

# MOPAN 2017-18 ASSESSMENTS

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**Office of the United Nations  
High Commissioner for Refugees  
(UNHCR)**

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MOPAN Assessments

# **Office of the United Nations High Commissioner for Refugees**

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2017-18 Performance Assessment



# Preface

## ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 18 countries<sup>1</sup> that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the Common Approach, which the Network implemented from 2009 through 2014.

In 2017-18, MOPAN assessed 14 organisations, including UNHCR. The other 13 are:

- Asian Development Bank (ADB)
- Food and Agriculture Organization (FAO)
- Global Environment Facility (GEF)
- Global Partnership for Education (GPE)
- International Fund for Agricultural Development (IFAD)
- International Organization for Migration (IOM)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Population Fund (UNFPA)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- World Food Programme (WFP)
- World Health Organization (WHO).

## Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

## Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

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1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States. MOPAN also has two observers, New Zealand and the United Arab Emirates.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

## Acknowledgements

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The MOPAN assessment was finalised under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Mitch Levine, Policy Analyst. We are very grateful to Seungtae Hong from Korea for championing this assessment of UNHCR on behalf of the MOPAN membership.

The assessment was conducted with support from IOD PARC, an independent consultancy specialised in assessing performance and managing change in the field of international development. Julia Betts served as Team Lead for the assessment of UNHCR, with support from Mark Singleton and Niamh O'Grady, under the overall leadership of Julian Gayfer. Ipsos MORI administered the partner survey.

The report benefited from a peer review conducted within the MOPAN Secretariat and from the comments of a senior independent advisor, Margareta de Goyos, former Director of Evaluation at UNIDO. Jill Gaston edited the report, and Andrew Esson provided layout and graphic design.

MOPAN is grateful to its Steering Committee representatives for supporting the assessment of UNHCR. Finally, MOPAN would like to convey appreciation to UNHCR management and staff for their input and comments at various stages, in particular those staff members who internally co-ordinated the process and provided substantive feedback on the final draft report.

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## Acronyms and abbreviations

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<b>AAP</b>	Accountability to affected populations	<b>MOPAN</b>	Multilateral Organisation Performance Assessment Network
<b>AGD</b>	Age, gender and diversity	<b>NGO</b>	Non-governmental organisation
<b>CEB</b>	United Nations Secretary-General's Chief Executive Board for Coordination	<b>OIOS</b>	United Nations Office of Internal Oversight Services
<b>CCCM</b>	Camp Coordination and Camp Management	<b>QCPR</b>	Quadrennial comprehensive policy review
<b>RF</b>	Results Framework	<b>RAF</b>	Resource Allocation Framework
<b>CRRF</b>	Comprehensive Refugee Response Framework	<b>RBM</b>	Results-based management
<b>ECOSOC</b>	Economic and Social Council	<b>ROSA</b>	Regional Office for Southern Africa (UNHCR)
<b>ECOSOC HAS</b>	Economic and Social Council Humanitarian Affairs Segment	<b>SAFE</b>	Safe Access to Fuel and Energy
<b>ExCom</b>	UNHCR Executive Committee	<b>SEAH</b>	Sexual exploitation, abuse and harassment
<b>HLCP</b>	High-Level Committee on Programmes	<b>SGBV</b>	Sexual and gender-based violence
<b>HQ</b>	Headquarters	<b>SHA</b>	Prevention of sexual harassment and abuse
<b>GMAF</b>	Global Management Accountability Framework	<b>UN</b>	United Nations
<b>GNA</b>	Global Need Assessments	<b>UNCT</b>	United Nations Country Team
<b>GSC</b>	Global Shelter Cluster	<b>UNDG</b>	United Nations Development Group
<b>IASC</b>	Inter-Agency Standing Committee	<b>UNDP</b>	United Nations Development Programme
<b>IATI</b>	International Aid Transparency Initiative	<b>UNEG</b>	United Nations Evaluation Group
<b>IDPs</b>	Internally Displaced Persons	<b>UNHCR</b>	Office of the United Nations High Commissioner for Refugees
<b>IGO</b>	Inspector General's Office	<b>USD</b>	United States dollar
<b>KPI</b>	Key performance indicator	<b>WFP</b>	World Food Programme
<b>MI</b>	Micro-indicator		

# Executive summary

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In 2017-18, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the Office of the United Nations High Commissioner for Refugees (UNHCR). The assessment looks at UNHCR's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieved against its objectives. This is the third MOPAN assessment of UNHCR; the most recent was conducted in 2014.

## CONTEXT

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Rising numbers of refugees and other forcibly displaced persons in recent years, as well as several ongoing protracted crises, have placed increasing demands on UNHCR. The organisation's central role in protecting these persons of concern and in co-ordinating refugee responses is reflected in its engagement with the Comprehensive Refugee Response Framework (CRRF) contained in the 2016 New York Declaration for Refugees and Migrants. Alongside this is its tasking by the international community to develop the Global Compact on Refugees, approved by the United Nations General Assembly in December 2018. UNHCR's engagement reflects its special mandate and position within the international architecture. At the same time, however, these major international shifts have increased demands on an organisation already under considerable pressure from funding shortfalls.

The context surrounding UNHCR is one not only of increased demands but also of transition, with major reforms ongoing within the organisation as well as more broadly in the United Nations system. This context requires careful navigation and continued commitment to ensure that the organisation is fit to meet the challenges it faces currently and will face in the future.

## KEY FINDINGS

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Overall, the assessment finds that UNHCR's trajectory of change is positive. Recognising both external and internal challenges, particularly to agility, efficiency, and headquarter coherence, the organisation began implementing a comprehensive change management process in 2017. This prioritises greater coherence at headquarters and improved decentralisation of key functions and processes. Change is well underway though not yet complete. While risks remain – not least that of a fragmented rather than a "whole of organisation" approach – this assessment finds that UNHCR is committed to reform.

The assessment also finds that UNHCR has built on the strengths and areas for improvement identified in the previous MOPAN assessment. Many of its strengths remain similar, and the organisation has improved, or is improving, a number of key areas for improvement identified in the 2014 assessment. Only two areas for improvement are the same: structural dependence of the evaluation function and the lack of linkage between UNHCR's Results Framework and its strategic plan.

The assessment identifies four **strengths** of UNHCR:

- 1. UNHCR's special mandate and mission within the international architecture provide not only its *raison d'être* but also clarity on its role and remit.** UNHCR's core foundation of the 1951 Refugee Convention and the 1967 Protocol Relating to the Status of Refugees not only define its specific role and remit within the international architecture but also shape its strategical and operational planning. Accordingly, the organisation has a strong sense of its own identity; its organisational planning and institutional reforms take place within the parameters of this identity.

**2. UNHCR's "closeness to the ground" enables it to develop highly relevant interventions for its populations of concern.** UNHCR has a strong field presence and, operationally, is closely linked to its populations of concern. Evaluations and reviews find its interventions directly relevant to needs, informed by close consultation with national stakeholders and populations of concern, and well-aligned with national priorities. The organisation applies solid needs assessments to inform its operational designs and has mostly rigorous procedures and systems in place for addressing accountability to affected populations.

**3. UNHCR has a strong human rights and protection focus.** Arising from the core foundation of its mission and mandate, human rights and protection concerns lie at the heart of the organisation's interventions. They are supported by strong design tools, training, and programme approval mechanisms as well as appropriate resourcing. These concerns are effectively integral to the organisation's work; they permeate organisational practice, thinking, and dialogue at all levels.

**4. UNHCR plays an important global role in developing knowledge products and conducting advocacy on behalf of persons of concern.** UNHCR's major comparative advantages include generating the global knowledge base on populations of concern. It establishes annually the total global volume of persons forcibly displaced and conducts critical needs assessments at country level. Its advocacy capacities on behalf of persons of concern are widely respected, as are its strong legal and technical capacities to address their needs.

The assessment also finds four major **areas for improvement:**

**1. UNHCR's strategic architecture and associated corporate results lack complete clarity.** Two overarching documents govern its forward direction, namely the high-level 2017-2021 Strategic Directions and a set of more operational Global Strategic Priorities, which arise from the Global Appeal. The interlinkages between these documents are not fully clear. The organisation's results framework is not coherently linked to the Strategic Directions and results have some technical weaknesses and are complemented by a range of internal parallel results systems. Under the current architecture, UNHCR cannot plainly set out (a) its medium- and long-term visions of success, (b) how it intends to get there (means of achievement), and (c) what results it intends to achieve.

**2. UNHCR has an operationally short-term, rather than medium-term, approach and mindset.** Multiple evaluations and reviews critique UNHCR's short-term approaches to programming. They also identify weak strategic planning, few links to transition or sustainability strategies, and difficulties in providing durable solutions. Findings suggest more than simply short-term programme cycles, but rather a short-term mindset and organisational culture. UNHCR plans, designs, and implements its operations in a context of increasing numbers of protracted crises and many refugees being "here to stay", thus demanding greater focus on sustainability of interventions.

**3. UNHCR can improve its performance and knowledge management systems.** UNHCR committed to a stronger evidence focus under its 2017-21 Strategic Directions - it has invested in its results-based management (RBM) system and evaluation function, and improvements are beginning to take hold. Nonetheless, more can be done:

**a:** RBM reforms are not fully aligned with strategic planning developments, thus failing to ensure that the RBM system and the evaluation function are intrinsically linked.

**b:** The evaluation function is not fully independent structurally, functionally, or in budget.

**c:** Internal knowledge management is tacit and informal, rather than systematised.

**4. UNHCR has scope to improve its operational co-ordination with UN partners at field level.** UNHCR plays a key role in the co-ordination architecture for responding to the needs of persons of concern, leading on the overall co-ordination of refugee responses and key global clusters. However, evaluations and reviews consistently identify weak operational co-ordination with sister UN agencies, noting limited joint planning and strategising, missed opportunities for coherent programming and fragmented interventions. Furthermore, while UNHCR clearly has a strong ethos of partnership, having an overarching partnership strategy and strong operational coherence with UN counterparts are essential to achieving the Sustainable Development Goals.

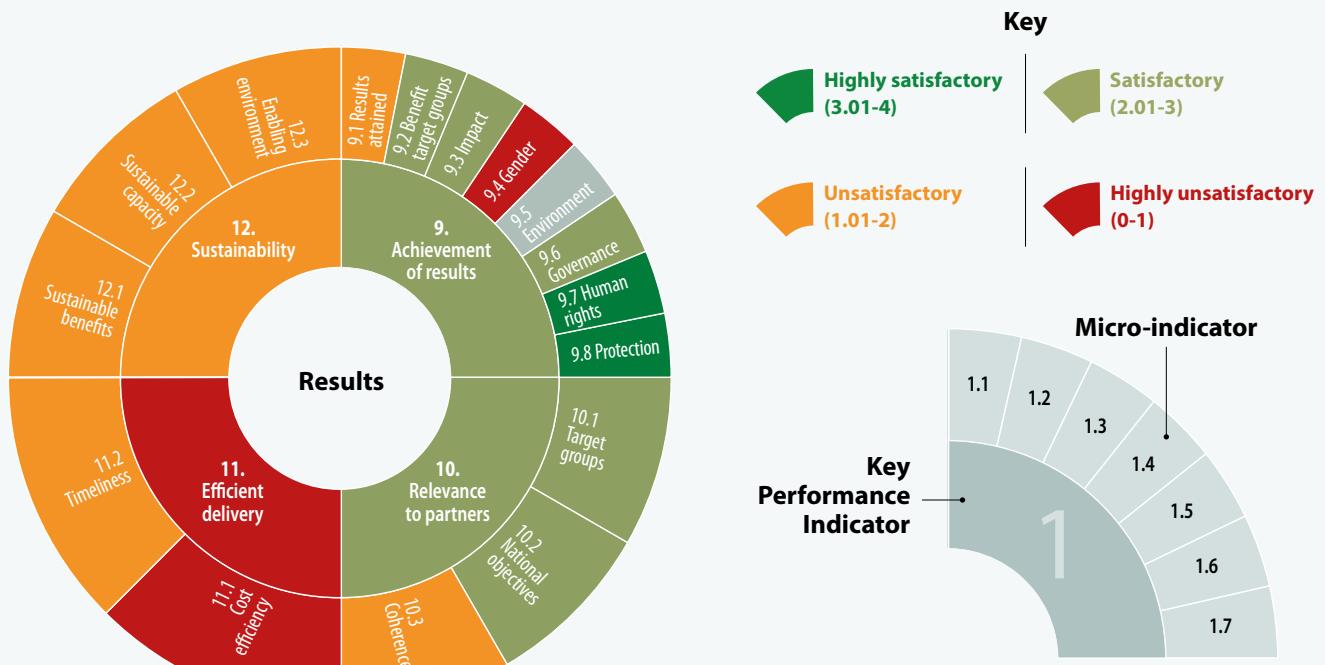
## METHODS OF ANALYSIS

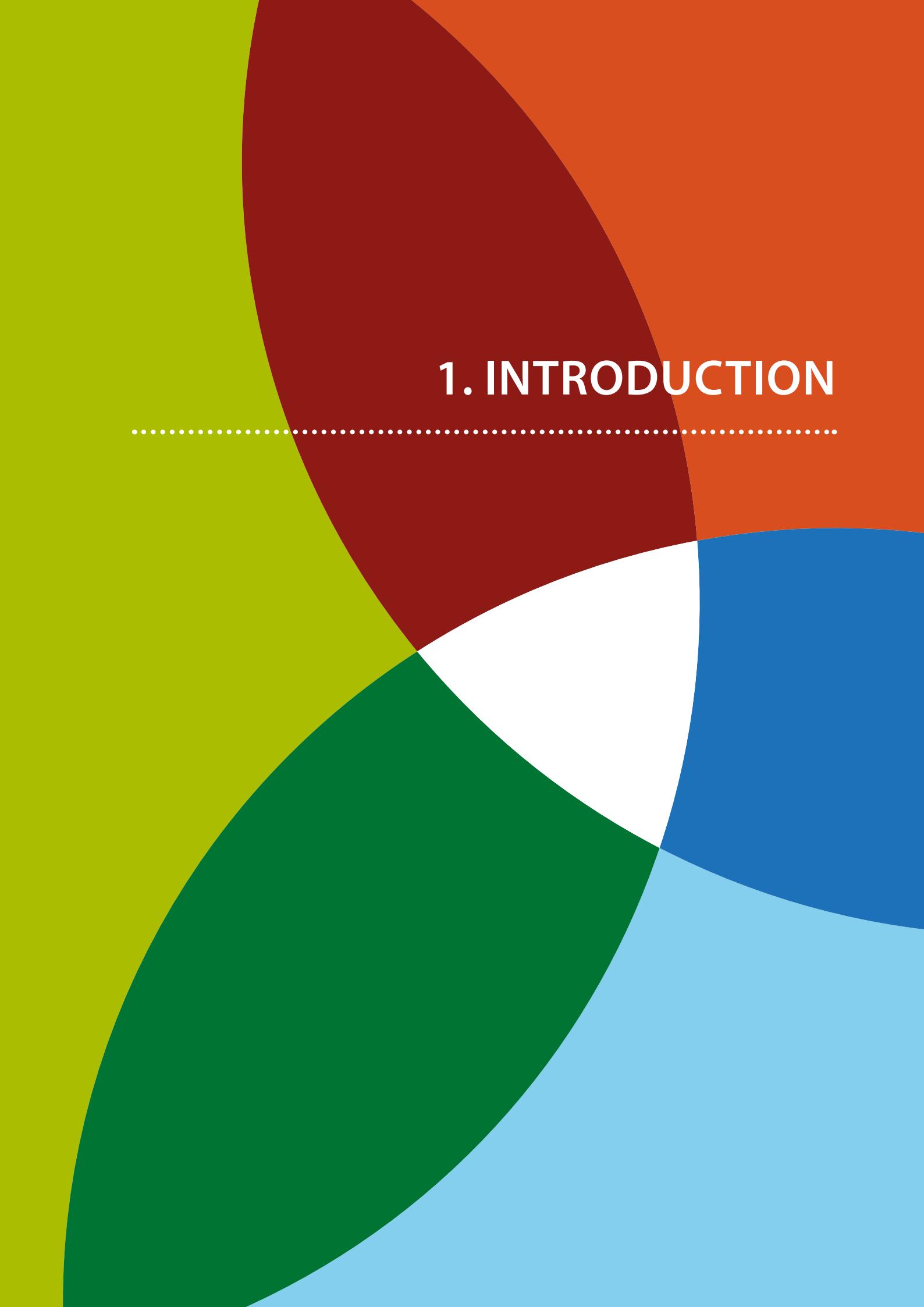
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The assessment of performance covers the UNHCR's headquarters and regional and country field presence. It addresses organisational systems, practices and behaviours, as well as results achieved during the period 2016 to mid-2018. It relies on three lines of evidence: a review of 245 documents, interviews with more than 80 staff members individually and in small groups, and an online survey conducted among partners in 11 countries.

The MOPAN 3.0 methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. The Republic of Korea acted as the Institutional Lead country, representing MOPAN members in this assessment process.

## PERFORMANCE RATING SUMMARY FOR UNHCR (2017–18)





# 1. INTRODUCTION

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# Chapter 1. Introduction

## 1.1. STRUCTURE OF THE REPORT

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This report has three chapters and three annexes. Chapter 1 introduces the Office of the United Nations High Commissioner for Refugees (UNHCR) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

## 1.2. UNHCR AT A GLANCE

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**Mission and mandate:** UNHCR was created in 1950, during the aftermath of the Second World War, to help millions of Europeans who had fled or lost their homes. Its mandate is defined by the 1950 UNHCR Statute, which sets out the rationale for the organisation's creation. The basis of UNHCR's work is the 1951 Refugee Convention, which has been ratified by 145 state parties. This defines the term "refugee" and outlines the rights of the displaced, as well as the legal obligations of states to protect them. UNHCR serves as the guardian of the 1951 Convention and its 1967 Protocol Relating to the Status of Refugees, which sets clear expectations for state co-operation in ensuring that the rights of refugees are respected and protected. The core principle of the legislation is non-refoulement, which asserts that refugees should not be returned to a country where they face serious threats to their lives or their freedom.

**Governance:** UNHCR is governed by the United Nations (UN) General Assembly and the Economic and Social Council (ECOSOC). The UNHCR Executive Committee (ExCom), which meets annually in Geneva, approves the agency's biennial programmes and the corresponding budget. Between plenary sessions, the Standing Committee meets several times each year to continue to implement the work of the ExCom. The High Commissioner is appointed by the UN General Assembly and is responsible for the direction and control of UNHCR; he or she serves a five-year term. The current High Commissioner was appointed in January 2016.

**Organisational structure:** Headquartered in Geneva, as of May 2018 UNHCR had 11 517 national and international staff working in 128 countries. The organisation's structure is fairly decentralised, with 87% of its staff based in field locations. Specific divisions, mostly based in the Geneva headquarters, oversee areas such as operations, protection, external relations, human resources and finances. The organisation also has Global Service Centres in Budapest, Copenhagen and Amman, which provide support for the organisation globally. Regional bureaux liaise between UNHCR's Country Offices and headquarters.

**Strategy:** UNHCR's core business is working with governments to ensure that the 1951 Convention is honoured, by providing protection and pursuing solutions for refugees and the internally displaced, and working to prevent and reduce statelessness. By the end of 2017, the total population of concern to UNHCR stood at 71.4 million people.<sup>2</sup>

UNHCR does not have a corporate strategic plan per se, but its 2017-21 Strategic Directions set out its strategic intent for the period. These are based on UNHCR's mandate of advancing protection and solutions for refugees and internally displaced and stateless persons. They provide five Core Directions which, taken together, aim to advance protection and solutions for refugees, internally displaced and stateless people. The five Core Directions are: ensuring

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2. This included people who have been forcibly displaced (refugees, asylum-seekers, and internally displaced persons) and those who have found a durable solution (returnees), as well as stateless persons, most of whom have never been forcibly displaced (<http://reporting.unhcr.org/population>).

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protection; responding in emergencies; promoting inclusion and self-reliance, including through the engagement of development actors; empowering the people UNHCR serves; and pursuing solutions.

To realise these ambitions, the Strategic Directions commit to a number of organisational changes over the period 2017–21. These include: (a) building information systems to be “data adept”; (b) strengthening the ability to analyse and learn; (c) innovating; (d) being effective, efficient, agile and accountable; (e) adapting and supporting the workforce; (f) staying and delivering in hazardous operating contexts; (g) telling the story through improved communications and advocacy; and (h) mobilising resources and diversifying support.

At the same time, UNHCR has a set of Global Strategic Priorities (GSPs) within its annual Global Appeal for resources. The GSPs provide organisational priorities and reflect the core areas in the Strategic Directions, but they are more operational and intent-oriented. UNHCR opted for the 2018–19 biennium to retain the same set of GSPs as in 2016–17. These are a favourable protection environment, a fair protection process and documentation, security from violence and exploitation, basic needs and services, community empowerment and self-reliance, and durable solutions. The operational GSPs are accompanied by a set of support and management GSPs.

To realise its mission and mandate, UNHCR provides a range of services under the broad umbrella of the protection of persons of concern, i.e. refugees, internally displaced and stateless persons. This is in line with the 1950 Statute and subsequent General Assembly Resolutions defining its mandate. UNHCR co-ordinates refugee responses and, within the global cluster system, it leads or co-leads the Protection, Shelter, and Camp Co-ordination and Camp Management Clusters. It also provides basic services such as health, livelihoods, shelter, water and sanitation as well as camp management. In addition, UNHCR engages in advocacy; refugee status determination; comprehensive solutions, including voluntary repatriation or resettlement; and community protection; and it works to end statelessness.

The vast bulk of its work takes place at field level. UNHCR implements its operations in part directly, and in part through sub-contracting arrangements with over 1 000 implementing partners. Over 40% of its operational budget in 2017 was channelled through such partnerships.

Following the 2016 New York Declaration for Refugees and Migrants and the development of the Comprehensive Refugee Response Framework (CRRF), contained in Annex I of the Declaration, UNHCR was tasked with developing a “global compact on refugees” (the “Global Compact”). To achieve this task, UNHCR has engaged in consultations with governments and other stakeholders to develop the compact. The High Commissioner proposed the text of the Global Compact on Refugees in his 2018 annual report to the General Assembly. It has four key objectives:

1. ease the pressures on host countries,
2. enhance refugee self-reliance,
3. expand access to third-country solutions and,
4. support conditions in countries of origin for return in safety and dignity.

The Global Compact was approved by the UN General Assembly on 17 December 2018.

At the same time, the New York Declaration has also set in motion a separate, ongoing process for the negotiation of a separate Global Compact to support safe, regular and orderly migration. UNHCR is also engaged in processes to support the development of this migration-related Compact.

**Finances:** UNHCR prepares a biennial programme budget, broken down into annual budgets based on globally assessed needs. The original programme budget is presented to ExCom prior to the start of the biennium. Needs are re-assessed during the biennium, and a revised budget is submitted to ExCom for approval in October of each

year. Budgets may be adjusted for unforeseen needs that arise in the course of the year by means of supplementary budgets. The final budget from the previous year is presented to ExCom's Standing Committee at its June/July meeting each year.

Voluntary contributions comprise the majority of UNHCR's budget. In 2017, USD 3 899 million were received in voluntary contributions, and USD 43.4 million were received as assessed contributions from the UN regular budget.

Budgetary requirements have risen steadily in recent years, due to the increased number of crises causing displacement; however, funds available have remained consistently below requirements. In 2016, UNHCR's funds available amounted to USD 4 411 million received against budgetary requirements of USD 7 510 million. In 2017, UNHCR's funds available totalled USD 4 510 million received against requirements of USD 7 963 million – a gap of just over 43%. In 2018, USD 8 220 million were required.

The top ten donors in 2017, in order, were the United States, Germany, the European Union, Japan, the United Kingdom, Sweden, Norway, Canada, Spain and the Netherlands. The organisation has made considerable efforts to expand its funding base, with just over USD 400 million raised in 2017 from non-governmental organisations, foundations and private donors.

**Organisational change initiatives:** Following concerns in recent years that the organisation's operating model had become excessively bureaucratic and lacking in agility, an external review of the organisation's headquarters was conducted in 2017. This identified a number of ways that UNHCR could improve its effectiveness and efficiency. Consequently, a comprehensive change management process was begun in 2017.

The change management process aims to align UNHCR's operating model to the ambitions of the Strategic Directions. This entails restructuring headquarters, creating new divisions to respond to current challenges in the global environment, and simplifying the policy architecture and making it more coherent. The process also involves increasingly decentralising expertise, structures and functions, decision-making and resources. This exercise, which is not yet complete, has potentially significant effects on the way that UNHCR plans and organises its operational activity.

### Box 1: Preventing sexual exploitation, abuse and harassment<sup>3</sup>

The vulnerability of its population of concern means that UNHCR works in an environment shaped by significant power differentials and deeply rooted inequalities, including those related to gender. Under these conditions, and given its highly decentralised workforce, the risks that can give rise to sexual misconduct are high.

