has limited documentation of such a system being in place."

^{xvi} '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).

^{xvii} This refers to the OECD definition of outputs (i.e. lower level results). Some MOs use different terminology for the various levels of results.

^{xviii} This refers to the OECD definition of outcomes (i.e. higher level results). Some MOs use different terminology for the various levels of results. Evidence of reporting according to a theory or theories of change will be sought as a way of substantiating the reported higher-level results.

^{xix} According to Rist and Morra Imas, *The Road to Results* – “Reliability is the term used to describe the stability of the measurement – the degree to which it measures the same thing, in the same way, in repeated tests.” Attention is also given to the quality of the evidence – specifically, whether or not it has been derived from or validated by an external and/or independent source.

^{xx} In 2014, UNFPA, FAO, and UN Women asked that we speak with the regional offices.

^{xxi} The “best fit” approach is used in public sector institutions (see Ofsted, 2011: *Criteria for making judgements*).

^{xxii} The panel is composed of the Senior Methodological Advisor, the senior consultants involved in each of the assessments, and external peer reviewers with knowledge of the particular agency or expertise in MfDR.

^{xxiii} Wholey, J.S., Hatry, H.P., Newcomer, K.E. Eds (2010) *Handbook of Practical Program Evaluation* (Third Edition), San Francisco, California: Jossey-Bass, p. 446-447.

^{xxiv} For example, Denzin, N. K. (1970). *The Research Act in Sociology*. Chicago: Aldine.

Appendix II MOPAN Common Approach survey 2014

Welcome to the survey for the 2014 MOPAN Common Approach and thank you for agreeing to participate. In responding to the survey, please base your answers on your perceptions and knowledge of the United Nations High Commissioner for Refugees (UNHCR). Your perceptions may be shaped by your experience with and exposure to UNHCR. Please rest assured that your answers will remain confidential. Any comment you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of this comment. Findings will be reported in aggregate form only. The survey should take approximately 45 minutes to complete.

Please note that it would be ideal if you could complete the survey in one session. However, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you are ready to continue, you can return to the place where you left off by clicking on the original link to the survey included in the email you received from our team. If at any point you have questions about this survey please contact mopan@epinion.dk. You can move back and forth in the questionnaire if you would like to change a response or a comment. Your time spent contributing to the MOPAN Common Approach is very much appreciated. Please click the 'Next' button below to begin.

You have been identified as a key respondent to assess the organisational practices, results, and relevance of UNHCR. However, before answering the questionnaire, we would like to know how familiar you are with UNHCR and the way it works. Please use the scale below to indicate your degree of familiarity with the organisation, where 5 is "very familiar" and 1 is "not at all familiar".

- (_1) 1 - Not at all familiar
- (_2) 2
- (_3) 3
- (_4) 4
- (_5) 5 - Very familiar

Which of the following responses best describes how often you have contact with UNHCR?

- (_1) Daily
- (_2) Weekly
- (_3) Monthly
- (_4) A few times per year or less
- (_5) Never

If you have indicated that you are not at all familiar with or that you never have contact with this organisation, you will be screened out of the survey.

Overall performance

We would now like to ask you a few questions about UNHCR's strengths and areas for improvement.

Thinking about UNHCR and the way it operates, what do you consider to be its greatest strength? Please type your answer in the box below:

Still thinking about UNHCR and the way it operates, what do you consider to be the area where it most needs improvement? Please type your answer in the box below:

Results component

We now turn to questions related to UNHCR's contributions to humanitarian results and its relevance at the global level and national levels. In thinking about these questions, please consider all you know about this multilateral organisation. To rate UNHCR's performance in these areas, please use the six-point scale described below, which ranges from "very weak" to "very strong". The scale will remain the same for all statements pertaining to UNHCR's humanitarian results and relevance.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

- 1 - Very weak = UNHCR has not made any contribution in this area and this is a source of concern.
 2 - Weak = UNHCR has made some contributions in this area, but there are still some deficiencies.
 3 - Inadequate = UNHCR has made some contributions in this area but they are less than acceptable.
 4 - Adequate = UNHCR's contributions in this area are acceptable.
 5 - Strong = UNHCR's contributions in this area are more than acceptable.
 6 - Very strong = UNHCR's contributions in this area could be considered as "best practice".

Contribution to results at the organisation-wide level

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas at the global scale. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees and other persons of concern. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees and other persons of concern. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to the security of refugees and other persons of concern from violence and exploitation. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees and other persons of concern. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to facilitating durable solutions for refugees and other persons of concern. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Contribution to results in Bangladesh

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas in Bangladesh. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees/other persons of concern in Bangladesh. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees/other persons of concern in Bangladesh. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to the security of refugees/other persons of concern from violence and exploitation in Bangladesh. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees/other persons of concern in Bangladesh. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to facilitating durable solutions for refugees/other persons of concern in Bangladesh. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Contribution to results in the Democratic Republic of Congo (DRC)

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas in DRC. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees/other persons of concern in DRC. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees/other persons of concern in DRC. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to the security of refugees/other persons of concern from violence and exploitation in DRC. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees/other persons of concern in DRC. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to facilitating durable solutions for refugees/other persons of concern in DRC. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Contribution to results in Ecuador

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas in Ecuador. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees/other persons of concern in Ecuador. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees/other persons of concern in Ecuador. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to the security of refugees/other persons of concern from violence and exploitation in Ecuador. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees/other persons of concern in Ecuador. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to facilitating durable solutions for refugees/other persons of concern in Ecuador. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Contribution to results in Kenya

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas in Kenya. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees/other persons of concern in Kenya. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees/other persons of concern in Kenya. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to the security of refugees/other persons of concern from violence and exploitation in Kenya. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees/other persons of concern in Kenya. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to facilitating durable solutions for refugees/other persons of concern in Kenya. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Contribution to results in Tanzania

The following questions examine the extent to which UNHCR is making contributions in its planned high-level results areas in Tanzania. While the focus is on UNHCR, please bear in mind that its contributions are achieved through activities undertaken together with partners.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to a favourable protection environment for refugees/other persons of concern in Tanzania. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to fair protection processes and documentation for refugees/other persons of concern in Tanzania. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has contributed positively to the security of refugees/other persons of concern from violence and exploitation in Tanzania. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to meeting the basic needs and services of refugees/other persons of concern in Tanzania. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contributed positively to facilitating durable solutions for refugees/other persons of concern in Tanzania. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Contributing to a **favourable protection environment** can include ensuring access to territorial protection and asylum procedures, protection against refoulement, and the adoption of nationality laws that prevent and/or reduce statelessness.

Contributing to **fair protection processes and documentation** can include securing birth registration, profiling and individual documentation based on registration.

Contributing to **security from violence and exploitation** can include reducing protection risks faced by people of concern, in particular, discrimination, sexual and gender-based violence and child recruitment.

Contributing to meeting **basic needs and services** can include 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.

Contributing to facilitating **durable solutions** can include voluntary return, local integration, and resettlement.

Relevance

This section focuses on the extent to which the objectives and programme of work of UNHCR are relevant at the global and national levels. In thinking about the questions asked, please consider all that you know about UNHCR's ability to meet priority stakeholders' needs and pursue relevant results.

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR is pursuing results in areas within its mandate. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's results are in line with global trends and priorities in the humanitarian field. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's results respond to the needs/priorities of its target group (beneficiaries). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR adapts its work to the changing needs and priorities of the country. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Are there any comments you wish to share on UNHCR's contribution to humanitarian results and/or its relevance? This could be anything related to the statements you have rated, or anything else you would like our assessment team to know.

- (1) Yes, please type your answer into the box below:
- (2) No

Organizational effectiveness

We would now like to ask you some questions regarding specific aspects of UNHCR's organisational effectiveness. In thinking about these questions, please consider all that you know about UNHCR.

Performance areas

You will see a series of statements that describe the practices, systems or behaviours in any multilateral organisation. These statements are divided into four performance areas: strategic management, operational management, relationship management and knowledge management. Please rate how you consider UNHCR performs in these areas using the six-point scale described below, which ranges from "very weak" to "very strong". The scale will remain the same for all statements pertaining to UNHCR's organisational effectiveness.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

1 - Very weak = UNHCR does not have this practice, behaviour or system in place and this is a source of concern.

2 - Weak = UNHCR has this practice, behaviour or system in place but there are important deficiencies.

3 - Inadequate = UNHCR's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

4 - Adequate = UNHCR's practice, behaviour or system is acceptable in this area.

5 - Strong = UNHCR's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

6 - Very strong = UNHCR's practice, behaviour or system is "best practice" in this area.

Strategic management

We begin by focusing on specific aspects of UNHCR's strategic management.

Providing direction for the achievement of results

The following questions pertain to UNHCR's ability to provide direction for the achievement of results. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR's institutional culture focuses on articulating results for beneficiaries. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's institutional culture promotes cooperation with partners to deliver results. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's senior management shows leadership on results-based management. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR applies results-based management in its work. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION(S):

Beneficiaries = The term 'beneficiary' refers to individuals, groups, or organisations who have been designated as the intended recipients of humanitarian assistance.

Results-based management (RBM) = Also known as management for results, it consists in managing and implementing aid in a way that focuses on the desired results and uses performance information to improve decision-making.

Organisation-wide strategy

Still thinking about strategic management, but now focusing on organisation-wide strategies, how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR has a clear mandate to protect refugees, asylum seekers and stateless persons. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has a clear mandate to protect internally displaced persons. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's organisation-wide strategy is aligned with its mandate. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION:

Strategy = High level document that guides and directs the operations of the multilateral organisation.

Cross-cutting priorities

We would like you to think about how UNHCR maintains a focus on 'cross-cutting' thematic priorities identified in its strategic framework and/or considered important by MOPAN. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR sufficiently mainstreams gender equality (including a focus on gender-based violence) in its work. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR sufficiently promotes environmental sustainability in its work. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR sufficiently promotes the principles of good governance in its work. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR sufficiently integrates emergency preparedness and response in its work. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION(S):

Mainstreaming = The horizontal and vertical integration of a topic so as to produce process-related and programmatic results.

Good governance = Good governance is the exercise of authority through traditional and institutional processes that are transparent and accountable, and that encourage public participation.

Country strategies

We would like to ask you about UNHCR's operational strategies in countries. How do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statement(s)?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR ensures sufficient involvement of beneficiaries in the design of its humanitarian response whenever feasible and appropriate. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR ensures sufficient involvement of partners (including governments) in the design of its humanitarian response whenever feasible and appropriate. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR's humanitarian programmes are based on the reliable assessments of needs of its target populations (i.e. refugees and other persons of concern). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has contingency plans in place should a major increase or scale-up of humanitarian actions be required. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION(S):

Beneficiaries = The term 'beneficiary' refers to individuals, groups, or organisations who have been designated as the intended recipients of humanitarian assistance.

Contingency plans = A management tool used to ensure that adequate arrangements are made in anticipation of a crisis (e.g. environmental, political, operational, financial, etc.). This is achieved primarily through engagement in a planning process leading to a plan of action, together with follow-up actions.

Are there any comments you wish to share regarding UNHCR's strategic management? This could be anything related to the statements you have rated, or anything else you would like our assessment team to know.

- (1) Yes, please type your answer into the box below:
- (2) No

Operational management

We now wish to enquire about your thoughts on operational management within UNHCR.

Financial resources management

We would first like to ask you some questions on UNHCR's management of financial resources. According to what you know about the organisation, how do you think it performs in relation to the practices, systems or behaviours described in the following statement(s)?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR makes publicly available its criteria for allocating un-earmarked resources. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR allocates un-earmarked resources according to the criteria mentioned above. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR is adopting measures to enable timely delivery of funding to operations. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR transfers financial instalments to humanitarian partners in a timely manner. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR sufficiently links its budget to expected results. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's reports on results include the expenditures that are linked to achievement of those results. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's internal audits provide objective information to its management/governing bodies. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR implements its policy on anti-corruption. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR quickly follows up on financial irregularities identified in audits, including suspicion or allegations of corruption and fraud. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's procurement procedures provide effective control on purchases of goods and services. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Performance management

We would like you to consider UNHCR's performance management, i.e. the way it manages the performance of its operations. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statement(s)?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR uses performance information to revise organisational policies and strategies. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR uses information on the performance of its projects/programmes to plan new areas of cooperation at the country level. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR regularly identifies poorly performing programmes and projects. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR proactively addresses performance issues identified in poorly performing programmes and projects. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR appropriately tracks the implementation of evaluation recommendations reported to its governing bodies. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Human resources management

We would like you to consider the way that UNHCR manages its human resources. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR uses information on staff performance to make human resource decisions (e.g. reassignment, promotion and dismissal). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR uses a transparent system to manage staff performance. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has appropriate measures in place to ensure staff security. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR keeps deployed international staff in post for a sufficient time to maintain effective partnerships at the country level. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR staff follow the code of conduct. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR monitors compliance with the code of conduct. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has a system in place for reporting transparently on compliance with the code of conduct. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION:

Code of conduct = The policies/documents that describe the rules and expected behaviours of staff of the organisation.

Delegation of authority

We would like you to consider UNHCR's delegation of authority. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statement?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| Key operational/management decisions in UNHCR are delegated in a manner appropriate to the context (e.g. centralised decision-making may be appropriate in conflict situations). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Humanitarian principles and protection approach

We would now like you to consider the ways UNHCR ensures its adherence to humanitarian principles (humanity, impartiality, neutrality and operational independence) and provides protection responses. According to what you know about this organisation, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 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. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR respects humanitarian principles while delivering humanitarian action. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 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). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has effective practices and systems in place to provide protection responses and activities in its work for refugees. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 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). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Before moving on to the next section, are there any comments you wish to share on UNHCR's operational management? This could be anything related to the statements you have rated, or anything else you would like our assessment team to know.

- (_1) Yes, please type your answer into the box below:
- (_2) No

Relationship management

We would like to obtain your views on specific aspects of UNHCR's relationship management.

Local conditions and capacities

We would like you to consider the extent to which UNHCR adapts its work to local conditions and capacities. According to what you know about the organisation, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR uses procedures (e.g. funding and reporting requirements) that can be easily understood and followed by its humanitarian partners. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| The length of time it takes to complete UNHCR procedures does not affect implementation. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has the operational agility to respond quickly to changing circumstances (including emergency events/disaster situations) on the ground. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR ensures that it sufficiently uses local resources (local expertise, goods and services). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR ensures that capacity development of local partners is undertaken. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Alignment

We would like you to think about the extent to which UNHCR aligns its work with that of its partners. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR provides valuable inputs to policy dialogue. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR respects the views of humanitarian partners when it undertakes policy dialogue. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR uses advocacy with governments and other stakeholders to enhance protection for refugees. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 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). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Participation in the Cluster System

According to what you know about UNHCR's participation in the **cluster system**, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements? (*SEE DEFINITION BELOW*)

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR adjusts its programmes to reflect strategic priorities agreed to by the cluster. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| As cluster lead or co-lead, UNHCR provides dedicated senior staff for coordination of the cluster. (<i>SEE DEFINITION BELOW</i>) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| As cluster lead or co-lead, UNHCR ensures that pertinent information is circulated within the cluster. (<i>SEE DEFINITION BELOW</i>) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR ensures effective and coherent sectoral needs assessments involving all relevant partners for the cluster it leads or co-leads. (<i>SEE DEFINITION BELOW</i>) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR has effective practices and systems in place to act as cluster lead or co-lead. (<i>SEE DEFINITION BELOW</i>) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITIONS:

Cluster system = Clusters are groups of humanitarian organisations (UN and non-UN) working in the main sectors of humanitarian action, such as food security, shelter and health. They are created when clear humanitarian needs exist within a sector, when there are numerous actors within this sector and when national authorities need coordination support. Clusters provide a clear point of contact and are accountable for adequate and appropriate humanitarian assistance. They create partnerships between international humanitarian actors, national and local authorities, and civil society.

Cluster lead or co-lead = All clusters have focal points, known as cluster lead agencies, which operate at the global and country level. In specific countries, cluster leads serve as the main contact for government and the Humanitarian or Resident Coordinator. They ensure that humanitarian activities are coordinated and make a difference to people in need. They also act as a provider of last resort in their respective sector. At the global level (and oftentimes at the country level also), UNHCR is lead or co-lead of the protection, emergency shelter and camp coordination and camp management clusters.

Harmonisation of procedures and arrangements with partners

We would like to ask you questions on the extent to which UNHCR harmonises its work with that of its partners. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, flash appeals and annual programming exercises). | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR regularly collaborates with partners in analysis, design, evaluation and needs assessments. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR shares relevant information (in particular regarding needs) with humanitarian and other partners. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR sufficiently builds on the initiatives of other actors to avoid duplication. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR effectively leads and coordinates comprehensive responses for refugees with all concerned stakeholders. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Before moving on to the next section, are there any comments you wish to share regarding UNHCR's relationship management? This could be anything related to the statements you have rated, or anything else you would like our assessment team to know.

- (_1) Yes, please type your answer into the box below:
- (_2) No

Knowledge management

In this last section, we would like you to consider knowledge management within UNHCR.

Performance evaluation

We would like to ask you about performance evaluation within the organisation. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR ensures the independence of its evaluation unit. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR uses evaluation findings in its decisions on programming, policy and strategy. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR involves key partners in evaluations of its projects or programmes. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR involves key beneficiaries in evaluations of its projects or programmes. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Performance reporting

Now please consider performance reporting within UNHCR. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR's reporting against its organisation-wide strategy is useful. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR's reports to its governing bodies provide clear measures of contributions to outcomes. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR reports appropriately against its country strategies. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Dissemination of lessons learned

We would like you to consider how UNHCR disseminates lessons learned. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in the following statement(s)?

| | Very weak | Weak | Inadequate | Adequate | Strong | Very strong | Don't Know |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| UNHCR sufficiently documents lessons learned from performance information. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| UNHCR disseminates useful lessons learned to stakeholders. (SEE DEFINITION BELOW) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

DEFINITION:

Lessons learned = Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

Are there any comments you wish to share regarding UNHCR's knowledge management? This could be anything related to the statements you have rated, or anything else you would like our assessment team to know.

- (_1) Yes, please type your answer into the box below:
- (_2) No

Background questions

What MOPAN member country do you work for?

| | |
|--|---|
| <ul style="list-style-type: none"> • (_1) Australia • (_2) Austria • (_3) Belgium • (_4) Canada • (_5) Denmark • (_6) Finland • (_7) France • (_8) Germany • (_9) Ireland | <ul style="list-style-type: none"> • (_10) Luxembourg • (_11) Republic of Korea • (_12) The Netherlands • (_13) Norway • (_14) Spain • (_15) Sweden • (_16) Switzerland • (_17) United Kingdom • (_18) United States |
|--|---|

What type of organisation do you work for? Choose the response that **best** describes your organisation:

- (_1) MOPAN member organisation, based in offices in the MOPAN country
- (_2) MOPAN member organisation, based in the permanent mission or executive board office of the multilateral organisation
- (_3) Other:

What type of organisation do you work for? Choose the response that **best** describes your organisation:

- (_1) MOPAN member organisation, based in country/regional offices (including embassies)
- (_2) Other:

What type of organisation do you work for? Choose the response that **best** describes your organisation:

- (_1) National non-governmental organisation (NGO) or other civil society organisation
- (_2) International non-governmental organisation (INGO)
- (_3) Academic institution
- (_4) Multilateral organisation
- (_5) Other:

What type of organisation do you work for? Choose the response that **best** describes your organisation:

- (_1) National parliament or legislature
- (_2) Government - line ministry
- (_3) Government - ministry of finance/statistics/planning/economics
- (_4) Government - other

What type of organisation do you work for? Choose the response that **best** describes your organisation:

- (_1) Multilateral organisation
- (_2) International non-governmental organisation (INGO)
- (_3) Other:

How would you define your level of seniority within the organisation? Choose the response that **best** describes your position:

- (_1) Senior-level professional
- (_2) Mid-level professional
- (_3) Junior professional

How long have you been working/interacting with UNHCR? Choose the response that **best** describes the length of your engagement with the organisation:

- (_1) Less than a year
- (_2) At least a year but less than two
- (_3) Two years and more

You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

Thank you very much for sharing your insights and taking the time to answer this survey, which aims to improve dialogue on the organisational learning and effectiveness of multilateral organisations.