Consequently, UNHCR has a number of systems and mechanisms in place to safeguard against and respond to sexual exploitation, abuse and harassment. These include the following:

- **Policy frameworks:** UNHCR does not have a dedicated policy framework for the prevention of sexual exploitation, abuse and harassment (SEAH), instead prioritising training and awareness-raising (see below). However, UNHCR is currently updating its policy to protect whistle-blowers and survivors, to align with the UN Secretary-General's 2017 Bulletin on Protection against Retaliation. A strategy on addressing SEAH was released in May with an action plan aimed at reinforcing existing measures to address SEAH and at introducing new activities.
- **Training and awareness-raising:** UNHCR has developed several training programmes to address concerns of sexual exploitation, abuse and harassment:
  - **a:** refresher training for the 2002 UNHCR Code of Conduct, whose signing is mandatory by all personnel (reformed in 2016)
  - **b:** two online courses on the Prevention of Sexual Exploitation and Abuse and the United Nations Course on Prevention of Harassment, Sexual Harassment and Abuse of Authority, which are likewise mandatory
  - **c:** the integration of sexual exploitation, abuse and harassment into all mandatory leadership and management training courses
  - **d:** training for field operations by the Inspector General's Office and Ethics Office to raise awareness on procedures, strengthen confidence in the system and share best practices
  - **e:** trainings to increase partner capacity in investigations and raise awareness on expected conduct and obligations for reporting
  - **f:** significantly strengthened internal communications on SEAH, organising discussions with managers and staff in all operations and developing an intranet page to provide information and guidance, including for victims and witnesses, as well as videos and a Frequently Asked Questions section
- **Accountability:** The safeguarding team comprises the Inspector General's Office, the Ethics Office, the Legal Affairs Service and the Staff Welfare Services, among others. A Senior Coordinator was appointed in March 2018 to lead UNHCR's work against sexual exploitation, abuse and harassment and a Task Force was set up in May 2018. UNHCR has also established a network of over 300 protection staff and other staff in its field offices with specific focal point responsibilities related to preventing sexual exploitation and abuse. Lawyers in its Legal Affairs Service include employment law specialists who are experienced in advising on sexual misconduct. A "Speak Up" helpline was introduced in 2018.
- **Disciplinary measures:** UNHCR has adopted a "zero tolerance" approach to SEAH, and perpetrators have their employment terminated and are banned from being re-hired. The organisation keeps a database which includes disciplinary measures taken against staff and resignations before dismissal, to prevent perpetrators "slipping through the system". UNHCR has also taken measures to improve vetting and reference checking both internally and through inter-agency efforts.

3. The 2017-18 MOPAN assessment does not assess UNHCR's performance with regard to preventing sexual exploitation and abuse and sexual harassment (SEAH). This topic may become an area of assessment in future cycles. In the meantime, the assessment team simply collected key facts related to SEAH safeguarding as self-reported by UNHCR, but did not verify the actual implementation of the instruments outlined.

- **Risk management:** UNHCR's 2017 launch of Risk Management 2.0 weaves awareness and analysis of risks of sexual exploitation and abuse, and other risks, into strategic discussions, planning and resource allocation.
- **Partnerships:** All UNHCR's Project Partnership Agreements make specific reference to values and standards of professional conduct. They require putting procedures in place to prevent, detect, investigate and report on misconduct, with specific reference to sexual exploitation and abuse. Breaches are grounds for termination.
- **Budget:** The budget available in 2018 was USD 5 million.
- **System-wide efforts:** UNHCR is involved in the roll-out of inter-agency databases on sexual misconduct and participates in a UN task force developing a "uniform protocol" across the UN system on how to report, prevent and address allegations of sexual exploitation and abuse involving implementing partners.
- **Frequency:** In the first eight months of 2018, UNHCR received 65 allegations of sexual exploitation and abuse – involving UNHCR personnel, partners or other entities with which the organisation has a contractual link – that reached the threshold of sufficient evidence for investigation. Of these, 20 concerned personnel from UNHCR and 45 related primarily to partners implementing UNHCR programmes. An increase in the number of sexual harassment cases, with 22 allegations received between 1 January and 31 August 2018, is believed to stem from increased awareness and trust in corporate systems. During the same period, one staff member's contract was terminated on grounds of sexual exploitation and abuse and one on grounds of sexual harassment.

Overall, while it has rigorous procedures in place, UNHCR's mandate and operating model – particularly in the high volume of its activities implemented through partners – means that it is far from insulated from the risks of sexual exploitation, abuse and harassment in its operational work. Going forward, continued follow through on identified cases and transparency in reporting, as well as implementation of demonstrable sanctions, will reinforce staff and partners' confidence in UNHCR's commitment to zero tolerance of the issue.

### 1.3. THE ASSESSMENT PROCESS

#### **Assessment framework**

This MOPAN 3.0 assessment broadly covers the period from 2016 to mid-2018 in line with the MOPAN 3.0 methodology, which can be found on MOPAN's website.<sup>4</sup> It addresses organisational systems, practices and behaviours, as well as results achieved. The assessment focuses on five performance areas. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area (results), relating to development and humanitarian effectiveness, consists of four KPIs.

The MOPAN 3.0 indicator framework was developed by MOPAN's Technical Working Group, drawing on international standards and reference points, as described in Annex C of the Methodology Manual.

4. MOPAN 3.0 Methodology Manual, 2017-18 Assessment Cycle, [www.mopanonline.org/ourwork/ourapproachmopan30](http://www.mopanonline.org/ourwork/ourapproachmopan30).

### Box 2: Performance areas and key performance indicators

Aspect	Performance area	KPI
Organisational effectiveness	Strategic management	<p><b>KPI 1:</b> The organisational architecture and the financial framework enable mandate implementation and achievement of expected results</p> <p><b>KPI 2:</b> Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels</p>
	Operational management	<p><b>KPI 3:</b> The operating model and human and financial resources support relevance and agility</p> <p><b>KPI 4:</b> Organisational systems are cost and value-conscious and enable financial transparency and accountability</p>
	Relationship management	<p><b>KPI 5:</b> Operational planning and intervention design tools support relevance and agility within partnerships</p> <p><b>KPI 6:</b> Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources</p>
	Performance management	<p><b>KPI 7:</b> The focus on results is strong, transparent and explicitly geared towards function</p> <p><b>KPI 8:</b> The organisation applies evidence-based planning and programming</p>
Development effectiveness	Results	<p><b>KPI 9:</b> Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals</p> <p><b>KPI 10:</b> Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate</p> <p><b>KPI 11:</b> Results are delivered efficiently</p> <p><b>KPI 12:</b> Results are sustainable</p>

### Applying the MOPAN methodology to UNHCR

The assessment of performance covers UNHCR's work at headquarters, regional offices and at country level. The MOPAN 3.0 methodology was applied with some minor adjustments in indicator application or interpretation to reflect the realities of UNHCR's mandate and operating systems. Such adjustments included the following micro-indicators (MIs):

- **MI 2.1c. and MI 9.6. on good governance:** UNHCR contributes to "good governance" through (a) strengthening national legal and administrative frameworks, (b) including UNHCR's persons of concern in the national systems, and (c) developing the capacities of institutions that design and implement policies related to protecting refugees, stateless persons, internally displaced persons (IDPs) and returnees (e.g. ensuring access to legal assistance and legal remedies and protecting from violence). These activities are most frequently classified within UNHCR under a broader heading of "capacity development" rather than "good governance". Both micro-indicators have been interpreted accordingly.
- **MI 2.1e. Protection:** This has been included as a cross-cutting issue given UNHCR's extensive humanitarian work.
- **MI 4.1. Transparent decision-making for resource allocation, consistent with strategic priorities:** This indicator is interpreted and applied in relation to UNHCR's needs-based funding model.

- **MI 4.2. Allocated resources disbursed as planned:** As for MI 4.1, this micro-indicator is interpreted and applied in relation to UNHCR's needs-based funding model.
- **MI 6.3. Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems:** The Busan commitment is to “[u]se country public financial management systems as the default option for development financing, and support the strengthening of these systems where necessary”. This is not relevant to UNHCR's funding model, and thus the indicator has not been applied.
- **MI 9.3. Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms.** This indicator is applied to UNHCR in the sense that the organisation primarily contributes to national development policies and programmes aimed to enhance the protection of persons of concern to the Office (refugees, stateless, returnees and IDPs), in the context of UNHCR's actions to support a stronger nexus between humanitarian and development programmes, and within the context of the SDGs and “leaving no one behind”.

#### **Lines of evidence**

The MOPAN assessment of UNHCR was undertaken between May 2017 and July 2018. It covers UNHCR's headquarter operations, with insights on regional and country field presence. As part of the methodology, it relies on the following lines of evidence:

- **Document review:** See Annex 2 for a list of the 245 documents utilised, though many more than this were screened for inclusion.
- **Online partner survey:** The survey was conducted between March and April 2018, drawn from people in 11 countries (Bangladesh, the Democratic Republic of the Congo, Ethiopia, Guinea, Jordan, Lebanon, Mexico, Myanmar, Pakistan, Tunisia and Turkey). The survey was designed to gather both perception data and an understanding of practice from a diverse set of well-informed partners of UNHCR. Survey responses came from donor and national government representatives, UN agencies, and international non-governmental organisations and other non-governmental organisations (see Annex 3).
- **Interviews and consultations:** Over 80 staff were interviewed or took part in technical consultations in UNHCR headquarters in June 2018 (including staff in the New York Liaison Office, Budapest and Copenhagen). Telephone interviews were conducted with Country Offices, and consultations were held with the member countries of UNHCR to gather insights on current priorities for the organisation.

A call to discuss key findings was held with the Institutional Lead representative from Korea during the final stages of drafting. UNHCR provided feedback on the draft document review and offered additional documentation to update the review and address gaps before the review fed into the overall analysis. The organisation also had the opportunity to provide fact-checking on a draft of the report.

#### **Limitations**

The nature of a MOPAN assessment is that it provides a snapshot of a moving organisation. That is, it will inherently not reflect all up-to-date developments in an organisation to the reader, nor does it capture the full impact of all changes ongoing at the time of the assessment. Furthermore, despite drawing from a broad basis of evidence, there are resource constraints to any assessment and not all avenues of enquiry could be pursued.

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Specific limitations include:

- A new High Commissioner was appointed in early 2017. The timescale of this assessment was not able to reflect all changes planned under this new leadership.
- UNHCR commissioned an external review of its headquarters in 2017. Following the presentation of the review's findings, UNHCR subsequently implemented a comprehensive change management process across the organisation. This reform process was underway, but not yet complete, at the time of this assessment. Consequently, all impacts of implemented reforms has not been captured here.
- UNHCR's central role in the Comprehensive Refugee Response Framework (CRRF) and its subsequent tasking to develop the Global Compact for Refugees, are increasing the normative demands placed on the organisation. These demands are reflected in this assessment, but the implications of the Global Compact in particular for UNHCR's work, were not fully clear at the time of the assessment.
- Despite recent investment, UNHCR's evaluation function has produced as yet few corporate-level evaluations, with most relating to individual projects or programmes. Consequently, evaluative evidence on organisational effectiveness is limited. This also impacted body of independent evidence on which to assess the achievement of results, which in some cases meant drawing upon older evaluations.
- Linked to the above, no evaluative evidence was available on the results of UNHCR's work on environmental sustainability and climate change (MI 9.5); consequently, the MOPAN assessment is unable to report on this area.
- Both quantitative and qualitative information from the partner survey were analysed and applied. Qualitative comments were found to be relatively individualised and not amenable to broader extrapolation.

Despite these limitations, the body of available evidence allowed for a robust assessment of the organisation.





## **2. DETAILED ASSESSMENT OF UNHCR PERFORMANCE**

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# Chapter 2. Detailed assessment of UNHCR performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

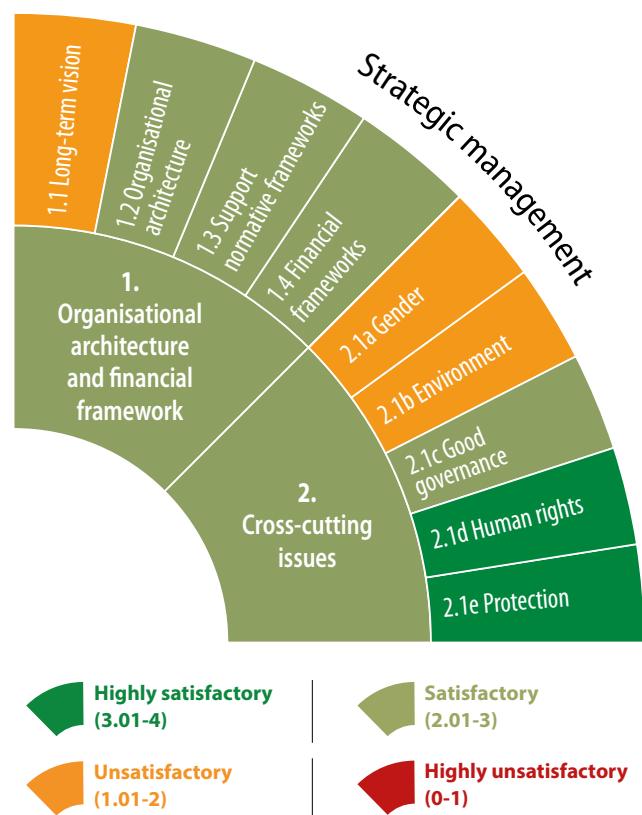
## 2.1. ORGANISATIONAL EFFECTIVENESS

### PERFORMANCE AREA: STRATEGIC MANAGEMENT

*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities*

UNHCR has a clear long-term strategic vision, which arises from its mission and mandate, from its special role in the international humanitarian architecture, and from its *raison d'être* as a rights and protection-focused organisation. The vision is generally well-owned across the institution, though it is not plainly articulated in a full organisational strategic plan. Instead, the 2017-21 Strategic Directions currently serve as the main strategic vehicle, though these lack distinct interconnections with the Global Strategic Priorities and have not been adequately translated into organisation-wide results.

The organisation is currently undergoing a comprehensive change management process aimed at ensuring a more fit-for-purpose and coherent operating model going forward, including a revision of headquarter structures and greater decentralisation. This is appropriate and timely, particularly in terms of UNHCR's international role in the Comprehensive Refugee Response Framework (CRRF) and Global Compact on Refugees.



UNHCR's financial framework heavily depends on voluntary contributions, of which a high proportion is earmarked. Its needs-based budgeting model depends in practice on the availability of resources for prioritisation. UNHCR makes significant efforts to attract unearmarked resources, but is constrained institutionally by their scarcity. Attention to

gender, the environment and climate change, and good governance have scope for improvement, particularly as regards programmatic mainstreaming.

### **KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results**

This KPI focuses on the extent to which UNHCR has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

**Overall, UNHCR's long-term vision is grounded in its mandate, but its strategic architecture requires clarifying.** UNHCR's core identity, role and remit arise from its special mandate to protect and provide solutions for refugees and for internally displaced and stateless persons, and particularly its designated leadership within the international architecture of overall refugee responses. This provides the main reference point for its long-term vision. However, the organisation does not have a strategic plan per se, applying instead a set of Strategic Directions for 2017-21. While these articulate a long-term vision linked to UNHCR's mandate, they do not lay out a detailed roadmap for achieving results. At the same time, UNHCR's Global Strategic Priorities (GSPs) provide a set of organisational priorities, though these are more operational in intent. The Strategic Directions are well-owned and assimilated by staff across the organisation. However, the intersections of the Strategic Directions with the GSPs are not clearly delineated, and management/staff could not consistently clearly articulate the interlinkage.

**UNHCR's specific mandate, arising from its 1950 Statute and subsequent General Assembly Resolutions, defines its role and remit and provides the main reference point for its comparative advantages.** The organisation's comparative advantages are set out in the 2017-21 Strategic Directions; these are closely linked to its mandate and its particular role within international normative frameworks for refugees and other persons of concern, specifically the 1951 Refugee Convention and the 1967 Protocol Relating to the Status of Refugees. These comparative advantages are defined as its normative and leadership functions in protecting persons of concern, and particularly its leadership of refugee responses; its convening capacity; its co-ordination function; its ability to implement programmes and its use of country-level partnerships. Staff interviewed were clear on the corporate comparative advantages, with UNHCR's mission and mandate providing the *raison d'être* and identity and the Strategic Directions constituting the strategic reference point.

**The organisation's current strategic architecture is fully geared to normative frameworks for refugees and other persons of concern but lacks overall recognition of other normative commitments.** The 2017-21 Strategic Directions are explicitly aligned to normative frameworks relating to refugee concerns. These include the commitment of the 2030 Agenda for Sustainable Development to "leave no-one behind", the 2016 New York Declaration for Refugees and Migrants, and the associated CRRF, as well as human rights commitments. However, gender concerns, environmental issues and good governance elements are not prominent within the Strategic Directions. Staff consistently recognised the key normative frameworks defining both the Strategic Directions and UNHCR's operational work, as well as UNHCR's role in addressing the "leave no one behind" agenda. However, staff lacked full clarity on which Sustainable Development Goals UNHCR is tasked to address. Global Strategic Priorities are also connected to the key relevant normative frameworks, though links are more implicit.

**The links from current corporate results to the strategic architecture are unclear.** The Strategic Directions provide broad guidance on UNHCR's intended direction, but they do not fully define, communicate or guide the connection to organisation-wide results. Nor are they clearly or explicitly linked to the Global Strategic Priorities (GSPs). However, UNHCR has a Results Framework (RF) 2016-17, linked to the GSPs. This contains a set of corporate results organised thematically by rights group and linked to international normative frameworks for refugees and stateless persons. The overall links between the RF, the GSPs and the 2017-21 Strategic Directions are currently not clearly articulated, with explicit links between them not explained.

**A comprehensive corporate reform process is underway.** UNHCR's operating model for programmatic activity is comparatively decentralised, with 87% of its staff in 2018 based in the field. In this respect, it is broadly congruent with the Strategic Directions. An external review was conducted in 2017 following concerns that the organisation had become excessively bureaucratic and lacking in agility; some functions are highly centralised, and there is an acknowledged lack of coherence in headquarter functions. Based on its findings, a comprehensive change management process has been implemented. This seeks to: (a) restructure headquarters, creating new divisions to respond to current challenges in the global environment, such as a Division of Resilience and Solutions created in 2017; (b) review the policy architecture for simplification and stronger coherence, and (c) further improve the decentralisation of expertise, structures and functions, decision-making and resources.

**The operating model supports partnership working.** UNHCR's operating model allows for co-operation with other agencies including through: (a) its participation in United Nations (UN) Country Teams, Humanitarian Country Teams and the Inter-Agency Standing Committee; and (b) its leadership of the Global Camp Coordination and Camp Management Cluster in conflict-induced IDP situations, the Global Shelter Cluster (GSC) for conflict-related emergencies and the Global Protection Cluster. The organisation also counts government bodies, non-governmental organisation (NGO) partners, Red Cross and Red Crescent movement partners, and academic institutes among its over 1 000 implementing partners globally, with which it holds annual consultations. Staff and management were clear that UNHCR's role in the CRRF and the Global Compact present opportunities for UNHCR to mobilise its successful operational partnerships and the many coalitions of actors with which it works.

**The needs-based budgeting model requires constant adaptation.** UNHCR's biennial programme budget is divided into two annual budgets which clearly set out the organisation's administrative and programmatic dimensions. For programmatic expenditure, UNHCR adopts a needs-based budgeting system, based on findings from an annually conducted global need assessment (GNA). Supplementary budgets are, however, issued throughout the year (e.g. five in 2017), to ensure that new emerging needs are accurately reflected in updated budget plans. For programmatic activity, spending authorities are set centrally depending on resources available, followed by division across regions that subsequently prioritise according to needs. Levels of spending authority are frequently reviewed, at times weekly.

**UNHCR's dependency on voluntary contributions to implement its mandate has led to increasing shortfalls in responding to needs.** UNHCR is 99% dependent on voluntary contributions to implement its mandate, with administrative expenditure sourced from the UN's regular budget – though at a level below requirements (just 28% of the Management and Administration portion of the 2016-17 biennium budget). However, despite increasing volumes of voluntary contributions in 2016-17, the growing scale of global displacement and increasing needs have led to significant shortfalls, with operational implementation in practice determined by resource availability. Prioritisation of activities is shaped by factors including projected income, priorities identified by field offices, the operational emphases of the Global Strategic Priorities and donor earmarking. At headquarters, units have to request resources on an annual basis, with a zero budget planning approach adopted for 2018. Headquarter staff reported requests to absorb cuts of 20% in all divisions in 2018, given budgetary shortfalls.

**Earmarking constrains flexibility, but UNHCR encourages unearmarked contributions.** UNHCR provides donors with regular updates on priority areas of need through regular meetings and bilateral discussions. The majority of resources it receives are earmarked for specific countries, sectors, populations and situations. Defined thematic windows for unearmarked contributions are not available, though UNHCR actively encourages donors to provide unearmarked funding, for example at annual pledging conferences and through Global Appeals. As part of this encouragement, UNHCR publishes an annual report on how unearmarked funding is used, and does not apply a programme support cost (7%) to unearmarked contributions. However, staff reported that the high volume of earmarked resources restricts the scope for flexible deployment of financing across areas of need, as well as limiting the potential to work on more durable solutions

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## KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels

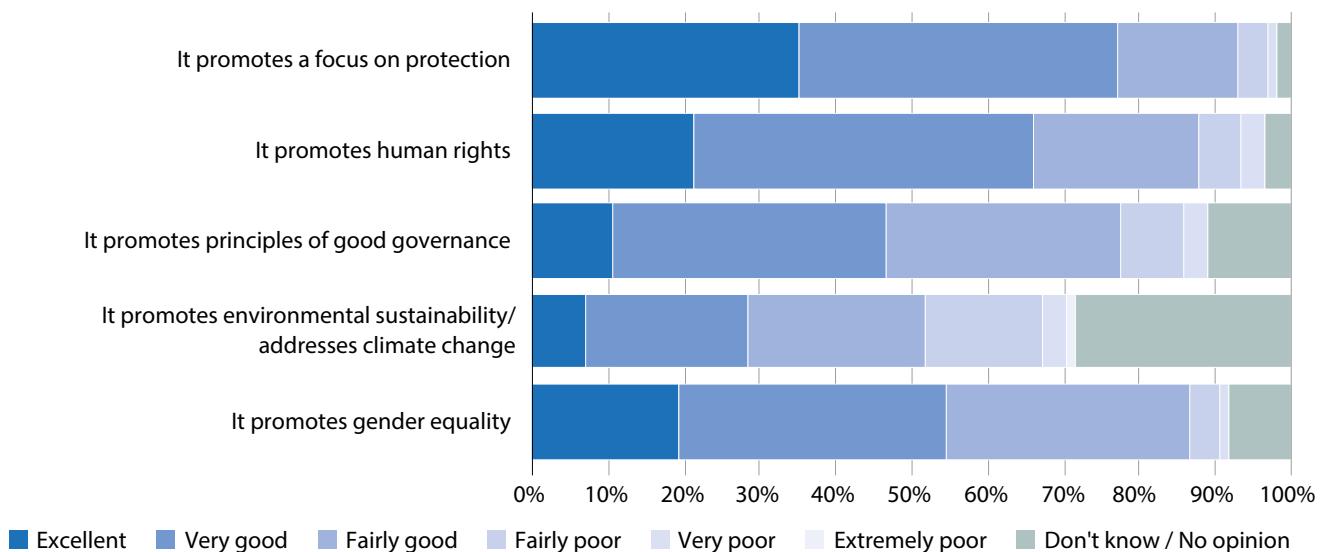
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This KPI looks at the articulation and positioning within UNHCR's structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

**Overall, UNHCR's attention to cross-cutting issues is variable.** Human rights and protection, as areas central to its mandate, are comprehensively integrated across strategic and operational practice. They form part of the "organisational DNA" and are strongly assimilated by staff, who see them as part of the organisation's *raison d'être* – and, by extension, the core rationale for their own work. Other cross-cutting issues are treated more variably; while the policy framework for gender has been recently refreshed, resources for comprehensive mainstreaming are lacking. Good governance, understood for UNHCR mainly as capacity strengthening, is a largely implicit agenda. Although evaluations attest to considerable efforts made, these are not always framed within a comprehensive or systems-oriented approach. Environmental sustainability and climate change are emerging agendas. Operationally, the mainstreaming of gender equality, good governance, and the environment and climate change are heavily dependent on staff willingness, interest and commitment to apply them. Few tangible incentives, and limited financial and human resources, are available to ensure their comprehensive mainstreaming.

**Human rights are central to UNHCR's mandate and are comprehensively integrated across its strategic and operational practice.** UNHCR's mandate charges it with upholding the human rights of refugees and other forcibly displaced persons. The centrality of rights to UNHCR's strategic basis and operational practice is reflected in both the Strategic Directions and the Global Strategic Priorities. Both clearly articulate the human rights basis of UNHCR's mandate, remit and role within the international system. Staff interviewed were clear and explicit regarding UNHCR's engagement in the human rights agenda, seeing it as the fundamental *raison d'être* for the organisation, and the core basis for their work. Human rights are strongly reflected in UNHCR's Results Framework, which contains indicators on ensuring the rights to protection, non-refoulement, legal assistance and so on. Intervention design guidance requires addressing human rights elements and conducting extensive training, both internally and for partners, on issues such as legal obligations and individual rights, statelessness issues and refugee status determination. Staff had either participated in or delivered such training.