Appendix III List of interviewees at headquarters, and in country offices

Headquarters interviewees

| Name | Title | Division |
|------------------------|---|--|
| Amare Gebre Egziabher | Senior Environmental Coordinator | Operational Solutions and Transition Section, Division of Programme Support and Management |
| Ana-Maria Cristescu | Senior Policy Advisor (Finance) | Office of the Controller |
| Arafat Jamal | Head | Inter-Agency Coordination Service |
| Arman Harutyunyan | Chief Risk Officer | Enterprise Risk Management |
| Betsy Lippman | Chief of Section | Operational Solutions and Transition Section, Division of Programme Support and Management |
| Daniel Endres | Director | Division of External Relations |
| Ewen Macleod | Head of Service | Policy Development and Evaluation Service, Executive Office |
| Fatima Sherif-Nor | Head of Service | Implementing Partnership Management Service |
| Guido Ambroso | Senior Evaluator | Policy Development and Evaluation Service |
| Henrik M. Nordentoft | Deputy Director | Division of Programme Support and Management |
| Janice Lyn Marshall | Deputy Director, Protection Policy and Legal Advice | Division of International Protection |
| Jeddy William Namfua | Senior Desk Officer | Kenya, Uganda & Regional Support Hub (Nairobi) |
| Johannes Zech | Executive Assistant | Division of External Relations |
| Josefa Ojano | Deputy Director | Regional Bureau for Asia and the Pacific |
| Karen Madeleine Farkas | Director | Division of Human Resources Management |
| Kemlin Furley | Head | Inter-Agency Coordination Service |
| Linda Ryan | Deputy Director and Head | Programme Budget Service, Division of Financial and Administrative Management |
| Milton Moreno | Operations Manager | Bureau for the Americas |
| Nai Jit Lam | Senior Desk Officer | Bureau for Asia and the Pacific |
| Nicole Epting | Head of Support Cell, Global Protection Cluster | Division of International Protection |
| Nikos Tsinonis | Senior Protection Officer | Inspector General's Office |
| Preeta Law | Senior Protection Coordinator & Chief of Section | Protection Operational Support, Division of International Protection |
| Stefanie Krause | | |
| Terry Morel | Director | Division of Emergency, Security and Supply |

Country office interviewees

| Name | Title | Country |
|-------------------------|---|----------------|
| Alexandra Pagliaro | Associate Protection Officer | Bangladesh |
| Glenna Dureau-Sargsyan | Administration / Programme Officer | Bangladesh |
| Mahamadou Taher Touré | Assistant Representative for Programme | DRC |
| Daniela Balseca | Programme Officer | Ecuador |
| Jozef Merx | Deputy Representative | Ecuador |
| Catherine Hammon Sharpe | Assistant Representative for Protection | Kenya |
| Ivana Unluova | Senior Programme Officer | Kenya |
| Offei Dei Kwabena | Assistant Representative for Administration | Kenya |
| Raouf Mazou | Representative | Kenya |
| Samuel Chakwera | Assistant Representative for Programme | Kenya |
| Joyce Mends-Cole | Representative | Tanzania |

Appendix IV Organisational effectiveness: Document review ratings, criteria and key documents consulted by KPI and MI

PERFORMANCE AREA I – STRATEGIC MANAGEMENT

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|---|
| MI 1.3 The MO ensures application of an organisation-wide policy on results-based management | 1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for results in the organisation is corporately approved (alternatively, the approach to RBM/management for results may be described in the context of a strategic plan and further operationalised through other documents). | Met | <p>Allen, R., & Li Rosi, A. (2010). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4cf3ad8f9.html</p> <p>UNHCR. (2010 [04]). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR – Initial management response</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4d1b47d49.html</p> <p>UNHCR. (2014[37]). <i>RBM Framework [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2012/1/2/3/rbm_mechanism/rbm_framework.html</p> <p>UNHCR. (2006 [02]). <i>Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations, 2nd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/40eaa9804.html</p> |
| | 2. The MO has guidelines on RBM/management for results, either in hard copies or online. | Met | <p>Allen, R., & Li Rosi, A. (2010). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4cf3ad8f9.html</p> <p>UNHCR. (2010 [04]). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR – Initial management response</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4d1b47d49.html</p> <p>UNHCR. (2006 [02]). <i>Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations, 2nd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/40eaa9804.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|--------------|---|
| | 3. The MO provides opportunities for capacity building of staff on RBM/managing for results. | Met | <p>Allen, R., & Li Rosi, A. (2010). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4cf3ad8f9.html</p> <p>UNHCR. (2010 [04]). <i>Measure for Measure: A field-based snapshot of the implementation of results based management in UNHCR – Initial management response</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4d1b47d49.html</p> |
| | 4. There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO regularly reviews the implementation of its policy on RBM/managing for results. | Not met | <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> |
| | 5. There is evidence that the MO is ensuring application of RBM/managing for results in practice. | Not met | |
| Overall Score MI 1.3 | | Adequate (4) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|---|
| MI 2.1 The MO's corporate/organisation-wide strategy is based on a clear definition of mandate | 1. The necessary periodic revisions of the MO mandate/mission statement are made so it has continuing relevance. | Met | <p>UNHCR. (1950 [01]). <i>Statute of the Office of the United Nations High Commissioner for Refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3b66c39e1.html</p> <p>UNHCR. (2013 [02]). <i>Note on the Mandate of the High Commissioner for Refugees and his Office</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?page=search&docid=5268c9474&skip=0&query=mandate</p> <p>UNHCR. (2014 [34]). <i>Thematic Compilation of General Assembly & Economic and Social Council Resolutions (4th edition, June 2014)</i>. UNHCR Division of International Protection. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=53b2c42c9&query=thematic%20compilation</p> <p>UNHCR. (2014 [35]). <i>A Thematic Compilation of Executive Committee Conclusions (7th edition, June 2014)</i>. UNHCR Division of International Protection. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=53b26db69&query=thematic%20compilation</p> <p>UN General Assembly. (1993 [02]). <i>Resolution 48/116: Office of the United Nations High Commissioner for Refugees, A/RES/48/116 (20 December 1993)</i>. United Nations General Assembly. Retrieved from http://www.un.org/documents/ga/res/48/a48r116.htm</p> |
| | 2. The organisational strategic plan articulates goals & focus priorities. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (n.d. [02]). <i>UNHCR Global Appeal 2012-13</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> <p>UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf</p> <p>UNHCR. (2013 [32]). <i>2014 - 2015 Global Strategic Priorities: Informal consultative meeting, 5 February 2013 [Powerpoint slides]</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51190ed24.pdf</p> <p>UNHCR. (1950 [01]). <i>Statute of the Office of the United Nations High Commissioner for Refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3b66c39e1.html</p> |
| | 3. The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a certain period. | Not met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (n.d. [02]). <i>UNHCR Global Appeal 2012-13</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> <p>UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|-----------------|---|
| | 4. There is evidence that the organisational strategic plan is monitored to ensure it is focused on the MO's mandate. | Met | <p>UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [46]). <i>Informal Consultative Meeting on Global Strategic Priorities for 2014-2015: Background paper (5 February 2013)</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5118f0189.pdf</p> <p>UNHCR. (2013 [32]). <i>2014 - 2015 Global Strategic Priorities: Informal consultative meeting, 5 February 2013 [Powerpoint slides]</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51190ed24.pdf</p> |
| | 5. There is evidence that any discrepancy between the organisational strategic plan and the MO's mandate has been addressed (i.e. the organisational strategic plan and the mandate have been realigned). | Not met | <p>UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [46]). <i>Informal Consultative Meeting on Global Strategic Priorities for 2014-2015: Background paper (5 February 2013)</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5118f0189.pdf</p> <p>UNHCR. (2013 [32]). <i>2014 - 2015 Global Strategic Priorities: Informal consultative meeting, 5 February 2013 [Powerpoint slides]</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51190ed24.pdf</p> |
| Overall Score MI 2.1 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|---------|---|
| MI 2.2 The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities | 1. The MO refers to QCPR directives and their implications for strategy and operations (in its strategy or other policy documents). | Not met | <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> <p>UNHCR. (2012 [09]). <i>Update on Coordination Issues: Strategic partnerships (EC/63/SC/CRP.21/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5059d8199.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|--|
| | | | <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>Deschamp, B., & Lohse, S. (2013). <i>Still Minding the Gap? A review of efforts to link relief and development in situations of human displacement, 2001-2012 (PDES/2013/01)</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/512cdef09.html</p> <p>UN DESA. (2013 [01]). <i>Supplementary Matrix 1: General Assembly resolution 67/226 on the quadrennial comprehensive policy review of UN operational activities for development; Legislative mandates by actor</i>. United Nations Department of Economic and Social Affairs. Retrieved from http://www.un.org/esa/coordination/pdf/matrix_by_actor_supp_1.pdf</p> |
| | 2. The most recent strategic plan adopts directives of the QCPR or mid-term reviews of strategies recommend ways of aligning with QCPR in cases when the strategic cycle is not aligned with the QCPR. | Not met | <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UN Secretary-General. (2014 [01]). <i>Implementation of General Assembly Resolution 67/226 on the Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System: Report of the Secretary-General (A/69/63-E/2014/10)</i>. United Nations General Assembly and Economic and Social Council. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=E/2014/10</p> <p>UN Secretary-General. (2013 [01]). <i>Implementation of General Assembly Resolution 67/226 on the Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System (QCPR) (Unedited version)</i>. United Nations Department of Economic and Social Affairs. Retrieved from http://www.un.org/en/ecosoc/docs/adv2013/advance_undited_sg_report_qcpr_2013.pdf</p> <p>UN Secretary-General. (2013 [02]). <i>Implementation of General Assembly Resolution 67/226 on the Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System: Report of the Secretary-General (A/69/63-E/2014/10)</i>. United Nations Economic and Social Council. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=E/2013/94</p> |
| | 3. The corporate programming and management results frameworks reflect elements of the QCPR. | Not met | <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2012 [20]). <i>UNHCR's Results Framework for 2012-2013 (Updated September 2012)</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2013 [30]). <i>UNHCR's Results Framework for 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> |
| | 4. At least half of the new country strategies sampled reference QCPR directives. | Not met | <p>UNHCR. (2014). <i>Operations [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-------------------|---|
| | 5. There is evidence of progress in implementing QCPR resolutions. | Not met | |
| Overall Score MI 2.2 | | Inadequate (3) | Considering all evidence collected as part of the assessment, the assessment team rated UNHCR inadequate on this indicator. |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|---------|---|
| MI 3.1 Results frameworks have causal links from inputs through to outcomes | 1. At least one organisation-wide level results framework (i.e. programme or management results framework) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf</p> <p>UNHCR. (2013 [30]). <i>UNHCR's Results Framework for 2014-2015 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2012 [20]). <i>UNHCR's Results Framework for 2012-2013 (Updated September 2012) [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 2. The programme results framework contains both statements of outputs and expected outcomes appropriate to their results level (i.e. what are called outputs are actually outputs, what are called outcomes are actually outcomes). | Not met | Ibidem |
| | 3. There is either an implicit or explicit description in the programme results framework (or in the strategic plan) of the results chain, i.e. on how the outputs in the results framework(s) are linked | Met | Ibidem |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-------------------|---|
| | to the expected outcomes. | | |
| | 4. In the programme results framework, there is a clear and logical progression from inputs to outputs and any higher-level results (e.g. outcomes and impacts). | Not met | Ibidem |
| | 5. All above criteria are met in both the management results framework and programme results framework. | Not met | Ibidem |
| Overall Score MI 3.1 | | Inadequate (3) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 3.2 Standard performance indicators are included in organisation-wide plans and strategies at a delivery (output) and humanitarian results level (outcome) | 1. In the programme results framework, a minimum of a few of the performance indicators at the outcome level and output level are SMART. | Met | UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.13/Rev.1)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf UNHCR. (2013 [30]). <i>UNHCR's Results Framework for 2014-2015 [Internal document]</i> . United Nations High Commissioner for Refugees. UNHCR. (2012 [20]). <i>UNHCR's Results Framework for 2012-2013 (Updated September 2012) [Internal document]</i> . United Nations High Commissioner for Refugees. |
| | 2. In the programme results framework, some of the performance indicators at the outcome level and output level are SMART. | Met | Ibidem |
| | 3. In the programme results framework, most of the performance indicators at | Met | Ibidem |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|----------------|--|
| | the outcome level and output level are SMART. | | |
| | 4. In the programme results framework, all of the performance indicators at the outcome level and output level are SMART. | Not met | Ibidem |
| | 5. All above criteria are also met in the management results framework. | Not met | Ibidem |
| Overall Score MI 3.2 | | Inadequate (3) | The overall rating was adjusted to reflect not only the quality of indicators in UNHCR's results framework, but of those in UNHCR's Global Strategic Priority (GSP) framework, which is the tool that the organisation shares publicly and reports on at the organisation-wide level. Given that the GSP framework does not include output indicators and that the impact indicators/global engagements do not cover the range of dimensions included in the GSP results statements, this MI was rated inadequate. |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------|---|--------|---|
| MI 4.1 Gender equality | 1. The organisation has a policy or strategic framework on the mainstreaming of gender or has clearly stated gender equality results as part of its organisation-wide strategic plan. | Met | <p>UNHCR. (2011 [01]). <i>Age, Gender and Diversity Policy</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/4def34f6887.html</p> <p>UNHCR. (2011 [02]). <i>Age, Gender and Diversity Mainstreaming Forward Plan 2011-2016</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/51af2fdc4.html</p> <p>UNHCR. (2010 [01]). <i>Age, Gender and Diversity Mainstreaming (EC/61/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.refworld.org/docid/4cc96e1d2.html</p> <p>UNHCR. (2012 [01]). <i>Age, Gender and Diversity approach (EC/63/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/500e570b9.html</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2014 [14]). <i>UNHCR UN SWAP Report: Reporting year 2013 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 2. Country strategy/programming documents also articulate gender | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|---|
| | equality/mainstreaming as a priority. More than half of the country-level strategies and results frameworks sampled include results that integrate gender equality. | | |
| | 3. The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of gender. | Met | <p>UNHCR. (2007 [01]). <i>Accountability Framework for Age, Gender and Diversity Mainstreaming</i>. Geneva: United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/47a707950.pdf</p> <p>UNHCR. (2011 [02]). <i>Age, Gender and Diversity Mainstreaming Forward Plan 2011-2016</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/51af2fdc4.html</p> <p>UNHCR. (2012 [01]). <i>Age, Gender and Diversity approach (EC/63/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/500e570b9.html</p> <p>UNHCR. (n.d. [01]). <i>Global Analysis 2012-2013: UNHCR accountability frameworks for Age, Gender and Diversity mainstreaming and targeted actions</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51c4569f9.html</p> <p>UNHCR. (2014 [14]). <i>UNHCR UN SWAP Report: Reporting year 2013 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 4. There is evidence that the organisation has resourced its policy/strategy for gender mainstreaming (in terms of staffing, funding, and technical expertise). | Not met | <p>UNHCR. (2011 [02]). <i>Age, Gender and Diversity Mainstreaming Forward Plan 2011-2016</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/51af2fdc4.html</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2012 [01]). <i>Age, Gender and Diversity approach (EC/63/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/500e570b9.html</p> <p>UNHCR Global Learning Centre. (n.d. [01]). <i>Module 1: What does UNHCR's AGD approach mean?</i> United Nations High Commissioner for Refugees. Retrieved from http://unhcr.csod.com/content/unhcr/publications/826/Course%20Materials/AGDM%20Learning%20Journal%20M1.pdf</p> <p>UNHCR. (2001 [03]). <i>UNHCR Good Practices on Gender Equality Mainstreaming: A practical guide to empowerment</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org.hk/files/useful_resources/Publications/Good_Practices_on_Gender_Equality_Mainstreaming.pdf</p> <p>Thomas, V., & Beck, T. (2010). <i>Changing the way UNHCR does business? An evaluation of the Age, Gender and Diversity mainstreaming strategy, 2004-2009</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4c206b449.pdf</p> <p>UNHCR. (2014 [14]). <i>UNHCR UN SWAP Report: Reporting year 2013 [Internal document]</i>. United Nations High</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|------------|--|
| | 5. There is evidence that the organisation monitors its progress in mainstreaming gender in order to take action to correct any identified issues. | Met | <p>Commissioner for Refugees.</p> <p>UNHCR. (2010 [01]). <i>Age, Gender and Diversity Mainstreaming (EC/61/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.refworld.org/docid/4cc96e1d2.html</p> <p>UNHCR. (2012 [01]). <i>Age, Gender and Diversity approach (EC/63/SC/CRP.14)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/500e570b9.html</p> <p>Thomas, V., & Beck, T. (2010). <i>Changing the way UNHCR does business? An evaluation of the Age, Gender and Diversity mainstreaming strategy, 2004-2009</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4c206b449.pdf</p> <p>UN Women. (2012 [01]). <i>UN System-wide Action Plan for Implementation of the CEB United Nations System-wide Policy on Gender Equality and the Empowerment of Women</i>. United Nations. Retrieved from http://www.unwomen.org/~media/Headquarters/Attachments/Sections/How%20We%20Work/UNSystemCoordination/UN-SWAP-Framework-Dec-2012.pdf</p> <p>UN Secretary-General. (2012 [01]). <i>Mainstreaming a Gender Perspective into All Policies and Programmes in the United Nations System (E/2012/61)</i>. United Nations Economic and Social Council. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=E/2012/61</p> <p>UNHCR. (2014 [14]). <i>UNHCR UN SWAP Report: Reporting year 2013</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> |
| Overall Score MI 4.1 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------|---|--------|---|
| MI 4.2 Environment | 1. The organisation has a policy or strategic framework on the mainstreaming/promotion of environmental sustainability or has clearly stated environmental sustainability results as part of its organisational strategic plan. | Met | <p>UNHCR. (2005 [01]). <i>UNHCR Environmental Guidelines</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=3b03b2a04&query=environmental%20guidelines</p> <p>UNHCR. (1995 [01]). <i>Report of the Forty-sixth Session of the Executive Committee of the High Commissioner's Programme (A/AC.96/860)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/3ae68d91c.html</p> <p>UNHCR. (1995 [02]). <i>Progress Report on the Guidelines on Refugees and the Environment (EC/SC.2/79) [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved April 10, 2014, from http://www.unhcr.org/3ae68bf5f.html</p> <p>UNHCR. (2014 [09]). <i>Global Strategy for Safe Access to Fuel and Energy (SAFE): A UNHCR strategy 2014-2018</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/530f11ee6.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|----------------------|---|-------------------|--|
| | 2. Country strategy/ programming documents also articulate environmental sustainability as a priority. More than half of the country-level strategies and results frameworks sampled include results that integrate environmental sustainability. | Not met | UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml |
| | 3. The organisation has clearly defined roles and responsibilities with regard to the promotion of environmental sustainability. | Met | UNHCR. (2005 [01]). <i>UNHCR Environmental Guidelines</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=3b03b2a04&query=environmental%20guidelines UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (2014 [09]). <i>Global Strategy for Safe Access to Fuel and Energy (SAFE): A UNHCR strategy 2014-2018</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/530f11ee6.htm |
| | 4. There is evidence that the organisation has resourced its policy/strategy for the promotion of environmental sustainability (in terms of staffing, funding, and technical expertise). | Not met | UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (2005 [01]). <i>UNHCR Environmental Guidelines</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=3b03b2a04&query=environmental%20guidelines UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html |
| | 5. There is evidence that the organisation monitors its progress in promoting environmental sustainability and takes actions to correct any identified issues. | Not met | UNHCR. (n. d. [08]). <i>Refugee Operations and Environmental Management: Selected lessons learned</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=3b03b2754&query=environmental%20sustainability UNHCR. (2009 [01]). <i>FRAME Toolkit: Framework for assessing, monitoring and evaluating the environment in refugee-related operations [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved February 25, 2014, from http://www.unhcr.org/4a97d1039.html |
| Overall Score MI 4.2 | | Inadequate (3) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------|---|--------|--|
| MI 4.3 Good governance | 1. The organisation has a policy or strategic framework on the mainstreaming/ promotion of the principles of good governance or has clearly stated good governance results as part of its organisation-wide strategic plan. | | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [30]). <i>UNHCR's Results Framework for 2014-2015</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>UNHCR. (n.d. [10]). <i>Capacity Building [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved February 26, 2014, from http://www.unhcr.org/pages/49c3646c107.html</p> <p>UNHCR. (n.d. [34]). <i>Promoting Refugee Protection [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved May 4th, 2014, from http://www.unhcr.org/pages/49f075786.html</p> <p>UNHCR. (n.d. [35]). <i>Rule of Law and Transitional Justice [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved May 4th, 2014, from http://www.unhcr.org/pages/4a293daf6.html</p> <p>UNHCR. (2008 [03]). <i>Protection Gaps Framework for Analysis: Enhancing protection of refugees, 2nd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/41fe3ab92.html</p> <p>UNHCR. (2012 [17]). <i>Inter-Office Memorandum No. 058/2012: Access to Justice for victims of sexual and gender-based violence</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>Da Costa, R. (2006). <i>The Administration of Justice in Refugee Camps: A study of practice (PPLA/2006/01)</i>. UNHCR Department of International Protection. [Internal document]</p> <p>UNHCR. (n.d. [09]). <i>A Practical Guide to Capacity Building as a Feature of UNHCR's Humanitarian Programmes</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3bbd64845.html</p> <p>UNHCR. (2008 [09]). <i>Policy Framework and Implementation Strategy: UNHCR's role in support of the return and reintegration of displaced populations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unrol.org/files/doc00002765.pdf</p> |
| | 2. Country strategy/ programming documents also articulate good governance as a priority. More than half of the country-level strategies and results frameworks sampled include results that integrate the principles of good governance. | | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [33]). <i>UNHCR Global Appeal 2012-2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|-------------------|---|
| | 3. The organisation has clearly defined roles and responsibilities with regard to the promotion of the principles of good governance. | | UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml |
| | 4. There is evidence that the organisation has resourced its policy/strategy for the promotion of the principles of good governance (in terms of staffing, funding, and technical expertise). | | UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html |
| | 5. There is evidence that the organisation monitors its progress in promoting the principles of good governance in order to take action to correct any identified issues. | | UNHCR. (n.d. [09]). <i>A Practical Guide to Capacity Building as a Feature of UNHCR's Humanitarian Programmes</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3bbd64845.html UNHCR. (2013 [05]). <i>Note on International Protection: Report of the High Commissioner (A/AC.96/1122)</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5232cc309.html UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml |
| Overall Score MI 4.3 | | White diamond (◊) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 4.4 Emergency preparedness and response | 1. The organisation has a policy or strategic framework on emergency preparedness and response or has clearly stated emergency preparedness and response results as part | Met | UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012 Awad, A. (2013). <i>Introductory Statement "Emergency Preparedness and Response"</i> . Division of Emergency, Security and Supply of United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/514301e39.pdf UNHCR. (2013 [31]). <i>Inter-Office Memorandum No. 056/2013: Guidance note on the Preparedness Package</i> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|--|
| | of its organisation-wide strategic plan. | | <p>for <i>Refugee Emergencies</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> |
| | 2.. Country strategy/programming documents also articulate emergency preparedness and response as a priority. More than half of the country-level strategies and results frameworks sampled include results that integrate emergency preparedness and response. | Not met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [33]). <i>UNHCR Global Appeal 2012-2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> |
| | 3. The organisation has clearly defined roles and responsibilities with regard to emergency preparedness and response. | Met | <p>UNHCR. (2013 [31]). <i>Inter-Office Memorandum No. 056/2013: Guidance note on the Preparedness Package for Refugee Emergencies</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> |
| | 4. There is evidence that the organisation has resourced its policy/strategy for emergency preparedness and response (in terms of staffing, funding, and technical expertise). | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012</p> <p>Awad, A. (2013). <i>Introductory Statement "Emergency Preparedness and Reponse"</i>. Division of Emergency, Security and Supply of United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/514301e39.pdf</p> <p>UNHCR. (2014 [01]). <i>Division of Emergency, Security and Supply Organizational Chart</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4bffd1c89.html</p> <p>UNHCR. (2014 [02]). <i>Emergency Response [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved February 21, 2014, from http://www.unhcr.org/pages/503352e46.html</p> <p><i>UNHCR Regional Centre for Emergency Preparedness [UNHCR website]</i>. United Nations High Commissioner</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|------------|--|
| | | | for Refugees. Retrieved from http://www.the-ecentre.net/ UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml |
| | 5. There is evidence that the organisation monitors its progress in emergency preparedness and response in order to take action to correct any identified issues. | Met | UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml Richardson, L., Bush, A., & Ambroso, G. (2013). <i>An Independent Review of UNHCR's Response to the Somali Refugee Influx in Dollo Ado, Ethiopia, 2011</i> . International Public Nutrition Resource Group. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=51bec18a9&query=contingency%20plan Ambroso, G., Janz, J., Lee, V., & Salomons, M. (2013). <i>Flooding Across the Border: A review of UNHCR's response to the Sudanese refugee emergency in South Sudan</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/51e94e689.html Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html UNHCR. (2013). <i>Management Response to the Recommendations of "From Slow Boil to Boiling Point" – A real-time evaluation of UNHCR's response to the Syrian refugee crisis</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5310acb19.html UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012 |
| Overall Score MI 4.4 | | Strong (5) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|--------|--|
| MI 5.1 Country results frameworks have causal links from inputs through to outputs/outcomes | 1. At least half of the countries sampled have results framework(s), either contained within the strategic plan or as a separate document which is referred to by the strategic plan. | Met | UNHCR. (2014 [31]). <i>Global Focus [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years |
| | 2. More than half of the country strategies/results | Met | Ibidem |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|------------|---|
| | frameworks contain both statements of outputs and expected outcomes appropriate to their results level (i.e. what are called outputs are actually outputs, and what are called outcomes are actually outcomes). | | |
| | 3. More than half of the country strategies/results frameworks sampled implicitly or explicitly describes the results chain – that is, how the outputs in the results framework(s) are linked to the expected outcomes. | Met | Ibidem |
| | 4. In more than half of the country strategies/results frameworks there is a clear and logical progression from inputs to outputs and any higher-level results (e.g. outcomes and impacts). | Met | Ibidem |
| | 5. All above criteria are met for all country strategies/results frameworks sampled. | Not met | |
| Overall Score MI 5.1 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|------------|--|
| MI 5.2 Performance indicators are included in country plans and strategies at a delivery (output) and humanitarian results level (outcome) | 1. In all the country strategies sampled, few of the performance indicators at the outcome level and output level are SMART. | Met | UNHCR. (2014 [31]). <i>Global Focus [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opedocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years |
| | 2. In all the country strategies sampled, some of the performance indicators at the outcome level and output level are SMART. | Met | Ibidem |
| | 3. In all the country strategies sampled, most of the performance indicators at the outcome level and output level are SMART. | Met | Ibidem |
| | 4. In at least half of the country strategies sampled, all performance indicators at the outcome level and output level are SMART. | Met | Ibidem |
| | 5. In all the country strategies sampled, all performance indicators at the outcome level and output level are SMART. | Not met | |
| Overall Score MI 5.2 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| 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) | 1. The MO has a corporate policy/strategy on conducting assessments of the needs of its target populations (i.e. refugees and other persons of concern). | Met | <p>UNHCR. (2005 [08]). <i>UNHCR Manual, Section 3.2, Chapter 4: Assessment</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2010 [22]). <i>Inter-Office Memorandum 008/2010 - Annex 4: Recording Comprehensive Needs Assessments as part of Comprehensive Plans for 2011</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2010 [02]). <i>Global Needs Assessment: Prioritization (EC/61/SC/CRP.4)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4b9104a49.html</p> |
| | 2. The MO has clear guidelines and trains staff in conducting needs assessments. | Met | <p>UNHCR. (2006 [07]). <i>UNHCR Tool for Participatory Assessment in Operations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=462df4232</p> <p>UNHCR. (n.d. [51]). <i>Results-Based Management in UNHCR [Draft]</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2013). <i>Comprehensive Needs Assessment [Global Focus website]</i>. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2012/1/2/3/rbm_mechanism/planning_framework/comprehensive_needs_assessment.html</p> <p>UNHCR. (2008 [02]). <i>A Quick Guide to the Global Needs Assessment, Results-Based Management and Focus</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=498704a22&query=management%20results%20framework</p> |
| | 3. There is documented evidence that the corporately-approved assessment methodology is systematically implemented. | Met | <p>Bourgeois, C., Diagne, K., & Tennant, V. (2007). <i>Real Time Evaluation of UNHCR's IDP operation in the Democratic Republic of Congo</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/46ea97fe2.html</p> <p>Kiragu, E., Li Rosi, A., & Morris, T. (2011). <i>States of Denial: A review of UNHCR's response to the protracted situation of stateless Rohingya refugees in Bangladesh</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4ee754c19.html</p> <p>OCHA. (2013 [03]). <i>Plan de Réponse Stratégique: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/SRP_2014_DRC_FR.pdf</p> <p>OCHA. (2013 [04]). <i>Récapitulatif des Besoins Humanitaires: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/HNO_2014_DRC.pdf</p> <p>UNHCR. (2007 [09]). <i>Bangladesh: Analysis of gaps in the protection of Rohingya refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/46fa1af32.html</p> <p>UNHCR. (2007 [10]). <i>Refugee Consultations: Bangladesh</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/46fa1f0e2.html</p> <p>UNHCR. (2013 [38]). <i>A Review of UNHCR Participatory Assessments in 2012</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|------------|--|
| | | | <p>UNHCR & WFP. (2008 [01]). <i>Report of the WFP-UNHCR Joint Assessment Mission, 15th-24th June 2008, Bangladesh</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.unhcr.org/4bb0a8a09.html</p> <p>UNHCR. (2010 [02]). <i>Global Needs Assessment: Prioritization (EC/61/SC/CRP.4)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4b9104a49.html</p> <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> |
| | 4. There is documented evidence that assessments of needs are produced in a timely manner and used to inform the design of the MO's humanitarian responses. | Met | <p>UNHCR. (2005 [08]). <i>UNHCR Manual, Section 3.2, Chapter 4: Assessment</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2006 [07]). <i>UNHCR Tool for Participatory Assessment in Operations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=462df4232</p> <p>UNHCR. (2013 [38]). <i>A Review of UNHCR Participatory Assessments in 2012</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2010 [22]). <i>Inter-Office Memorandum 008/2010 - Annex 4: Recording Comprehensive Needs Assessments as part of Comprehensive Plans for 2011</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> |
| | 5. The MO has a quality assurance mechanism in place to review completed needs assessments and ensure their improvement over time. | Not met | <p>UNHCR. (2013 [38]). <i>A Review of UNHCR Participatory Assessments in 2012</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> |
| Overall Score MI 5.4 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|---------|--|
| MI 5.5 Contingency plans are in place should a major increase or scale up of humanitarian actions be required | 1. The MO has a policy related to the development of contingency plans. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (1996 [01]). <i>Contingency Planning Guidelines: A practical guide for field staff</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/3dedde542.html</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>IASC. (2007 [01]). <i>Inter-agency Contingency Planning Guidelines for Humanitarian Assistance</i>. Inter-agency Standing Committee. Retrieved from http://www.humanitarianinfo.org/iasc/pagelader.aspx?page=content-products-products&productcatid=13</p> |
| | 2. There is evidence that the MO commits to testing contingency planning processes through exercises (e.g. table-top exercises). | Not met | <p>IASC. (2007 [01]). <i>Inter-agency Contingency Planning Guidelines for Humanitarian Assistance</i>. Inter-agency Standing Committee. Retrieved from http://www.humanitarianinfo.org/iasc/pagelader.aspx?page=content-products-products&productcatid=13</p> |
| | 3. The MO has developed contingency plans for emerging or anticipated crises. | Met | <p>UNHCR Lebanon. (2013 [01]). <i>Inter-Agency Contingency Plan for Syrian Refugees (V.2)</i>. United Nations High Commissioner for Refugees Lebanon Branch Office. Retrieved from data.unhcr.org/syrianrefugees/download.php?id=2448</p> <p>Richardson, L., Bush, A., & Ambroso, G. (2013). <i>An Independent Review of UNHCR's Response to the Somali Refugee Influx in Dollo Ado, Ethiopia, 2011</i>. International Public Nutrition Resource Group. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=51bec18a9&query=contingency%20plan</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> <p>UNHCR. (2013). <i>Management Response to the Recommendations of "From Slow Boil to Boiling Point" – A real-time evaluation of UNHCR's response to the Syrian refugee crisis</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5310acb19.html</p> <p>Ambroso, G., Janz, J., Lee, V., & Salomons, M. (2013). <i>Flooding Across the Border: A review of UNHCR's response to the Sudanese refugee emergency in South Sudan</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/51e94e689.html</p> <p>Ambroso, G., Collyer, M., Li Rosi, A. (2013). <i>Leaving Libya: A review of UNHCR's emergency operation in Tunisia and Egypt, 2011-2012</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/516427249.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-----------------|--|
| | 4. There is evidence that contingency planning within the MO is a participatory process (i.e. it includes all those who will be required to work together in the event of an emergency). | Met | <p>UNHCR. (1996 [01]). <i>Contingency Planning Guidelines: A practical guide for field staff</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/3dedde542.html</p> <p>IASC. (2007 [01]). <i>Inter-agency Contingency Planning Guidelines for Humanitarian Assistance</i>. Inter-agency Standing Committee. Retrieved from http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&productcatid=13</p> <p>UNHCR Lebanon. (2013 [01]). <i>Inter-Agency Contingency Plan for Syrian Refugees (V.2)</i>. United Nations High Commissioner for Refugees Lebanon Branch Office. Retrieved from data.unhcr.org/syrianrefugees/download.php?id=2448</p> <p>Ambroso, G., Janz, J., Lee, V., & Salomons, M. (2013). <i>Flooding Across the Border: A review of UNHCR's response to the Sudanese refugee emergency in South Sudan</i>. UNHCR Policy Development and Evaluation toService (PDES). Retrieved from http://www.unhcr.org/51e94e689.html</p> |
| | 5. There is evidence that the contingency plans sampled are regularly reviewed and updated. | Not met | <p>UNHCR. (1996 [01]). <i>Contingency Planning Guidelines: A practical guide for field staff</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/docid/3dedde542.html</p> <p>IASC. (2007 [01]). <i>Inter-agency Contingency Planning Guidelines for Humanitarian Assistance</i>. Inter-agency Standing Committee. Retrieved from http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&productcatid=13</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [28]). <i>Update on UNHCR's Operations in Africa</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=524299e09&query=%22contingency%20planning%22</p> <p>UNHCR Lebanon. (2013 [01]). <i>Inter-Agency Contingency Plan for Syrian Refugees (V.2)</i>. United Nations High Commissioner for Refugees Lebanon Branch Office. Retrieved from data.unhcr.org/syrianrefugees/download.php?id=2448</p> |
| Overall Score MI 5.5 | | Adequate (4) | |