Since human rights concerns are integral to all of UNHCR's strategic and operational work, there is no discrete budgetary or staffing allocation to them. However, out of the Global Strategic Priorities, budgetary requirements for the pillars linked to human rights, namely Pillar 1 (global refugee programme) and Pillar 4 (global IDP projects), account for the majority of total requirements for annual budgets. Corporate reporting strongly reflects human rights aspects, and evaluations indicate great attention to human rights concerns. In addition, a resounding 88% of survey respondents rated UNHCR as "excellent, very good or fairly good" in its promotion of human rights across all its work.

**Figure 1: Survey Response: CROSS-CUTTING ISSUES**

**Protection concerns also lie at the heart of UNHCR's mandate.** As such, the issue is core to the Strategic Directions and Global Strategic Priorities. The Division of International Protection is overseen by the Assistant High Commissioner for Protection, reflecting its importance as a strategic priority. The centrality of protection to UNHCR's operational practice was strongly reflected in interviews with staff, who articulated it as "what we do" and "in our DNA". However, some expressed concern about how UNHCR maintains its protection focus in the new era of the CRRF.

Similarly to human rights, accountability frameworks for protection are strong, with relevant indicators featuring prominently in UNHCR's Corporate Results Framework 2016-17 at multiple levels. Additionally, a range of guidance and tools are present to support the integration of protection issues into programming. These include a dedicated protection manual and a repository of protection policy and guidance, consisting of around 1 000 publications. Staff interviewed indicated comprehensive awareness of protection issues and were able to discuss both its strategic and operational dimensions in relation to UNHCR's areas of work. Evaluations also commented positively on protection mainstreaming within the organisation's operational practice. Survey data reflected similar results, with 93% of respondents rating UNHCR as "excellent, very good or fairly good" in mainstreaming protection across all its work (see Figure 1).

**UNHCR has recently refreshed its approach to gender equality and diversity, but resources are lacking for effective delivery.** UNHCR's Age, Gender and Diversity Policy (2011) was re-launched in March 2018. This combines accountability to affected populations with Commitments to Women and Girls. It includes minimum actions for all operations, including advocacy to governments, as part of CRRF alignment. Staff interviewed, however, had limited awareness of the new or previous policy, neither of which showed evidence of widespread use. Limited senior management commitment was also cited as a barrier. An implementation plan for the policy was under development in June 2018. Attention to gender within corporate accountability frameworks is also limited: just 51 of the 943 indicators in the current Results Framework are gender-related specifically. There is also currently no requirement for operations to collect sex-disaggregated or sex-specific data for 94% of corporate indicators.

While tools to support gender mainstreaming in interventions are available, their use in practice depends on staff willingness and interest. Human and financial resources dedicated to gender are very limited, with staffing of just one full-time post, and a very small budget for gender mainstreaming. Eighty-seven percent of survey respondents felt that UNHCR promoted gender equality across all its work, though the majority of these (32%) rated it as only "fairly good" (see Figure 1).

**Good governance is implicit in much of UNHCR's work despite limited formal requirements for its mainstreaming.**

Good governance, as interpreted for UNHCR, refers to the organisation's support for (a) strengthening national legal and administrative frameworks, and (b) developing the capacities of institutions that design and implement policies related to the protection of refugees, stateless persons, IDPs and returnees. As such, UNHCR does not have a dedicated policy statement on the issue, but it is implicit within the Strategic Directions as the main organisational framework. Capacity strengthening is also strongly represented in corporate accountability frameworks and specifically through indicators in the Corporate Results Framework 2016-17. Guidance for mainstreaming in projects or programmes is limited, with no screening or checklists per se, including in UNHCR's *Handbook for Emergencies (Emergency Handbook)* section dedicated to "Working with host governments". But staff could articulate clearly how UNHCR contributes to capacity strengthening in key areas of its practice.

UNHCR does not dedicate specific staffing or resources to capacity strengthening, since the issue is perceived to be integrated within strategic and operational practice. Training interventions are conducted on relevant issues such as statelessness determination, legal pathways and registration, and responding to highly marginalised groups. Survey data reported positive partner views in this area, with 77% of respondents rating UNHCR as "excellent, very good or fairly good" at promoting the principles of good governance in all relevant areas of its work; 11% rated it as "fairly poor or very poor" (see Figure 1). Evaluations reflect these findings, indicating that programmatic efforts to build national capacities were considerable but not always framed within clear capacity assessments or a comprehensive, systems-focused approach.

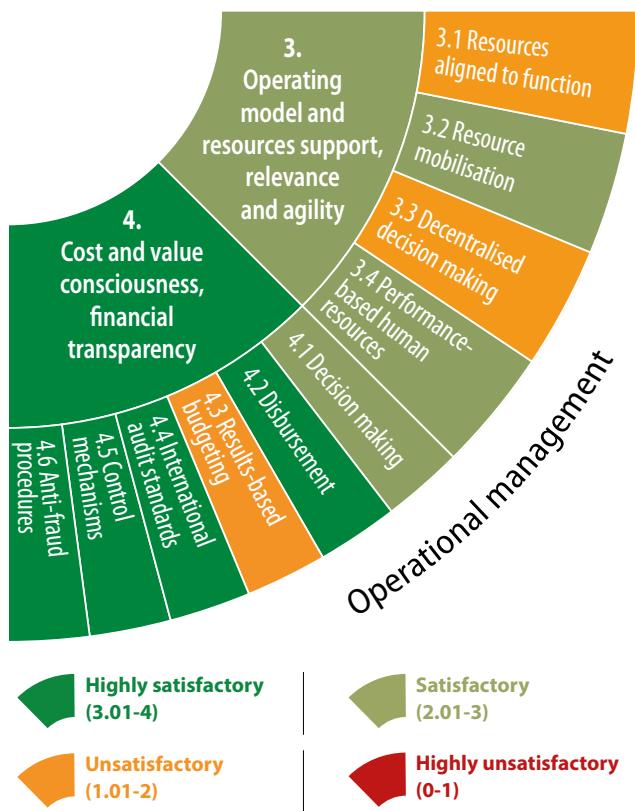
**Environmental sustainability and climate change is an emerging agenda.** UNHCR lacks a clear policy architecture for environmental sustainability and climate change, though in recognition of these issues, it has recently developed some discrete strategic items. In 2017, it updated a 2015 information paper on the environment and climate change and published *Climate Change and Disaster Displacement: An Overview of UNHCR's Role*. An internal mapping exercise in late 2016 found evidence of action in several areas. However, staff interviewed agreed that UNHCR lacked a clear vision on the environment and climate change, characterising this as a "non-mature" area of UNHCR's work.

There is limited recognition of the agenda within UNHCR's Results Framework, with just one impact indicator reflecting the issues, and no requirement currently for operations to collect climate change or environmental data in project results frameworks. Environmental Guidelines for mainstreaming the issues in projects are outdated, stemming from 2005, and while emergency guidance advocates rapid environmental assessments and energy feasibility studies, staff indicated that, in practice, the take-up and use of this directive varied. Staffing to address the agenda are somewhat limited. Budgetary constraints also reduce the scope for action, e.g. training of field-based staff. Nonetheless, partners assessed UNHCR relatively positively in this area. Fifty-two percent of survey respondents rated UNHCR as "excellent, very good or fairly good" at promoting environmental sustainability and addressing climate change in all relevant areas of its work (see Figure 1).

## PERFORMANCE AREA: OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability*

UNHCR has begun a process of organisational reform to address recognised weaknesses and to make adjustments in the face of global change. It is in the process of adjusting the organisational design and staffing to place a stronger emphasis on decentralisation in support of relevance and agility at country level. It also aims to decentralise decision-making and resource mobility further to field level. UNHCR's available resources do not allow it to meet needs according to its Global Needs Assessment. However, the organisation has placed considerable emphasis in recent years on raising resources from the private sector and other sources, in particular to increase unearmarked funding. UNHCR reformed its performance assessment systems in 2018 to better link them with corporate goals and objectives, as well as more rigorously appraise staff performance.



### KPI 3: The operating model and human and financial resources support relevance and agility

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

**Overall, UNHCR's operating model is broadly well-aligned to support relevance at field level, but concerns have arisen about limited agility in recent years.** Management are cognisant of these challenges, and the change management process is seeking course correction to address them. Workforce planning is being adjusted, with greater "regionalisation" intended to further improve operational relevance and agility by decentralising the workforce and decision-making to the field. In a bid to address expanding needs at field level, UNHCR has proactively sought to adjust its funding model. It has pursued a greater range of donors, expanding its efforts with the private sector, as well as more flexible and multi-year funding.

**Demands far outstrip available resources, constraining UNHCR's ability to respond to needs.** Increasing humanitarian needs globally and particularly in the Middle East and North Africa region have placed considerable strain on available resources. UNHCR bases its Global Appeals and its budget on a global needs assessment. The comprehensive budget comprises the resources to implement all interventions required to meet the needs of persons of concern, considering feasibility, capacity and the operational context. Total funds available in 2017 increased by approximately USD 100 million, or 2.3%, from 2016. However, in practice, operational implementation is shaped by resources available, with a 41% funding gap in 2016 and 43% in 2017.

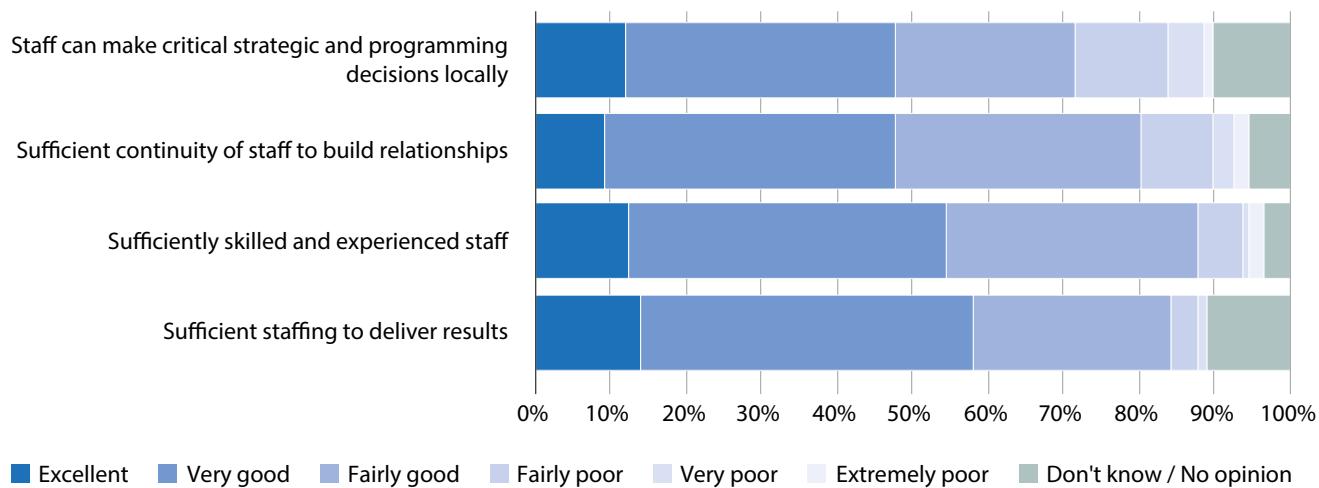
**UNHCR is funded almost entirely by voluntary contributions which are in the main heavily earmarked.** In 2017, new voluntary contributions comprised USD 3 899 million of overall available funds of USD 4 511 million. Carry-over from 2016 comprised USD 444 million of the difference, alongside other income, with funding from the regular UN budget of just USD 43 million. High levels of earmarking persist: only 15% of 2017 voluntary contributions were

unearmarked, with 85% being “softly earmarked” “earmarked” or “highly earmarked”. This constrains organisational flexibility to address emerging concerns or to undertake institutional reforms.

**Under the institutional reform process, UNHCR’s organisational architecture is being re-aligned with the Strategic Directions.** A 2017 headquarters review clearly identified weaknesses and gaps in UNHCR’s organisational architecture. It indicated concerns about coherence at headquarters level (reflected for example in unsystematised approaches to policy preparation and production) combined with poorly functioning business systems, e.g. on assignments and programme approval, which were impeding agility. Consequently, structures and staffing are being realigned towards a more effective and efficient organisational model through the “regionalisation” approach. The reform process has introduced systems to improve policy coherence, which has suffered in recent years. This includes creating a Division of Resilience and Solutions to bridge the gap between humanitarian and development activities. The reform process is also seeking ways to increase the agility of resources at the field level.

**Staff are experiencing “change fatigue”.** The shift “down from the centre” in terms of expertise, functions, decision-making and resourcing provides stronger alignment with the Strategic Directions; however, the reform was still underway at the time of this assessment. New divisions and units were being created, with more expected. Staff indicated that they were suffering from change fatigue. They also expressed some scepticism – based on experience of previous reform processes – as to whether the proposed changes would actually increase efficiency and effectiveness.

**Figure 2: Survey Response: STAFF PERFORMANCE**



**The organisation is revising its resource allocation systems to improve transparency and agility at field level.** UNHCR’s Resource Allocation Framework has been in place, albeit with some modifications, since 2007. It is now under revision, as recommended by the 2017 headquarters review. Currently, resource allocation is frontloaded, to provide Country Offices with more predictable programming and consistent levels of implementation throughout the year. However, given that needs nearly always go far beyond the resources available, UNHCR prioritises its interventions in the operations plan. This prioritisation is based on the spending authority provided by the High Commissioner for each region and division, and subsequently by relevant regional or headquarter directors to each operation. Country and regional representatives are granted autonomy to divert funds within and between operational projects as long as the total budgets are not exceeded and not subject to any donor earmarking. However, in practice, respondents noted that it is very difficult to reallocate resources once they have been approved at the global level. As part of the change management process, a multi-disciplinary working group was created to review and streamline existing policies and procedures regulating the planning, allocation and management of UNHCR’s resources. A revised policy and procedures for resource planning and management were scheduled for issue in 2018.

**UNHCR is making major efforts to broaden the donor base and is successfully raising private sector resources.** Efforts to diversify the funding basis include seeking out new markets from emerging donors and pursuing broader strategic partnerships with development actors, such as the World Bank and the United Nations Development Programme. A 2016 strategy focuses on strengthening the private sector fundraising infrastructure, improving individual giving programmes, and achieving a greater number of multi-year cash contributions from corporations, foundations and high net worth individuals. Private sector resource-raising accounted for 10% of UNHCR's total funds raised in 2017. The organisation set a target of mobilising USD 500 million by 2018 from private sector partners and individual donors, of which at least 50% would be unearmarked. Dedicated efforts have been successful, with USD 400 million raised at the end of 2017, of which USD 207 million were unearmarked funds.

**The organisation is working hard to increase flexible funding.** In a bid to increase predictability and flexibility, UNHCR is intensifying its efforts to attract multi-year funding, receiving over USD 638 million in 2017. It has also expanded its efforts to attract unearmarked funding to support organisational flexibility and adaptive capacity. High levels of earmarking remain, however. For example, nearly half of the multi-year funding raised in 2017 – 49% – was fully earmarked for specific interventions or populations, and 25% were softly earmarked. UNHCR plans to intensify efforts to raise levels of flexible financing into 2019.

**Under the corporate reform process, UNHCR is adjusting its workforce planning in accordance with the recommendations of the headquarters review.** Most notably, this includes greater decentralisation. UNHCR is devolving greater decision-making power to country and regional representatives and is posting more staff to country and regional levels. A new Assignments Policy aims to bring greater transparency and rigour to the posting process. However, some headquarter-based staff voiced reluctance to be redeployed at field level, given their longstanding presence in Geneva.

**UNHCR has made substantive efforts to improve the effectiveness of its performance management system, although this process is still ongoing.** In 2018, a revised Policy on Performance Management was issued, with which staff compliance is mandatory. Compliance rates have been relatively high, at 93% in 2015, 94% in 2016 and 91% in 2017. UNHCR has progressively incorporated Accountabilities, Responsibilities and Authorities into job descriptions to strengthen personal accountability and to link staff performance to corporate objectives. Staff salary increments are subject to satisfactory service. The new Assignments Policy has helped professionalise the progression process, though staff indicated that its benefits had yet to fully transpire into practice.

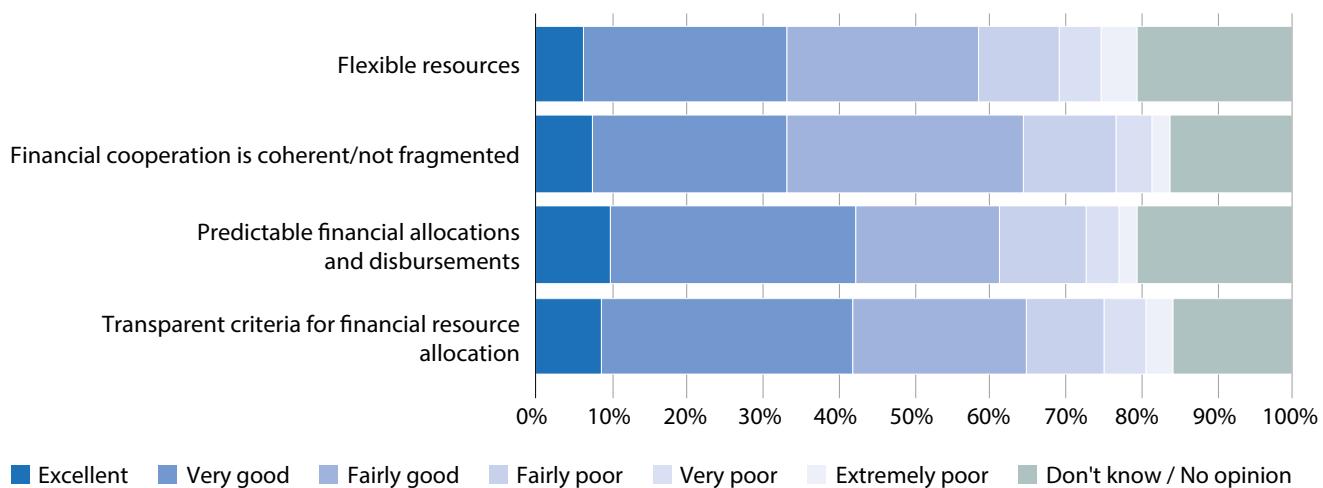
#### **KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability**

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This KPI examines how UNHCR uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

**UNHCR's financial management systems are mostly rigorous and robust.** The most recent external audit found that UNHCR's financial management processes generally operate well. However, it also identified a number of areas to improve, such as the administration and management of operations. Specifically, greater attention is needed to consistently document the financial processes relating to cash-based assistance and to monitor training for cash-based interventions, as well as to develop local, customised anti-fraud and anti-corruption strategies in country operations, and in business continuity management.

**Systems to prevent fraud and corruption are strong, but scope for improvement exists.** UNHCR has made consistent efforts to detect and prevent fraud and corruption, notably by publishing a handbook on this topic in 2018. Also, the annual code of conduct refresher session focused on fraud and corruption in 2016, although only 33% of staff participated. In addition, UNHCR launched an e-learning course on fundamentals of fraud and corruption awareness. However, this training is not mandatory, and as of 31 December 2017 only about 9% of all UNHCR staff and its affiliate

**Figure 3: Survey Response: FINANCIAL RESOURCE MANAGEMENT**

workforce had completed the course. The most recent external audit found that the risk of fraud and corruption could be reduced by adding competent control owners and persons responsible for monitoring. The Inspector General's Office (IGO), based in headquarters, is able to receive reports of possible misconduct confidentially through UNHCR's website (online complaints form) or by email, telephone, fax and mail, 24 hours a day, 7 days a week. Complaints may also be made directly to an IGO staff member.

UNHCR reported 38 cases of proven fraud during 2017, resulting in financial losses amounting to USD 1 230 000. Twenty-eight of these cases were committed by staff. These involved embezzlement, entitlement/benefit fraud, misuse of assets, registration fraud, other fraud and theft.

**UNHCR has rigorous internal and external audit systems in place.** The UN Office of Internal Oversight Services (OIOS) carries out internal audits for UNHCR in accordance with the International Standards for the Professional Practice of Internal Auditing. The UN's Board of Auditors provides external audits, and UNHCR reports to its governing body annually on the status of implementing audit recommendations. Internally, UNHCR has adopted a High-Level Internal Control Framework focusing on financial management that serves as comprehensive guidance on UNHCR's financial risk and financial controls. This is important given the challenging operating contexts in which the organisation implements many of its interventions. Recommendations from both internal and external audits show progress of being implemented.

**There has been increased attention to risk management in recent years.** The 2015 High-Level Internal Control Framework aimed to improve UNHCR's internal risk management. The Framework consists of three objectives – operations, reporting and compliance – and requirements to achieve them. Management Implications Reports are also issued by the Inspector General, and are an important aspect of UNHCR's enterprise risk management policy. They highlight systemic weaknesses, flaws and policy gaps that have been revealed in the course of investigation and inspection missions. A new risk approach, Risk 2.0, has been rolled out across the organisation and has both systematised UNHCR's approaches to risk as well as raised the operational profile of risk management for staff. However, the potential risks incurred by the higher volume of cash-based transfer interventions being applied in large-scale emergency responses, such as in the Middle East, and particularly those implemented by partners, has been raised as a critical risk by auditors.

**UNHCR channels high volumes of its resources through partners and has clear criteria accordingly.** In 2017, UNHCR's expenditures totalled USD 4.1 billion, with USD 1.5 billion disbursed through partners. Partners which receive funding from UNHCR must meet a set of dedicated criteria related to capacity, financial transparency, ownership and other concerns and must engage in regular partnership review meetings.

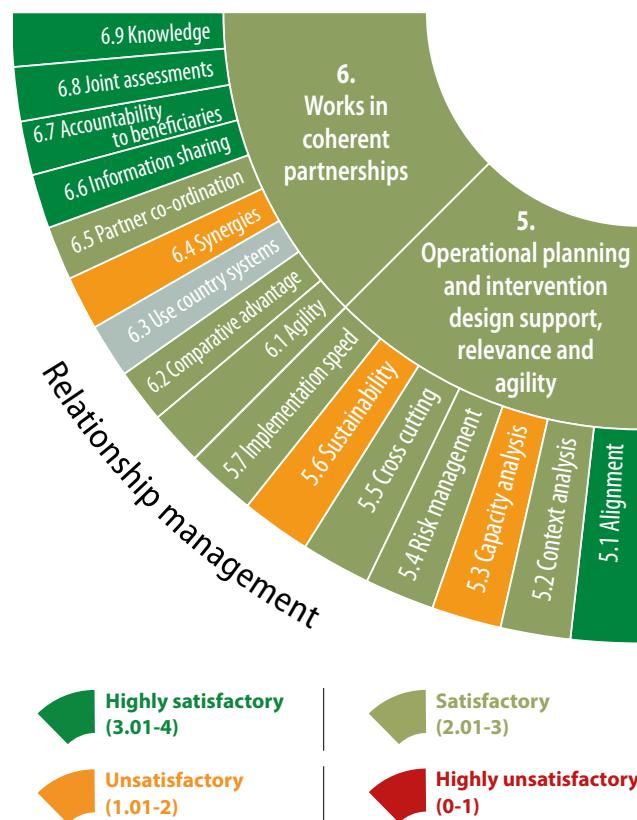
**Results-based budgeting is not yet fully integrated into UNHCR systems, though elements exist and reforms are underway.** UNHCR organises its budget by thematic pillar, geographic location and rights groups. While these categories are reflected in its results framework, links to the strategic architecture suffer from the same lack of clarity found in the architecture itself. There is no single document available that provides clear costing per management result, but rather a host of different systems and documents, many unavailable to external stakeholders, that provide various elements of costing rather than a complete picture. UNHCR's review of its financial framework aims to link resources much more closely to results, so that the cost per management or humanitarian result can be more accurately and clearly reported. Its Focus software does track results in large part, but evidence indicated that this may not be implemented in all cases. The most recent external audit noted the importance of linking results with the Sustainable Development Goals. This process had not been completed at the time of this assessment, with the Results Framework still under revision.

### PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results*

UNHCR works in close strategic and operational partnership with actors across the international system. Its partnering role at a global inter-governmental level has been formalised by its engagement in the CRRF and the Global Compact for Refugees. The organisation also plays a key part in the cluster system for non-refugee emergencies and in co-ordinating refugee emergencies. Operationally, its co-ordination with sister UN agencies has room for improvement, and its work with many implementing partners could be further systematised. However, UNHCR's truncated planning and implementation cycles and its "short-term mindset" reflected in evaluations constrain the scope for links to transition and sustainability strategies and, consequently, its efforts to create durable solutions for populations of concern.

#### KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships



This KPI focuses on the scope and robustness of UNHCR's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

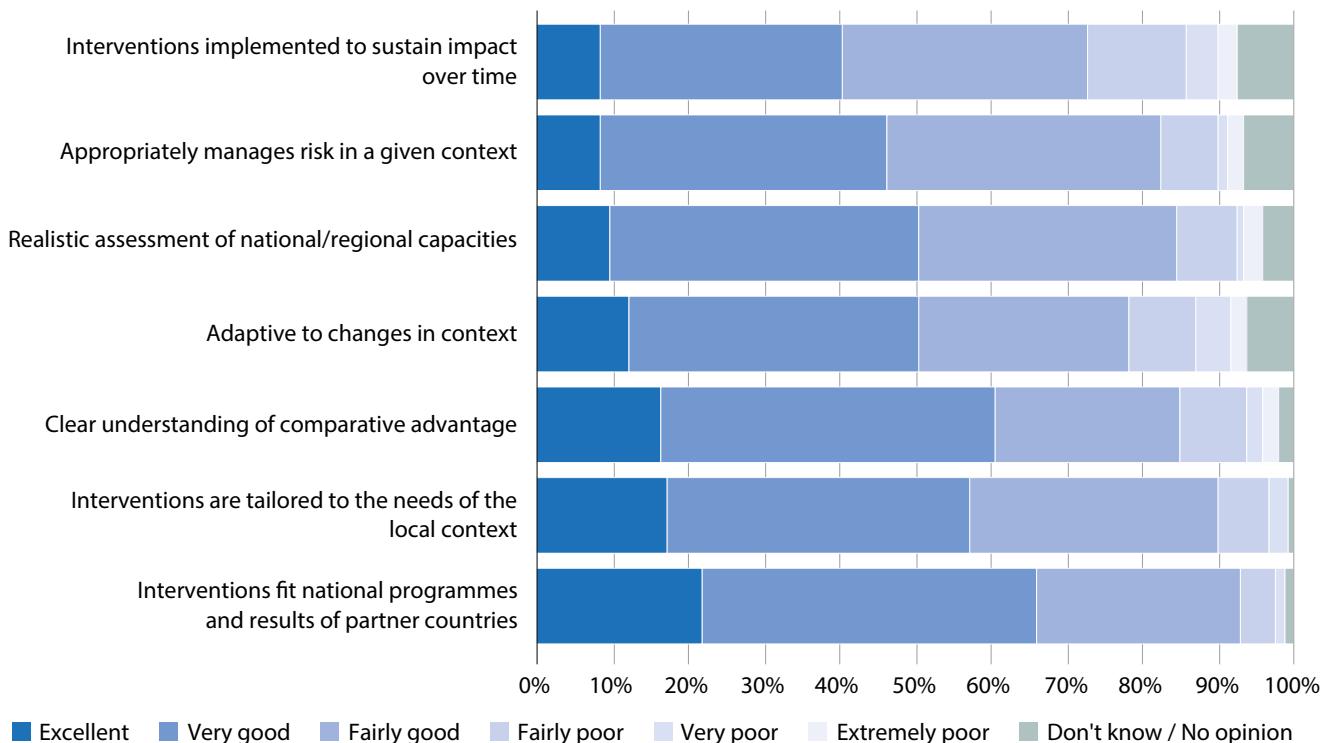
**UNHCR broadly aligns its interventions with national and regional commitments to meet the needs of persons of concern, insofar as these are relevant to and compatible with UNHCR's mandate and mission in the country.** Its country and regional plans link their stated intentions (results statements) to states' obligations under international laws to promote and protect the human rights and fundamental freedoms of persons within their jurisdiction. They also comment on the extent of adherence to these obligations.

**UNHCR dedicates time and effort to working with regional bodies and national governments to engage them in the development of country and regional strategies.** This often occurs by bringing together key stakeholders to engage them in the planning process. The organisation has a range of institutional incentives for ensuring such consultation; these include host country agreements or memoranda of understanding and its own programmatic

and emergency guidance for staff. UNHCR also advocates for the inclusion of refugees, stateless persons, IDPs and returnees in national and regional development priorities. Interviews found a clear understanding, and prioritisation, of the organisation's role in aligning and co-ordinating with national governments and partners.

**Interventions are closely tailored to the local context.** All country and regional plans are required to include context analyses as part of their development, covering partnerships and co-ordination and planning assumptions, as well as expected constraints. The latter should include national response to the needs of persons of concern. A significant majority (90%) of survey respondents reported that UNHCR's tailoring of its programming to the local context was "excellent, very good or fairly good". Context analysis is often carried out jointly with partners, for example under the cluster system or under the Refugee Co-ordination Model.

**Figure 4: Survey Response: OPERATIONAL PLANNING AND INTERVENTION DESIGN**



**Interventions clearly reflect prioritisation of the needs of persons of concern.** Programme designs, as reflected in country and regional strategies, are based on strong needs analyses, conducted either independently or jointly with partners depending on the context. The differential needs of persons of concern are identified and represented by analysis across different rights groups in regional and country strategies and plans. Intervention designs respond to the needs identified, with appropriate differentiation for different rights groups. Staff interviews noted a strong emphasis on the primacy of beneficiary needs in guiding and shaping operational action, with most staff adopting a strong rights-based perspective in their articulation of programme rationales. This ethos and commitment is reflected in survey data; 93% of total survey respondents rated UNHCR as "excellent, very good or fairly good" at aligning its activities with the needs of refugees, stateless persons, IDPs and returnees.

**The integration of cross-cutting issues in intervention designs is variable.** UNHCR's project design guidance requires integrating issues related to gender, age and diversity; human rights; and protection in design and approval processes. However, good governance, in the sense of capacity strengthening, and environmental sustainability and climate change are not specifically mentioned. Various forms of guidance also exist to support staff in mainstreaming gender, human

rights and protection. The actual presence of cross-cutting issues in intervention designs is variable; regional and country strategies reflect a relatively consistent approach to gender (though mainly from a perspective of sexual and gender-based violence) and focused attention to human rights and protection. However, intervention designs inconsistently address good governance and pay considerably less attention to environmental sustainability and climate change.

**There is scope to improve UNHCR's capacity analysis and capacity-strengthening strategies.** Intervention designs, as reflected in country and regional strategies, indicate a need to build capacity, but these are not always based on either systematic capacity analyses or appropriately strategic responses. Where capacity analysis is present in country and regional strategies, it is limited and focuses primarily on the number of partners available, rather than on more systemic concerns, or on the capacity gaps being experienced by host governments. While designs do contain some strategies to address identified capacity gaps, these are often presented as training, rather than more systemic approaches, and do not reference the policy environments in which strategies for improvement need to be implemented. This gap is also identified in evaluations, which point to gaps and weaknesses in UNHCR's plans for capacity strengthening, often arising from a short-term mindset and truncated programmatic approach.

**UNHCR takes risk management seriously and has built systems accordingly.** UNHCR has a range of systems to identify, manage and mitigate risk. This includes mechanisms to identify risk in operational designs, which are then centrally collated in the Corporate Risk Register and discussed with the Enterprise Risk Management Unit at headquarters. As of May 2018, UNHCR teams identified 2 450 potential risks in 148 field operations and headquarters entities. Of these, 676 were prioritised. Other mechanisms include the updated Emergency Preparedness and Response Policy, which requires all country operations to undertake risk analysis and minimum preparedness actions on an annual basis. Project design guidance also includes attention to risk analysis management and mitigation, requiring project designers to consider and seek to mitigate operational risk. Intervention designs, as reflected in regional and country strategies, do not include comprehensive risk analyses. However, staff interviews indicate serious attention to risk by country management, with the country and corporate risk register understood as the main management tool. The Risk Management 2.0 initiative has also identified selected operations which will benefit from dedicated additional support for risk management and mitigation.

**UNHCR has room to improve on durable solutions and links to sustainability.** The organisation's increasing work in protracted crises has brought the need for durable solutions for persons of concern to the fore. Previous reports (e.g. OIOS 2015) showed a decrease in UNHCR's attention to durable solutions, as reflected in declining expenditure. Since then, UNHCR's own corporate reporting indicates increased attention to: (a) developing institutional frameworks for durable solutions, (b) investing in capacity building and (c) enhancing efforts to ensure the sustainability of interventions.

However, these efforts have not yet filtered through to intervention designs. Country and regional strategies show limited development of clear sustainability strategies. Where these are present, considerable assumptions exist regarding national political commitment and the availability of strategic and operational support, as well as financing for long-term solutions programming. Moreover, evaluations and other reports highlight a tendency among UNHCR programmes to focus largely on reacting to immediate and short-term needs, rather than taking a more focused, strategic approach, including the need, at a given stage, to transition to longer-term solutions programming.

**UNHCR is aiming to correct the declines in operational agility perceived in recent years.** Concerns about decreasing operational agility, reflected in the centralisation of key functions and business systems, formed part of the rationale for the corporate reform process. These concerns are reflected in evaluations, which identify a broad range of procedural and bureaucratic barriers to implementation. Such barriers have resulted in slow programmatic implementation and consequent delays in responding to the needs of persons of concern. UNHCR has made efforts to correct key procedural blockages and improve both its actual and perceived agility. Most critically, the corporate

reform process includes greater regionalisation of staff and decentralisation of key functions and business systems which are intended to improve the agility and flexibility of country managers. Additionally, it currently sets internal standards to track speed of implementation, which occur as indicators in the Corporate Results Framework 2016-17. Guidance to staff, reflected in administrative instructions, also contains specific timelines. A range of new corporate initiatives have also sought to improve operational speed and adaptive capacity, including improved refugee case management and processing tools and a biometric identity management system.

#### **KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources**

This KPI looks at how UNHCR engages in partnerships to maximise the effect of its investment resources and its wider engagement.

**Overall, UNHCR plays a central role in the international co-ordination system for protecting persons of concern.** At the global level, UNHCR's broad mandate for protecting persons of concern, particularly in refugee situations, provides its central comparative advantage. This is reflected in its key role in the relevant international architecture, such as the Global Compact and the CRRF, the main instruments going forward to shape international responses to refugee situations. At the inter-agency level, UNHCR engages strongly with key processes, including participating in the Inter-Agency Standing Committee, the United Nations Secretary-General's Chief Executive Board for Coordination, the High-Level Committee on Programmes, the United Nations Development Group, and the Economic and Social Council Humanitarian Affairs Segment. It also leads or co-leads the Global Protection, Shelter, and Camp Coordination and Camp Management clusters; and it heads overall response co-ordination in refugee emergencies through the Refugee Co-ordination Model.<sup>5</sup> UNHCR has partnership agreements with a range of agencies, for example with the World Bank on resilience-focused solutions and with the World Food Programme (WFP) on the use of cash-based approaches in refugee situations.

**UNHCR's comparative advantage in its partnerships arises from its special mandate and mission.** Included within this are its broad overarching mandate for persons of concern and its associated co-ordination of overall responses in refugee situations, its leadership of key global clusters or alternative mechanisms where activated, its legal and policy guidance capacities, its convening power, and its capabilities for policy and standard setting and advocacy. Evaluations find evidence of UNHCR's deployment of these comparative advantages in partnerships to achieve results in areas such as temporary relief, resettlement, refugee status determination and advocacy with partner governments. However, UNHCR's comparative advantages had not realised tangible results in the areas of capacity strengthening and durable solutions.

**UNHCR partners with other organisations for joint assessments, monitoring and evaluations.** Joint needs and performance assessments are central to UNHCR's operating model. On behalf of the international community, it conducts the annual Global Needs Assessment, which provides an indication of the total global population of persons of concern. It also participates in UN tools and mechanisms at country level, such as Joint Needs Assessments and Humanitarian Needs Overviews. UNHCR has included in the Global Strategic Priorities 2018-19 an indicator to measure whether "multi-year, multi-partner strategies are informed by improved joint needs assessments and are developed and implemented in consultation with key stakeholders". For performance assessment, UNHCR participates in Joint Assessment Missions for interventions and has partnered with WFP to develop a range of guidance tools and technical notes to support the conduct of such missions. It has conducted a range of joint evaluations, such as with WFP on resilience programming in protracted crises, and is a member of the Inter-Agency Humanitarian Evaluation Steering Group.

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5. For mixed situations, the UNHCR-OCHA Joint Note on Mixed Situations is applied.

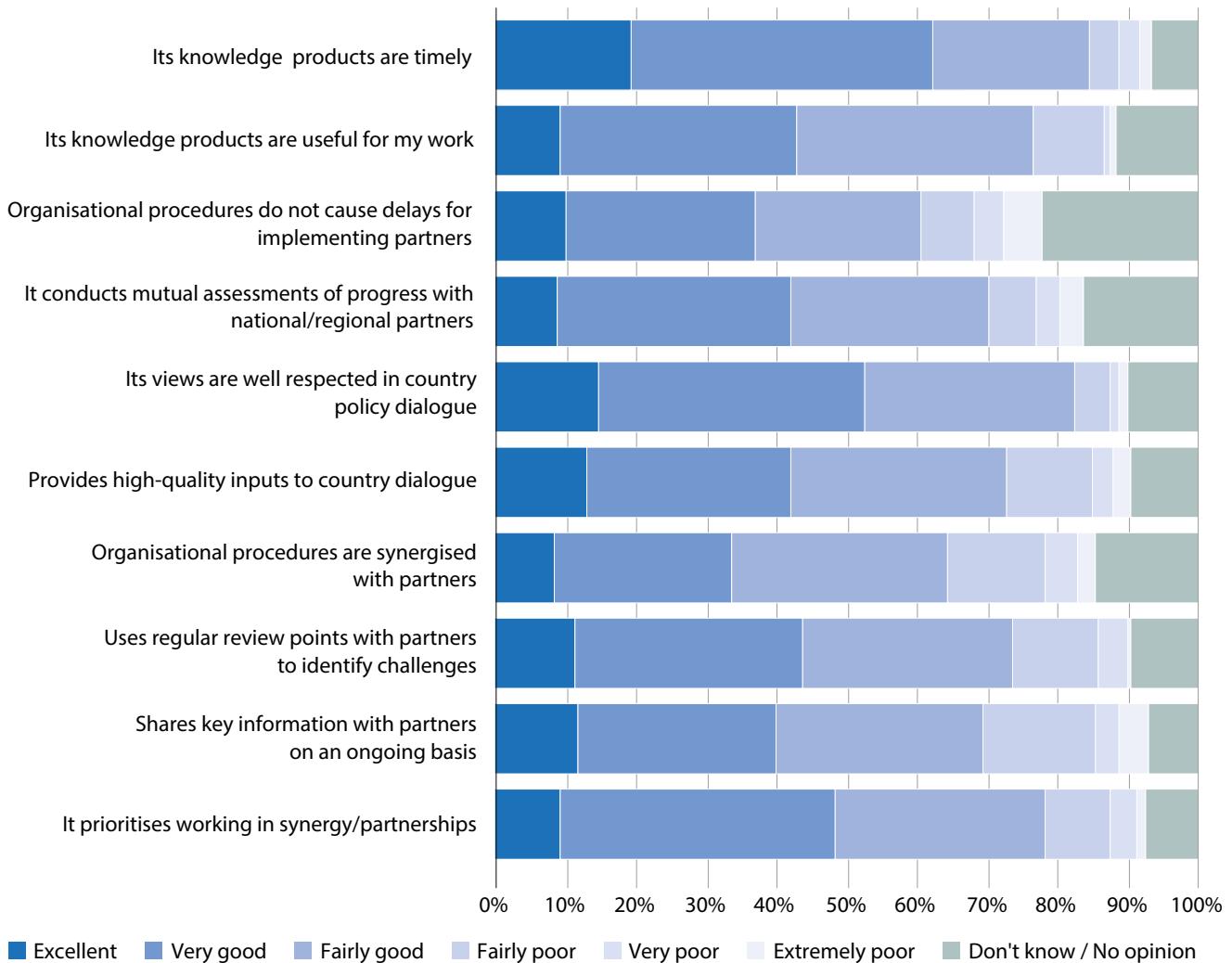
**However, at field level, there is scope for improved operational complementarity with UN partners.** As well as co-ordinating the overall response in refugee situations, UNHCR participates in national Humanitarian Country Teams and UN Country Teams, according to the context. It also engages in the production of Humanitarian Response Plans, Country and Regional Refugee and Resilience Plans, as well as United Nations Development Assistance Frameworks, where appropriate. Its Regional and Country Response Plans do not include clear or specific statements on how and where synergies and leverage principles will be applied, nor how duplication will be avoided and added value achieved. Instead, they focus on UNHCR's leading role in the response mechanism, and planned extensive engagements with a wide range of in-country partners and stakeholders. Evaluations, however, show weaknesses in partnership working at operational level. They point to poor or unclear coherence in areas such as communication between UNHCR and its UN partners, the systematisation of co-ordination structures, and collective strategic planning and programmatic approaches. Survey respondents rated UNHCR positively on its prioritisation of partnerships in its business practice, with 78% of respondents assessing UNHCR as "excellent, very good or fairly good" in this area. However, it is notable that the majority of the respondents were NGO partners. Much smaller proportions of UN and international financial institutions rated UNHCR positively (see Annex 3).

**UNHCR relies on implementing partners but could improve strategic coherence.** High proportions of UNHCR's budget are channelled through Project Partnership Agreements with implementation partners, as well as organisations such as governments, Red Cross and Red Crescent movement, UN agencies and academia. In 2017, for example, over 1 000 such partners carried out specific initiatives on behalf of UNHCR. The organisation values its partnerships, and the UNHCR Programme Manual sets out the principles behind different partnership types. UNHCR has an Enhanced Framework for Implementing with Partners, holds annual NGO consultations and has established the High Commissioner's Structured Dialogue with partners. However, it lacks a fully developed, overarching partnership strategy that sets out (a) a strategic rationale for engaging with different types of partners and (b) the mutual benefits such partnerships can bring to both parties. Staff interviewed indicated that, at the strategic level, NGO partnerships are not always fully coherent, given the lack of a clear overarching strategy and an absence of specific objectives.

**Systems for adaptive management are in place, but there is room for improvement.** As UNHCR implements many of its initiatives in challenging or volatile operating environments, it sets out procedures to enable operational adjustment when conditions change. These are included, for example, in its *Emergency Handbook*, Operations Manual, and its Programme Manual. While there is some degree of autonomy of decision-making at country level, subject to delegated authority thresholds, institutional bottlenecks exist. UNHCR has recognised the need to simplify and streamline procedures, processes and tools, including in key areas of programme design, procurement, supply, and administration and finance. The change management process aims to ensure that these function as efficiently as possible to enable field delivery.

**UNHCR is developing its approach to transparency.** UNHCR commits in the Strategic Directions to increase its investment in monitoring, reporting and evaluation to generate evidence-based assessments of its performance, to inform policy and programming decisions, and to demonstrate transparency and accountability. It joined the International Aid Transparency Initiative (IATI) in September 2018 and continues to report through the Creditor Reporting System of the OECD Development Assistance Committee. UNHCR's Global Focus portal provides for external audiences a comprehensive overview of its country operational work, including by linking plans to budgets and results to expenditures. The organisation also makes its budgets and management plans publicly available on its website. Of the survey respondents, 69% assessed UNHCR's sharing of key information (on analysis, budgeting, management and results) with partners on an ongoing basis as "excellent, very good or fairly good" (see Figure 5).

**UNHCR has a strong framework for accountability to affected populations (AAP).** UNHCR's commitments to AAP are reflected in a solid architecture and high-level engagement in policy dialogue. It co-chairs (with ActionAid) the Inter-Agency Standing Committee (IASC) Task Team on Accountability to Affected Populations, including its Task Force on Protection from Sexual Exploitation and Abuse. Programmatic guidance is available for staff, such as in the *Emergency Handbook* and Programme Manual. Both of these require country teams to employ participatory assessments within

**Figure 5: Survey Response: PARTNERSHIPS**

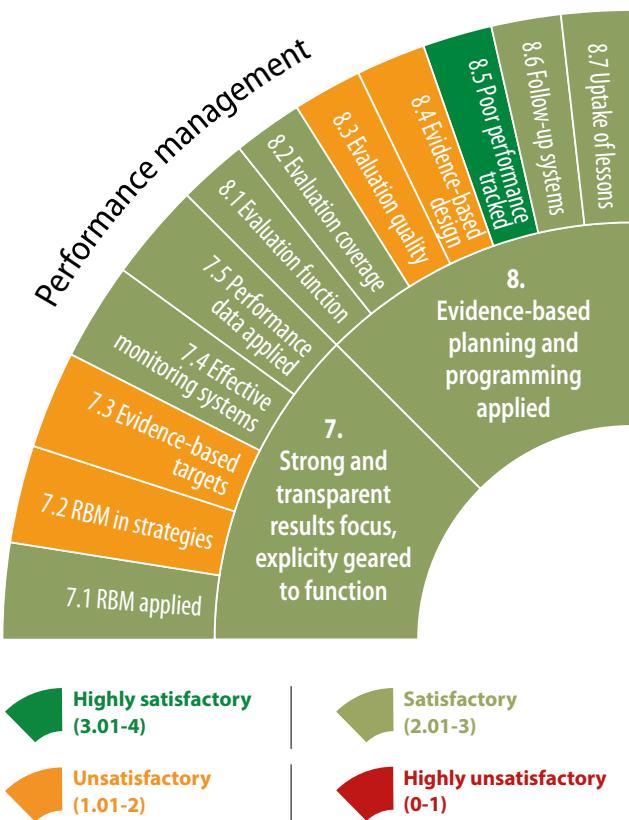
intervention design and provide clear guidance on procedures, processes and expected standards. Staff indicate that AAP training has been extensively provided across the organisation, and an AAP specific e-learning programme is currently being developed. Guidelines for agreements with implementing partners also require adherence to AAP standards in UNHCR-funded operational activity. In addition, the ongoing review of UNHCR's results-based management system and tools plans actions to enhance the monitoring and evaluation of AAP.

**Partners value UNHCR's globally relevant knowledge products and its contributions to policy dialogue.** The 2017-21 Strategic Directions commit UNHCR to upgrading its capacity for research and knowledge management: "UNHCR will strive to be a learning organisation, refining and adjusting approaches based on analysis, evaluation and peer reviews. UNHCR will actively engage in learning from partners, promoting dialogue and exchange and seeking to identify and build on best practices." The organisation produces a wide range of relevant knowledge products for the consumption of the international community. These include statistics on the populations of concern at global and country levels and global trends analysis. These products are highly valued by partners, with 76% of respondents rating the utility of UNHCR's knowledge products as "excellent, very good or fairly good" for their own work. Likewise, partners appreciate the timeliness of UNHCR's knowledge products for their own work, with 85% rating this as "excellent, very good or fairly good". Survey responses also indicate that partners value UNHCR's inputs to policy dialogue and assert that the organisation's views and contributions are well respected in national and regional policy dialogue forums, with 82% of respondents rating these positively (see Figure 5).

## PERFORMANCE AREA: PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and to using performance information, including evaluation and lesson-learning*

UNHCR has invested in its performance management systems, responding to the commitments of the 2017-21 Strategic Directions. Changes are well underway, but the results of these efforts have not yet borne fruit. In developing its results-based management (RBM) systems, the organisation hopes to address existing technical weaknesses. In particular, stronger linkages to the strategic architecture are required. The evaluation function has benefited from enhanced investment, as part of management's commitment to make UNHCR an evidence-based organisation. The function currently has limited structural, functional and budgetary independence, however, and evaluation coverage is still patchy. UNHCR has improved its evaluation policy architecture and is making efforts to recognise and respond to evaluation findings.



Highly satisfactory  
(3.01-4)

Unsatisfactory  
(1.01-2)

Satisfactory  
(2.01-3)

Highly unsatisfactory  
(0-1)

### KPI 7: The focus on results is strong, transparent and explicitly geared towards function

This KPI looks at how UNHCR transparently interprets and delivers an organisation-wide focus on results.

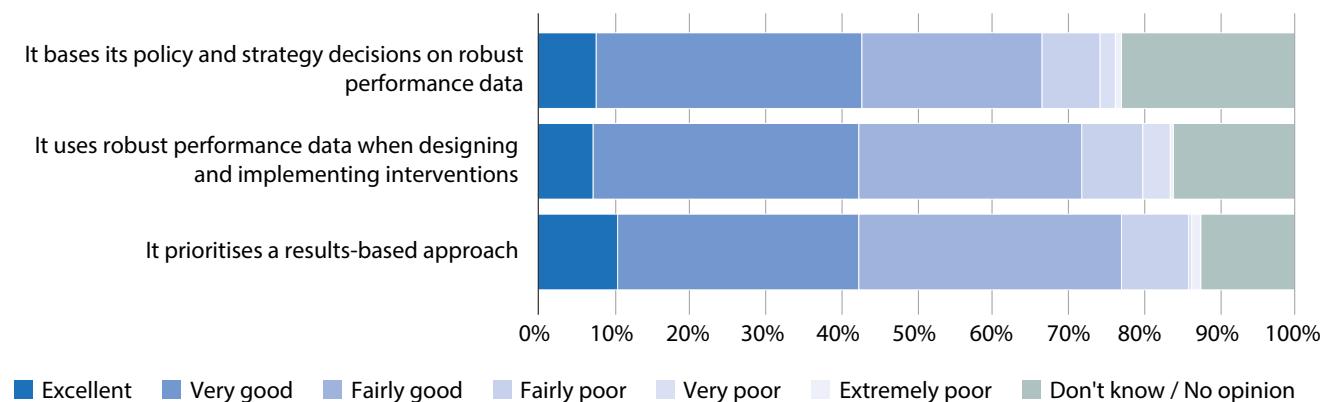
**Overall, UNHCR's results system has gaps but is under development.** UNHCR has an explicit corporate commitment to a results culture and has developed an elaborate corporate RBM system. This is focused primarily at the programmatic level. However, the organisation has recognised some deficiencies and gaps in the RBM mechanisms currently in place and has set out a range of procedures to improve them.