PERFORMANCE AREA II – OPERATIONAL MANAGEMENT

KPI 6. The MO's development cooperation funding is transparent and predictable

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 6.1 The MO's criteria for allocating un-earmarked resources are transparent | 1. A policy for the allocation of un-earmarked resources clearly describes how these resources are allocated to humanitarian operations. | Met | <p>UNHCR. (2013 [07]). Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125). United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> <p>UNHCR. (2013 [08]). Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Corrigendum (A/AC.96/1125/Corr.1). United Nations General Assembly. Retrieved from http://www.unhcr.org/524141989.html</p> <p>UNHCR. (2013 [09]). Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, <i>Addendum; Report by the Advisory Committee on Administrative and Budgetary Questions</i> (A/AC.96/1125/Add.1). United Nations General Assembly. Retrieved from http://www.unhcr.org/5244411f9.html</p> <p>UNHCR. (2012 [02]). Biennial Programme Budget 2012-2013 (Revised) of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, <i>Addendum; Report by the Advisory Committee on Administrative and Budgetary Questions</i> (A/AC.96/1112/Add.1). United Nations General Assembly. Retrieved from http://www.unhcr.org/506e9fd19.pdf</p> <p>UNHCR. (2014 [04]). Update on Budgets and Funding for 2013 and 2014 (EC/65/SC/CRP.6/Rev.1). Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319e6679.html</p> <p>UNHCR. (2014 [15]). Contributions to UNHCR for Budget Year 2014 as at 08 May 2014. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/536c960a9.html</p> <p>UNHCR. (n.d. [17]). UNHCR Global Appeal 2010-2011: Identifying needs and budget requirements. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4b03cd33128.pdf</p> <p>ACABQ. (2012 [01]). Financial Reports and Audited Financial Statements and Reports of the Board of Auditors for the Period Ended 31 December 2011: Report of the Advisory Committee on Administrative and Budgetary Questions (A/67/381). United Nations General Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/67/381</p> <p>Matsuura-Mueller, K. (2013 [02]). Proposed Biennial Programme Budget 2014-2015 (A/AC.96/1125) [PowerPoint slides]. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/523ff5e19.pdf</p> <p>Matsuura-Mueller, K. (2014 [01]). Update on Budgets and Funding for 2013 and 2014 (EC/65/SC/CRP.6/Rev.1) [PowerPoint slides]. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5319e0419.html</p> <p>Matsuura-Mueller, K., & Ryan, L. (2013 [01]). UNHCR's Budget Process and Prioritization [PowerPoint slides]. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5165588e9.pdf</p> <p>UNHCR. (2007 [08]). Proposal for the Redesign of UNHCR's Budget Structure, Informal consultative meeting, 23 January 2007. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/45a751bd2.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-------------------|---|
| | | | UNHCR. (2011 [19]). <i>Inter-Office Memorandum No. 017/2011: Instructions and Guidelines to UNHCR Field Offices and Headquarters Units on Planning for 2012-2013 – Part II: Planning and Priorities for 2012-2013</i> [Internal document]. United Nations High Commissioner for Refugees. |
| | 2. The policy is periodically reviewed by the governing bodies as necessary. | Met | UNHCR. (2013 [09]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Addendum; Report by the Advisory Committee on Administrative and Budgetary Questions (A/AC.96/1125/Add.1)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5244411f9.html |
| | 3. There is evidence of the application of this policy. | Not met | |
| | 4. The policy is available on the agency's public website. | Not met | |
| | 5. The policy is available in more than one of the UN official languages. | Not met | |
| Overall Score MI 6.1 | | Inadequate (3) | |

KPI 7. The MO engages in results-based budgeting

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|---|
| MI 7.1 Budget allocations are linked to expected results | 1. In the most recent annual or multi-year organisation-wide budget, budgetary information illustrates how resources are distributed across strategic objectives or higher-level results. | Met | <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> <p>UNHCR. (2013 [08]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Corrigendum (A/AC.96/1125/Corr.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/524141989.html</p> <p>UNHCR. (2013 [09]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Addendum; Report by the Advisory Committee on Administrative and Budgetary Questions (A/AC.96/1125/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5244411f9.html</p> <p>UNHCR. (2012 [02]). <i>Biennial Programme Budget 2012-2013 (Revised) of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Addendum; Report by the Advisory Committee on Administrative and Budgetary Questions (A/AC.96/1112/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/506e9fd19.pdf</p> <p>UNHCR. (2014 [04]). <i>Update on Budgets and Funding for 2013 and 2014 (EC/65/SC/CRP.6/Rev.1)</i>. Executive</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|---|
| | | | <p>Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319e6679.html</p> <p>UNHCR. (2014 [15]). <i>Contributions to UNHCR for Budget Year 2014 as at 08 May 2014</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/536c960a9.html</p> <p>UNHCR. (n.d. [17]). <i>UNHCR Global Appeal 2010-2011: Identifying needs and budget requirements</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4b03cd33128.pdf</p> <p>ACABQ. (2012 [01]). <i>Financial Reports and Audited Financial Statements and Reports of the Board of Auditors for the Period Ended 31 December 2011: Report of the Advisory Committee on Administrative and Budgetary Questions (A/67/381)</i>. United Nations General Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/67/381</p> <p>UNHCR. (2007 [08]). <i>Proposal for the Redesign of UNHCR's Budget Structure, Informal consultative meeting, 23 January 2007</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/45a751bd2.pdf</p> |
| | 2. Some output costs and/or outcome costs in both the programme and management results frameworks are presented in the budget document. | Not met | |
| | 3. Most output costs and/or outcome costs in both the programme and management results frameworks are presented in the budget document. | Not met | <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> |
| | 4. There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system). | Met | <p>UNHCR. (2013 [08]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Corrigendum (A/AC.96/1125/Corr.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/524141989.html</p> <p>ACABQ. (2010 [01]). <i>Biennial Programme Budget 2010-2011 (Revised) of the Office of the United Nations High Commissioner for Refugees, Addendum: Report by the Advisory Committee on Administrative and Budgetary Questions (EC/61/SC/CRP.27)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4c99bb0a9.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-----------------|--|
| | 5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to outcome. | Met | UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements [as at January 2014]</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.htm |
| Overall Score MI 7.1 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|---------|--|
| MI 7.2 Expenditures are linked to results | 1. In recent reports to the governing bodies, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan. | Met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml UNHCR. (2014 [31]). <i>Global Focus</i> . [UNHCR website]. United Nations High Commissioner for Refugees. Retrieved July 15, 2014 from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en |
| | 2. Recent reports to the governing bodies align expenditures with organisation-wide results (i.e. the reports show how much was spent to achieve outputs or make progress towards outcomes). | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml UNHCR. (2014 [31]). <i>Global Focus</i> [UNHCR website]. United Nations High Commissioner for Refugees. Retrieved July 15, 2014 from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html |
| | 3. In recent reports to the governing bodies, variances in organisation-wide expenditures and results achievement (i.e. differences between planned and actual expenditures, and | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml UNHCR. (2014 [31]). [UNHCR website]. United Nations High Commissioner for Refugees. Retrieved July 15, 2014 from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|---|
| | between planned and actual results achievements) are reported. | | |
| | 4. If the third criterion is met , variances in organisation-wide expenditure and results achievement (i.e. differences between planned and actual expenditures, and between planned and actual results achievements) are explained. | Not met | |
| | 5. In the documents consulted, there is evidence of consistent improvement over time in the way that expenditures are linked to organisation-wide results. | Met | <p>UNHCR. (2013 [08]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, Corrigendum (A/AC.96/1125/Corr.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/524141989.html</p> <p>ACABQ. (2010 [01]). <i>Biennial Programme Budget 2010-2011 (Revised) of the Office of the United Nations High Commissioner for Refugees, Addendum: Report by the Advisory Committee on Administrative and Budgetary Questions (EC/61/SC/CRP.27)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4c99bb0a9.html</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.htm</p> <p>UNHCR. (2014 [30]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2012 Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cc289.html</p> <p>UNHCR. (2014 [39]). <i>Follow-up to the Recommendations of the Board of Auditors on the Financial Statements</i></p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|----------------------|----------|-------------------|---|
| | | | for Previous Years (EC/65/SC/CRP.5) [as at February 2014]. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319e6349.html |
| Overall Score MI 7.2 | | Inadequate (3) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|--|
| MI 8.1 External financial audits meeting recognized international standards are performed across the organisation (External or UN Board of Auditors) | 1. Annual (or biennial) organisation-wide reports on financial performance exist. | Met | UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf |
| | 2. If the first criterion is met , the most recent financial report reviewed includes an audit opinion or is accompanied by a letter from the external auditor confirming that an external financial audit was undertaken at the organisation-wide level. | Met | UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html UNBOA. (n.d. [01]). <i>Rules of Procedure [UNBOA website]</i> . United Nations Board of Auditors. Retrieved January 14, 2014, from http://www.un.org/en/auditors/board/rop.shtml#VII UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf |
| | 3. If the first two criteria are met , the letter or audit opinion from the external auditor confirms that the external financial audit was undertaken in accordance with | Met | UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf UNBOA. (n.d. [02]). <i>Modus Operandi of the Board [UNBOA website]</i> . United Nations Board of Auditors. Retrieved March 26, 2014, from http://www.un.org/en/auditors/board/modusop.shtml |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-----------------|--|
| | international standards. | | |
| | 4. If the third criterion is met , all financial reports reviewed include an audit opinion or are accompanied by a letter from the external auditor confirming that the external financial audit was undertaken in accordance with international standards. | Met | UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf |
| | 5. The organisation's external audit reports are made available to the public, either by request or on line. | Met | Ibidem |
| Overall Score MI 8.1 | | Very strong (6) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|--|
| MI 8.2 External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate) | 1. The documents available provide evidence that external financial audits are performed at regional, country, or project levels (as appropriate). | Met | UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i> . United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i> . United Nations General Assembly. Retrieved from |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|--------|--|
| | | | http://www.unhcr.org/5052e21d9.pdf UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf UNBOA. (2012 [03]). <i>UN High Commissioner for Refugees External Audit Planning Report for 2012 [Internal document]</i> . United Nations Board of Auditors. UNHCR. (2003 [02]). <i>Partnership: An operations management handbook for UNHCR's partners</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4a39f7706.html |
| | 2. There are established rules/procedures for the conduct of external financial audits in the organisation. | Met | UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i> . United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E UNHCR. (2003 [02]). <i>Partnership: An operations management handbook for UNHCR's partners</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4a39f7706.html |
| | 3. The rules/procedures ensure ample external audit coverage of the organisation's programmes and operations. | Met | UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i> . United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E UNHCR. (2003 [02]). <i>Partnership: An operations management handbook for UNHCR's partners</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4a39f7706.html |
| | 4. The evidence also indicates that the external financial audits are carried out using international standards, or provides an indication that the MO uses national audit systems and procedures. | Met | UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i> . United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E UNBOA. (2012 [03]). <i>UN High Commissioner for Refugees External Audit Planning Report for 2012 [Internal document]</i> . United Nations Board of Auditors. UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i> . United Nations General Assembly. Retrieved from |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
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| | | | http://www.unhcr.org/5052e21d9.pdf UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf |
| | 5. External financial audit reports at the country, project, and/or regional levels are made available to the public by the MO, either by request or on line. | Not met | |
| Overall Score MI 8.2 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
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| MI 8.3 Internal financial audit processes are used to provide management/ governing bodies with credible information | 1. There is evidence of practice of internal financial audits in the organisation. | Met | <p>UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services, A/AC.96/1126</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html</p> <p>OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services, A/AC.96/1113</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html</p> <p>OIOS. (2011 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2010-2011): Report by the Office of Internal Oversight Services, A/AC.96/1101</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268dad9.pdf</p> <p>OIOS. (2007 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2006-2007): Report by the Office of Internal Oversight Services (A/AC.96/1041)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/46a477cc2.html</p> <p>OIOS Internal Audit Division. (2013 [01]). <i>Audit Report 2013/052: Audit of the United Nations High Commissioner for Refugees Security Budget Management (2012/167/01)</i>. Office of Internal Oversight Services. Retrieved from http://www.un.org/depts/oios/pages/iad_rpm/2013_052_pd.pdf</p> |
| | 2. There is evidence that the internal audit function | Met | OIOS Internal Audit Division. (2009 [01]). <i>Audit Manual</i> . United Nations. Retrieved from |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|--------|--|
| | is separate from the programming areas, enabling it to provide an "independent" audit opinion. (The key is that internal auditors are not influenced by the programs they are auditing.) | | http://www.un.org/Depts/oios/pages/audit%20manual%20-%20march%202009%20edition.pdf UNBOA. (2006 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2005 and report of the Board of Auditors, A/61/5/Add.5</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=460140602&query=financial%20statements%20audited%20voluntary%20administered%20commissioner%20refugees%20report%20december%20auditors OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services, A/AC.96/1126</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services, A/AC.96/1113</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html OIOS. (2011 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2010-2011): Report by the Office of Internal Oversight Services, A/AC.96/1101</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268dad9.pdf |
| | 3. There is evidence that the internal audit function reports directly at least to the Chief Executive Officer/Executive Director, thus providing maximum assurance of its independence from programming. | Met | OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services, A/AC.96/1126</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services, A/AC.96/1113</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html OIOS. (2011 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2010-2011): Report by the Office of Internal Oversight Services, A/AC.96/1101</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268dad9.pdf IAOC. (2013 [01]). <i>Report of the Independent Audit and Oversight Committee, 2012-2013 (EC/64/SC/CRP.21)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0b339.pdf UNHCR. (2011 [14]). <i>Establishment of an Independent Audit and Oversight Committee (EC/62/SC/CRP.24/Rev.2)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e1416c59.html |
| | 4. Reports available from the audit committee (or equivalent) of the governing bodies confirm receipt of internal audit information. | Met | Ibidem UN General Assembly. (2005 [01]). <i>Resolution 59/272: Review of the implementation of General Assembly resolutions 48/218 B and 54/244, A/RES/59/272 (2 February 2005)</i> . Retrieved from http://www.un.org/depts/oios/pages/iad_rpm/a-res-59-272.pdf |
| | 5. There is evidence of management and | Met | UNHCR. (2013 [22]). <i>Report of the Fifty-eighth Meeting of the Standing Committee, 17-18 September 2013</i> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-----------------|---|
| | governing bodies' use of internal audit information. | | (A/AC.96/1130). United Nations General Assembly. Retrieved from http://www.unhcr.org/525281a09.html UNHCR. (2012 [27]). <i>Report of the Fifty-fifth Meeting of the Standing Committee (18-19 September 2012)</i> , A/AC.96/1117. United Nations General Assembly. Retrieved from http://www.unhcr.org/506ea0c09.html UNHCR. (2011 [20]). <i>Report of the Fifty-second Meeting of the Standing Committee (20 September 2011)</i> , A/AC.96/1105. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e8ec4ab5.html |
| Overall Score MI 8.3 | | Adequate (4) | UNHCR meets all five of the MI criteria. However, due to concerns that OIOS's internal audit services may not be providing adequate coverage of UNHCR's operations [as noted in the Board of Auditors Report (UNBOA, 2012 [01]), the assessment team rated this MI adequate overall. |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|---|
| MI 8.4 The MO implements its policy on anti-corruption | 1. Policy, framework, and/or guidelines on anti-corruption are corporately approved (i.e. not in draft form). | Met | <p>UNHCR. (2013 [39]). <i>Strategic Framework for the Prevention of Fraud and Corruption [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> <p>UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html</p> <p>OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services (A/AC.96/1113)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.htm</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i>. Executive Committee of the High</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|---|
| | | | <p>Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6) [as at February 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2012 [03]). <i>Follow-up to the Recommendations of the Board of Auditors in their 2011 Report on 2010 Accounts [as at August 2012]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=5059de489&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20the%20audited%20financial%20statements%20of%202011%20and%20previous%20years</p> |
| | 2. If the first criterion is met, the policy or framework defines the roles and responsibilities of management, staff and experts/specialists in implementing and complying with the policy. | Met | <p>UNHCR. (2013 [39]). <i>Strategic Framework for the Prevention of Fraud and Corruption [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> |
| | 3. There is evidence that the policy or framework is being operationalised (e.g. training for staff, incentive and reward structures for staff, complaint and advocacy mechanisms, whistle blowing mechanisms). | Met | <p>UNHCR. (2013 [39]). <i>Strategic Framework for the Prevention of Fraud and Corruption [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2009 [07]). <i>Report on the Ethics Office (EC/60/SC/CRP.21)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4abb8c729.pdf</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> |
| | 4. There is evidence that the implementation of the policy or framework is being monitored. | Not met | <p>UNHCR. (2013 [39]). <i>Strategic Framework for the Prevention of Fraud and Corruption [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|-----------------|--|
| | | | <p>UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> <p>UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html</p> <p>UNHCR. (2013 [12]). <i>Report on Activities of the Inspector General's Office (A/AC.96/1127)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/521f3acb9.html</p> <p>UNHCR. (2012 [16]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1114)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/50349fc29.html</p> <p>UNHCR. (2011 [12]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1102)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268e5d5.html</p> |
| | 5.5. There is evidence that problematic practices identified in the monitoring process are being changed. | Not met | <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.htm</p> |
| Overall Score MI 8.4 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|---|
| MI 8.5 Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level | 1. There is a policy on audit that refers to measures to be taken against irregularities identified in audits | Met | <p>UNHCR. (2011 [07]). <i>Financial Rules for Voluntary Funds Administered by the High Commissioner for Refugees: Revised by the High Commissioner (A/AC.96/503/Rev.10)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4b693d089.html</p> <p>UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i>. United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html</p> |
| | 2. Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during audits. | Not met | |
| | 3.3. If the second criterion is met , these guidelines set timelines for the response to irregularities identified during an audit, including any suspicion or allegations of corruption and fraud (i.e., the managers have to respond to audit findings within a certain period of time). | Not met | <p>UN General Assembly. (1993 [01]). <i>Resolution 47/211: Financial reports and audited financial statements, and reports of the Board of Auditors, A/RES/47/211 (24 march 1993)</i>. United Nations General Assembly. Retrieved from http://www.worldlii.org/int/other/UNGARsn/1992/287.pdf</p> <p>UN General Assembly. (1994 [01]). <i>Resolution 48/216: Financial reports and audited financial statements, and reports of the Board of Auditors, A/RES/48/216 (23 February 1994)</i>. United Nations General Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/48/216</p> <p>UNHCR. (2013 [15]). <i>Financial Statements for the Year 2012 as Contained in the Report of the Board of Auditors to the General Assembly on the Audited Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for Refugees for the Period Ended December 2012: Report by the High Commissioner; Addendum: Key issues and measures taken in response to the Report of the Board of Auditors for 2012 (A/AC.96/1124/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5237203b9.html</p> <p>UNHCR. (2012 [04]). <i>Accounts for the Year 2011 as Contained in the Report of the Board of Auditors to the General Assembly on the Accounts of the Voluntary Funds Administered by the UNHCR for the Period Ended December 2011: Report by the High Commissioner; Addendum: Main risk areas and measures taken in response to the Report of the Board of Auditors for 2011 (A/AC.96/1111/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/505317a29.html</p> <p>UN Secretary-General. (2013 [04]). <i>Implementation of the Recommendations of the Board of Auditors Contained in its Reports on the United Nations Funds and Programmes for the Financial Period Ended 31 December 2012 (A/68/350)</i>. United Nations General Assembly. Retrieved from http://www.unicef.org/about/execboard/files/A-68-350-Rec_of_Board_of_Auditors-ODS-English.pdf</p> |
| | 4. There is evidence in audit reports to the | Met | UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6) [as at February 2013]</i> . Executive Committee of the High Commissioner's |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|--------|--|
| | governing bodies or other documents that audit recommendations are followed up by management. | | <p>Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2012 [06]). <i>Follow-up to the Recommendations of the Board of Auditors on the Accounts for Previous Years (EC/63/SC/CRP.5) [as at February 2012]</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4f6215299.pdf</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2012 [03]). <i>Follow-up to the Recommendations of the Board of Auditors in their 2011 Report on 2010 Accounts [as at August 2012]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=5059de489&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20the%20audited%20financial%20statements%20of%202011%20and%20previous%20years</p> <p>UNHCR. (2013 [15]). <i>Financial Statements for the Year 2012 as Contained in the Report of the Board of Auditors to the General Assembly on the Audited Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for Refugees for the Period Ended December 2012: Report by the High Commissioner; Addendum: Key issues and measures taken in response to the Report of the Board of Auditors for 2012 (A/AC.96/1124/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5237203b9.html</p> <p>UN General Assembly. (1994 [01]). <i>Resolution 48/216: Financial reports and audited financial statements, and reports of the Board of Auditors, A/RES/48/216 (23 February 1994)</i>. United Nations General Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/48/216</p> <p>UN Secretary-General. (2013 [04]). <i>Implementation of the Recommendations of the Board of Auditors Contained in its Reports on the United Nations Funds and Programmes for the Financial Period Ended 31 December 2012 (A/68/350)</i>. United Nations General Assembly. Retrieved from http://www.unicef.org/about/execboard/files/A-68-350-Rec_of_Board_of_Auditors-ODS-English.pdf</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html</p> |
| | 5. Major or systemic irregularities are reported to the governing bodies, as appropriate. | Met | <p>UN. (2003 [01]). <i>Financial Regulations and Rules of the United Nations: Secretary-General's bulletin (ST/SGB/2003/7)</i>. United Nations. Retrieved from http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2003/7&Lang=E</p> <p>OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i>. United Nations General Assembly.</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|----------|-----------------|---|
| | | | Retrieved from http://www.unhcr.org/5232cc699.html OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services (A/AC.96/1113)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html OIOS. (2011 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2010-2011): Report by the Office of Internal Oversight Services, (A/AC.96/1101)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268dad9.pdf |
| Overall Score MI 8.5 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|---|
| MI 8.6 The MO's procurement procedures provide effective control on purchases of goods and services | 1. There is a policy and/or guidelines on procurement procedures. | Met | UN. (2013 [01]). <i>United Nations Procurement Manual Version 7.0 - 01 July 2013</i> . United Nations Department of Management Office of Central Support Services Procurement Division. Retrieved from http://www.un.org/depts/ptd/pdf/pm.pdf UNHCR. (n.d. [87]). <i>UNHCR Contractual Arrangements [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved August 11, 2014, from www.unhcr.org/pages/49fd3ba6.html UNHCR. (2007 [03]). <i>Doing Business with the United Nations High Commissioner for Refugees</i> . Retrieved from http://www.unhcr.org/3b9203194.html UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html UNHCR. (2011 [23]). <i>UNHCR's supply chain management strategy (EC/62/SC/CRP.4)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c929.html |
| | 2. These procedures take into account both price/cost and quality considerations. | Met | UN. (2013 [01]). <i>United Nations Procurement Manual Version 7.0 - 01 July 2013</i> . United Nations Department of Management Office of Central Support Services Procurement Division. Retrieved from http://www.un.org/depts/ptd/pdf/pm.pdf UNHCR. (2011 [23]). <i>UNHCR's supply chain management strategy (EC/62/SC/CRP.4)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c929.html UNHCR. (2007 [03]). <i>Doing Business with the United Nations High Commissioner for Refugees</i> . Retrieved from http://www.unhcr.org/3b9203194.html |
| | 3. The policy/guidelines lay out a transparent process for making procurement decisions. | Met | UNHCR. (2007 [03]). <i>Doing Business with the United Nations High Commissioner for Refugees</i> . Retrieved from http://www.unhcr.org/3b9203194.html UNHCR. (2011 [23]). <i>UNHCR's supply chain management strategy (EC/62/SC/CRP.4)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c929.html |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|--------------|--|
| | 4. Evidence in documents suggests that the MO regularly reviews its procurement practice to introduce improvements in the system. | Met | <p>UNBOA. (2014 [01]). <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2013 and Report of the Board of Auditors (A/69/5/Add.6)</i>. United Nations general Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/69/5/ADD.6</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> |
| | 5. An audit, evaluation or other review has been undertaken of the MO's procurement processes and finds that these are effective, generally ensuring accountability and control. | Not met | |
| Overall Score MI 8.6 | | Adequate (4) | While UNHCR has recently addressed most of the recommendations on the procurement function from the United Nations Board of Auditors, there are still some ongoing issues with the procurement systems. Many of the measures put in place to improve the procurement process are new, and it will take some time before their full effect can be felt across the organisation. For this reason, UNHCR is rated adequate on this MI. |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|---|
| MI 8.7 The MO has strategies in place for risk management (identification, mitigation, contingency planning, monitoring and reporting) | 1. The MO has an organisation-wide policy, framework and/or guidelines on risk management (including contingency planning?). | Met | <p>UNHCR. (2014 [32]). <i>Policy for Enterprise Risk Management in UNHCR (UNHCR/HCP/2014/7) [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>Terzi, C., & Posta, I. (2010). <i>Review of the Enterprise Risk Management in the United Nations System: Benchmarking framework</i>. United Nations Joint Inspection Unit. Retrieved from https://www.unjiu.org/en/reports-notes/archive/Review%20of%20enterprise%20risk%20management%20in%20the%20United%20Nations%20system.pdf</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|--------|--|
| | | | <p>http://www.unhcr.org/522d97639.pdf UNBOA. (2012 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2011 and report of the Board of Auditors (A/67/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5052e21d9.pdf</p> <p>UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.htm</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6) [as at February 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2012 [03]). <i>Follow-up to the Recommendations of the Board of Auditors in their 2011 Report on 2010 Accounts [as at August 2012]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=5059de489&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20the%20audited%20financial%20statements%20of%202011%20and%20previous%20years</p> <p>IAOC. (2013 [01]). <i>Report of the Independent Audit and Oversight Committee, 2012-2013 (EC/64/SC/CRP.21)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0b339.pdf</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements</i>. Executive Committee of the High Commissioner's Programme. [Internal document]</p> |
| | 2. If the first criterion is met, these documents follow international standards on managing | Met | <p>UNHCR. (2014 [32]). <i>Policy for Enterprise Risk Management in UNHCR (UNHCR/HCP/2014/7) [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2012 [03]). <i>Follow-up to the Recommendations of the Board of Auditors in their 2011 Report on 2010 Accounts [as at August 2012]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|--|
| | risk, including a description of roles and responsibilities of key actors. | | http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=5059de489&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20the%20audited%20financial%20statements%20of%202011%20and%20previous%20years IAOC. (2013 [01]). <i>Report of the Independent Audit and Oversight Committee, 2012-2013 (EC/64/SC/CRP.21)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0b339.pdf OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html |
| | 3. If the first criterion is met , there is evidence that the risk management policy guidance applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels. | Met | UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6) [as at February 2013]</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years |
| | 4. If the first criterion is met , major risk analysis (significant programs, projects, etc.) is presented to the Board. | Not met | UNHCR. (2011 [16]). <i>Summary Report on Main Risk Areas Raised in the Report of the Board of Auditors on the Accounts for 2010 (EC/62/SC/CRP.28)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e79b2b69.pdf UNHCR. (2013 [15]). <i>Financial Statements for the Year 2012 as Contained in the Report of the Board of Auditors to the General Assembly on the Audited Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for Refugees for the Period Ended December 2012: Report by the High Commissioner; Addendum: Key issues and measures taken in response to the Report of the Board of Auditors for 2012 (A/AC.96/1124/Add.1)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5237203b9.html UNBOA. (2012 [02]). <i>Implementation of the Recommendations of the Board of Auditors Contained in its Reports on the United Nations Funds and Programmes for the Financial Period Ended 31 December 2011 (A/67/319/Add.1)</i> . United Nations General Assembly. Retrieved from http://www.un.org/ga/acabq/reports.asp?type=session&desc=A/67 |
| | 5. If the first criterion is met , management and/or governing body documents demonstrate utilisation of risk management policy and | Not met | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|-------------|-----------------|---|
| | procedures. | | |
| Overall Score MI 8.7 | | Adequate (4) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|---|
| MI 9.1 Performance information is used by the MO for revising policies and strategies | 1. Information on organisation-wide performance (i.e. progress towards objectives or key result areas) is available, for instance in annual performance reports, organisation-wide evaluations or audits. | Met | UNHCR. (2014 [40]). <i>The Global Report and Funding Reports [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved June 22, 2014, from http://www.unhcr.org/pages/49c3646c278.html OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2014 [41]). <i>Evaluation Reports [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved June 22, 2014, from http://www.unhcr.org/cgi-bin/texis/vtx/search?page=&comid=4a1d3b346&cid=49aea93a6a&scid=49aea93a39&keywords=evaluation%20report |
| | 2. There is evidence that the MO analyses/assesses its performance through regular reviews of progress on strategies and key policies. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml OIOS Internal Audit Division. (2011 [01]). <i>Audit Report: UNHCR's Arrangements for Policy Creation and Dissemination (Assignment No. AR2010/160/01)</i> . Office of Internal Oversight Services. [Internal document] UNHCR. (2014 [29]). <i>Policy on the Development, Management and Dissemination of UNHCR Internal Guidance Material (Ref. UNHCR/HCP/2013/1)</i> . United Nations High Commissioner for Refugees. [Internal document] |
| | 3. There is evidence that the MO adopts recommendations from organisation-wide audits, performance reports and/or evaluations. | Met | UNHCR. (2012 [03]). <i>Follow-up to the Recommendations of the Board of Auditors in their 2011 Report on 2010 Accounts</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=5059de489&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20the%20audited%20financial%20statements%20of%202011%20and%20previous%20years UNHCR. (2012 [06]). <i>Follow-up to the Recommendations of the Board of Auditors on the Accounts for Previous Years (EC/63/SC/CRP.5)</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4f6215299.pdf OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years</i> . Executive Committee of the High Commissioner's Programme. |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|---|
| | | | <p>Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2013 [14]). <i>Follow-up to the Recommendations of the Board of Auditors on Financial Statements for Previous Years (EC/64/SC/CRP.6)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=513f03c99&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29.html</p> <p>UNHCR. (2014 [30]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2012 Financial Statements [as at January 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cc289.html</p> <p>UNHCR. (2014 [39]). <i>Follow-up to the Recommendations of the Board of Auditors on the Financial Statements for Previous Years (EC/65/SC/CRP.5) [as at February 2014]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319e6349.html</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> |
| | 4. There is evidence that the MO revises and adjusts its policies and strategies in response to performance issues (problems and successes) raised in audits, performance reports and /or evaluations. | Met | <p>OIOS Internal Audit Division. (2011 [01]). <i>Audit Report: UNHCR's Arrangements for Policy Creation and Dissemination (Assignment No. AR2010/160/01)</i> [Internal document]. Office of Internal Oversight Services.</p> <p>UNHCR. (2014[29]). <i>Policy on the Development, Management and Dissemination of UNHCR Internal Guidance Material (Ref. UNHCR/HCP/2013/1)</i>. United Nations High Commissioner for Refugees. [Internal document]</p> <p>UNHCR. (2014 [17]). <i>Follow-up to the Recommendations of the Board of Auditors in their Report on 2011 and Previous Years Financial Statements</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319cbf29</p> <p>OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i>. United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf</p> |
| | 5. If the fourth criterion is met , there is evidence that the organisation is making systematic use of performance information for improvement of processes and performance and | Not met | Ibidem |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|----------------------|-----------------|---|
| | continuous learning. | | |
| Overall Score MI 9.1 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|---------|---|
| MI 9.2 Performance information is used by the MO for planning new interventions at the country level | 1. Information on the MO's performance in the country (i.e. progress towards outcomes) is available. | Met | UNHCR. (2014 [40]). <i>The Global Report and Funding Reports [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved May 21, 2014, from http://www.unhcr.org/pages/49c3646c278.html UNHCR. (2011[21]). <i>Global Focus Reporting on UNHCR's Operations Worldwide, 20 September 2011 [Internal document]</i> . United Nations High Commissioner for Refugees. UNHCR. (2007[15]). <i>Inter-Office Memorandum No. 051/2007: UNHCR's Revised Framework for Resource Allocation and Management [Internal document]</i> . United Nations High Commissioner for Refugees. |
| | 2. If the first criterion is met , for at least half of the countries reviewed, there is evidence of an analysis/assessment of performance (problems as well as successes). | Met | UNHCR. (2014 [40]). <i>The Global Report and Funding Reports [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved May 21, 2014 from http://www.unhcr.org/pages/49c3646c278.html UNHCR. (2014 [31]). <i>Global Focus. [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved July 15, 2014 from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en UNHCR. (2011 [19]). <i>Inter-Office Memorandum No. 017/2011: Instructions and Guidelines to UNHCR Field Offices and Headquarters Units on Planning for 2012-2013 – Part II: Planning and Priorities for 2012-2013 [Internal document]</i> . United Nations High Commissioner for Refugees. |
| | 3. If the second criterion is met , there is evidence of an analysis of the implications of this performance information on the planning of new interventions (i.e. how new interventions in the planning stage need to be altered, or what new interventions should be developed in response to the performance information). | Met | |
| | 4. If all above criteria are met , for at least half of | Not met | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|--|-----------------|---|
| | the countries reviewed, there is evidence from country strategies or reports that new interventions have been introduced in response to performance information. | | |
| | 5. If all above criteria are met , they are met for all countries reviewed. | Not met | |
| Overall Score MI 9.2 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|---|
| MI 9.3 Poorly performing programmes, projects and/or initiatives area addressed so as to improve performance | 1. The MO has a process for reviewing the performance of its programmes, projects or initiatives. | Met | <p>UNHCR. (2014 [40]). <i>The Global Report and Funding Reports [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved May 21, 2014, from http://www.unhcr.org/pages/49c3646c278.html</p> <p>UNHCR. (2011[21]). <i>Global Focus Reporting on UNHCR's Operations Worldwide, 20 September 2011 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2007[15]). <i>Inter-Office Memorandum No. 051/2007: UNHCR's Revised Framework for Resource Allocation and Management [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2014 [31]). <i>Global Focus. [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved July 15, 2014 from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en</p> <p>UNHCR. (2011 [19]). <i>Inter-Office Memorandum No. 017/2011: Instructions and Guidelines to UNHCR Field Offices and Headquarters Units on Planning for 2012-2013 – Part II: Planning and Priorities for 2012-2013 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 2. There is evidence that the MO is implementing this process. | Met | Ibidem |
| | 3. The MO has a specific process for reviewing poorly performing programmes, projects or initiatives. | Not met | |