**UNHCR has committed to developing and implementing a corporate results culture and has carried out reforms accordingly.** UNHCR's Strategic Directions is explicit regarding management's commitment to a results culture across the organisation, and this commitment was reiterated by management and staff during interviews for this assessment. Currently, the RBM approach is mandatory for all operational activity, with principles and requirements laid out in the Programme Manual. While the current RBM system has evolved organically over the years, it has not kept up with the growing complexity surrounding the organisation's operations, nor with its expanded areas of work. An overhaul has therefore been undertaken and is due to be completed by 2020.

**The current RBM architecture is unclear.** Although UNHCR has a Results Framework, this is not yet clearly connected to a defined set of organisational goals. The Global Strategic Priorities (GSPs) 2016-17 and 2018-19 are based on the Results Framework. However, there is no direct link in results logic between the RF and the 2017-21 Strategic Directions document, which does not include concrete results or indicators. The RF comprises 180 impact indicators for 6 rights groups, whereas the GSPs for 2018-19 contain 21. Moreover, the many other corporate and thematic strategies and policies currently in force are not plainly integrated into the results architecture, with many having developed their own internal results systems. It is unclear how their intended results align with corporate objectives and how these will be measured and monitored.

**The current RBM system does not permit results aggregation, and staff question its utility.** UNHCR's Results Framework provides predefined, standardised corporate indicators for staff to apply in project/programme cycle management, along with standardised document templates using pre-defined results frameworks and indicators. Nevertheless, staff indicated that they felt this framework did not always match their sectoral or thematic needs. In several instances, they had therefore developed separate, parallel RBM systems. Moreover, while in principle linkages exist within the layers of the Results Framework, with pre-determined indicators set to measure progress at the lowest level of intervention – operations – which link up to corporate-level indicators at impact level, challenges affecting global aggregation exist. These include changes in coverage on an annual basis and the technical nature of many of the indicators, which restrict the potential for meaningful global aggregation.

**Figure 6: Survey Response: RESULTS-BASED MANAGEMENT**



**Programmatic guidance is available for staff but is not universally applied.** UNHCR's Programme Manual contains detailed mandatory guidance for staff on how to use and apply RBM principles in planning and programming. This guidance is available via the organisation's intranet. It was updated in 2016, with the addition of a comprehensive reference guide, which included new guidance, and a French version was released. However, due to staff uncertainty over the overall utility of the RBM system, the relevance of this guidance was unclear. Staff commonly referred to their own, internally developed results system as their main mechanism for internal performance management.

**Technical weaknesses persist in the RBM architecture.** While the current Results Framework presents a results logic with relevant targets and indicators, many of these rely on qualitative and perception data rather than more rigorous measurement systems. The logic of causal pathways is mixed, with some pathways having clear upwards logic, and some more uncertain. Additionally, not all of the 180 impact indicators and 657 performance indicators are equally relevant, with some lacking a clear link to the intended output or outcome. Many indicators still have to be unpacked to be useful in measuring UNHCR's progress against corporate objectives, while other objectives do not yet have corresponding indicators. However, a revised RF is under development and promises to correct these concerns.

**Monitoring systems still require development.** Detailed guidance is in place to allow UNHCR and/or its implementing partners to generate relevant output-level data through programme monitoring. These data are then aggregated at the corporate level, on the basis of which UNHCR monitors and reports against corporate objectives and targets. However, collecting, collating and – most importantly – aggregating accurate data against stated objectives and impact indicators through monitoring has proven challenging in practice. While systems to validate data exist (including document reviews, field visits, comparison of data at intermittent moments in time, participatory assessments, surveys and joint partner-UNHCR field visits), staff signalled multiple challenges in ensuring the validity and reliability of data gathered through monitoring. One such challenge is operational conditions on the ground, which make it difficult to collect accurate data in a timely manner or to gain access to data at all. There are also technical

challenges in aggregating data. This is reflected in evaluations, which reported multiple obstacles to accessing valid and reliable data from UNHCR's monitoring systems.

**Use of performance data in planning and design is variable.** Given the challenges in UNHCR's current results and monitoring systems, and the consequent lack of high-quality and reliable performance data, there is little comprehensive use of such data to improve planning and design. Under UNHCR's Resource Allocation Framework, country managers are authorised to adjust operational plans within pre-defined parameters. However, these parameters do not include a systematic review of performance data. Staff indicated that the use of performance data for operational adjustment remains largely dependent on staff interest and willingness. At the corporate level, there is a commitment to using performance data, with regular reporting to the governing body on results achieved against the GSPs (at impact level). However, the difficulties of aggregation make it challenging to ensure the validity and reliability of data.

#### **KPI 8: The organisation applies evidence-based planning and programming**

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This KPI focuses on the evaluation function, its positioning within UNHCR structures, attention to quality, accountability and putting learning back into practice.

**Overall, UNHCR's evaluation function is improving, although it does not yet meet all the required standards of the UN system.** Reforms began in 2016, with a revised evaluation architecture and strengthened evaluation service, leading subsequently to significant improvements. However, the evaluation function is not yet structurally or functionally independent, nor does it have budgetary independence. Evaluation coverage is not universal, and quality assurance systems are still emerging. Until recently, management responses were not required, though some have been developed, and the implementation of evaluation recommendations has not been systematically tracked. Knowledge management within UNHCR is mostly informal and tacit, rather than systematised and explicit.

**Investment in the evaluation function has increased.** Following critical comments from the Joint Investigation Unit (JIU) and the Office for Internal Oversight Services (OIOS), in 2016 UNHCR introduced a new Evaluation Policy, intended to align with established international norms and standards, including those of the UN Evaluation Group (UNEG). The 2016 policy provides for the establishment of a robust and professionalised evaluation function. Since 2013, the budgetary allocation for evaluation has steadily increased, from USD 1.58 million in 2013, to USD 3.58 million in 2017. The 2018 budget shows a further increase, to 0.07% of total expenditure.

**The central evaluation function is not yet fully independent in all respects.** As yet, UNHCR's evaluation function is not fully functionally independent. While the Evaluation Service is held separate from management functions, the Head of the Evaluation Service reports to the High Commissioner. This includes preparing a shortlist of proposed evaluations for the annual Centralised Evaluation Work Plan, the selection from which requires agreement by the High Commissioner and Deputy High Commissioner. Budgetary independence is similarly constrained, with the High Commissioner approving the budget for the Centralised Evaluation Work Plan. Divisions, regional bureaux, and regional and country offices are required to allocate resources from their approved annual budgets to finance decentralised evaluations.

**An improved policy architecture is being developed.** UNHCR revised its Evaluation Policy in 2016, with the aim of bringing the evaluation function into line with the standards set by sister UN agencies. The policy lays out the principles to ensure coverage, quality assurance and the use of evaluation findings. It also distinguishes between centralised and decentralised evaluations. The former are managed by the Evaluation Service and the latter are handled by country and regional offices. The policy also differentiates between the range of evaluation types available, such as policy, strategy, regional/country operation, specific population planning group and project. A 2017 Evaluation Strategy was also developed to support operationalisation of the policy.

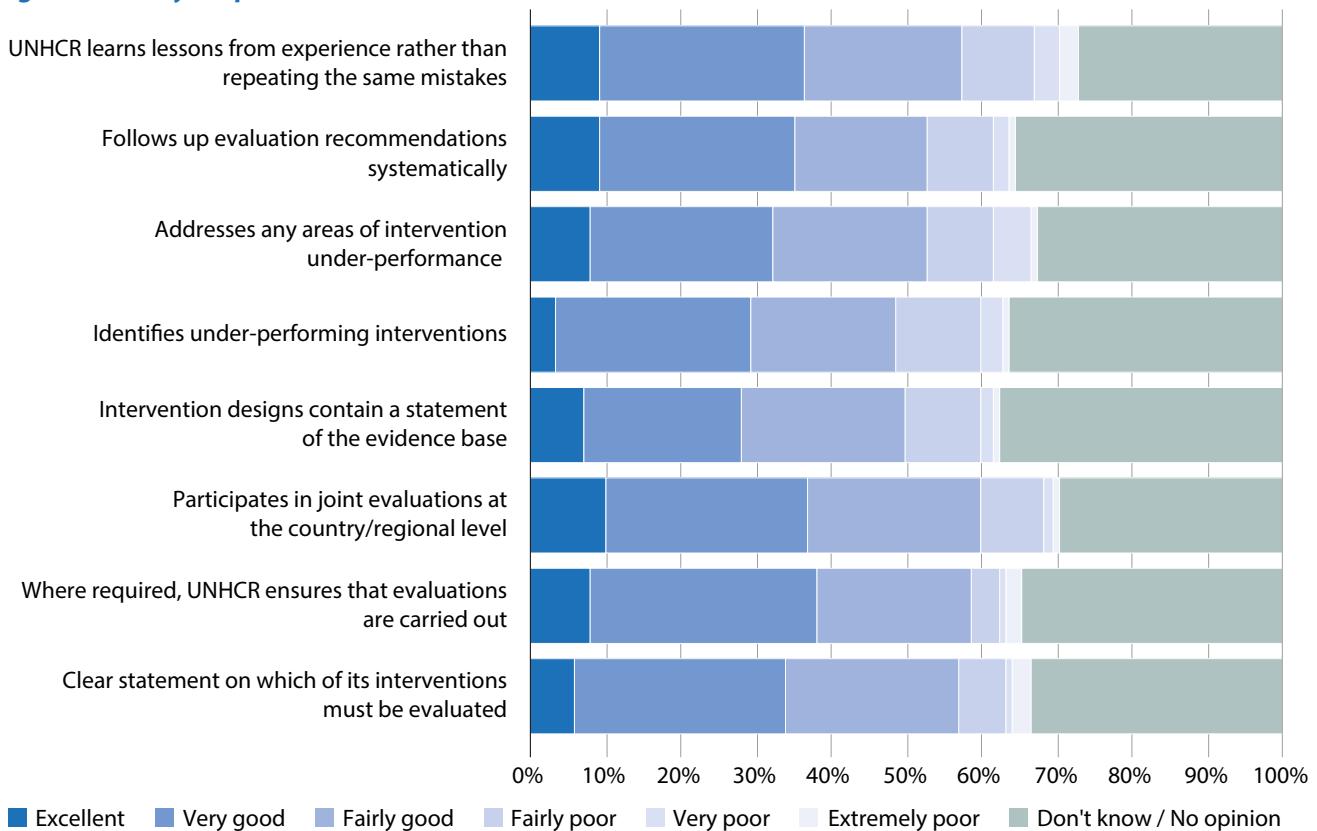
**UNHCR is expanding evaluative coverage.** UNHCR's increasing investment in its evaluation function is reflected in improving evaluative coverage of its interventions. The 2017 Evaluation Strategy proposes significantly expanded evaluation coverage by introducing four types of centralised evaluations (rapid, strategic, institutional and longitudinal). The number and quality of centralised evaluations has grown substantially, from 5 in 2017 to 20 in 2018. Decentralised evaluations are elicited on a rolling basis, and centralised evaluations often also include country case studies, though the 2018 Evaluation Plan included only nine decentralised evaluations, a relatively low number. Funding for decentralized evaluations is covered out of the Evaluation Service budget, operational budgets, and/or specifically earmarked donor funding. Evaluative coverage therefore varies across regions and intervention types and depends on donor willingness and commitment to fund these processes.

**Few systems exist for quality assurance.** UNHCR's Evaluation Service provides UNEG standards for staff to guide them on quality expectations for evaluations within the UN system, but it does not provide UNHCR-specific standards, definitions or criteria. The Evaluation Service introduced pilot guidance for quality assessment of evaluations in 2018, though it is taking time for staff to assimilate the guidance and for capacities to be built. The Evaluation Service has expanded its capacity to support quality at the design and planning or implementation stages of a growing number of evaluations.

**Systems are emerging for using evidence to inform design.** UNHCR's Programme Manual does not currently require staff to demonstrate how lessons from past interventions have been considered in the design of new interventions, though it does recommend attention to this area. Previous evaluations also reflect limited previous use of lessons learned to inform designs. However, there is growing evidence of feedback loops to feed lessons into new designs, as shown for example in the 2018-22 Evaluation Strategy, which states an intent to develop improved feedback loops to ensure that lessons learned shape new intervention designs. Progress is reflected in some emerging areas: The updated 2017 Global Appeal notes lessons learned from evaluations as a source for policy and strategy development and revision at the thematic, regional and country levels. Additionally, UNHCR's policy on emergency response activation, leadership and accountabilities is being revised and updated based on lessons learned from emergencies in 2015 and 2016. Recent management responses to evaluations indicate that evaluation findings are now being used to amend or adapt interventions.

**UNHCR has systems in place to track poor performance.** UNHCR's operational-level internal monitoring and reporting mechanisms allow for identifying poorly performing interventions on a 6- or 12-monthly basis or shorter. Each operation monitors progress towards expected results delivered either through direct implementation or a Project Partnership Agreement. A summary of all monitoring findings should be prepared at least twice a year and presented at an implementation review meeting chaired by senior management to generate an action plan. Survey responses indicate that these systems are implemented in practice, with 49% (36% stated Don't know/No opinion) of respondents reporting that UNHCR systems effectively allow for the identification of poor performing interventions, and 53% (32% stated Don't know/No opinion) considering that UNHCR addresses the poor performance of interventions effectively.

**UNHCR is increasingly formalising its systems to ensure it addresses evaluation findings.** The 2016 Evaluation Policy formally requires management to respond to key findings and recommendations put forward in the evaluation report within two months from the date of the report's dissemination. Management responses should comply with UNEG guidance, i.e. include an action plan and agreement or non-agreement with recommendations, as well as an overview of responsibilities and accountabilities. Tracking of actions in response to evaluation recommendations is included in the Management Response Matrix. A year after the management response has been implemented, the Evaluation Service tracks progress by requesting an update, which is made publicly available. However, an annual report on the status of implementation of evaluation recommendations has not yet been developed.

**Figure 7: Survey Response: IMPLEMENTATION AND USE OF EVALUATIONS**

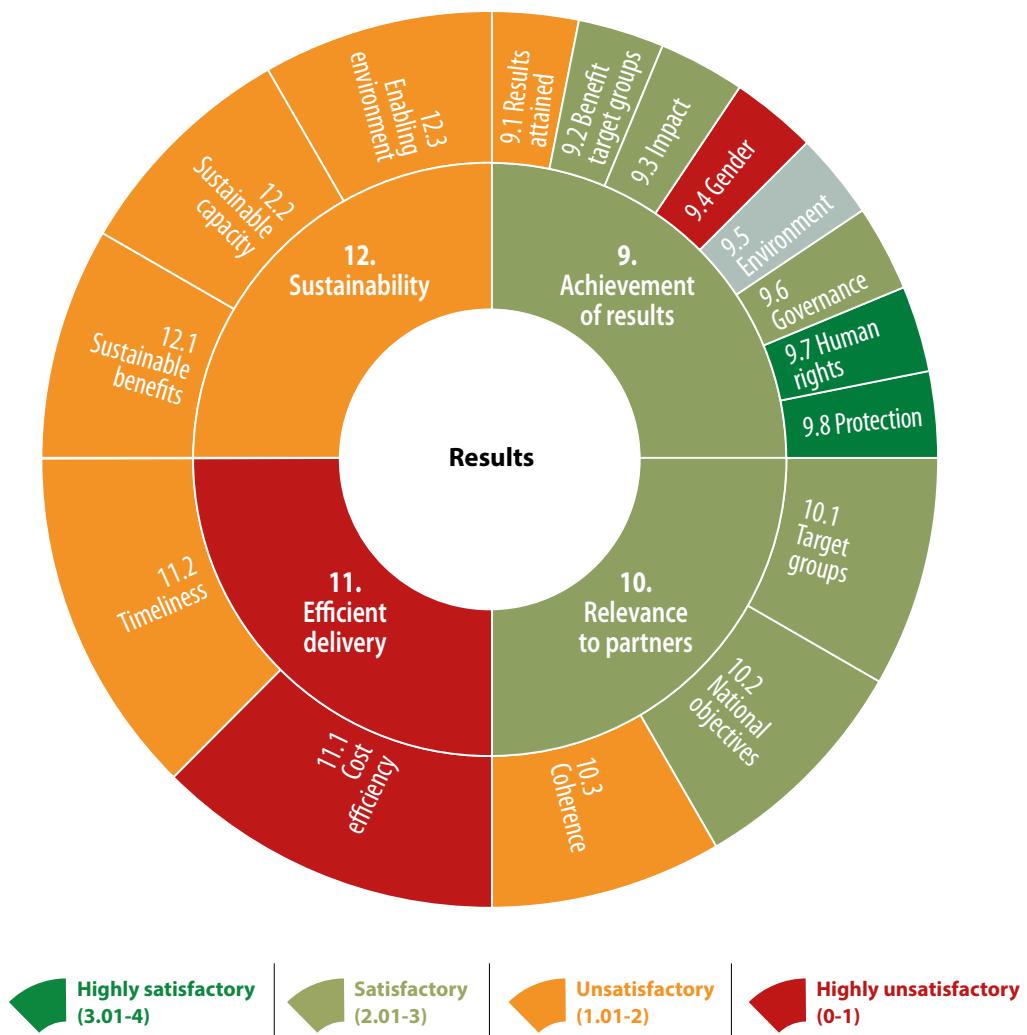
**Knowledge management systems are mostly informal.** The GSPs specify UNHCR's commitment to "refining and adjusting approaches based on analysis, evaluation and peer reviews... UNHCR will actively engage in learning from partners, promoting dialogue and exchange and seeking to identify and build on best practices". The Evaluation Service aims to contribute to improved learning and accountability by systematically distilling and disseminating lessons learned. The Service holds seminars and discussions on evaluation to disseminate findings and to help build a culture of lesson-learning. As yet, however, the organisation lacks a formal knowledge management function. Interviews indicated that evaluation findings are being used by managers in the field and are helping them to further professionalise their performance. However, most knowledge exchange currently remains informal and tacit.

## 2.2. DEVELOPMENT EFFECTIVENESS

### PERFORMANCE AREA: RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way*

The sample reviewed to assess results comprised a total of 19 evaluations and reviews. Management information reporting on performance was also included. Overall, UNHCR's interventions successfully targeted persons of concern and delivered essential services to them. Interventions were well-aligned with national priorities for meeting the needs of the population of concern and made positive contributions to national policy and system reforms (though with some opportunities missed). They also helped strengthen the enabling environment and legal systems to protect persons of concern. The assessment found various areas for improvement, however. These include coherence, particularly with other UN agencies; time and cost-efficiency; and links to transition and durable solutions, which have been inconsistently implemented. There is also scope to contribute more towards building national capacities and increasing gender equality.



## **KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals**

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This KPI examines the nature and scale of the results UNHCR is achieving against the targets it sets and its expectations on making a difference.

**UNHCR's interventions have delivered essential services for refugees and other persons of concern.** Of the 13 evaluations which report on the achievement of results for key target groups, the majority (nine) found positive benefits delivered overall. Key benefits and services delivered include the provision of asylum for those in need; lifesaving assistance on a large scale; successful resettlement; and the provision of basic services for millions, for example in the Syrian Arab Republic during the height of the internal crisis. Refugee status determination was also provided on a large scale, though evaluations found mixed results in terms of lifting participants out of poverty. Evaluations and reviews also identified scope for greater outreach, such as helping refugees to raise their concerns to governments and building their social capital. They also, however, noted a need for stronger programme design, including more coherent strategisation and closer links with national structures and processes.

**UNHCR's interventions have helped realise the human rights of persons of concern and ensure their protection.** All 14 evaluations and reviews positively assessed the realisation of human rights in UNHCR's interventions. Key rights realised included access to territory, asylum and refugee rights. Few or no cases of refoulement arose in the interventions studied, and national stakeholders and populations of concern had greater awareness of their rights as a result of UNHCR's actions. Populations of concern were also successfully protected, whether refugees, internally displaced persons or other vulnerable groups. For example, in Uganda, South Sudanese refugees had continuous access to Ugandan territory, asylum and protection. In Turkey, by supporting the Government of Turkey to pass two pieces of progressive legislation designed to protect refugees, UNHCR contributed significantly to the protective environment for Syrian refugees. Across its areas of intervention, UNHCR aligned its work with international legal and normative frameworks related to refugees, international humanitarian law, international human rights law and international refugee law. It translated these broader frameworks into concrete programmatic actions to ensure the realisation of rights and to protect persons of concern.

**Over-ambitious intended results have led to variable performance in meeting UNHCR's intended objectives.** A sample of 17 evaluations and 2 reviews indicate that UNHCR has frequently struggled to meet its sometimes ambitious objectives, with gaps, weaknesses and under-performance noted in a majority (16/19) of evaluated interventions. UNHCR performed well in providing basic assistance to vulnerable persons of concern in a wide range of settings. It also fulfilled its protection mandate, for example in refugee status determination, processing asylum claims, facilitating issuance of birth certificates and resettling the displaced. Weaknesses included poor progress against food assistance and nutrition targets and limited implementation of durable solutions. Some under-performance was due to external factors beyond UNHCR's control, such as funding limitations. However, some evaluations noted over-estimation of expected results in relation to resources available, with planned results sometimes more "aspirational" than realistic. Some studies also noted weak monitoring and reporting systems, which limited the scope to robustly assess and reflect results.

**UNHCR has supported national policy and system reforms for persons of concern, but has also prioritised service delivery over more strategic engagement.** Of nine evaluations reporting on these issues, six found that UNHCR successfully contributed to improving national policy and system reforms for the population of concern. These achievements arose from UNHCR applying its core areas of expertise to the policy environment, such as helping to design or enhance national policies for persons of concern and enhancing legal frameworks for refugee status determination. For example, the 2016 Evaluation of UNHCR's Emergency Response to the influx of Syrian refugees into Turkey found that "Turkey provides an extraordinarily welcome policy and legal environment for refugees... While

the bulk of the recognition for this achievement must go to the government and people of Turkey, there is no doubt that UNHCR's patient policy advice and technical support were instrumental both in the framing of this legislation, and in the building of the national institutions to implement it".

Factors supporting results included the positive image and leverage stemming from UNHCR's assistance in large-scale emergencies and its capacity to work in close partnership with national stakeholders. However, evaluations also identified missed opportunities for advocacy with key stakeholders, such as through the generation and use of evidence to influence policy change. UNHCR also consistently prioritised service delivery over more strategic, policy-focused engagement, with some interventions disconnected from national systems and structures. At times, its actions were characterised as reactive, rather than strategic.

**More needs to be done to generate gender-related results.** Only eight evaluations reported substantively on gender-related results. All found that insufficient technical capacity for gender mainstreaming, alongside limited analysis and data gaps, hindered the achievement of gender-related results. For example, the evaluation of UNHCR's Emergency Response to the influx of Syrian refugees into Turkey noted that, while many individual UNHCR and partner staff were aware of gender issues, the absence of a strong and shared gender analysis linked to a gender strategy led to fragmented activities and to lost opportunities for co-ordination and leverage. Evaluations also reported that UNHCR's gender-related results are commonly understood only as response to sexual and gender-based violence (SGBV); they state that UNHCR has adopted a mostly reactive approach, providing services to survivors but paying insufficient attention to addressing the systemic causes of SGBV and to building national capacities to respond.

**UNHCR has helped improve the legal environment for persons of concern but can do more to increase national capacities.** Eleven evaluations reported that UNHCR contributed to good governance, with six citing some significant gains, but five identifying missed opportunities, gaps or weaknesses. UNHCR strengthened capacities of national stakeholders for child protection, refugee status determination, and refugee and asylum seeker registration. Co-ordination mechanisms were also established or supported at national level in a range of key areas. In addition, UNHCR helped reform the legal environment and institutional framework for refugees or asylum-seekers in many countries and, in doing so, helped build the protective environment for persons of concern.

Supporting factors included adopting, in some interventions, a graduated approach, where capacities and legislative reforms were built incrementally over time, and applying, in other interventions, a comprehensive strategy for capacity development, rather than implementing one-shot training initiatives. However, several evaluations report weak ex-ante analysis of national capacity gaps, meaning that mitigation strategies were not built into design or implementation. Some evaluations mention short programming cycles where UNHCR adopted a short-term (i.e. training) rather than a medium-term or systemic approach.

#### **KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate**

This KPI centres on the relevance of UNHCR's engagement given the needs and priorities of its partner countries and its results focus.

**UNHCR's interventions successfully targeted persons of concern.** All 15 relevant evaluations found successful targeting of persons of concern. This arose from strong use of participatory needs assessments, as well as from a high degree of responsiveness to needs. However, eight evaluations also noted gaps in data and in long-term strategic planning, which constrained UNHCR's ability to address the priorities of persons of concern, as well as one-way communication flows, with persons of concern receiving less information than their entitlements under commitments to accountability to affected populations. Insufficient consultation with persons of concern was cited as another weakness.

**UNHCR's interventions were partly successful in contributing to national priorities regarding persons of concern, but some opportunities were missed.** All 12 evaluations found that UNHCR's interventions were strongly aligned to national priorities for the population of concern. Key areas of strength included service delivery to populations in need and the provision of asylum processing. However, evaluations also recorded some missed opportunities to link interventions more closely with national systems and priorities. Three evaluations reported that a reduced emphasis on advocacy, with service delivery favoured instead, saw UNHCR's influence on policy formulation decline in the country.

**There is room to improve coherence and co-ordination with sister UN agencies.** Fourteen evaluations assessed the coherence and co-ordination of UNHCR's interventions. Five found that UNHCR had delivered its interventions as part of a coherent and collective response, particularly praising its work within the cluster system and in the overarching co-ordination of refugee responses. However, eight reported gaps or weaknesses, most commonly arising from co-ordination deficiencies. These included a lack of interaction between UNHCR and its UN partners, the presence of competing co-ordination structures, and a lack of joint strategic planning which resulted in disjointed operational approaches and/or overarching co-ordination.

#### **KPI 11: Results are delivered efficiently**

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This KPI looks at the extent to which UNHCR is meeting its own aims and standards on delivering results efficiently.

**There is considerable scope to improve cost-efficiency.** Almost all relevant evaluations and reviews (10/12) found scope for improvement in UNHCR's cost-efficiency. Where cost-efficiency existed, it resulted from strong staff contributions, policy refinement, technological advances and strengthened partnerships. Inefficiencies stemmed from a range of factors. These included: weak case management for refugees; the lack of prioritisation of efficiency concerns, with a consequent lack of integration into operational management; missed opportunities for cost reductions; the use of parallel processes which could have been harmonised; a lack of strategic planning; and poor co-ordination, which led to duplication and fragmented activities.

**UNHCR's delivery of results in the face of internal and external constraints is not always timely.** The majority of relevant evaluations (8/10) report that despite UNHCR's strong capacity for immediate responses, its interventions experienced delays at various points. In several cases, these delays arose from challenges in UNHCR's volatile operating contexts, which limited the scope for timely implementation. However, evaluations also identified internal constraints which impeded timeliness. These included a lack of co-ordination and/or confusion between UNHCR and sister UN agencies, such as in Jordan and Lebanon, and unrealistic planning and design. For example, the evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that UNHCR applied planning and programming tools that were not well-suited to the Turkey context, leading to implementation delays. Two evaluations related to the Syria regional response also noted that UNHCR's ability to be effective in a challenging programming environment was hampered by a slow build-up of programming and staff, as well as slowness in scaling-up responses when conditions required.

#### **KPI 12: Results are sustainable**

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This KPI looks at the degree to which UNHCR successfully delivers results that are sustainable in the longer term.

**UNHCR's interventions contain few links to transition or sustainable solutions, where applicable.** Partly due to the nature of UNHCR's interventions, nine of the ten evaluations or reviews reporting on sustainability found limited measures to link humanitarian interventions to transition, recovery or resilience initiatives or, eventually, to longer-term developmental results. Evaluations reported that UNHCR had made some adjustments to shift its structure and

thinking to accommodate links to development and had in some contexts prioritised capacity development, which augurs well for continued benefits in the future. It had also prioritised national ownership in some interventions. However, overall, it is still performing under a largely short-term humanitarian operating model and mindset, with limited planning for, or operationalisation of, sustainable solutions. Durable solutions have experienced only limited success for persons of concern in protracted refugee situations, and UNHCR has not consistently seized opportunities to influence or affect the regulatory and enabling environment.

**There is room to improve on capacity strengthening.** Five of the nine relevant evaluations reported that UNHCR's interventions have built institutional or community capacity for sustainability, but have also missed some opportunities. The remaining four found limited efforts to build capacities, and consequently few gains. In successful cases, where UNHCR interventions had resulted in capacity gains, these arose from dedicated tailoring of its interventions to the needs of stakeholders, as well as strong responsiveness in the capacity-strengthening services provided. However, in certain situations, thorough ex-ante analyses were lacking, UNHCR did not prioritise capacity strengthening in intervention design and the organisation tended to interpret capacity strengthening as training rather than adopting a more systems-focused approach. External factors also played a role, such as the non-implementation of national legislation and challenges in recruiting and retaining high-calibre government staff.

**UNHCR has strengthened the enabling environment for development, but much more can be done.** Thirteen sample evaluations and reviews reported on the extent to which UNHCR's interventions have strengthened the enabling environment. A majority (eight) of these found that UNHCR's advocacy or influencing improved the protective environment for persons of concern, including better regulations and the promotion of refugee standards. However, many evaluations noted the lack of medium- or long-term strategic planning in UNHCR's interventions, which compromised the organisation's ability to reform the enabling environment for development. In addition, opportunities for advocacy or policy influencing have sometimes been missed.





### 3. OVERALL PERFORMANCE OF UNHCR

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## Chapter 3. Overall performance of UNHCR

The performance conclusions first consider four key attributes of an effective organisation: (1) whether it understands future needs and demands; (2) whether it is organised and makes use of its assets and comparative advantages; (3) whether it has mandate-oriented systems, planning and operations; and (4) whether it makes consistent developments according to its resource level and operational context.

Then, the journey of the organisation is mapped against MOPAN's previous assessment of UNHCR.

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

### 3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

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#### **Is UNHCR future facing?**

UNHCR is strongly cognisant of its role in the international system. Its remit as the guardian of the 1951 Refugee Convention and 1967 Protocol Relating to the Status of Refugees provides its fundamental *raison d'être* and a clarity and confidence to guide its strategic and operational choices. UNHCR's areas of interventions are well delineated by the legal frameworks surrounding its population of concern.

UNHCR's special mandate and position within the international architecture provide its main strategic reference point – and consequently its awareness of its current and future needs. The organisation lacks a discrete Strategic Plan but nonetheless has presented its forward vision in its 2017-21 Strategic Directions. These provide a clear way forward, though they are not translated into defined organisational goals. The Strategic Directions also lack a distinct delineation vis-à-vis the Global Strategic Priorities (GSPs), with coherence between the two more by default than by design. Nor are they linked clearly to the results framework, which are instead partly reflected in the GSPs. The need for greater clarity, with UNHCR's medium-term view plainly set out alongside explicit corporate results, was widely recognised across the organisation.

The significant increase in needs that UNHCR faces is not matched by the financial contributions it receives, which in recent years have fallen far short of requirements. At the same time, its own organisational systems and structures have experienced challenges. While the bulk of UNHCR's activity takes place at field level, it has experienced a higher degree of centralisation for some functions than is optimal for a field-based organisation. The resulting procedural blockages, and a considerable lack of internal coherence at headquarters, have constrained UNHCR's efficiency and agility, both of which are core requirements given its mandate and operating requirements.

UNHCR is highly aware of the need for reform. Management has been willing to commission an external review to formalise their recognition of the challenges, as well as to signal some ways forward. While struggling with the difficulties imposed by limited financial resources, UNHCR has embarked on a significant change management process, whose priorities are reflected in the organisational reform commitments of the 2017-21 Strategic Directions. The reform process is still underway but promises well for the future, for example in the harmonisation of policy frameworks and enhancement of the evaluation function.

At all levels, UNHCR's management and staff recognise both current and future challenges. They have implemented – as far as resources permit – the changes committed to by the Strategic Directions and have done so in a largely consultative way. However, as UNHCR's role in the Comprehensive Refugee Response Framework (CRRF) and the Global Compact on Refugees gains momentum, demands on the organisation are only likely to increase. Corporate reforms therefore require sustained momentum and ongoing commitment.

### **Is UNHCR making best use of what it has?**

UNHCR's assets and comparative advantages derive from its very special mandate in the international architecture. They include its legal and technical capacities, its convening power, its advocacy abilities, and its specialist expertise in refugee situations, statelessness and asylum. They are reflected not only in UNHCR's key role within the CRRF and the Global Compact but also in its international engagement in a broad range of global structures, systems and dialogues which seek to address the needs of forcibly displaced persons. Partners widely recognise and highly value the organisation's assets and comparative advantages.

The limited evaluative evidence base as yet available suggests that UNHCR applies these assets to mostly positive effect. UNHCR has contributed significantly to protecting persons of concern, delivering services for those in urgent need, and reforming national policies and systems. However, the organisation has scope to improve its work on durable solutions, a critical agenda going forward due to the high volume globally of protracted crises. Management has recognised this gap and responded by creating a new Resilience and Solutions Division in 2017.

In recent years, the centralisation of functions at headquarters has created procedures that constrain UNHCR's agility. The organisation has also suffered from a lack of internal organisational coherence, which has affected efficiency, fragmented activities and created a risk of overlap across functions. It has also compromised the full gearing of organisational efforts towards clear and agreed corporate results. UNHCR has implemented a change management process to address these challenges, with greater decentralisation intended to support agility at field level. This is not without its challenges, not least "change fatigue" among staff and hesitancy from some Geneva-based staff to transfer to regionalised positions. Nonetheless, management remain committed to pursuing the agenda in line with the Strategic Directions.

UNHCR also has a strong comparative advantage in the production of global public goods on populations of concern, as well as country-level information required by governments, UN agencies and other stakeholders. This asset is widely recognised and highly valued by partners. Internally, however, knowledge management remains a challenge, being mostly informal and tacit rather than systematised or formalised. A missed opportunity is evident here.

UNHCR has a strong ethos of partnership, especially given longstanding relationships with non-governmental organisations (NGOs), and seeks to ensure synergies through its leadership of key in-country co-ordination structures, particularly in refugee situations. Its broad mandate for persons of concern in refugee situations provides a major comparative advantage here. However, its strategic partnerships with NGOs are not always clearly defined, with unclear objectives above the operational level. Moreover, there is scope for improving operational coherence with sister UN agencies.

UNHCR is undertaking preparations for the future, despite being constrained by funding gaps. The change management process, now well underway, holds promise for the future, including for UNHCR's role in the CRRF and subsequent development and implementation of the Global Compact. Changes made to date, including an improved approach to risk management, the reform of the results-based management system, investment in the evaluation function, and the creation of a Division of Resilience and Solutions, provide a strong platform for organisational efficiency and effectiveness in the future. However, sustained momentum and commitment will be needed, as well as a clearer strategic architecture, if UNHCR is to ensure maximum use of its assets and comparative advantages to meet future needs.

### **Is UNHCR a well-oiled machine?**

UNHCR's current systems and planning are partly fit for purpose. Its operating model arises from its mandate and is driven by the need to provide protection for the population of concern. The organisation's relatively strong field presence allows for close engagement with key national and regional stakeholders and for in-depth knowledge of the local context. In this regard, it is able to ensure that its field operations align with needs and, where feasible, with national priorities for addressing the needs of persons of concern.

However, internal systems are not currently fully “fit for purpose” in terms of meeting the challenges of the future. In particular, greater organisational coherence is required at headquarters, and increased decentralisation is required to the field level. UNHCR has recognised this, and seeks to achieve these adjustments through the change management process.

UNHCR prioritises working in partnership at global, regional and country levels. It is a valued member of UN Country Teams and Humanitarian Country Teams. Its distinct role in the international architecture is reflected in its overarching co-ordination of refugee responses and its leadership of clusters. It provides an important convening function for refugee situations and co-ordinates key international processes and dialogue on refugee issues. Partners appreciate its specialist expertise and technical capabilities, for example for emergency response. However, there are gaps in operational synergies at country level.

UNHCR’s attention to cross-cutting issues is variable. Human rights and protection, as areas central to its mandate, are comprehensively integrated across strategic and operational practice. They form part of the “organisational DNA” and are strongly assimilated by staff, who see them as part of the organisation’s *raison d’être* – and, by extension, the core rationale for their own work. Other cross-cutting issues are more variably treated. While the policy framework for gender equality has been recently refreshed, resources for comprehensive mainstreaming are lacking. “Good governance”, understood for UNHCR in terms of strengthened legal frameworks and capacity building, remains a largely implicit agenda. While evaluations attest to considerable efforts by UNHCR, these are not always framed within a comprehensive or systems-oriented approach. Environmental sustainability and climate change are as yet emerging agendas.

Operationally, the mainstreaming of gender equality, good governance, and the environment and climate change, are mainly dependent on staff willingness, interest and commitment. There are few incentives, and limited financial and human resources, to ensure their comprehensive mainstreaming.

UNHCR’s performance management systems are currently under reform. Recognised weaknesses include the lack of a clear link between corporate results and the Strategic Directions, challenges in aggregating corporate results and weak perceived utility of systems by staff. Technical limitations persist in the present results-based management (RBM) architecture, and monitoring systems require development. UNHCR is cognisant of these challenges and is implementing improvements. It has also invested in its evaluation function. While this function currently lacks complete structural, functional and budgetary independence, the organisation is seeking to systematise and enhance coverage, as well as to increase the use of evaluation findings. Improvements are reflected in increased coverage over the recent period.

UNHCR’s financial and budgeting model presents challenges. Its needs-based model depends on the availability of resources for prioritised implementation. The financial and budgeting model requires constant overview and updating as needs and funds evolve. UNHCR has placed considerable emphasis on raising resources from the private sector and other sources, in particular aimed at increasing unearmarked funding. In recent years, the organisation has prioritised risk management. Channelling an important volume of its resources through partners means that a high level of control is required, with increased risks particularly presented by rising volumes of cash-based transfers.

Overall, UNHCR’s systems, planning and operations are under improvement, as the organisation has recognised its current limitations in meeting the demands of the future. Rationalising the strategic architecture, reforming the results management system and continued commitment to the change management process, will help ensure that UNHCR’s assets and comparative advantages respond to the demands of its mandate, and contribute to the wider humanitarian and development partnership in the era of the Sustainable Development Goals.

### **Is UNHCR making a difference?**

Due to a period of limited investment in UNHCR’s evaluation function, the organisation is lacking a comprehensive body of independent evidence on which to assess the achievement of its results. Overall, however, available evidence

shows a largely positive performance on delivering essential services for refugees and other persons of concern. Benefits include providing lifesaving assistance and basic services for millions in need, as well as resettlement provision. UNHCR's interventions have also helped build or enhance national policies for refugees, asylum-seekers and other persons of concern, and have strengthened legal frameworks to create a protective environment for them.

The organisation has, however, performed weakly in generating gender results. It needs stronger and shared gender analysis and clear gender strategies, which contain a coherent rather than a fragmented approach. Gender issues needs to be perceived as "more than sexual and gender-based violence" and mainstreamed accordingly, with UNHCR adopting a systemic approach.

Interventions are closely tailored to the needs of persons of concern, using participatory assessments and responding to needs. However, evaluations cite insufficient consultation with persons of concern as a frequent weakness, combined with one-way information flows (from beneficiaries to UNHCR).

Evaluations and reviews also report that the organisation's approach to capacity strengthening can be improved. While capacities of national stakeholders have been strengthened in many areas, the prevailing approach has been of one-shot training initiatives, in line with a short-term mindset, and a lack of ex-ante capacity analysis. A more systems-oriented and medium-term approach is needed.

Evaluations and reviews also find scope to improve coherence and co-ordination. While UNHCR participates well in global and even national level co-ordination mechanisms, operational co-ordination has been weaker, with a lack of joint planning resulting at times in disjointed operational approaches. In particular, operational co-ordination and harmonisation with sister UN agencies has room for improvement.

In addition, there is room to improve both the cost-efficiency and the timeliness of UNHCR's interventions. Some interventions reflected internal efficiencies, created for example by strong staff contributions, policy refinement, technological advances and strengthened partnerships; however, design and implementation challenges impeded cost-efficiency. Timeliness was constrained by challenging operating contexts, but internal issues, such as a lack of co-ordination, inadequate scaling up, and unrealistic planning and design, also delayed delivery.

Critically, many evaluations and reviews found that weaknesses arose from a comparatively short-term programming cycle and mindset – a "humanitarian" rather than a "development" mindset, as one evaluation put it. This led to some missed opportunities for advocacy or for strategic engagement with policy making or with key stakeholders. Interventions prioritised service delivery, and sometimes UNHCR's engagement was characterised as reactive rather than strategic. Interventions were at other times disconnected from national systems and structures.

UNHCR's interventions could more consistently lead to medium- and longer-term gains, including durable solutions. Strengthening the enabling environment for responding to the needs of persons of concern has had some very significant positive results. Yet the organisation has not always planned and implemented comprehensive strategies to ensure sustainability of its interventions from the outset. Higher quality designs, as well as continued close alignment with the plans of national authorities, will support performance improvement here.

### **3.2. PERFORMANCE JOURNEY**

UNHCR's mission and mandate position it firmly at the centre of the international architecture for addressing the rights and needs of refugees and other forcibly displaced persons. Since its establishment over 60 years ago, it has evolved to address a broader range of persons of concern and to intervene in multiple areas at country, regional and global levels.

Previous organisational assessments have highlighted both strengths and weaknesses. Positively, UNHCR's mandate and mission provide it with a specific role and remit, and serve as a guiding force for its organisational development. This offers a clarity of vision, and of remit, which is highly specific to the organisation. UNHCR's advocacy capacity is widely recognised, as is its ability to generate and apply interventions which respond to the immediate needs of the population of concern it serves. Weaknesses include: (a) an unclear strategic architecture, to which corporate results are not clearly linked; (b) limitations in performance management systems; and (c) a lack of consistency and coherence in operational relationships. Progress in these areas is particularly necessary in the era of the Sustainable Development Goals.

This 2017-18 assessment finds that UNHCR's management is aware of changes needed and is midway through a journey of reform. UNHCR has invested in addressing weaknesses previously identified, and its change management process seeks greater coherence at headquarters, greater streamlining of structures and functions, and increased regionalisation, in a bid to maximise the organisation's efficiency and effectiveness. Although progress is still underway, the trajectory of change is positive.

#### **Comparison with previous assessment**

UNHCR was last assessed by MOPAN in 2014. That assessment underlined a number of strengths and areas for improvement. Most of the strengths have since been built on and areas for improvement are being addressed under the change management process.

Boxes 2 and 4 present the strengths identified in the former assessment and those applying in the current 2018 assessment. They show that, overall, some of UNHCR's key strengths – such as its relevant, clear and valued mandate, its ongoing delegation of authority to country level and its strong reputation for policy dialogue – remain the same. However, this 2018 assessment adds others:

- a human rights and protection focus
- a strong field presence and "closeness to the ground" allowing for co-ordination with national stakeholders
- relevance of initiatives, including alignment with beneficiary needs and national priorities
- a recent emphasis on risk management
- efforts to broaden the donor base
- accountability to affected populations frameworks and systems

Boxes 3 and 5 summarise UNHCR's areas for improvement highlighted in the 2014 and 2018 assessments. Only two previously identified areas for improvement remain similar, namely structural independence of the evaluation function and the lack of linkage between the Results Framework and the organisation's strategic plan. The others have received investment and attention – even if the results of the reforms cannot yet be reported on here. These consist of performance measurement systems, improved investment in the evaluation function alongside better tracking and follow-up of evaluation recommendations, and investment in the use of evidence to inform decision-making.

#### **Reforms are underway and UNHCR's direction of change is positive.**

Strong management awareness, an external review and the guiding force of its mandate are combining to shape the organisation's change management process. However, reforms are far from complete, and staff fatigue is a potentially detrimental factor. One element identified as still requiring attention is the need to link corporate results and RBM systems to strategic aims – an area for improvement formerly identified, but which the current reform process has not yet planned to address. UNHCR could also clarify its strategic architecture and take a more rigorous approach to mainstreaming gender, the environment and climate change, and good governance. While the relevance of UNHCR's programming is a strength, multiple evaluations and reviews cited the organisation's need to adopt a more medium-term programmatic approach and mindset. This will serve UNHCR well in providing more durable solutions for its

**Box 3: Main strengths and areas for improvement identified in the 2014 MOPAN assessment**
**Strengths in 2014**

- Adaptation to vastly changed world circumstances and humanitarian needs
- A relevant, clear and valued mandate that has evolved over time to protect, provide assistance to and seek permanent solutions for refugees as well as other persons of concern
- Ongoing delegation of authority for operational and management decisions to country and regional offices
- Application of the Inter-Agency Standing Committee Transformative Agenda
- A reputation for high-quality of policy dialogue and use of advocacy to benefit persons of concern
- Use of reliable needs assessments to inform its humanitarian operations

**Areas for improvement in 2014**

- Reporting and performance measurement systems do not provide a clear and complete picture of how UNHCR is improving the circumstances and well-being of persons of concern
- UNHCR's Results Framework could be better linked to the strategic plan, so that organisation-wide results can be clearly articulated and measured
- Greater structural independence for the evaluation function is needed, in combination with adequate financial support and management buy-in. UNHCR should also develop a regular and systematic process for follow-up on evaluation recommendations
- Improvements are required in the organisation's relationships with its implementing and operational partners
- There is room to use more evidence in decision-making and reporting

population of concern, as well as enabling closer links to transition, recovery and/or resilience. Developing UNHCR's internal knowledge management function, as well as ensuring greater independence for its evaluation function, will help strengthen the evidence base of its interventions.

This assessment finds UNHCR to be committed to institutional change. As significant reform is still underway, there has been insufficient time to assess the effectiveness of all ongoing institutional developments. Nonetheless, the sustained approach adopted by management, as well as the realistic medium timeframe adopted for some changes – such as the RBM revisions, which will end in 2020 – augur well for the future. Key risks to the reform process are partly within UNHCR's control and partly outside it. Internally, these include staff fatigue; the short-term programmatic mindset (an increasing challenge, with high proportions of people requiring humanitarian assistance living in countries affected by crisis for seven years or more);<sup>5</sup> and a fragmented or piecemeal model of implementation, rather than a "whole of organisation" approach.

The key external risk lies in the financial framework; without donor commitment to provide more flexible, multi-year funding, the changes needed for successful institutional reforms can only be implemented in a more limited way. UNHCR can support the process of gaining donor confidence in reforms by continuing to demonstrate its commitment to change, by improving the articulation of its strategic architecture, and by linking corporate-level results closely to this architecture to enable its performance to be more transparently demonstrated. It can also continue to dialogue

closely on changes to those dimensions of its operating model and business practice that influence effectiveness and efficiency. These include cost-efficiency, internal coherence, regionalisation, knowledge management and staff performance assessment. Through such dialogue, UNHCR can actively demonstrate, and involve partners closely in, its journey of corporate reform.

#### **Box 4: Main strengths identified in the 2017-18 MOPAN assessment**

##### **Strengths in 2018**

- Clarity of mission and mandate, as a gearing instrument for strategic and operational activity
- Recognition of the need for reform, and initiation of a change management process
- A human rights and protection focus that is well-assimilated, prioritised and mainstreamed
- Ethos of partnerships, particularly with NGOs
- Efforts to broaden the donor base and seek multi-year funding
- Relevance of initiatives, including alignment with needs and national priorities
- Field presence and “closeness to the ground” allowing for co-ordination with national stakeholders
- Well-developed and applied risk management systems
- Generation of global knowledge products, with relevance across the international system
- Frameworks and systems for accountability to affected populations that are well developed and applied

#### **Box 5: Main areas for improvement identified in the 2017-18 MOPAN assessment**

##### **Areas for improvement in 2018**

- Linking corporate results and RBM systems to strategic aims
- Clarifying and rationalising the strategic architecture, including corporate goals
- Improving the mainstreaming of gender, environmental sustainability and climate change, and good governance
- Strengthening approaches to capacity building and associated programming
- Adopting medium-term approaches, including links to sustainability and durable solutions
- Improving operational co-ordination with UN partners
- Building the structural, functional and budgetary independence of the evaluation function
- Enhancing internal knowledge management
- Improving the cost-efficiency of interventions



## ANNEXES

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## Annex 1. Evidence table

### Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0 draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). Each of the MOPAN 3.0 key performance indicators (KPIs) contains a number of micro-indicators (MIs) which vary in number. The MIs, in turn, contain elements representing international best practice; their numbers also vary.

The approach is as follows:

#### a) Micro-indicator level

Scores ranging from 0 to 4 are assigned per **element**, according to the extent to which an organisation implements the element.

For **KPIs 1-8**, the following criteria frame the scores:

- 4 = Element is fully implemented/implemented in all cases
- 3 = Element is substantially implemented/implemented in the majority of cases
- 2 = Element is partially implemented/implemented in some cases
- 1 = Element is present, but not implemented/implemented in zero cases
- 0 = Element is not present

Taking the average of the constituent elements' scores, a rating is then calculated per MI. The rating scale applied is as follows:

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

The ratings scale for **KPIs 9-12** applies the same thresholds as for KPIs 1-8, for consistency, but pitches scores to the middle of the threshold value (to guard against skewing in favour of higher ratings).

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

A score of zero (0) for an element means the assessment team had expected to find evidence but did not find any. A score of zero counts towards the MI score.

A score of "N/E" means "no evidence" indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that "no evidence" does not necessarily equal a zero score. Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating "N/A" means that an element is considered to be "not applicable". This usually owes to the organisation's specific nature.