| | | | |
|-----------------------------|---|----------------|--|
| | 4. The MO has a way for following up on poorly performing programmes, projects or initiatives. | Not met | UNHCR. (2012 [06]). <i>Follow-up to the Recommendations of the Board of Auditors on the Accounts for Previous Years (EC/63/SC/CRP.5) [as at February 2012]</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4f6215299.pdf UNBOA. (2011 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and report of the Board of Auditors (A/66/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/4e60a7339.pdf |
| | 5. There is evidence that changes to poorly performing programmes, projects or initiatives are being implemented. | Not met | |
| Overall Score MI 9.3 | | Inadequate (3) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|---------|---|
| MI 9.4 Evaluation recommendations reported to the governing bodies are acted upon by the responsible units | 1. A policy or guidelines on evaluation in the MO exist and include the requirement that a management response, action plan and/or agreement be produced to identify accepted recommendations and state responsibilities and accountabilities for follow-up action. | Met | UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html EPAU. (2005 [01]). <i>How to Manage Evaluations: Seven steps</i> . UNHCR Evaluation and Policy Analysis Unit (EPAU). Retrieved from http://www.unhcr.org/429d7c792.pdf |
| | 2. The MO's evaluation policy/guidelines outline a process for tracking the implementation of accepted evaluation recommendations. | Not met | UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2011 [14]). <i>Establishment of an Independent Audit and Oversight Committee (EC/62/SC/CRP.24/Rev.2)</i> . Executive Committee of the High Commissioner's Programme. |
| | 3. There is evidence that the management | Not met | UNHCR. (2013 [54]). <i>Summary Record of the 673rd Meeting, Executive Committee, 64th session (A/AC/96/SR.673)</i> . United Nations General Assembly. Retrieved from http://documents-dds- |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------------------|---|----------|---|
| | response, action plan and/or agreement accepting recommendations are presented to the executive management (head of the organisation) and/or governing bodies. | | ny.un.org/doc/UNDOC/GEN/G12/017/70/pdf/G1201770.pdf?OpenElement UNHCR. (2014 [28]). <i>Evaluation Reports [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved June 22, 2014, from http://www.unhcr.org/cgi-bin/texis/vtx/search?page=&comid=4a1d3b346&cid=49aea93a6a&scid=49aea93a39&keywords=evaluationreport |
| | 4. There is evidence that periodic reports on the status of implementation of these evaluation recommendations are presented and accepted by the MO's management or governing bodies. | Not met | UNHCR. (2013 [16]). <i>Report on Policy Development and Evaluation: Report of the High Commissioner (A/AC.96/1128)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5034a18d9.html UNHCR. (2012 [07]). <i>Report on Policy Development and Evaluation: Report of the High Commissioner (A/AC.96/1115)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5034a18d9.html IAOC. (2013 [01]). <i>Report of the Independent Audit and Oversight Committee, 2012-2013 (EC/64/SC/CRP.21)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0b339.pdf |
| | 5. There is evidence that responsible units have taken the actions they committed to in the management response. | Not met | |
| Overall Score MI 9.4 | | Weak (2) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 10.1 The MO uses results focused performance assessment systems (that also apply to senior staff) to make decisions on human | 1. There is evidence in the documents reviewed that a system is in place that requires performance assessments for all staff (including senior staff). | Met | UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.html UNHCR. (2011 [08]). <i>Strategic Directions for Human Resources Management in UNHCR Including Staff Safety (EC/62/SC/CRP.31)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e64c4e69.html UNHCR. (2012 [12]). <i>UNHCR Competency Framework: Performance Appraisal & Management System</i> . UNHCR Division of Human Resources Management. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=52fdd9eb9&query=%22performance%20appraisal%22 |
| | 2. There is evidence of | Met | UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|---|-----------------|--|
| resources | compliance with the performance assessment system. In other words, there are management indicators or documents (e.g. newsletters, reports, etc.) that monitor/comment on the application of the performance assessment system. | | Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.html UNHCR. (2012 [08]). <i>Human Resources Issues, Including Staff Security (EC/63/SC/CRP.19)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5059d7409.html UNHCR. (2011 [08]). <i>Strategic Directions for Human Resources Management in UNHCR Including Staff Safety (EC/62/SC/CRP.31)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e64c4e69.html UNHCR. (2013 [03]). <i>Update on Global Strategic Priorities (EC/64/SC/CRP.16/Rev.1)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19c849.pdf |
| | 3. There is evidence that the results of staff performance assessments are codified and stored in personnel files. | Met | Ibidem |
| | 4. There is evidence that performance assessments of staff are used to make decisions on staff, for instance with regard to promotion (i.e., advancing from one grade to the next) or dismissal, incentives, rewards, etc. | Not met | ACABQ. (2012 [02]). <i>Human Resources Management: Report of the Advisory Committee on Administrative and Budgetary Questions (A/67/545)</i> . United Nations General Assembly. Retrieved from http://www.un.org/ga/acabq/subject_results.asp?desc=CCI-Human%20resources%20management UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.html |
| | 5. There is a review or evaluation that comments positively on the performance assessment system and on use of this system for decision-making. | Not met | OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services (A/AC.96/1113)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html |
| Overall Score MI 10.1 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|--|
| MI 10.2 There is a transparent system in place to manage staff performance | 1. There is evidence either in a human resources policy or through other documents that the MO has a system for managing staff performance (see MI 10.1) that is operational. | Met | <p>UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.html</p> <p>UNHCR. (2011 [08]). <i>Strategic Directions for Human Resources Management in UNHCR Including Staff Safety (EC/62/SC/CRP.31)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e64c4e69.html</p> <p>UNHCR. (2012 [12]). <i>UNHCR Competency Framework: Performance Appraisal & Management System</i>. UNHCR Division of Human Resources Management. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=52fdd9eb9&query=%22performance%20appraisal%22</p> |
| | 2. If the first criterion is met , documents describe the approach to creating performance assessments and the content of those assessments. | Met | <p>UNHCR. (2012 [12]). <i>UNHCR Competency Framework: Performance Appraisal & Management System</i>. UNHCR Division of Human Resources Management. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=52fdd9eb9&query=%22performance%20appraisal%22</p> |
| | 3. If the first criterion is met , there is an explicit policy or strategy (human resources or otherwise) that summarises the aims of the performance assessment system. | Met | <p>UNHCR. (2012 [12]). <i>UNHCR Competency Framework: Performance Appraisal & Management System</i>. UNHCR Division of Human Resources Management. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=52fdd9eb9&query=%22performance%20appraisal%22</p> |
| | 4. There is a clear reference in a policy or strategy to the way that the MO motivates staff to improve their performance. | Not met | |
| | 5. There is a review or evaluation that comments positively on the performance management system and MO transparency in human resources decisions, specifically | Not met | <p>OIOS. (2012 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2011-2012): Report by the Office of Internal Oversight Services (A/AC.96/1113)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/503c78df9.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|-----------------------------|-----------------|---|
| | with regards to incentives. | | |
| Overall Score MI 10.2 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|--------|---|
| MI 10.3 The MO has appropriate measures in place to ensure staff security | 1. The MO has a written policy or guidelines on security for both national and international staff. | Met | <p>UNHCR. (2007 [06]). <i>UNHCR Security Policy: Revision 1, November 2007</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/news/bulletin/1.%20UNHCR%20Security%20Policy.pdf</p> <p>UNHCR. (2013 [34]). <i>Strengthening a Culture of Security 2013-2015: A plan of action</i> [Internal document]. UNHCR Division of Emergency, Security and Supply.</p> <p>UNHCR. (2010 [12]). <i>Staff Safety and Security Issues, Including Refugee Security: UNHCR security management plan of action and strategy for implementation (EC/61/SC/CRP.16)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.refworld.org/pdfid/520b406b4.pdf</p> <p>UNHCR. (2013 [18]). <i>Staff Safety and Security Issues, Including Refugee Security (EC/64/SC/CRP.15)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/51d19ce59.pdf</p> <p>UNHCR. (2014 [05]). <i>Staff Safety and Security (EC/65/SC/CRP.3/Rev.1)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/5319e5db9.html</p> |
| | 2. The policy/guidelines include provisions on health security risks. | Met | <p>UNHCR. (2007 [06]). <i>UNHCR Security Policy: Revision 1, November 2007</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/news/bulletin/1.%20UNHCR%20Security%20Policy.pdf</p> <p>UNHCR. (2013 [34]). <i>Strengthening a Culture of Security 2013-2015: A plan of action</i> [Internal document]. UNHCR Division of Emergency, Security and Supply.</p> |
| | 3. The MO has security procedures/plans specific to each country or region. | Met | <p>UNDSS. (2014 [01]). <i>Interoffice Memorandum: Minimum Operating Security Standards (MOSS) – Bangladesh</i>. United Nations Department of Safety and Security. [Internal document]</p> <p>UNDSS. (2012 [01]). <i>Interoffice Memorandum: Minimum Operating Security Standards (MOSS) – Democratic Republic of Congo</i>. United Nations Department of Safety and Security. [Internal document]</p> <p>UNDSS. (2013 [01]). <i>Interoffice Memorandum: Minimum Operating Security Standards (MOSS) – Ecuador</i>. United Nations Department of Safety and Security. [Internal document]</p> <p>UNDSS. (2013 [02]). <i>Interoffice Memorandum: Minimum Operating Security Standards (MOSS) – Kenya</i>. United Nations Department of Safety and Security. [Internal document]</p> <p>UNDSS. (2014 [02]). <i>Interoffice Memorandum: Minimum Operating Residential Security Standards (MORSS) – Tanzania</i>. United Nations Department of Safety and Security. [Internal document]</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|------------|---|
| | | | <p>UNHCR. (2013 [34]). <i>Strengthening a Culture of Security 2013-2015: A plan of action [Internal document]</i>. UNHCR Division of Emergency, Security and Supply.</p> <p>UNHCR. (2010 [12]). <i>Staff Safety and Security Issues, Including Refugee Security: UNHCR security management plan of action and strategy for implementation (EC/61/SC/CRP.16)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.refworld.org/pdfid/520b406b4.pdf</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> |
| | 4. There is evidence that the MO offers training to staff on security issues before deployment. | Met | <p>UNHCR. (2007 [06]). <i>UNHCR Security Policy: Revision 1, November 2007</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/news/bulletin/1.%20UNHCR%20Security%20Policy.pdf</p> <p>UNHCR. (2013 [34]). <i>Strengthening a Culture of Security 2013-2015: A plan of action [Internal document]</i>. UNHCR Division of Emergency, Security and Supply.</p> <p>UNHCR. (2014 [03]). <i>Notes and Upcoming Events [eCentre website]</i>. United Nations High Commissioner for Refugees. Retrieved March 03, 2014, from http://www.the-ecentre.net/news/training/index.cfm</p> <p>UNHCR. (2014 [02]). <i>Emergency Response [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved February 21, 2014, from http://www.unhcr.org/pages/503352e46.html</p> <p>UNHCR. (2009 [02]). <i>Security Risk Management: Learning module</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/resources/pdf/SRM.pdf</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> |
| | 5. There is evidence in an evaluation or a review of the policy that appropriate measures to ensure staff security are in place and implemented. | Not met | <p>UNHCR Steering Committee on Security Policy and Policy Implementation. (2004). <i>A Review of UNHCR's Security Policy and Policy Implementation</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/425e72672.pdf</p> <p>OIOS Internal Audit Division. (2013 [01]). <i>Audit Report 2013/052: Audit of the United Nations High Commissioner for Refugees Security Budget Management (2012/167/01)</i>. Office of Internal Oversight Services. Retrieved from http://www.un.org/depts/oios/pages/iad_rpm/2013_052_pd.pdf</p> |
| Overall Score MI 10.3 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|---|
| MI 10.5 The MO has a code of conduct that is followed by staff members | 1. The MO has a code of conduct for staff members. | Met | <p>UNHCR. (2004 [03]). <i>Code of Conduct & Explanatory Notes</i>. Division of Human Resources Management (DHRM). Retrieved from http://www.unhcr.org/422dbc89a.html</p> <p>UNHCR. (2004 [02]). <i>UNHCR Code of Conduct: Guidelines for managers</i>. Division of Human Resources Management (DHRM). Retrieved from http://www.un.org/en/pseataforce/docs/code_of_conduct_guidelines_for_managers_english.pdf</p> |
| | 2. If the first criterion is met , there is evidence that the MO offers training to all staff on the code of conduct. | Met | <p>UNHCR. (2010 [16]). <i>Facilitator's Manual: UNHCR Code of Conduct</i>. UNHCR Ethics Office. Retrieved from http://www.pseataforce.org/uploads/tools/facilitatorsmanualunhcrcodeofconduct_unhcr_english.pdf</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> |
| | 3. If the first criterion is met , the MO monitors compliance with the code of conduct. | Met | <p>UNHCR. (2004 [02]). <i>UNHCR Code of Conduct: Guidelines for managers</i>. Division of Human Resources Management (DHRM). Retrieved from http://www.un.org/en/pseataforce/docs/code_of_conduct_guidelines_for_managers_english.pdf</p> <p>UNHCR. (2004 [03]). <i>Code of Conduct & Explanatory Notes</i>. Division of Human Resources Management (DHRM). Retrieved from http://www.unhcr.org/422dbc89a.html</p> <p>UNHCR. (2013 [12]). <i>Report on Activities of the Inspector General's Office: Report of the High Commissioner (A/AC.96/1127)</i>. United Nations general Assembly. Retrieved from http://www.unhcr.org/521f3acb9.html</p> <p>UNHCR. (2012 [16]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1114)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/50349fc29.html</p> <p>UNHCR. (2011 [12]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1102)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268e5d5.html</p> |
| | 4. If the first criterion is met , the MO has a system in place for reporting on compliance with the code of conduct. | Met | <p>UNHCR. (n.d. [15]). <i>Inspector General's Office [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved March 03, 2014, from http://www.unhcr.org/pages/52e11b746.html</p> <p>UNHCR. (n.d. [14]). <i>Addressing Grievances in UNHCR: Where to go for help</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.un.org/en/pseataforce/docs/leaflet_addressing_grievances_in_unhcr.pdf</p> <p>UNHCR. (n.d. [16]). <i>How to Report Misconduct and What to Expect</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4a1278f06.html</p> <p>UNHCR. (2013 [12]). <i>Report on Activities of the Inspector General's Office: Report of the High Commissioner (A/AC.96/1127)</i>. United Nations general Assembly. Retrieved from http://www.unhcr.org/521f3acb9.html</p> <p>UNHCR. (2012 [16]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1114)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/50349fc29.html</p> <p>UNHCR. (2011 [12]). <i>Report on Activities of the Inspector General's Office: Report by the Inspector General (A/AC.96/1102)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/4e268e5d5.html</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the</i></p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-----------------|--|
| | | | <i>Board of Auditors (A/68/5/Add.5)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf |
| | 5. The MO applies sanctions for not following the code of conduct. | Met | <p>UNHCR. (n.d. [15]). <i>Inspector General's Office [UNHCR website]</i>. United Nations High Commissioner for Refugees. Retrieved March 03, 2014, from http://www.unhcr.org/pages/52e11b746.html</p> <p>UNHCR. (2004 [03]). <i>Code of Conduct & Explanatory Notes</i>. Division of Human Resources Management (DHRM). Retrieved from http://www.unhcr.org/422dbc89a.html</p> <p>UNHCR. (n.d. [16]). <i>How to Report Misconduct and What to Expect</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4a1278f06.html</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> |
| Overall Score MI 10.5 | | Very strong (6) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|--|
| MI 10.6 The MO has rapid personnel deployment or surge mechanisms in place | 1. The MO has a policy/strategy/guidelines that describes rapid deployment of internal personnel. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>UNHCR. (2006 [05]). <i>Catalogue of Emergency Response Resources</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/46aa0efd2.pdf</p> <p>UNHCR. (2011 [04]). <i>Enhancing UNHCR's Emergency Response Capacity: An organization-wide approach to mobilizing human resources (EC/62/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c6e9.html</p> <p>UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012</p> <p>UNHCR. (2013 [31]). <i>Inter-Office Memorandum No. 056/2013: Guidance note on the Preparedness Package for Refugee Emergencies [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 2. The MO has a policy/strategy/guidelines that describes the | Met | <p>UNHCR. (2006 [05]). <i>Catalogue of Emergency Response Resources</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/46aa0efd2.pdf</p> <p>UNHCR. (2008 [12]). <i>A Guide to UNHCR's Emergency Standby Partners and External Deployment</i></p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|---|
| | procedures for accessing external personnel to be rapidly deployed. | | <i>Arrangements</i> . United Nations High Commissioner for Refugees. Retrieved from https://www.yumpu.com/en/document/view/6717978/a-guide-to-unhcrs-emergency-standby-partners-onerponse UNHCR. (2013 [35]). <i>The Guide to UNHCR's Emergency Standby Partners [Internal document]</i> . United Nations High Commissioner for Refugees. |
| | 3. The MO has established formal partnerships to facilitate access to external personnel that can be deployed in a timely manner (e.g. through a memorandum of understanding). | Met | UNHCR. (2013 [35]). <i>The Guide to UNHCR's Emergency Standby Partners [Internal document]</i> . United Nations High Commissioner for Refugees. UNHCR. (2008 [12]). <i>A Guide to UNHCR's Emergency Standby Partners and External Deployment Arrangements</i> . United Nations High Commissioner for Refugees. Retrieved from https://www.yumpu.com/en/document/view/6717978/a-guide-to-unhcrs-emergency-standby-partners-onerponse UNHCR. (2006 [05]). <i>Catalogue of Emergency Response Resources</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/46aa0efd2.pdf UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (2011 [04]). <i>Enhancing UNHCR's Emergency Response Capacity: An organization-wide approach to mobilizing human resources (EC/62/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c6e9.html UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012 |
| | 4. If the previous criteria are met , the MO mechanisms for triggering rapid deployment of staff are effective. | Not met | UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml UNHCR. (2011 [04]). <i>Enhancing UNHCR's Emergency Response Capacity: An organization-wide approach to mobilizing human resources (EC/62/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c6e9.html UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012 Richardson, L., Bush, A., & Ambroso, G. (2013). <i>An Independent Review of UNHCR's Response to the Somali Refugee Influx in Dollo Ado, Ethiopia, 2011</i> . International Public Nutrition Resource Group. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=51bec18a9&query=contingency%20plan Ambroso, G., Janz, J., Lee, V., & Salomons, M. (2013). <i>Flooding Across the Border: A review of UNHCR's response to the Sudanese refugee emergency in South Sudan</i> . UNHCR Policy Development and Evaluation |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|--------------|--|
| | | | <p>Service (PDES). Retrieved from http://www.unhcr.org/51e94e689.html</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> <p>Ambroso, G., Collyer, M., Li Rosi, A. (2013). <i>Leaving Libya: A review of UNHCR's emergency operation in Tunisia and Egypt, 2011-2012</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/516427249.html</p> <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> |
| | 5. The MO has a review mechanism for rapid personnel deployment. | Not met | <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> <p>UNHCR. (2011 [04]). <i>Enhancing UNHCR's Emergency Response Capacity: An organization-wide approach to mobilizing human resources (EC/62/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4d665c6e9.html</p> <p>UNHCR. (2013 [01]). <i>Emergency Preparedness and Response (EC/64/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=513f03379&query=Emergency%20preparedness%20and%20response%202012</p> |
| Overall Score MI 10.6 | | Adequate (4) | |