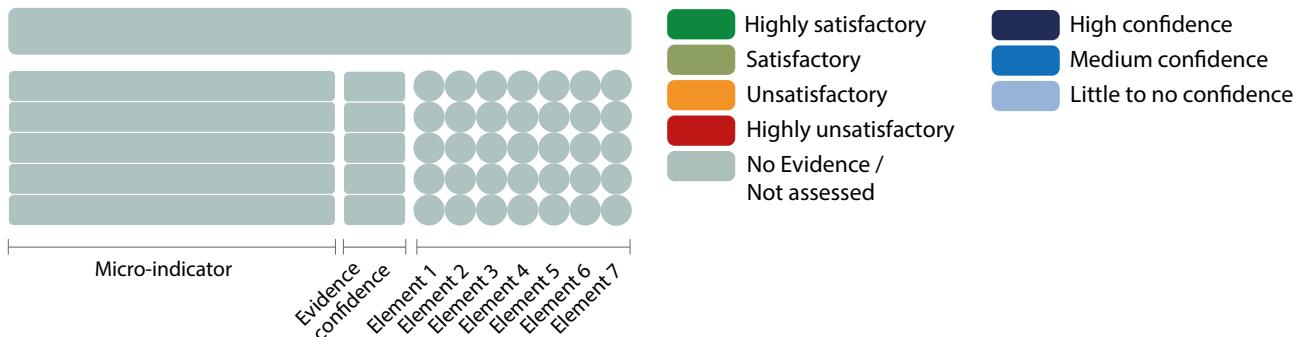
*b) Aggregation to the KPI level*

The same logic is pursued at aggregation to the KPI level to ensure a consistent approach. Taking the average of the constituent scores per MI, a rating is then calculated per KPI.

The calculation for KPIs is the same as for the MIs above, namely:

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

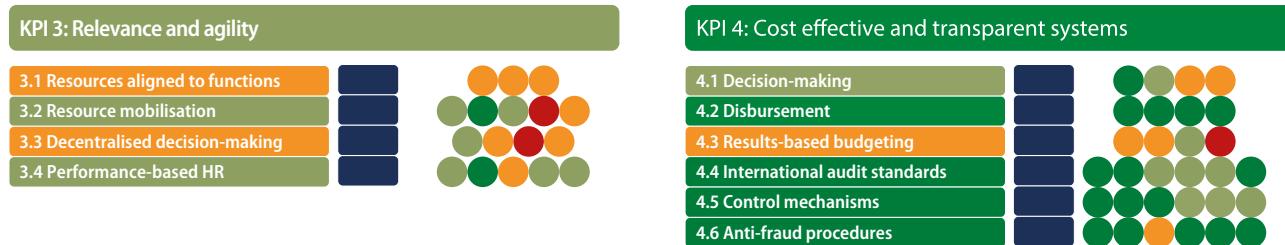
## Key



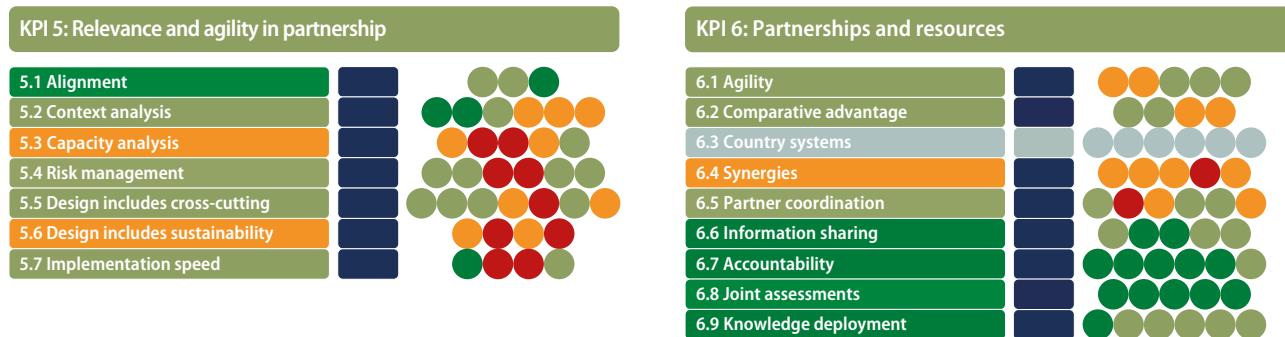
## Strategic management



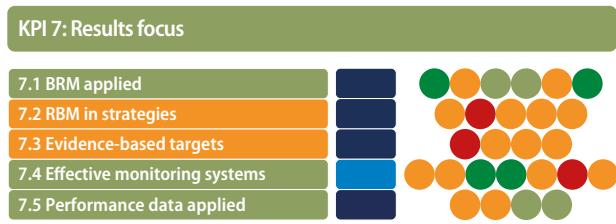
## Operational management



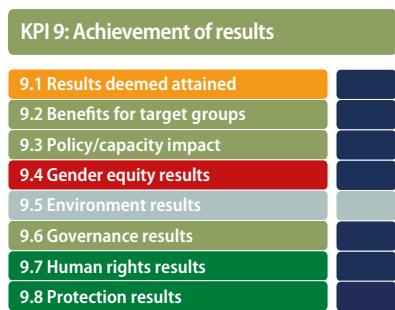
## Relationship management



## Performance management



## Results



## STRATEGIC MANAGEMENT

*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities*

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results	KPI score
<b>Satisfactory</b>	<b>2.29</b>

UNHCR has a clear long term strategic vision, which is generally institutionally owned, though not clearly articulated in a full organisational Strategic Plan. The Strategic Directions currently serves as the main strategic vehicle; though these do not adequately translate into organisation-wide results. There is a general consensus on, and a clear articulation of, UNHCR's comparative advantages among staff; and the Strategic Directions are annually reviewed (though mostly on an activity basis). The Strategic Directions are aligned with normative frameworks though they provide a statement of intent rather than explicitly intended results, including the SDGs. Responsibilities for results and their tracking are defined in a broad sense, though with a lack of clarity on the interconnections between operational and normative results.

UNHCR's operating model is broadly congruent with the Strategic Directions and permits partnerships and co-ordination and accountability for results. However, the organisation is currently undergoing a Change Management process, aimed at ensuring a more fit for purpose and coherent operating model going forward, including a revision of HQ structures and stronger decentralisation. This is appropriate and timely in terms of UNHCR's forthcoming role in the CRRF.

UNHCR's financial framework is heavily dependent on voluntary contributions, of which a high proportion are earmarked. Its needs-based budgeting model depends on the availability of resources for prioritised implementation. UNHCR makes significant efforts to attract unearmarked resources, though does not have dedicated thematic funding windows for this. Budgets are reviewed by the Executive Committee annually and updates at three Standing Committees annually.

MI 1.1: Strategic plan and intended8 results based on a clear long-term vision and analysis of comparative advantage	Score
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.75</b>
Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision	2
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	2
Element 3: A strategic plan operationalises the vision, including defining intended results	1
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	2

MI 1.1 Analysis	Source document
<p>UNHCR's strategic architecture is not fully developed. It does not have a 'Strategic Plan' per se – instead relying on two 'strategic documents': the 2017-2021 Strategic Directions and the current set of Global Strategic Priorities. The Strategic Directions 2017-21 articulate a clear long-term vision linked to UNHCR's mandate of advancing protection and solutions for refugees, internally displaced and stateless people. At the same time, however, the Global Strategic Priorities (GSPs) within the Global Appeal also provide a set of organisational priorities, though these are more operational in intent. Staff interviewed conveyed strong familiarity with the GSPs and articulated this as the main strategic framework guiding UNHCR corporately. The intersections between the two documents are however not clearly delineated, and the Strategic Directions were less well known by staff.</p> <p>The Strategic Directors set out UNHCR's comparative advantages implicitly rather than explicitly; these are closely linked to its mandate and particular role within international normative frameworks for refugees. They include its normative and leadership function; its convening capacity; its co-ordination function; its role in implementing programmes and its country-level partnerships. Staff interviewed were clear on UNHCR's comparative advantages and also cited its agility.</p> <p>The Strategic Directions also provide broad guidance on UNHCR's intended direction. However, they do not fully define, communicate or guide the link to organisation-wide results. Moreover, the links between the elements of the strategic architecture are not fully clear in terms of how the intentions of the Strategic Directions will be realised. Interviews found the Strategic Directions well assimilated by UNHCR staff.</p> <p>Progress against the Global Strategic Priorities is reported in annual Global Strategic Priorities Progress Reports, as well as in the High Commissioner's Annual Report to the UN General Assembly. However, they do not, as indicated, constitute an organisational Strategic Plan, nor are they linked to clear results. Consequently, reporting against them is activity-based rather than results-oriented.</p>	1, 1(a), 2, 3, 4, 5, 6, 7, 8, 17, 22(e), 24, 35, 36, 37, 54, 62
MI 1.1 Evidence confidence	High confidence
MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model	Score
Overall MI Rating	Satisfactory
Overall MI score	2.2
Element 1: The organisational architecture is congruent with the strategic plan	2
Element 2: The operating model supports implementation of the strategic plan	2
Element 3: The operating model is reviewed regularly to ensure continued relevance	3
Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	2
Element 5: The operating model clearly delineates responsibilities for results	2

MI 1.2 Analysis	Source document
<p>In May 2018, 87 % of UNHCR staff were based in the field, with over half in the most challenging and difficult duty stations. In this, UNHCR's organisational architecture is broadly congruent with the Strategic Directions. However, beyond staffing, the ongoing Change Management Process is seeking improved decentralisation of expertise, structures and functions, as well as decision-making and resources. At HQ level, the structure and functions were found by review to be unfit for purpose, lacking internal coherence. These are currently under reform, with e.g. a Divisions of Resilience and Solutions created in 2017 to help bridge the 'humanitarian-development divide'.</p> <p>Concerns have arisen in recent years that the organisation's operating model had become excessively bureaucratic and lacking agility, leading to the current Change Management process. A particular emphasis is on internal coherence and simplification, e.g. of policies, as well as the decentralisation of decision-making. Consequently, the operating model does not fully support the implementation of the Strategic Directions, but is aiming to do so under the Change Management process. However, the operating model has been recently externally reviewed, and findings from the review have led to the current, senior management-led Change Management process. At field level, the management strategy and operations plan of each field office are updated yearly, with the resulting management strategy summarising the staffing and office structure required to implement intended programmes.</p> <p>UNHCR's operating model allows for co-operation with other agencies through its participation in UN Country Teams/Humanitarian Country Teams/the Inter Agency Standing Committee and through its leadership of the Global Camp Coordination and Camp Management (CCCM) Cluster in conflict-induced IDP situations; the Global Shelter Cluster (GSC) for conflict related emergencies and the Global Protection Cluster. Staff and management were clear that its forthcoming role in the New York Declaration and the Comprehensive Refugee Response Framework presents opportunities for UNHCR to mobilise operational partnerships and coalitions of actors as well as its development of the Global Compact for Refugees. However, evaluations signal that, in refugee crises, UNHCR's operating model has come under criticism for not adequately matching its substantial coordination responsibilities. It also has a network of over 1,000 implementing partners, including NGO partners, and conducts annual NGO consultations. However, these partnerships are not yet systematised, with clear intended goals set out.</p> <p>UNHCR's Global Management Accountability Framework (GMAF) comprehensively maps accountabilities, responsibilities and authorities across the organisation and relates them to the corresponding management policies, tools and guidance – though it does not explicitly link these to the Strategic Directions -. Chapter 2 of the UNHCR Manual clearly sets out the organisational structure and accountabilities, responsibilities and authorities at all levels of the organisation, including HQ, regional and country level. Staff and management were clear on where responsibilities for results sat within the organisation, though the link to the Strategic Directions was less clear.</p>	1, 1(a), 3, 4, 5, 6, 16, 19, 20, 54, 63, 76, 82, 239, 240
MI 1.2 Evidence confidence	High confidence
<b>MI 1.3: The strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), Grand Bargain, replenishment commitments, or other resource and results reviews)</b>	Score
<b>Overall MI Rating</b>	Satisfactory
<b>Overall MI score</b>	2.2

Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	1
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	2
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	2
Element 5: Progress on implementation on an aggregated level is published at least annually	3
<b>MI 1.3 Analysis</b>	<b>Source document</b>
<p>The Strategic Directions are explicitly aligned to normative frameworks relating to refugee concerns. These include the commitment to 'leave no-one behind' of the 2030 Agenda for Sustainable Development, the 2016 New York Declaration for Refugees and Migrants and the Comprehensive Refugee Response Framework (CRRF) developed by UNHCR, as well as human rights commitments, and with more limited attention to gender concerns, good governance elements and environmental sustainability. Staff indicated recognition of these normative frameworks as well as UNHCR's role in addressing the 'leave no-one behind' agenda, though there was not full clarity on which SDGs UNHCR is tasked to address.</p> <p>The Strategic Directions document does not contain results as much as broad guidance on intent. The Results Framework, which is linked to the GSPs, contains results linked to international normative frameworks for refugees and stateless persons, as well as the New York Declaration. However, the links between the RF and the Strategic Directions, and the normative frameworks connecting these, are not explicit.</p> <p>UNHCR's results management system (see KPI 7) provides a mechanism to report on corporate results, including normative results. However, the RBM system itself contains some challenges, such as a lack of standard indicators, and thus it is not clear how results reporting against normative commitments can be robustly aggregated, a challenge recognised by staff. For the Grand Bargain, regular updates are provided to the Inter-Agency Standing Committee and reports and updates are also included in annual Global Reports. UNHCR also takes part in the Grand Bargain annual self-reporting mechanism and self-reporting on progress towards World Humanitarian Summit commitments.</p> <p>UNHCR's Global Management Accountability Framework (GMAF) comprehensively maps accountabilities, responsibilities and authorities across the organisation, though it does not explicitly link these to normative results. Although the UNHCR Manual clearly sets out the organisational structure and accountabilities, responsibilities and authorities, it does so from an operational rather than a normative results perspective. Staff and management were clear on where responsibilities for normative results sat within the organisation, though the connection from operational to normative results was less clearly understood.</p> <p>UNHCR publishes an annual progress report on the Global Strategic Priorities and there is also an 'Update on the Global Strategic Priorities' presented to the Executive Committee of the High Commissioner's Programme each year. Other aggregate level reports include: the Global Report, the Annual HC's report to the General Assembly. In the broad sense, these report on progress against UNHCR's normative commitments through its mandate though they are frequently activity rather than results-based.</p>	1, 1(a), 3, 4, 5, 6, 54
<b>MI 1.3 Evidence confidence</b>	<b>High confidence</b>

<b>MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3
Element 2: A single integrated budgetary framework ensures transparency	3
Element 3: The financial framework is reviewed regularly by the governing bodies	4
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	2
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	3
<b>MI 1.4 Analysis</b>	<b>Source document</b>
UNHCR adopts a needs-based budgeting system, undertaking global need assessments (GNA), to inform its plans and budget. However, it is 99% dependent on voluntary contributions to implement its mandate, with administrative expenditure sourced from the UN's regular budget – though at a level below requirements (28% in the 2016-2017 biennium). Supplementary budgets issued throughout the year (e.g. five in 2017) ensure that needs are reflected in updated budget plans. However, despite increasing volumes of voluntary contributions, it regularly experiences significant shortfalls, with the needs-based model in practice determined by resource availability. Prioritisation of activities is shaped by factors including projected income, priorities identified by field offices, the Global Strategic Priorities and earmarking.	1, 2, 4, 5, 6, 7, 8, 10, 38, 42, 45, 54, 62, 237, 238, 239
UNHCR's biennial programme budget is divided into two annual budgets which clearly set out the administrative and programmatic dimensions. At HQ, units have to request resources on an annual basis, with a zero budget planning approach adopted for 2018. Staff reported subsequent cuts of 20%, across the board, without prioritisation being adopted. Annual planning is undertaken for the programmatic part of the budget, with initial spending authorities set centrally, followed by division across regions, who subsequently make their own prioritisation. Spending authorities are frequently reviewed, at times weekly, depending on resources raised.	
The Budget is presented to the Executive Committee annually, with updates provided on an interim basis as required.	
Defined thematic windows for unearmarked contributions are not available, though UNHCR actively encourages donors to provide unearmarked funding e.g. at annual pledging conferences and through Global Appeals. It publishes an annual report on how unearmarked funding was used as part of this encouragement. UNHCR does not apply programme support cost (7%) to unearmarked contributions, nor to encourage contributions.	
The main measure for prioritising the use of earmarked funds is the GNA methodology, complemented by HQ review. Regular updates are provided to donors on priority areas at bilateral meetings but the majority of resources received continue to be earmarked for specific countries, sectors, populations and situations. Staff reported that this restricts the flexibility of resources to be deployed across the various situations or to meet the needs for more durable solutions.	
<b>MI 1.4 Evidence confidence</b>	<b>High confidence</b>

<b>KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.77</b>
<p>UNHCR's approach to cross-cutting issues across the organisation is variable. Human rights and protection, core to the organisation's mission and mandate, are centrally reflected in strong strategic and policy frameworks and programmatic tools. Gender, good governance (in the sense of: i. strengthening legal frameworks and ii. capacity strengthening) and climate change and environmental sustainability are less systematically mainstreamed. Efforts have been made on gender, with a recently refreshed Age, Gender and Diversity policy in place, though the institutional traction for this is currently limited and accountability systems for gender are weak. Although some strategic documents exist for environment and climate change, these do not comprise a comprehensive policy architecture, and the agenda suffers from limited human and financial resources. Overall, the good governance agenda is not explicitly formulated within UNHCR's corporate frameworks and operational practice, but it is implicitly addressed in a range of ways, for example being reflected in the Global Strategic Priorities and associated results frameworks. Project guidance and screening processes, however, do not explicitly require addressing good governance concerns, though staff interviews and evaluations indicated that this was implicitly addressed through capacity building approaches. For all cross-cutting issues, financial and human resources are highly limited to ensure comprehensive mainstreaming.</p>	
<b>MI 2.1a: Gender equality and the empowerment of women</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.83</b>
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	2
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2
Element 4: Gender screening checklists or similar tools used for all new Interventions	2
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	1
Element 6: Capacity development of staff on gender is underway or has been conducted	2

MI 2.1a Analysis	Source document
<p>UNHCR's Age, Gender and Diversity (AGD) Policy (2011) underwent a refresh, being re-launched in March 2018. This combines Accountability to Affected Populations with Commitments to Women and Girls. It contains 10 core actions, five of which are directly targeted to gender. It includes stateless and IDP persons of concern as well as refugees. It includes Minimum Actions for all operations, including advocacy to governments, as part of CRRF alignment. Staff interviewed however had limited awareness of the new or previous Policy, with neither showing evidence of widespread use. Limited senior management commitment was also cited as a barrier. An implementation plan for the policy was under development (out for consultation) in June 2018.</p> <p>UNHCR's results architecture is currently undergoing revision (see KPI 7). Of the 943 indicators in UNHCR's results-based management (RBM) system, approximately a quarter (23% or 216 indicators) are AGD-related. Of this, 113 indicators (12%) are age-related; 51 indicators (5.4%) are gender-related, and 29 indicators (3.3%) are diversity-related. Approximately 22 indicators are AAP-related. Less than 3 per cent are sex-disaggregated and less than 1 per cent are age-disaggregated. Staff indicated the intention to include indicators related to the refreshed AGD Policy in the new results framework. Currently there is no requirement for operations to collect sex-disaggregated or sex-specific data for 94% of corporate indicators. Thus, accurate AGD monitoring and evaluation is limited, as is comparison of data from one year to the next. Separate reports do provide some information, such as annual reports to the Executive Committee; and annual Age, Gender, Diversity Accountability Report; and individual operations report in year-end reports on some gender dimensions, but the main corporate accountability frameworks lack full gender mainstreaming. Evaluations provide very variable attention to gender mainstreaming. No dedicated checklists or screening tools are applied to new interventions. A section in the <i>Emergency Handbook</i> is dedicated to Age, Gender and Diversity. However, no explicit checklists are included. Staff indicated that a toolkit for gender mainstreaming has been developed, and integration into the Emergency Manual will be considered. UNHCR's Needs Assessment Handbook embeds an AGD approach, as does the Tool for Participatory Assessment in Operations and UNHCR's Manual on Community-Based Approach in UNHCR Operations (which includes gender aspects and screening checklists). UNHCR applies the IASC Gender Marker, and will apply the revised marker in 2018 to improve rigour.</p> <p>Human and financial resources dedicated to gender are very limited. At HQ level, a budget of just USD 200-300,000 was available for 2018, reduced from USD 350,000 in 2017. Only one gender post exists centrally, plus one Junior Professional Officer and 3 consultants working on dedicated tasks e.g. a toolkit for gender mainstreaming. At field level, is the role of Protection and Programme staff to implement the AGD approach and work on interventions promoting gender equality and empowerment of women. However, the capacity and remit of these individuals to address gender issues was reported as highly variable by staff. Staff indicated a significant capacity gap for UNHCR on gender. Learning programmes have been conducted for some staff, and an e-learning programme developed; a system of gender focal points is also under development. The Protection Induction Programme, which is a mandatory e-learning programme for all UNHCR's workforce includes a module on mainstreaming age, gender and diversity. AGD approach is also integrated into other UNHCR training, including Programme Management Learning, trainings on Community-Based Protection, Child Protection, e-learning on Needs Assessment; SGBV learning programmes. However, staff indicated that tangible gender mainstreaming is still currently mostly dependent on willingness and interest of individual officers.</p> <p>73% (87/119) of survey respondents felt that UNHCR promoted gender equality in all of its work, with 27% rating it as 'fairly poor' 'very poor' or 'extremely' poor' in this area. However, within these broad categories, 34% of respondents rated UNHCR as 'fairly good' and 22% as 'fairly poor'.</p>	1, 1(a), 4, 5, 6, 22, 22(e), 23, 24, 25, 26, 27, 28, 30, 31, 32, 54, 85
MI 2.1a Evidence confidence	High confidence

<b>MI 2.1b: Environmental Sustainability and Climate Change</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.5</b>
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	2
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	1
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	1
Element 4: Environmental screening checklists/impact assessments used for all new Interventions	2
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	2
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	1
<b>MI 2.1b Analysis</b>	<b>Source document</b>
UNHCR lacks a clear policy architecture for climate change and environmental sustainability but does have some discrete strategic items. An information paper on the Environment and Climate Change 2015 was updated in 2017, and a Global Strategy for Safe Access to Fuel and Energy (SAFE) 2014 – 2018 also exists. In 2017, UNHCR published Climate Change and Disaster Displacement: an overview of UNHCR's role, explaining the importance of the issue as it relates to UNHCR's mandate and provides a description of how UNHCR is addressing the issue. An internal mapping exercise conducted in late 2016 found evidence of action in several areas. However, staff interviewed agreed that UNHCR lacked a clear vision on climate change and the environment, characterising this as a 'non-mature' area of UNHCR's work.	
The Strategic Directions lack an explicit link to the Results Framework, so there is no formal mechanism to integrate environmental sustainability and climate change targets and indicators to this. The Results Framework contains one impact indicator that relates to environmental sustainability and climate change. With the new results framework under development, the extent to which indicators on climate change and the environment would be integrated was unclear.	1, 1(a), 5,6, 22(j), 33, 57, 100, 101, 102, 103, 188, 189, 191, 192, 193
UNHCR's results architecture is currently undergoing revision (see KPI 7). Staff indicated the intention to include indicators related to climate change and the environment in the new results framework was unclear, though staff indicated limited appetite. Currently there is no requirement for operations to collect climate change or environmental data against corporate indicators. Evaluations provide very limited attention to climate change and environment issues. Annual reporting to the Executive Committee depends on whether field offices are implementing energy-related actions; there is no consistent reporting required.	
Guidance is limited and dependent on the willingness and interest of staff to apply it. Environmental Guidelines are available, though these date from 2005, as does a Framework for Assessing, Monitoring and Evaluating the Environment in refugee-related operations. Staff acknowledged that these were due to be refreshed. The <i>Emergency Handbook</i> directs decision-makers to commission rapid environmental assessments and energy feasibility studies to identify energy needs, the best energy strategy, and technologies that are locally available. However, staff indicated that in practice, the take-up and use of this directive was variable.	