KPI 11. Country/regional programming processes are performance oriented

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|--|
| MI 11.1 Prior to approval, new initiatives are subject to risk analysis (economic, social, etc.) | 1. There is a policy that requires risk analysis (e.g. economic, social, etc.) to be conducted prior to initiating new programmes/projects/initiatives. | Met | <p>UNHCR. (2005 [08]). <i>UNHCR Manual, Section 3.2, Chapter 4: Assessment [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2010 [22]). <i>Inter-Office Memorandum 008/2010 - Annex 4: Recording Comprehensive Needs Assessments as part of Comprehensive Plans for 2011 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>UNHCR. (2009 [02]). <i>Security Risk Management: Learning module</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/resources/pdf/SRM.pdf</p> |
| | 2. There are guidelines for | Met | UNHCR. (2005 [08]). <i>UNHCR Manual, Section 3.2, Chapter 4: Assessment [Internal document]</i> . United Nations |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|--|
| | staff on the types of risk analyses to be carried out. | | <p>High Commissioner for Refugees UNHCR. (2010 [22]). <i>Inter-Office Memorandum 008/2010 - Annex 4: Recording Comprehensive Needs Assessments as part of Comprehensive Plans for 2011 [Internal document]</i>. United Nations High Commissioner for Refugees</p> <p>UNHCR. (2006 [07]). <i>UNHCR Tool for Participatory Assessment in Operations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=462df4232</p> <p>UNHCR. (2010 [23]). <i>The Heightened Risk Identification Tool</i>, v. 2. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=4c46c6860</p> <p>UNHCR. (2010 [24]). <i>The Heightened Risk Identification Tool</i>, v. 2 (User guide). United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?docid=46f7c0cd2</p> <p>UNHCR. (2009 [09]). <i>Implementing Partner Pre-Selection Checklist: Risk management and risk treatment options [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2009 [02]). <i>Security Risk Management: Learning module</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/resources/pdf/SRM.pdf</p> |
| | 3. There is evidence that the MO's staff are informed about and trained on the guidelines. | Not met | <p>UNHCR. (2009 [02]). <i>Security Risk Management: Learning module</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/resources/pdf/SRM.pdf</p> <p>UNHCR eCentre and JICA. (2006 [01]). <i>Security Risk Management Course for Senior Managers, 23-25 October, Tokyo, Japan, 2006: Participant registration form</i>. United Nations High Commissioner for Refugees Regional Centre for Emergency Preparedness and Japan International Cooperation Agency Joint Programme. Retrieved from http://www.the-ecentre.net/resources/workshop/materials/167/REV1_SRM_TOKYO_COURSEBOOK.pdf</p> <p>UNHCR. (2013 [38]). <i>A Review of UNHCR Participatory Assessments in 2012 [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 4. There is evidence that the guidelines are implemented. | Met | <p>Bourgeois, C., Diagne, K., & Tennant, V. (2007). <i>Real Time Evaluation of UNHCR's IDP operation in the Democratic Republic of Congo</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/46ea97fe2.html</p> <p>Kiragu, E., Li Rosi, A., & Morris, T. (2011). <i>States of Denial: A review of UNHCR's response to the protracted situation of stateless Rohingya refugees in Bangladesh</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4ee754c19.html</p> <p>OCHA. (2013 [03]). <i>Plan de Réponse Stratégique: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/SRP_2014_DRC_FR.pdf</p> <p>OCHA. (2013 [04]). <i>Récapitulatif des Besoins Humanitaires: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/HNO_2014_DRC.pdf</p> <p>UNHCR. (2007 [09]). <i>Bangladesh: Analysis of gaps in the protection of Rohingya refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/46fa1af32.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|------------|---|
| | | | <p>UNHCR. (2007 [10]). <i>Refuge Consultations: Bangladesh</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/46fa1f0e2.html</p> <p>UNHCR. (2013 [38]). <i>A Review of UNHCR Participatory Assessments in 2012</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR & WFP. (2008 [01]). <i>Report of the WFP-UNHCR Joint Assessment Mission, 15th-24th June 2008, Bangladesh</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.unhcr.org/4bb0a8a09.html</p> <p>UNHCR. (2010 [02]). <i>Global Needs Assessment: Prioritization (EC/61/SC/CRP.4)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4b9104a49.html</p> <p>UNHCR. (2005 [08]). <i>UNHCR Manual, Section 3.2, Chapter 4: Assessment</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2006 [07]). <i>UNHCR Tool for Participatory Assessment in Operations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/tehis/vtx/rwmain?docid=462df4232</p> <p>UNHCR. (2010 [22]). <i>Inter-Office Memorandum 008/2010 - Annex 4: Recording Comprehensive Needs Assessments as part of Comprehensive Plans for 2011</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> |
| | 5. There is evidence that risk analyses are used for decision-making in the sample of projects/initiatives reviewed. | Met | <p>UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html</p> |
| Overall Score MI 11.1 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|---|
| MI 11.2 Milestones/ targets are set to rate the progress of (project) implementation | 1. At least two of the project implementation plans or other work plans sampled in each of the five assessed countries contain a description of milestones and/or targets for project/programme | Met | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|---|-------------------|---|
| | implementation. | | |
| | 2. If the first criterion is met , baseline values have been established for each indicator used to measure the progress of project/programme implementation in most of these plans. | Not met | |
| | 3. If the first criterion is met , the milestones/targets provided are appropriate to the activities described in most of these plans. | Not met | |
| | 4. If the first criterion is met , dates are established for the milestones/targets in more than half of these plans. | Met | |
| | 5. If all above criteria are met , they are met for all project implementation plans or other work plans sampled. | Not met | |
| Overall Score MI 11.2 | | Inadequate (3) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|---|
| MI 12.1 The MO key operations / management decisions can be made locally | 1. An organisation-wide policy or guidelines exist, are corporately approved, and describe decision-making authorities at different levels within the organisation. | Met | <p>UNHCR. (2010 [19]). <i>Global Management Accountability Framework (GMAF): Country accountabilities, responsibilities and authorities (ARAs) [Internal Document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2010 [20]). <i>Global Management Accountability Framework (GMAF): Headquarters accountabilities, responsibilities and authorities (ARAs) [Internal Document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2010 [21]). <i>Global Management Accountability Framework (GMAF): Regional accountabilities, responsibilities and authorities (ARAs) [Internal Document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2010 [18]). <i>Update on UNHCR's Structural and Management Change Process (EC/61/SC/CRP.17)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4c18dc709.pdf</p> <p>UNHCR. (2006 [06]). <i>UNHCR Financial Internal Control Framework and Delegation of Authority Plan [Internal document]</i>. UNHCR Division of Financial and Supply Management Service.</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> <p>UNHCR. (2007 [15]). <i>Inter-Office Memorandum No. 051/2007: UNHCR's Revised Framework for Resource Allocation and Management [Internal document]</i>. United Nations High Commissioner for Refugees.</p> <p>UNHCR. (2011 [24]). <i>The Framework for Resource Allocation and Management [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |
| | 2. If the first criterion is met , the policy/guidelines or other documents provide sufficient evidence of the level of autonomy available at the country level (or other local level as appropriate) regarding project-related decision making processes, and the staffing arrangements to support that, as appropriate. | Met | <p>UNHCR. (2009 [11]). <i>Update on UNHCR's Structural and Management Change Process (EC/60/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/499041bb2.html</p> <p>UNHCR. (2008 [11]). <i>Oral update on the Structural and Management Change Process, 43rd Meeting of the Standing Committee, 23-24 September 2008</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/48d223682.pdf</p> <p>UNHCR. (2011 [22]). <i>Oral update on the Structural and Management Change Process, 50th Meeting of the Standing Committee, 1-3 March 2011</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4d665f0f9.pdf</p> <p>UNHCR. (2007 [03]). <i>Doing Business with the United Nations High Commissioner for Refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3b9203194.html</p> <p>UNHCR. (2007 [15]). <i>Inter-Office Memorandum No. 051/2007: UNHCR's Revised Framework for Resource Allocation and Management [Internal document]</i>. United Nations High Commissioner for Refugees.</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|------------|---|
| | 3. If the first two criteria are met , in the documents available, it is possible to identify the parameters within which the local-level, project/programming-related decisions do not require central-level approval. | Met | Ibidem |
| | 4. There is evidence that the organisation has made efforts to improve delegation of decision-making to the country or other relevant levels. | Met | <p>UNHCR. (2013 [15]). <i>Financial Statements for the Year 2012 as Contained in the Report of the Board of Auditors to the General Assembly on the Audited Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for Refugees for the Period Ended December 2012, Report by the High Commissioner – Addendum: Key issues and measures taken in response to the Report of the Board of Auditors for 2012 (A/AC.96/1124/Add.1)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5237203b9.html</p> <p>UNHCR. (2009 [11]). <i>Update on UNHCR's Structural and Management Change Process (EC/60/SC/CRP.3)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/499041bb2.html</p> <p>UNHCR. (2011 [13]). <i>Update on UNHCR's Structural and Management Change Process (EC/62/SC/CRP.29)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/4e64c4869.html</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> |
| | 5. An operational review/evaluation of the MO comments positively on progress delegation of operations/management decisions to the country or other relevant level. | Not met | <p>UNBOA. (2013 [01]). <i>Voluntary Funds Administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2012 and report of the Board of Auditors (A/68/5/Add.5)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/522d97639.pdf</p> <p>UNHCR. (2013 [13]). <i>Follow-up to the Recommendations of the Board of Auditors on the Audited Financial Statements of 2011 and Previous Years [as at September 2013]</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=523c10c39&query=Follow-up%20to%20the%20recommendations%20of%20the%20Board%20of%20Auditors%20on%20financial%20statements%20for%20previous%20years</p> |
| Overall Score MI 12.1 | | Strong (5) | |

KPI 13. Mainstreaming humanitarian programming into programmes and operations

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|----------|---|
| MI 13.2 The MO respects humanitarian principles while delivering humanitarian action | 1. The MO's organisation-wide strategy includes reference to the humanitarian principles. | Not met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UN General Assembly. (1994 [01]). Resolution 48/216: Financial reports and audited financial statements, and reports of the Board of Auditors, A/RES/48/216 (23 February 1994). United Nations General Assembly. Retrieved from http://www.un.org/ga/search/view_doc.asp?symbol=A/RES/48/216</p> <p>UN General Assembly. (2003 [01]). Resolution 58/114: Financial reports and audited financial statements, and reports of the Board of Auditors, A/58/114. United Nations General Assembly. Retrieved from http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N03/419/86/PDF/N0341986.pdf?OpenElement</p> |
| | 2. A policy, strategy or guidance note includes definitions of all four key concepts (humanity, impartiality, neutrality, and operational independence). | Met | <p>Global Protection Cluster Working Group. (2010). <i>Handbook for the Protection of Internally Displaced Persons</i>. Retrieved from http://www.unhcr.org/50f94dcc9.html</p> |
| | 3. The MO provides clear written instruction or guidance on the application of the principles in humanitarian or conflict-related situations. | Not met | <p>Global Protection Cluster Working Group. (2010). <i>Handbook for the Protection of Internally Displaced Persons</i>. Retrieved from http://www.unhcr.org/50f94dcc9.html</p> <p>UNHCR. (2013 [55]). <i>Statement by António Guterres, United Nations High Commissioner for Refugees, Third Committee of the General Assembly, 68th Session</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/52a83ce99.pdf</p> <p>UNHCR. (2013 [56]). <i>Report of the United Nations High Commissioner for Refugees, Part II, Strategic Review pursuant to General Assembly Resolution 58/153 (A/68/12 [Part II])</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5244440f9.pdf</p> |
| | 4. The MO's documents establish clear accountabilities for action in the application of the principles in humanitarian or conflict-related situations. | Not met | |
| | 5. There is evidence that the MO monitors its application of the humanitarian principles. | Not met | |
| Overall Score MI 13.2 | | Weak (2) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|--------|---|
| MI 13.3 The MO has effective practices and systems in place to provide protection responses and activities in its work | 1. The organisation has a policy or strategic framework on mainstreaming protection or has clearly stated protection results as part of its organisation-wide strategic plan. | Met | UNHCR. (2010 [25]). <i>Statute of the Office of the United Nations High Commissioner for Refugees</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3b66c39e1.html UNHCR. (2013 [02]). <i>Note on the Mandate of the High Commissioner for Refugees and his Office</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/cgi-bin/texis/vtx/rwmain?page=search&docid=5268c9474&skip=0&query=mandate UNHCR. (2000 [01]). <i>Note on International Protection (EC/50/SC/CRP.16)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/3ae68d314.html UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (n.d. [47]). <i>Protection [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved June 11, 2014, from http://www.unhcr.org/pages/49c3646cc8.html UNHCR. (2013 [61]). <i>UNHCR Global Appeal 2012-2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml UNHCR. (n.d. [79]). <i>UNHCR Conclusions on International Protection [UNCHR website]</i> : http://www.unhcr.org/cgi-bin/texis/vtx/search?page=&comid=49eee4826&cid=49aea93a20&scid=49aea93a12&tid=49ec6f17f UNHCR. (2011 [03]). <i>A Thematic Compilation of Executive Committee Conclusions</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/4f50cfbb2.pdf UNHCR. (n.d. [48]). <i>Protection Manual</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/protectionmanual.html UNHCR. (2003 [03]). <i>Agenda for Protection, 3rd edition</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3e637b194.html UNHCR. (2007 [14]). <i>Refugee Protection and Mixed Migration: A 10-point plan of action</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4742a30b4.html UNHCR. (2013 [30]). <i>UNHCR's Results Framework for 2014-2015</i> . United Nations High Commissioner for Refugees. [Internal document] |
| | 2. Country strategy/ programming documents also articulate protection as a priority. More than half of the country-level strategies and results frameworks sampled include results that integrate protection. | Met | UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR. (2013 [61]). <i>UNHCR Global Appeal 2012-2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml |
| | 3. The organisation has | Met | UNHCR. (2014 [18]). <i>Division of International Protection (DIP)</i> . UNHCR Organizational Development and |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|--------|---|
| | clearly defined roles and responsibilities with regard to the promotion of protection. | | <p>Management Service (ODMS). Retrieved from http://www.unhcr.org/4bffd2e09.html</p> <p>UNHCR. (2013 [41]). <i>UNHCR Headquarters Organizational Structure (Geneva and Budapest)</i>. UNHCR Organizational Development and Management Service (ODMS). Retrieved from http://www.unhcr.org/4bffd0dc9.html</p> <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2003 [03]). <i>Agenda for Protection, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3e637b194.html</p> |
| | 4. There is evidence that the organisation has resourced its policy/strategy for the promotion of protection (in terms of staffing, funding, and technical expertise). | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> <p>UNHCR. (2013 [42]). <i>Guidelines on International Protection No. 10: Claims to Refugee Status related to Military Service within the context of Article 1A (2) of the 1951 Convention and/or the 1967 Protocol relating to the Status of Refugees</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/529efd2e9.html</p> <p>UNHCR. (2008 [03]). <i>Protection Gaps Framework for Analysis: Enhancing protection of refugees, 2nd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/41fe3ab92.html</p> <p>IASC. (2008 [01]). <i>Protection of Conflict-Induced IDPs: Assessment for Action</i>. Inter-Agency Standing Committee. Retrieved from http://www.unhcr.org/48849ac12.html</p> <p>Global Protection Cluster Working Group. (2010). <i>Handbook for the Protection of Internally Displaced Persons</i>. Retrieved from http://www.unhcr.org/50f94dcc9.html</p> <p>IASC. (2011 [01]). <i>Operational Guidelines on the Protection of Persons in Situations of Natural Disasters</i>. The Brookings – Bern Project on Internal Displacement. Retrieved from http://www.unhcr.org/50f94d4e9.html</p> <p>UNHCR. (2005 [07]). <i>An Introduction to International Protection: Protecting persons of concern to UNHCR; Self-study module 1</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/3ae6bd5a0.pdf</p> <p>UNHCR. (n.d. [49]). <i>Protection Starter Kit</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/protection_kit.html</p> <p>UNHCR. (2011 [09]). <i>UNHCR Manual on Security of Persons of Concern</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.refworld.org/pdfid/4f6313032.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-----------------|---|
| | 5. There is evidence that the organisation monitors its progress in promoting protection in order to take action to correct any identified issues. | Met | <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> <p>UNHCR. (2013 [43]). <i>Note on international protection (A/AC.96/1122)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc309.html</p> <p>UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html</p> <p>Van Hövell, W., Hruschka, C., Morris, H., & Salomons, M. (2014). <i>Providing for Protection: Assisting States with the assumption of responsibility for refugee status determination; A preliminary review (PDES/2014/01)</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/53314b7a9.html</p> |
| Overall Score MI 13.3 | | Very strong (6) | |

PERFORMANCE AREA III – RELATIONSHIP 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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 16.5 The MO has effective practices and systems in place to act as cluster lead or co-lead | 1. The MO has allocated appropriate resources (i.e. staffing, funding and technical expertise) to assume cluster leadership. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (2013 [44]). <i>Informal Consultative Meeting on UNHCR's Implementation of the IASC Transformative Agenda, 7 February 2013: Briefing paper</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/5118cfc9.pdf</p> <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> <p>GPC. (n.d. [01]). <i>Field Support: Training and learning [GPC website]</i>. Global Protection Cluster. Retrieved July 18, 2014, from http://www.globalprotectioncluster.org/en/field-support/training-and-learning.html</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|---|
| | 2. The MO has developed guidance (i.e. standards, policies, and best practice documents) for the global clusters which it leads/co-leads. | Met | <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies</i>, 3rd edition. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>GPC Working Group. (2010). <i>Handbook for the Protection of Internally Displaced Persons</i>. Retrieved from http://www.unhcr.org/50f94dcc9.html</p> <p>GPC. (n.d. [02]). <i>Tools and Guidance [GPC website]</i>. Global Protection Cluster. Retrieved July 18, 2014, from http://www.globalprotectioncluster.org/en/tools-and-guidance.html</p> <p>Shelter Cluster. (n.d. [01]). <i>Shelter Cluster Guidance [Shelter Cluster website]</i>. Shelter Cluster. Retrieved July 18, 2014, from https://www.sheltercluster.org/References/Pages/ShelterClusterGuidance.aspx</p> <p>CCCM (n.d. [01]). <i>Tools and Guidance</i>. Global Camp Coordination and Camp Management Cluster. Retrieved July 18, 2014, from http://www.globalccmcluster.org/tools-and-guidance</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>CCCM. (2014 [01]). <i>CCCM Case Studies (vol. 1)</i>. Camp Coordination and Camp Management Global Cluster. Retrieved from http://reliefweb.int/sites/reliefweb.int/files/resources/CCCM%20Case%20Studies-24thMarch2014-Small.pdf</p> <p>GPC Child Protection Working Group. (2013 [01]). <i>Implementation of the Minimum Standards for Child Protection in Humanitarian Action: The 2013-2015 work plan of the child protection working group</i>. Global Protection Cluster. Retrieved from [Paper copy]</p> |
| | 3. The MO has supported relevant capacity development at local, national, regional and international levels for the global clusters which it leads/co-leads. | Not met | <p>UNHCR. (2013 [05]). <i>Note on International Protection: Report of the High Commissioner (A/AC.96/1122)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc309.html</p> <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>CCCM. (2014 [01]). <i>CCCM Case Studies (vol. 1)</i>. Camp Coordination and Camp Management Global Cluster. Retrieved from http://reliefweb.int/sites/reliefweb.int/files/resources/CCCM%20Case%20Studies-24thMarch2014-Small.pdf</p> |
| | 4. The MO has appropriate accountability mechanisms in place (both programmatic and operational) to ensure it carries out its duties as global cluster lead/co-lead. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (n.d. [33]). <i>UNHCR Global Appeal 2012-2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|--|
| | | | <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>GPC Working Group. (2010). <i>Handbook for the Protection of Internally Displaced Persons</i>. Retrieved from http://www.unhcr.org/50f94dcc9.html</p> <p>OCHA. (n.d. [02]). <i>Cluster Coordination [OCHA website]</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved July 18, 2014, from http://www.unocha.org/what-we-do/coordination-tools/cluster-coordination</p> |
| | 5. The MO uses formal feedback mechanisms to report on results achieved as global cluster lead/co-lead. | Not met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (n.d. [33]). <i>UNHCR Global Appeal 2012-2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>UNHCR. (2014 [23]). <i>Note on International Protection</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/53aa90949.html</p> <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>Diagne, K., & Solberg, A. (2008). <i>Lessons Learned from UNHCR's Emergency Operation for Internally Displaced Persons in Kenya</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/48e5d90d2.html</p> <p>Steets, J., Grünewald, F., A., B., de Geoffroy, V., Kauffmann, D., Krüger, S., . . . Sokpoh, B. (2010). <i>IASC Cluster Approach Evaluation 2nd Phase: Synthesis report</i>. Berlin/Plaisians. Retrieved from https://clusters.humanitarianresponse.info/system/files/documents/files/Cluster%20Approach%20Evaluation%202.pdf</p> <p>UNHCR. (2006 [01]). <i>UNHCR's Expanded Role in Support of the Inter-agency Response to Situations of Internal Displacement: Report of a lessons learned and effective practice workshop</i>. UNHCR Policy Development and Evaluation Service (PDES) and Division of Operational Services (DOS). Retrieved from http://www.unhcr.org/455c3aac2.html</p> <p>Tennant, V. (2009). <i>UNHCR's Engagement with Integrated UN Missions: Report to a lessons learned workshop</i>. UNHCR Policy Development and Evaluation Service (PDES) and Division of Operational Services (DOS). Retrieved from http://www.unhcr.org.hk/files/useful_resources/Reports/UNHCR_Engagement_with_UN_missions_Rpt_of_lessons_learned.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|----------|-----------------|--|
| | | | <p>Richardson, L., Bush, A., & Ambroso, G. (2013). <i>An Independent Review of UNHCR's Response to the Somali Refugee Influx in Dollo Ado, Ethiopia, 2011</i>. International Public Nutrition Resource Group. Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=51bec18a9&query=contingency%20plan</p> <p>Ambroso, G., Janz, J., Lee, V., & Salomons, M. (2013). <i>Flooding Across the Border: A review of UNHCR's response to the Sudanese refugee emergency in South Sudan</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/51e94e689.html</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> |
| OVERALL SCORE MI 16.5 | | Adequate (4) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|--------|---|
| MI 17.1 The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises) | 1. There is evidence in the documents consulted that the MO participates in the development of consolidated appeals in countries where it works in emergencies. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (n.d. [02]). <i>UNHCR Global Appeal 2012-13</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml</p> <p>OCHA Consolidated Appeals [OCHA website]: http://www.unocha.org/cap/appeals/by-appeal/results</p> <p>OCHA. (2013 [03]). <i>Plan de Réponse Stratégique: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/SRP_2014_DRC_FR.pdf</p> <p>OCHA. (2013 [04]). <i>Récapitulatif des Besoins Humanitaires: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/HNO_2014_DRC.pdf</p> <p>OCHA. (2012 [01]). <i>Emergency Humanitarian Response Plan: Kenya, 2013</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/2013_Kenya_EHRP.pdf</p> <p>OCHA. (2013 [02]). <i>Kenya: Emergency humanitarian response plan, mid-year review, 2013</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/MYR_2013_Kenya_EHRP.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|---|
| | 2. There is evidence in the documents that the MO is actively engaged in the inter-agency process of needs mapping. | Met | <p>OCHA. (n.d. [01]). <i>About the Process</i> [OCHA website]. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved June 30, 2014 from http://www.unocha.org/cap/about-the-cap/about-process</p> <p>UN. (2011 [01]). <i>Consolidated Appeal 2012 Guidelines: version 1.1</i>. United Nations. Retrieved from https://docs.unocha.org/sites/dms/CAP/CAP_2012_Guidelines.pdf</p> <p>OCHA. (2012 [01]). <i>Emergency Humanitarian Response Plan: Kenya, 2013</i>. Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/2013_Kenya_EHRP.pdf</p> <p>OCHA. (2013 [03]). <i>Plan de Réponse Stratégique: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/SRP_2014_DRC_FR.pdf</p> <p>OCHA. (2013 [04]). <i>Récapitulatif des Besoins Humanitaires: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/HNO_2014_DRC.pdf</p> <p>OCHA. (2014 [01]). <i>South Sudan Crisis Response Plan 2014 (June 2014 revision)</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/Revision_2014_South_Sudan_CRP_June_2014.pdf</p> |
| | 3. The sample of reviewed consolidated appeals shows that clearly defined responsibilities have been assigned to the MO based on priority needs and the MO's comparative advantages. | Met | <p>OCHA. (n.d. [01]). <i>About the Process</i> [OCHA website]. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved June 30, 2014 from http://www.unocha.org/cap/about-the-cap/about-process</p> <p>UN. (2011 [01]). <i>Consolidated Appeal 2012 Guidelines: version 1.1</i>. United Nations. Retrieved from https://docs.unocha.org/sites/dms/CAP/CAP_2012_Guidelines.pdf</p> <p>OCHA. (2013 [03]). <i>Plan de Réponse Stratégique: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/SRP_2014_DRC_FR.pdf</p> <p>OCHA. (2013 [04]). <i>Récapitulatif des Besoins Humanitaires: République Démocratique du Congo, 2014</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/HNO_2014_DRC.pdf</p> <p>OCHA. (2012 [01]). <i>Emergency Humanitarian Response Plan: Kenya, 2013</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/2013_Kenya_EHRP.pdf</p> <p>OCHA. (2013 [02]). <i>Kenya: Emergency humanitarian response plan, mid-year review, 2013</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/MYR_2013_Kenya_EHRP.pdf</p> <p>OCHA. (2014 [01]). <i>South Sudan Crisis Response Plan 2014 (June 2014 revision)</i>. United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/Revision_2014_South_Sudan_CRP_June_2014.pdf</p> |
| | 4. There is evidence that the MO does its utmost to inform the donor | Not met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees.</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|---|------------|--|
| | community of caseload needs (for those responsibilities it has been assigned in the consolidated appeal documents). | | Retrieved from http://www.unhcr.org/ga13/index.xml UNHCR. (n.d. [02]). <i>UNHCR Global Appeal 2012-13</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga12/index.xml UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html |
| | 5. There is evidence that the MO monitors its contribution towards the achievement of outputs for which it has been assigned responsibility in consolidated appeal documents. | Met | OCHA. (n.d. [01]). <i>About the Process [OCHA website]</i> . United Nations Office for the Coordination of Humanitarian Affairs. Retrieved June 30, 2014 from http://www.unocha.org/cap/about-the-cap/about-process UN. (2011 [01]). <i>Consolidated Appeal 2012 Guidelines: version 1.1</i> . United Nations. Retrieved from https://docs.unocha.org/sites/dms/CAP/CAP_2012_Guidelines.pdf OCHA Consolidated Appeals [OCHA website]: http://www.unocha.org/cap/appeals/by-appeal/results OCHA. (2014 [01]). <i>South Sudan Crisis Response Plan 2014 (June 2014 revision)</i> . United Nations Office for the Coordination of Humanitarian Affairs. Retrieved from https://docs.unocha.org/sites/dms/CAP/Revision_2014_South_Sudan_CRP_June_2014.pdf |
| Overall Score MI 17.1 | | Strong (5) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|---|
| MI 17.2 The MO regularly collaborates with partners in analysis, design, evaluation and needs assessments | 1. In the sample of countries under review, documents provide evidence of the MO's joint planning with humanitarian/development partners (such as other members of the United Nations Country Team). | Met | UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html UNHCR & WFP. (2008 [01]). <i>Report of the WFP-UNHCR Joint Assessment Mission, 15th-24th June 2008, Bangladesh</i> . United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.unhcr.org/4bb0a8a09.html UNHCR & WFP. (2010 [01]). <i>Report of the WFP-UNHCR Joint Assessment Mission, Bangladesh, 30th May – 14th June 2010</i> . United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.refworld.org/pdfid/4cdd31062.pdf UNHCR, UNICEF, & WFP. (n.d. [01]). <i>Joint Assessment Mission (JAM), 3-7 November 2008, Tanzania; Report on the findings and recommendations</i> . United Nations High Commissioner for Refugees, United Nations World Food Programme, and United Nations Children's Fund. Retrieved from http://www.unhcr.org/4bb0c86b9.html UNHCR & WFP. (2013 [02]). <i>Staying a Little Longer: Malian refugees in Mauritania; UNHCR/WFP Joint Assessment Mission, May 2013</i> . United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://documents.wfp.org/stellent/groups/public/documents/ena/wfp258092.pdf UNHCR & WFP. (2013 [03]). <i>Joint Assessment Missions: A practical guide to planning and implementation</i> . United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.unhcr.org/521616c69.html |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|--------|---|
| | | | <p>UNHCR & WFP. (2013 [04]). <i>Joint Assessment Missions: Technical guidance sheets</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://www.unhcr.org/521617009.pdf</p> <p>UNHCR & WFP. (2011 [02]). <i>Memorandum of Understanding between the Office of the United Nations High Commissioner for Refugees (UNHCR) and the World Food Programme (WFP)</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from [Internal document]</p> <p>UNHCR & WFP. (2011 [03]). <i>Roles and Responsibilities of UNHCR and WFP in Food Assistance and Nutrition Programming</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from [Internal document]</p> <p>UNHCR & UNICEF. (1996 [01]). <i>Memorandum of Understanding between United Nations High Commissioner for Refugees (UNHCR) and United Nations Children's Fund (UNICEF)</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund. Retrieved from [Internal document]</p> <p>UNHCR & UNICEF. (2010 [01]). <i>Strengthened Cooperation between UNICEF and UNHCR</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund. Retrieved from [Internal document]</p> <p>UNHCR & UNICEF. (2011 [01]). <i>Strengthened Cooperation between UNICEF and UNHCR</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund. Retrieved from [Internal document]</p> <p>UNHCR & UNICEF. (2013 [01]). <i>Letter of Understanding between the Office of the United Nations High Commissioner for Refugees and the United Nations Children's Fund for Collaboration [Template]</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund. Retrieved from [Internal document]</p> |
| | 2. In the sample of countries under review, country strategies documents provide evidence of the organisation's participation in joint programmes with humanitarian/development partners. | Met | <p>UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html</p> <p>UNDP & UNHCR. (2013 [01]). <i>Transitional Solutions Initiative (TSI) Joint Programme, Development partner brief, November 2013</i>. United Nations Development Programme and United Nations High Commissioner for Refugees. Retrieved from http://www.sd.undp.org/content/dam/sudan/docs/TSI/update/TSI%20JP%20Partner%20Brief.pdf</p> <p>UNDP & UNHCR. (n.d. [01]). <i>UNDP/UNHCR Transitional Solutions Initiative Joint Programme for Refugees and their Host Communities, Eastern Sudan (Phase 1); Programme document</i>. United Nations Development Programme and United Nations High Commissioner for Refugees. Retrieved from http://www.sd.undp.org/content/dam/sudan/docs/project_docs/cp16%20UNDP-UNHCR%20JP%20ProDoc%2012%20Feb.pdf</p> <p>UNDP. (n.d. [01]). <i>UNDP/UNHCR Transitional Solutions Initiative Joint Programme, Eastern Sudan: About the programme [UNDP website]</i>. United Nations Development Programme. Retrieved April 08, 2014, from http://www.sd.undp.org/content/sudan/en/home/operations/projects/crisis_prevention_and_recovery/transitional_solutions_initiative/</p> <p>UNHCR. (2013 [20]). <i>Update on UNHCR's Global Programmes and Partnerships</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/52429c909.html</p> <p>IOM Iraq. (2014). <i>IOM and UNHCR Joint Program on Livelihood Assistance</i>. Retrieved from http://www.usaim.org/sites/default/files/images/Photo%20book%20-%20Kurdistan%20%28RFS%29.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|--|
| | 3. The MO's organisation-wide strategies, workplans, reports, or other documents provide evidence that it monitors efforts to coordinate and/or harmonise with partners at the organisation-wide level. | Met | <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>Berg, M., Mattinen, H., & Pattugalan G. (2013). <i>Examining Protection and Gender in Cash and Voucher Transfers: Case studies of the World Food Programme (WFP) and the Office of the United Nations High Commissioner for Refugees (UNHCR) assistance</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from http://documents.wfp.org/stellent/groups/public/documents/communications/wfp260028.pdf</p> <p>UNHCR & UNICEF. (2010 [01]). <i>Strengthened Cooperation between UNICEF and UNHCR [Internal document]</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund.</p> |
| | 4. The MO's country strategies, workplans, reports, or other documents provide evidence that it monitors efforts to coordinate and/or harmonise with partners at the country level. | Not met | <p>UNHCR. (2014 [38]). <i>Operations [Global Focus website]</i>. United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/en/2013/operations.html</p> <p>UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml</p> <p>UNHCR & UNICEF. (2013 [01]). <i>Letter of Understanding between the Office of the United Nations High Commissioner for Refugees and the United Nations Children's Fund for Collaboration [Template]</i>. United Nations High Commissioner for Refugees and United Nations Children's Fund. Retrieved from [Internal document]</p> <p>UNHCR & WFP. (2011 [02]). <i>Memorandum of Understanding between the Office of the United Nations High Commissioner for Refugees (UNHCR) and the World Food Programme (WFP)</i>. United Nations High Commissioner for Refugees and World Food Programme. Retrieved from [Internal document]</p> <p>UNHCR, UNICEF, & WFP. (2014 [01]). <i>Joint Assessment Review of the Syrian Refugee Response in Jordan</i>. United Nations High Commissioner for Refugees, United Nations Children's Fund, and World Food Programme. Retrieved from https://data.unhcr.org/syrianrefugees/download.php?id=4309</p> <p>UNHCR & WFP. (2011 [01]). <i>Food Assistance in Protracted Refugee Situations in Ethiopia (2003-2010): A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-ethiopia-2003-2010-joint-mixed-method-impact-e</p> <p>UNHCR & WFP. (2012 [02]). <i>Food Assistance in Protracted Refugee Situations in Bangladesh: A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-bangladesh-joint-mixed-method-impact-evaluatio</p> <p>UNHCR & WFP. (2012 [03]). <i>Food Assistance in Protracted Refugee Situations in Chad (2003-2011): A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-chad-2003-2011-joint-mixed-method-impact-evalu</p> <p>UNHCR & WFP. (2012 [04]). <i>Food Assistance in Protracted Refugee Situations in Rwanda (2007-2011): A joint</i></p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|---|-----------------|--|
| | | | <p><i>mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/contribution-food-assistance-durable-solutions-protracted-refugee-situations-its-impact-and-</p> <p>Berg, M., Mattinen, H., & Pattugalan G. (2013). <i>Examining Protection and Gender in Cash and Voucher Transfers: Case studies of the World Food Programme (WFP) and the Office of the United Nations High Commissioner for Refugees (UNHCR) assistance</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://documents.wfp.org/stellent/groups/public/documents/communications/wfp260028.pdf</p> |
| | 5. Evaluations or reviews of the MO's work (corporate and country levels) tend to comment favourably on the organisation's efforts to coordinate and harmonise efforts with others. | Not met | <p>UNHCR, UNICEF, & WFP. (2014 [01]). <i>Joint Assessment Review of the Syrian Refugee Response in Jordan</i>. United Nations High Commissioner for Refugees, United Nations Children's Fund, and World Food Programme. Retrieved from https://data.unhcr.org/syrianrefugees/download.php?id=4309</p> <p>UNHCR & WFP. (2011 [01]). <i>Food Assistance in Protracted Refugee Situations in Ethiopia (2003-2010): A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-ethiopia-2003-2010-joint-mixed-method-impact-e</p> <p>UNHCR & WFP. (2012 [02]). <i>Food Assistance in Protracted Refugee Situations in Bangladesh: A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-bangladesh-joint-mixed-method-impact-evaluatio</p> <p>UNHCR & WFP. (2012 [03]). <i>Food Assistance in Protracted Refugee Situations in Chad (2003-2011): A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-chad-2003-2011-joint-mixed-method-impact-evalu</p> <p>UNHCR & WFP. (2012 [04]). <i>Food Assistance in Protracted Refugee Situations in Rwanda (2007-2011): A joint mixed method impact evaluation</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/contribution-food-assistance-durable-solutions-protracted-refugee-situations-its-impact-and-</p> <p>Berg, M., Mattinen, H., & Pattugalan G. (2013). <i>Examining Protection and Gender in Cash and Voucher Transfers: Case studies of the World Food Programme (WFP) and the Office of the United Nations High Commissioner for Refugees (UNHCR) assistance</i>. United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://documents.wfp.org/stellent/groups/public/documents/communications/wfp260028.pdf</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> |
| Overall Score MI 17.2 | | Adequate (4) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|--|--------|--|
| MI 17.5 UNHCR effectively leads and coordinates comprehensive responses for refugees with all concerned stakeholders | 1. The MO has allocated appropriate resources (i.e. staffing, funding and technical expertise) to assume leadership and coordination of multi-sectorial refugee responses. | Met | <p>UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml</p> <p>UNHCR. (n.d. [05]). <i>UNHCR Global Appeal 2013 Update</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga13/index.xml</p> <p>UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> <p>UNHCR. (2013 [45]). <i>UNHCR Refugee Coordination Model: Adaptation of UNHCR's refugee coordination in the context of the Transformative Agenda</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/53679e2c9.pdf</p> <p>UNHCR. (2007 [02]). <i>Handbook for Emergencies, 3rd edition</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/472af2972.html</p> <p>UNHCR. (2012 [18]). <i>Guidance Note on Inter-Agency Partnership in Refugee Emergencies</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2013 [45]). <i>UNHCR Refugee Coordination Model: Adaptation of UNHCR's refugee coordination in the context of the Transformative Agenda</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/53679e2c9.pdf</p> <p>UNHCR Inter-agency Unit. (2013 [01]). <i>UNHCR and Humanitarian Partnerships</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51190d349.html</p> |
| | 2. The MO has developed guidance for staff (i.e. standards, policies, and best practice documents) on how to coordinate and lead multi-sectorial refugee responses. | Met | <p>UNHCR. (2012 [18]). <i>Guidance Note on Inter-Agency Partnership in Refugee Emergencies</i>. United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2013 [45]). <i>UNHCR Refugee Coordination Model: Adaptation of UNHCR's refugee coordination in the context of the Transformative Agenda</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/53679e2c9.pdf</p> <p>OCHA & UNHCR. (2014 [01]). <i>Joint UNHCR - OCHA Note on Mixed Situations: Coordination in practice</i>. United Nations Office for the Coordination of Humanitarian Affairs and United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR Inter-agency Unit. (2013 [01]). <i>UNHCR and Humanitarian Partnerships</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/51190d349.html</p> |
| | 3. There is evidence that the MO is building formal and informal relationships to ensure it can lead and coordinate | Met | <p>OCHA & UNHCR. (2014 [01]). <i>Joint UNHCR - OCHA Note on Mixed Situations: Coordination in practice</i>. United Nations Office for the Coordination of Humanitarian Affairs and United Nations High Commissioner for Refugees. Retrieved from [Internal document]</p> <p>UNHCR. (2013 [11]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|---|---------|--|
| | multi-sectorial refugee responses. | | Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf ACNUR. (n.d. [01]). <i>Acuerdo Bajo el Programa de la Oficina del Alto Comisionado de Naciones Unidas para los Refugiados entre ACNUR y Hebrew Immigrant Aid Society</i> . Alto Comisionado de las Naciones Unidas para los Refugiados (ACNUR/UNHCR). Retrieved from [Internal document] UNHCR. (2013 [36]). <i>The High Commissioner's Structured Dialogue on NGO-IFRC-UNHCR Partnership: An initiative to improve partnership between UNHCR and NGOs in 2012 and beyond; Partnership recommendations</i> . United Nations High Commissioner for Refugees. Retrieved from [Internal document] |
| | 4. The MO has appropriate accountability mechanisms in place (both programmatic and operational) to ensure it carries out its duties in leading and coordinating multi-sectorial refugee responses. | Met | UNHCR. (2013 [11]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf UNHCR. (2013 [45]). <i>UNHCR Refugee Coordination Model: Adaptation of UNHCR's refugee coordination in the context of the Transformative Agenda</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/53679e2c9.pdf OCHA & UNHCR. (2014 [01]). <i>Joint UNHCR - OCHA Note on Mixed Situations: Coordination in practice</i> . United Nations Office for the Coordination of Humanitarian Affairs and United Nations High Commissioner for Refugees. Retrieved from [Internal document] UNHCR. (2014 [20]). <i>Transformative Agenda and Refugee Coordination [PowerPoint slides]</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/53679de19.html |
| | 5. The MO uses formal feedback mechanisms to report on results achieved in leading/ coordinating multi-sectorial refugee responses. | Not met | UNHCR, UNICEF, & WFP. (2014 [01]). <i>Joint Assessment Review of the Syrian Refugee Response in Jordan</i> . United Nations High Commissioner for Refugees, United Nations Children's Fund, and World Food Programme. Retrieved from https://data.unhcr.org/syrianrefugees/download.php?id=4309 UNHCR & WFP. (2011 [01]). <i>Food Assistance in Protracted Refugee Situations in Ethiopia (2003-2010): A joint mixed method impact evaluation</i> . United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-ethiopia-2003-2010-joint-mixed-method-impact-e UNHCR & WFP. (2012 [02]). <i>Food Assistance in Protracted Refugee Situations in Bangladesh: A joint mixed method impact evaluation</i> . United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-bangladesh-joint-mixed-method-impact-evaluatio UNHCR & WFP. (2012 [03]). <i>Food Assistance in Protracted Refugee Situations in Chad (2003-2011): A joint mixed method impact evaluation</i> . United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/food-assistance-protracted-refugee-situations-chad-2003-2011-joint-mixed-method-impact-evalu UNHCR & WFP. (2012 [04]). <i>Food Assistance in Protracted Refugee Situations in Rwanda (2007-2011): A joint mixed method impact evaluation</i> . United Nations High Commissioner for Refugees and World Food Program. Retrieved from http://www.wfp.org/content/contribution-food-assistance-durable-solutions-protracted-refugee-situations-its-impact-and- UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|----------|-----------------|--|
| | | | <p>from http://www.unhcr.org/gr13/index.xml</p> <p>UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml</p> <p>UNHCR. (2013 [33]). <i>Update on Coordination Issues: Strategic partnerships (EC/64/SC/CRP.24)</i>. Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c0d079.pdf</p> <p>Crisp, J., Garras, G., J., M., Schenkenger, E., Spiegel, P., & Voon, F. (2013). <i>From Slow Boil to Breaking Point: A real-time evaluation of UNHCR's response to the Syrian refugee emergency</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52b83e539.html</p> <p>Slaughter, A., & Crisp, J. (2009). <i>A Surrogate State? The role of UNHCR in protracted refugee situations</i>. UNHCR Policy and Development Evaluation Service. Retrieved from http://www.refworld.org/pdfid/4fe03cb72.pdf</p> |
| Overall Score MI 17.5 | | Adequate (4) | The assessment team notes that UNHCR has taken significant steps in strengthening its accountability mechanisms for co-ordinating multi-sectorial refugee responses (e.g. preparing a joint note with OCHA that formalises the accountability interface between UNHCR's co-ordination of a refugee response and OCHA's co-ordination of the broader humanitarian response, and an internal guidance note for staff on inter-agency partnerships in refugee emergencies). As these measures are quite recent, it will take some time to see their effects across the organisation. |

PERFORMANCE AREA IV – KNOWLEDGE MANAGEMENT

KPI 18. The MO consistently evaluates its results

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|---------|---|
| MI 18.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its senior management or governing bodies | 1. An organisation-wide (central) evaluation unit or function exists. | Met | <p>OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i>. United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf</p> <p>UNHCR. (2014 [33]). <i>Evaluation and Research [UNHCR website]</i>. Retrieved from http://www.unhcr.org/pages/4a1d28526.html</p> <p>UNHCR. (2006[08]). <i>Evaluation and Policy Development: Report by the High Commissioner (A/AC.96/1029)</i>. United Nations General Assembly. Retrieved from http://www.unhcr.org/44c9cd982.pdf</p> <p>Crisp, J. (2006). <i>UNHCR's New Policy Development and Evaluation Service: Some frequently asked questions [Presentation]</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4524f87b2.pdf</p> |
| | 2. An organisation-wide evaluation policy exists, which includes guidance | Not met | <p>OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i>. United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-------------------|---|
| | on how the MO ensures independence of evaluations and evaluation systems. | | UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| | 3. If the first criterion is met , there is evidence of the independent nature of evaluations in reports being submitted by the organisation-wide evaluation unit or function to senior management (Head of the Organisation), to the governing bodies or to the committee responsible for independent evaluations. | Not met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| | 4. If the first criterion is met , the organisation-wide evaluation unit has a direct reporting function to the senior management. | Met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| | 5. The organisation-wide (central) evaluation unit has a direct reporting function to the MO's governing bodies. | Not met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| Overall Score MI 18.1 | | Inadequate (3) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|--|
| MI 18.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc.) | 1. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programmes. | Met | UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| | 2. If the first criterion is met , this policy or plan clearly explains how evaluations are planned and prioritised. | Not met | UNHCR. (2013 [16]). <i>Report on Policy Development and Evaluation: Report of the High Commissioner (A/AC.96/1128)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/521f3e279.html UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html UNHCR. (2006[08]). <i>Evaluation and Policy Development: Report by the High Commissioner (A/AC.96/1029)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/44c9cd982.pdf Crisp, J. (2006). <i>UNHCR's New Policy Development and Evaluation Service: Some frequently asked questions [Presentation]</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/4524f87b2.pdf |
| | 3. The organisation-wide policy defines expectations for coverage with regard to thematic areas, country programmes, or other relevant dimensions (for example, it may identify the frequency of certain types of evaluations, the percentage of projects and programs etc.). | Not met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf |
| | 4. There is evidence that the organisation implements its policy (i.e. there is evidence of annual evaluation plans, appropriate resourcing, monitoring of coverage, etc.). | Not met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf |
| | 5. Recent independent | Not met | Kiragu, E., Li Rosi, A., & Morris, T. (2011). <i>States of Denial: A review of UNHCR's response to the protracted</i> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|----------|---|
| | evaluations reports exist for all countries sampled. | | <p><i>situation of stateless Rohingya refugees in Bangladesh</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/4ee754c19.html</p> <p>Bourgeois, C., Diagne, K., & Tennant, V. (2007). <i>Real Time Evaluation of UNHCR's IDP operation in the Democratic Republic of Congo</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/46ea97fe2.html</p> <p>Dubini, R., Lumpp, K., Camargo, F., Breen, D., & Serrano, I. (2013). <i>A Review of the Implementation of UNHCR's Urban Refugee Policy in Ecuador</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/5249729d9.html</p> <p>Diagne, K., & Solberg, A. (2008). <i>Lessons Learned from UNHCR's Emergency Operation for Internally Displaced Persons in Kenya</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/48e5d90d2.html</p> <p>UNHCR & DANIDA. (2010). <i>Joint Evaluation: Evaluation of the protracted refugee situation (PRS) for Burundians in Tanzania</i>. UNHCR and Ministry of Foreign Affairs of Denmark International Development Cooperation. Retrieved from http://www.unhcr.org/4cdd4bc29.html</p> |
| Overall Score MI 18.2 | | Weak (2) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|---------|--|
| MI 18.3 The MO ensures quality of its evaluations | 1. The MO has a policy/procedures for the quality control of its evaluations. | Met | UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i> . UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html |
| | 2. The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years. | Not met | UNHCR. (2013 [16]). <i>Report on Policy Development and Evaluation: Report of the High Commissioner (A/AC.96/1128)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/521f3e279.html |
| | 3. There is evidence (in the reports on the quality of evaluations/ reviews of evaluations) that the MO is respecting relevant evaluation standards (e.g. UNEG standards and DAC standards) in | Not met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|----------|---|
| | its centralised and decentralised evaluations. | | |
| | 4. The reports on the quality of evaluations cover organisation-wide, country and project level evaluations. | Not met | Ibidem |
| | 5. There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations. | Not met | Ibidem |
| Overall Score MI 18.3 | | Weak (2) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|--------|---|
| MI 18.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes | 1. The MO has a policy or guidelines for involving direct beneficiaries and stakeholder groups in evaluation processes. | Met | <p>UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html</p> <p>EPAU. (2005 [01]). <i>How to Manage Evaluations: Seven steps</i>. UNHCR Evaluation and Policy Analysis Unit (EPAU). Retrieved from http://www.unhcr.org/429d7c792.pdf</p> <p>EPAU. (2005 [02]). <i>Organizing Participatory Self-Evaluations at UNHCR: Guidelines</i>. UNHCR Evaluation and Policy Analysis Unit (EPAU). Retrieved from http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=429d7be52&query=participatory%20self-evaluation</p> <p>UNHCR. (2008 [04]). <i>A Community-based Approach in UNHCR Operations</i>. United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/47f0a0232.pdf</p> |
| | 2. This document specifies that efforts should be made to include both women and men, primary stakeholders from different socioeconomic groups and ethnicities, and girls and boys in the evaluation process. | Met | <p>UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html</p> <p>EPAU. (2005 [01]). <i>How to Manage Evaluations: Seven steps</i>. UNHCR Evaluation and Policy Analysis Unit (EPAU). Retrieved from http://www.unhcr.org/429d7c792.pdf</p> |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|-----------------|--|---------|--|
| | 3. The evaluation reports sampled show evidence that relevant beneficiaries and stakeholders were involved in at least one part of the evaluation process (e.g. planning, data collection, reporting, conclusions and recommendations, and identification of lessons learned). | Met | <p>Van Hövell, W., Hruschka, C., Morris, H., & Salomons, M. (2014). <i>Providing for Protection: Assisting states with the assumption of responsibility for refugee status determination; A preliminary review</i> (PDES/2014/01). UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/53314b7a9.html</p> <p>Ott, E. (2013). <i>The Labour Market Integration of Resettled Refugees</i> (PDES/2013/16). UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/5273a9e89.html</p> <p>Ambroso, G. & Hilal, Y. (2013). <i>Bridge Over Troubled Desert: A review of the UNHCR confidence building measures programme in the Western Sahara Territory and in the refugee camps near Tindouf</i> (PDES/2013/17). UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/52861b9b9.html</p> <p>Dubini, R., Lumpp, K., Camargo, F., Breen, D., & Serrano, I. (2013). <i>A Review of the Implementation of UNHCR's Urban Refugee Policy in Ecuador</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/5249729d9.html</p> <p>Van Selm, J. (2013). <i>Great Expectations: A review of the strategic use of resettlement</i> (PDES/2013/13). UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/520a3e559.html</p> <p>Morris, H., & Salomons, M. (2013). <i>Difficult Decisions: A review of UNHCR's engagement with Assisted Voluntary Return programmes</i> (PDES/2013/11). UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/51f924209.html</p> <p>Morand, M. & Crisp, J. (2013). <i>Destination Delhi: A review of the implementation of UNHCR's urban refugee policy in India's capital city</i> (PDES/2013/09). UNHCR Policy Development and Evaluation Service. Retrieved from http://www.unhcr.org/51f66e7d9.html</p> <p>OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees</i> (E/AC.51/2013/5). United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf</p> <p>UNHCR. (2010 [10]). <i>UNHCR's Evaluation Policy</i>. UNHCR Policy Development and Evaluation Service (PDES). Retrieved from http://www.unhcr.org/3d99a0f74.html</p> <p>EPAU. (2005 [01]). <i>How to Manage Evaluations: Seven steps</i>. UNHCR Evaluation and Policy Analysis Unit (EPAU). Retrieved from http://www.unhcr.org/429d7c792.pdf</p> |
| | 4. The evaluation reports sampled show evidence that relevant beneficiaries and stakeholders were involved in more than one part of the evaluation processes (e.g. planning, data | Not met | Ibidem |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-----------------|---|
| | collection, reporting, conclusions and recommendations, and identification of lessons learned). | | |
| | 5. The MO has a review process that ensures the involvement of direct beneficiaries and stakeholders in the evaluation processes (i.e. it tries to improve their involvement). | Not met | |
| Overall Score MI 18.5 | | Adequate (4) | |

KPI 19. The MO presents performance information on its effectiveness

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|--|--------|--|
| MI 19.1 The MO reports against its organisation-wide strategy, including contribution to outcomes | 1. There is an annual report (performance report) provided by the MO to its Board and other stakeholders on the progress being made toward the organisation-wide strategy. | Met | UNHCR. (2014 [40]). <i>The Global Report and Funding Reports</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/pages/49c3646c278.html |
| | 2. The annual organisation-wide report provides evidence (through monitoring data, evaluations, assessments, field reports, etc.) with respect to the delivery of outputs as identified in its strategy. | Met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-------------------|---|
| | 3. The annual organisation-wide report provides evidence (not only through monitoring data, but also through evaluations, assessments, field reports, etc.) with respect to the organisation's contribution to outcomes. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |
| | 4. The annual report presents variances between planned and actual organisation-wide results and explains the reasons for the variance. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |
| | 5. All above criteria are met for <i>all</i> performance reports sampled. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml UNHCR. (2012 [11]). <i>UNHCR Global Report 2011</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr11/index.xml |
| Overall Score MI 19.1 | | Inadequate (3) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|--|---|---------|--|
| MI 19.2 The MO reports on its organisation-wide performance using data obtained from measuring | 1. Annual performance reports exist at the organisation-wide level. | Met | UNHCR. (2014 [40]). <i>The Global Report and Funding Reports</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/pages/49c3646c278.html |
| | 2. If the first criterion is met , the most recent performance report sampled specifies indicators for the reporting period that | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|----------|---|
| indicators | respect SMART criteria for indicators. | | |
| | 3. If the first criterion is met , the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e. indicator data are compared across X years). | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |
| | 4. If the first criterion is met , the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) either in graph or narrative form. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml |
| | 5. If all above criteria are met , they are met for all performance reports sampled. | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr13/index.xml UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml UNHCR. (2012 [11]). <i>UNHCR Global Report 2011</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr11/index.xml |
| Overall Score MI 19.2 | | Weak (2) | |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|---------|--|
| MI 19.3 The MO reports against its country strategies, including contribution to outcomes | 1. Annual performance reports (i.e. reporting on progress made towards the country strategies) exist at the country level. | Met | UNHCR. (2014 [31]). <i>Operations [Global Focus website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en UNHCR. (2013 [60]). <i>Operations [Global Focus website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://globalfocus.unhcr.org/content/gf-x/loginPage.html?lb=y&referer=/content/gf-x/en/2013/operations |
| | 2. At least half of the recent country performance reports sampled provide credible evidence (through evaluations, assessments, field reports, etc.) with respect to delivery of outputs and contribution to outcomes as identified in the country strategy. | Met | Ibidem |
| | 3. At least half of the recent country performance reports sampled explain variances between planned and actual results. | Not met | Ibidem |
| | 4. There is evidence in at least half of the country sampled that the MO is improving the evidence base it provides in its annual reporting on country results (e.g. establishes link between country level outputs and outcomes, identifies limitations in the data, refers to efforts to address limitations and otherwise ensure quality of data). | Met | Ibidem |
| | 5. If all above criteria are | Not met | UNHCR. (2014 [22]). <i>UNHCR Global Report 2013</i> . United Nations High Commissioner for Refugees. Retrieved |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|---|-----------------|--|
| | met , they are met for <i>all</i> country performance reports sampled. | | from http://www.unhcr.org/gr13/index.xml UNHCR. (n.d. [03]). <i>UNHCR Global Report 2012</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr12/index.xml UNHCR. (2012 [11]). <i>UNHCR Global Report 2011</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/gr11/index.xml |
| Overall Score MI 19.3 | | Adequate (4) | |

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

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|---|---|--------|---|
| MI 20.1 The MO encourages learning and sharing of lessons | 1. There is evidence that the organisation is committed to the identification of lessons learned and/or best practices. | Met | UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.pdf OIOS. (2013 [01]). <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2012-2013): Report by the Office of Internal Oversight Services (A/AC.96/1126)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/5232cc699.html UNHCR. (2013 [62]). <i>Review of Findings and Recommendations from Evaluations of Recent Emergency Operations</i> . United Nations High Commissioner for Refugees. |
| | 2. The MO has a system for collecting and disseminating internal lessons learned and/or best practices. | Met | OIOS. (2013 [02]). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.pdf UNHCR. (2013 [06]). <i>UNHCR Global Appeal 2014-2015</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.unhcr.org/ga14/index.xml UNHCR (n.d.). <i>UNHCR Regional Centre for Emergency Preparedness, Events [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved from http://www.the-ecentre.net/ |

| Micro-Indicator | Criteria | Status | Key documents consulted (Title and hyperlink if available) |
|------------------------------|--|-----------------|--|
| | | | UNHCR. (2012 [23]). <i>Inter-Office Memorandum No. 094/2012: UNHCR Learning Policy & Guidelines [Internal document]</i> . United Nations High Commissioner for Refugees. |
| | 3. There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices. | Met | |
| | 4. The MO has an easily accessible platform that collects and disseminates both internal and external lessons learned and/or best practices. | Not met | UNHCR. (n.d.). <i>Learn & Connect Log-in webpage [UNHCR website]</i> . United Nations High Commissioner for Refugees. Retrieved from https://unhcr.csod.com/client/unhcr/default.aspx |
| | 5. There is evidence that the MO uses lessons learned and/or best practices based on performance to change management and programming practices. | Not met | UNHCR. (2013 [17]). <i>Human Resources Issues, Including Staff Security (EC/64/SC/CRP.22)</i> . Executive Committee of the High Commissioner's Programme. Retrieved from http://www.unhcr.org/523c10979.pdf OIOS. (2013). <i>Review of the Evaluation Capacity of the Office of the United Nations High Commissioner for Refugees (E/AC.51/2013/5)</i> . United Nations Economic and Social Council. Retrieved from http://www.un.org/Depts/oios/ied/reports/2013/E_AC_51_2013_5.pdf UNHCR. (2013 [07]). <i>Biennial Programme Budget 2014-2015 of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner (A/AC.96/1125)</i> . United Nations General Assembly. Retrieved from http://www.unhcr.org/523ab6bd9.html |
| Overall Score MI 20.1 | | Adequate (4) | |

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