<p>Staffing and financial resources for the environment and climate change are limited. At HQ, two teams work on the issue: one in the Division of Programme, Support and Management (DPSM), which contains 2 permanent positions and the other in the Division of International Protection (DIP), where two staff work on legal, normative and policy issues around Climate Change and Disaster Displacement, supported by two others. Globally, UNHCR has 18 staff working in an Environment function and 7 staff working in an Energy function. 54 staff in Water/Sanitation positions are also often involved in environmental mitigation functions.</p> <p>The team working on Climate Change and Disaster Displacement conducts regular briefing to enhance capacity to UNHCR staff at Headquarters and in the field (mostly at Regional level); however, rolling out training comprehensively is constrained by limited financial and human resources. Efforts from 2018 are dependent on the extent of financial resources available. 87% (132/151) of survey respondents assessed UNHCR as 'excellent, very good or fairly good' in promoting environmental sustainability and addresses climate change in all relevant areas of its work, with 13% rating it as 'fairly poor or very poor'.</p>	1, 1(a), 5, 6, 22(j), 33, 57, 100, 101, 102, 103, 188, 189, 191, 192, 193
<b>MI 2.1b Evidence confidence</b>	<b>High confidence</b>
<p><b>MI 2.1c: Good governance</b> (<i>Interpretation for UNHCR: UNHCR contributes to "good governance" through strengthening national legal and administrative frameworks, including UNHCR's persons of concern in the national systems, and developing capacities of the institutions that design and implement policies related to protection of refugees, stateless, IDPs, returnees (e.g. ensuring access to legal assistance and legal remedies, protection from violence). These activities are most frequently classified within UNHCR under a broader heading of "capacity-development" rather than "good governance"</i>)</p>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.67</b>
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	3
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	3
Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	3
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	2
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	3
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	2
<b>MI 2.1c Analysis</b>	<b>Source document</b>
<p>UNHCR does not have a dedicated policy statement on good governance but as interpreted for UNHCR, the issue is implicit within the Strategic Directions. These document for example UNHCR's role in capacity building for states on refugee issues, particularly Refugee Status Determination. Most staff interviewed were not familiar with UNHCR's role in relation to good governance, though could articulate clearly how UNHCR contributes to capacity strengthening.</p>	
<p>At least nine indicators in the Results Framework relate to good governance issues, including on capacity strengthening, technical advice provided, and active participation in decision-making. However, the results framework is currently (July 2018) under revision, and the extent to which similar indicators will be included in its revision is not clear. Staff could point to the capacity strengthening elements of UNHCR's corporate priorities under the Strategic Directions, but did not link this to 'good governance' per se.</p>	1, 1(a), 4, 5, 6, 29, 30, 31, 45, 54

The main mechanism for corporate reporting is through Annual Reports to the Executive Committee and UNHCR progress reports relating to the GSPs. Indicators and targets related to the understanding of good governance for UNHCR are captured in these reports. Evaluations provide only patchy insight into good governance concerns.

Guidance on the use of impact indicators for Global Strategic Priorities requires staff to assess good governance aspects, such as legal frameworks relevant to UNHCR's mandate and national capacities on Refugee Status Determination. However, there is no screening or checklist per se, including in the *Emergency Handbook* section dedicated to Working with Host Governments.

It has not been feasible to discern the level of resources (human/financial) geared to address good governance issues, since these are effectively mainstreamed across UNHCR's work. However, all staff interviewed indicated effort on capacity strengthening in their respective areas of work, and considered it included in project budgets.

There is no dedicated training to 'good governance' specifically, but training has been conducted on related issues e.g. statelessness determination, legal pathways and registration, responding to highly marginalised groups etc. Evaluations indicate considerable programmatic effort to build national capacities, but not always framed within clear capacity assessments or a comprehensive, systems-focused approach.

91% (149/163) respondents rated UNHCR as 'excellent, very good or fairly good' at promoting the principles of good governance in all relevant areas of its work, through: 1) strengthening national legal and administrative frameworks, and 2) developing the capacities of institutions that design and implement policies related to the protection of refugees, stateless persons, IDPs, and returnees, with just 9% rating it as 'fairly poor or very poor'.

1, 1(a), 4, 5, 6, 29, 30, 31, 45, 54

<b>MI 2.1c Evidence confidence</b>	<b>High confidence</b>
<b>MI 2.1d: Human Rights</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.83</b>
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	4
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	4
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	4
Element 4: Human rights screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	4
Element 6: Capacity development of staff on human rights is underway or has been conducted	4
<b>MI 2.1d Analysis</b>	<b>Source document</b>
As part of its mandate, UNHCR is charged with upholding the human rights of refugees and other forcibly displaced people. Human rights are referenced explicitly in the Strategic Directions, which also articulates UNHCR's role in protecting the human rights of persons of concern. They are also central to the Global Strategic Priorities, e.g. in terms of protection. Staff interviewed were clear and explicit on UNHCR's engagement in the human rights agenda, seeing it as the basis for their work.	1, 1(a), 2, 4, 7, 8, 22.i,

<p>At least fourteen indicators in the Results Framework address human rights from a range of perspectives, including the right to protection, to non-refoulement, to legal assistance and other aspects. The results framework is currently (July 2018) under revision; given the centrality of human rights to UNHCR's agenda, however, staff indicated that rights-related indicators would be comprehensively mainstreamed into the new framework. Staff were also explicit on how human rights indicators related to UNHCR's Strategic Directions/Global Strategic Priorities, and how they related to their own areas of work.</p> <p>The main mechanism for corporate reporting is through Annual Reports to the Executive Committee and UNHCR progress reports relating to the GSPs. Indicators and targets related to human rights are centrally reflected in these reports, and evaluations – though reporting on the implementation of UNHCR's mandate – also report positively on its addressing of human rights concerns.</p> <p>Guidance on the use of impact indicators for Global Strategic Priorities requires staff to assess human rights elements. The requirement for staff to address human rights issues in programme design is reflected in the <i>Emergency Handbook</i> and the Programme Manual.</p> <p>Since human rights are integral to all UNHCR's planning and implementation, there is no discrete budgetary or staffing allocation to them. However, of the Global Strategic Priorities, budgetary requirements for the pillars linked to Human Rights, namely Pillar 1 (global refugee programme) and Pillar 4 (global IDP projects), accounts for the majority of the total requirements for annual budgets.</p> <p>Extensive training is conducted on refugee rights across the organisation and of partners. This includes guidance to operations and states, including on legal obligations and individual rights; training on statelessness issues and targeted learning programmes on mixed movements, refugee status determination, country of origin information and other protection issues. Staff had either participated in, or delivered, such training.</p> <p>94% (138/147) respondents rated UNHCR as 'excellent, very good or fairly good' in its promotion of human rights in all its work, with just 5% rating it as 'fairly poor, very poor or extremely poor'.</p>	<p>1, 1(a), 2, 4, 7, 8, 22.i,</p>
<b>MI 2.1d Evidence confidence</b>	<b>High confidence</b>
<b>MI 2.1e: Protection</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: Dedicated policy statement on protection issues available and showing evidence of use	4
Element 2: Protection indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	4
Element 3: Accountability systems (including corporate reporting and evaluation) reflect protection indicators and targets	4
Element 4: Protection screening checklists or similar tools used for all new interventions	4
Element 5: Human and financial resources (exceeding benchmarks) are available to address protection issues	4
Element 6: Capacity development of staff on protection is underway or has been conducted	4

MI 2.1e Analysis	Source document
MI 2.1e Evidence confidence	High confidence
<p>Protection is central to UNHCR's mandate, since it is charged with protecting refugees and other forcibly displaced people and with helping to resolve problems of statelessness. Protection accordingly features within UNHCR's Strategic Directions and Global Strategic Priorities. A range of policy statements and guidelines articulate UNHCR's role in ensuring protection for people of concern, with its work leading the Global Protection Cluster providing the tangible vehicle for strategic direction (including advancing the global mainstreaming of protection concerns). All staff interviewed indicated the centrality of protection to UNHCR's mandate – '<i>Protection is what we do</i>' – though some expressed concern about how UNHCR maintains its protection focus in the new era of the Comprehensive Refugee Response Framework.</p> <p>Protection indicators feature strongly in UNHCR's Results Framework at impact, outcome and output level. The results framework is currently (July 2018) under revision; given the centrality of protection to UNHCR's agenda, however, staff indicated that protection-related indicators would be comprehensively mainstreamed into the new framework. Staff were also explicit on how protection indicators related to UNHCR's Strategic Directions/Global Strategic Priorities, and how they related to their own areas of work.</p> <p>The main mechanism for corporate reporting is through Annual Reports to the Executive Committee and UNHCR progress reports relating to the Global Strategic Priorities. The indicators and targets that relate to Protection - the two GSPs of a 'Favourable Protection Environment' and 'Fair Protection Processes and Documentation' - are captured in these reports. Evaluations also address protection issues consistently, given its centrality to UNHCR's mandate.</p>	
<p>UNHCR has produced a range of guidance and tools to support the integration of protection issues into programming. These include the 2012 Framework for the Protection of Children; the Protection manual, a repository of protection policy and guidance, gathering around 1 000 publications; and the Emergency Manual contains specific sections dedicated to the implementation of protection issues in programming. Staff interviewed indicated comprehensive awareness of protection issues, and were able to discuss both its strategic and operational dimensions in relation to UNHCR's areas of work.</p>	1, 1(a), 2, 3, 4, 5, 6, 7, 8, 19, 22i,
<p>Since protection is integral to all UNHCR's planning and implementation, budgetary or staffing allocations to the issue cannot be separated from UNHCR's wider human and financial resource allocations. The Assistant High Commissioner on Protection leads the Division of International Protection and is part of the Executive Office of UNHCR. UNHCR deployed 42 experts to support 29 operations in responding to protection gaps in 2017. More broadly, for the Global Strategic Priorities, budgetary requirements for Pillar 1 (global refugee programme) and Pillar 4 (global IDP projects), which are explicitly protection-focused, account for a considerable majority of the total requirements for annual programme budgets (up to 80%). Staff and documentation however record some need to downscale country-level protection-focused activities due to funding shortfalls in 2016 and 2017 however, for example, registration, monitoring and refugee status determination.</p>	
<p>There is evidence of considerable effort dedicated to training and capacity strengthening on protection issues as part of UNHCR's wider capacity development for its staff. Examples include targeted learning programmes on mixed movements, refugee status determination, country of origin information, interview techniques, community-based protection strategies and other protection issues and the provision of legal advice, policy guidance and operational support to both UNHCR operations and states. Certification programmes in programme management and protection are either ongoing or under development. Staff interviewed indicated strong understanding of protection issues and their role in implementing UNHCR's programmatic agenda.</p>	
<p>85% (132/156) of survey respondents rated UNHCR as 'excellent, very good or fairly good' on mainstreaming protection in all its work, with 15% rating it as 'fairly poor, very poor or extremely poor'.</p>	

## OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability*

KPI 3: Operating model and human/financial resources support relevance and agility	KPI score																
Satisfactory	2.4																
<p>Overall, UNHCR's organisational structures and staffing are partly aligned to Strategic Directions and the Global Strategic Priorities. However, following an external review in 2017, UNHCR's operating model is currently in transition, with reforms aimed to address significant weaknesses identified through the review. Policy preparation and production processes, for example, having suffered recent weaknesses, are experiencing systematisation, and greater agility is being sought in business processes, with bureaucracy recognised as having caused delays in the recent period.</p> <p>Recent structural changes to the operating model include the creation of a new Division of Resilience and Solutions (DRS), bringing together key technical units from the Division of International Protection and the Division of Programme Support and Management. DRS provides support to field operations in areas such as education, livelihoods, self-reliance and reintegration. Resource mobilisation remains a challenge, however, with resources coming under unprecedented levels of strain given increasing needs. UNHCR has experienced a 41% financing gap in 2016 and a 43% gap in 2017. At headquarters, staff voiced concern and frustration with the recent prioritization process which resulted in cited cuts of 20% in all divisions. The 2007 Resource Allocation Framework (RAF) is still in place and the roll-out of the new RAF has been put on hold until after the completion of the current Change Management process.</p> <p>UNHCR has made substantive efforts to improve the effectiveness of its performance management system, although this process is still ongoing. In 2018, UNHCR revised its Policy on Performance Management and also the corresponding administrative instructions. However, there is no clear linkage between staff performance assessment and the Strategic Directions 2017-21/Global Strategic Priorities (GSPs) 2017-2018. Staff performance is therefore not yet clearly linked to the achievement of corporate results.</p>																	
<table border="1"> <thead> <tr> <th>MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>Overall MI Rating</td> <td>Unsatisfactory</td> </tr> <tr> <td>Overall MI score</td> <td>2</td> </tr> <tr> <td>Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan</td> <td>2</td> </tr> <tr> <td>Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan</td> <td>2</td> </tr> <tr> <td>Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan</td> <td>2</td> </tr> <tr> <td>MI 3.1 Analysis</td> <td>Source document</td> </tr> <tr> <td>UNHCR's organisational structures and staffing are partly aligned to Strategic Directions and the Global Strategic Priorities. Significant weaknesses were identified through the 2017 Rapid Organisational Assessment in the structures and staffing. Recommendations relating to the redistribution of staff and decision-making from HQ to the field, along with increasing the agility of resources at the field level were accepted and are currently being implemented but not yet completed. Positively, UNHCR is moving from being highly-centralised in terms of expertise, functions, decision-making and resourcing to decentralisation and regionalisation, but there is significant concern about the appetite for change, specifically 'change fatigue,' and the reluctance of HQ staff to be deployed at field level.</td> <td>1, 3, 11, 15, 19, 62, 85, 88</td> </tr> </tbody> </table>		MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions	Score	Overall MI Rating	Unsatisfactory	Overall MI score	2	Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan	2	Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	2	Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	2	MI 3.1 Analysis	Source document	UNHCR's organisational structures and staffing are partly aligned to Strategic Directions and the Global Strategic Priorities. Significant weaknesses were identified through the 2017 Rapid Organisational Assessment in the structures and staffing. Recommendations relating to the redistribution of staff and decision-making from HQ to the field, along with increasing the agility of resources at the field level were accepted and are currently being implemented but not yet completed. Positively, UNHCR is moving from being highly-centralised in terms of expertise, functions, decision-making and resourcing to decentralisation and regionalisation, but there is significant concern about the appetite for change, specifically 'change fatigue,' and the reluctance of HQ staff to be deployed at field level.	1, 3, 11, 15, 19, 62, 85, 88
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The Resource Allocation Framework has been in place, albeit with some modifications, since 2007. It is currently under revision, as recommended by the Rapid Organisational Assessment in 2017. The current approach to resource allocation is to frontload resource allocation, in order to enable predictable programming and consistent levels of implementation throughout the year. Multiple concerns were raised by staff, relating to the delegation of authority at field level and the lack of agility in resource reallocation and the lack of transparency in decision-making and prioritisation in the resource allocation process.	
UNHCR is currently undergoing a change management process aligned with the Strategic Directions. This process is clearly aimed at ensuring a more fit for purpose and coherent operating model going forward, including a revision of HQ structures and stronger decentralisation. In particular, these focus on streamlining key business processes such as assignments and programme approval, which are recognised as having impeded agility in the recent period, and in improving policy coherence across the organization, which has suffered similarly from the lack of a fully systematised approach in recent years. However, staff indicated experience of change fatigue, and doubt about whether internal structuring exercises would deliver the needed reforms.	1, 3, 11, 15, 19, 62, 85, 88
<b>MI 3.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Resource mobilization strategy/case for support explicitly aligned to current strategic plan	3
Element 2: Resource mobilization strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	4
Element 3: Resource mobilization strategy/case for support seeks multi-year funding within mandate and strategic priorities	3
Element 4: Resource mobilization strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/ relevant country plan	1
Element 5: Resource mobilization strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	2
<b>MI 3.2 Analysis</b>	<b>Source document</b>
UNHCR's programme budget, formulated on the basis of comprehensive needs identified through the Global Needs Assessment (GNA) forms the basis for the subsequent Global Appeals, UNHCR's explicit mechanism for resource mobilization, is broadly aligned to the current 'Strategic Directions'. Resources available have fallen far short of needs in recent years, with a 41% financing gap in 2016 and 43% in 2017. In 2017, voluntary contributions comprised USD 3,899.1 million of overall revenues of USD 4,511.7 million, or 86%. Carry-over from 2016 comprised USD 443.7 million of the difference, alongside other income, with funding from the regular UN budget of USD 43.4 million. There are considerable levels of earmarking, with just 15% of 2017 voluntary contributions unearmarked and the remaining 85% being 'softly earmarked', 'earmarked' or 'highly earmarked'. Currently, UNHCR has registered 1,176,505 Committed Giving donors, while One-off donors have increased by 32% compared to 2016. There is an 18% increase in new donors at year-end compared to 2016, with 41,321 new Committed Giving donors acquired.	1, 8, 42, 125, 126, 236, 237, 238, 239

<p>UNHCR has made substantive efforts to broaden its donor base and diversify its funding sources, new markets (Hong Kong (China), China, Thailand, Korea, Sweden, the Middle East and North Africa region, the Philippines, Brazil and Mexico). UNHCR is also pursuing broader strategic partnerships with development actors, including the World Bank and UNDP. The private sector fundraising strategy (2016) focuses on strengthening the private sector fundraising infrastructure, improving individual giving programmes, and achieving a greater number of multi-year cash contributions from corporations, foundations and high-net-worth individuals. The Private Sector Partnership Service (PSP) is the third largest source of income, which accounts for 10% of UNHCR's total funds raised in 2017 and a key source of unearmarked funds.</p>	
<p>UNHCR is intensifying its efforts to attract multi-year funding. In 2017, it recorded over USD 638 million in multi-year funding, defined as contributions for which the implementation period is over 24 months. It has also increased its efforts to attract unearmarked funding to support organizational flexibility and adaptive capacity. Resource raising efforts here are conducted in alignment with the Global Strategic Priorities and Global Appeal. High levels of earmarking remain however – with for example nearly half of the multi-year funding raised in 2017 (49%) - fully earmarked for specific interventions or populations, with only 26% unearmarked and 25% softly earmarked. Management and staff indicated that UNHCR plans to intensify efforts to increase flexible financing into 2019. There is no explicit strategy for raising domestic resources from partner countries.</p>	1, 8, 42, 125, 126, 236, 237, 238, 239
<p>According to the Updated Global Appeal 2017, UNHCR has set a target of mobilising USD 500 million by 2018 from private sector partners and individual donors, of which at least 50% is unearmarked. At the end of 2017, UNHCR had mobilised USD 400 million of which USD 207 million were unearmarked funds. UNHCR publishes a special report on unearmarked funding annually.</p>	
<b>MI 3.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	3
Element 2: ( <i>If the first criterion is met</i> ) The policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	2
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	1
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	2

MI 3.3 Analysis	Source document
<p>Financial authority for Heads of Office emanates from the Global Management Accountability Framework (GMAF), which defines accountabilities, responsibilities and authorities at the headquarters, regional and country levels and these are also incorporated into job descriptions. Delegated authorities for resource management are established through the 2007 Resource Allocation Framework (amended in 2011 and currently under revision). The 2007 resource allocation framework (RAF) is based around a number of principles, one of which is “[to] enable maximum and responsible delegation of authority to the country and sub-regional levels”. However, staff interviewed complained of cumbersome processes which restricted their ability to make meaningful decisions at a decentralised level.</p> <p>According to the RAF, Country/Regional Representatives are granted autonomy to divert funds within and between operational projects as long as the total budgets are not exceeded, the overall project objectives remain unchanged, and reallocations adhere to any donor earmarking. Representatives can additionally reallocate within the Administrative Budget and Obligation Document (ABOD) within the same country (or across countries in the case of a regional representative) without limits, with the exception of hospitality and major infrastructural investments. However, in practice, informants noted that it is very difficult to reallocate resources once they have been approved at the global level and expressed concern about low levels of delegated authority.</p> <p>Under the corporate reform process, UNHCR is seeking to adjust its staffing in accordance with the recommendations of the headquarters review. This includes greater decentralization, or ‘regionalisation’. A new Assignments Policy also aims to bring greater transparency and rigour to the posting process. However, some HQ-based staff voiced reluctance to be redeployed at field level, given their longstanding presence in Geneva.</p> <p>Only one evaluation reference resource reallocation, with funding reallocated to a different population group.</p> <p>A new Resource Allocation Framework will be introduced after the regionalisation exercise, meanwhile, the 2007 version remains valid.</p>	1, 3, 9, 15, 62, 73, 127
MI 3.3 Evidence confidence	High confidence
<b>MI 3.4: HR systems and policies performance based and geared to the achievement of results</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	3
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	4
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	2
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc.	3
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3

MI 3.4 Analysis	Source document
<p>UNHCR has made substantive efforts to improve the effectiveness of its performance management system, although this process is still ongoing. In 2018, UNHCR revised its Policy on Performance Management and also the corresponding administrative instructions. There was widespread acknowledgement that the previous system needed reinvigoration, some staff noted that the system lacked transparency and did not inspire trust of employees or supervisors.</p> <p>Compliance with the policy is mandatory, and it applies to all UNHCR staff members on fixed-term, indefinite, and temporary appointments, up to and including the D-1 level. For staff at D-2 level and the Assistant Secretary General, a 'Performance Compact' is established with the relevant supervisor.</p> <p>Management information indicates that EPAD (performance assessment system) compliance rates were 93% in 2015, 94% in 2016 and 91.3% in 2017. Under its internal requirements, as reflected in UNHCR's Policy on Performance Management, staff members who have worked at UNHCR for a minimum period of 2 months must complete a performance appraisal. In general, appraisals are conducted annually, but this can vary in specific circumstances such as rotation, short-term assignments or retirement, and in such cases the appraisals can cover less than 1 calendar year or be extended up to 18 months, upon approval by the Performance Management Unit.</p> <p>UNHCR has progressively incorporated Accountabilities, Responsibilities, and Authorities (ARAs) into job descriptions to strengthen personal accountability and to link it to the overall objectives of UNHCR. As of 2014, all staff, particularly those with managerial responsibilities, are now assessed against the ARAs. The extent to which performance management is linked to the Strategic Directions 2017-21 and the Global Strategic Priorities (GSPs) is not explicit.</p> <p>According to both the 2014 and the 2018 policy on Performance Management, salary increments are subject to satisfactory service and staff contracts can be terminated if staff do not perform satisfactorily, after consideration of the Joint Review Board/Assignments Committee. Furthermore, staff members granted a "<i>successfully meets performance expectations</i>" or above overall rating in their performance appraisal will receive a step increment, where applicable, in line with the United Nations Staff Regulations and Rules. Staff noted that UNHCR was previously a very static organisation – there was a Promotions Board but lacked flexibility. The new Assignments policy has facilitated the professionalisation of progression process. The Exceptional Performance Review Board was abolished under the 2018 policy.</p> <p>Under the performance management system, rebuttals in cases of a staff member receiving an unsatisfactory rating are permitted. A satisfactory rating in the appraisal cannot be rebutted. However, quality assurance review by the Performance Management Unit can be requested if the appraisal contains discriminatory, prejudicial, or inappropriate comments. Rebuttal statements of the staff member along with the corresponding appraisal will then be reviewed and decided upon by the Rebuttal Board. The 2018 policy on Performance Assessment increased in the number of Rebuttal Board members and clarification on roles and responsibilities.</p>	16, 17, 18, 86, 87, 88, 89, 90, 122, 123, 124
MI 3.4 Evidence confidence	High confidence

<b>KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability</b>	<b>KPI score</b>																				
<b>Highly satisfactory</b>	<b>3.24</b>																				
<p>UNHCR's financial management and fraud detection systems are mostly rigorous. The UN Office of Internal Oversight Services (OIOS) provides the functions of internal audit for UNHCR and carries out audits in accordance with the International Standards for the Professional Practice of Internal Auditing. The UN Office of Internal Oversight Services (OIOS) can also undertake evaluations of UNHCR's programmes and work through its Inspection and Evaluation Division in New York. UNHCR's approach to risk has recently intensified, with a new Risk 2.0 system implemented and a High-Level Internal Control Framework applied. UNHCR has made consistent efforts to detect and prevent fraud, with a handbook disseminated and training made available – though take-up rates have been relatively low. Results-based budgeting is not fully integrated into UNHCR systems, though some systems exist and reform is underway.</p> <p>Following concerns that the current resource allocation system, and the administrative procedures linked to it, is overly bureaucratic and burdensome, UNHCR has established a multi-disciplinary working group in order to streamline existing policies and procedures regulating the planning, allocation and management of UNHCR's resources. The revised policy and procedures for resource planning and management are expected to be issued in 2018.</p>																					
<table border="1"> <thead> <tr> <th><b>MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities</b></th> <th><b>Score</b></th> </tr> </thead> <tbody> <tr> <td><b>Overall MI Rating</b></td><td><b>Satisfactory</b></td></tr> <tr> <td><b>Overall MI score</b></td><td><b>2.75</b></td></tr> <tr> <td>Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners</td><td>4</td></tr> <tr> <td>Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan</td><td>3</td></tr> <tr> <td>Element 3: The organisational policy or statement is regularly reviewed and updated</td><td>2</td></tr> <tr> <td>Element 4: The organisational statement or policy is publicly available</td><td>2</td></tr> <tr> <td><b>MI 4.1 Analysis</b></td><td><b>Source document</b></td></tr> <tr> <td>UNHCR's selection procedures for implementing partners (i.e. NGOs that implement and receive funding from UNHCR) (2013) specifies selection criteria, which all partners must meet. These include: the meeting of project requirements; building on partnership principles, complementarities and comparative advantages; demonstrating transparency, objectivity and accountability for its decisions; and demonstrating sound stewardship of funding provided by donors. The Guidance Note on the Selection and Retention of Partners for Project Partnership Agreements is formally reviewed on a bi-annual basis to determine whether it continues to meet policy objectives and applicability for operations.</td><td>1, 7, 8, 9, 22(k), 60, 62, 63, 91</td></tr> <tr> <td>The comprehensive budget comprises the total resources to implement interventions required to meet the needs of persons of concern, considering feasibility, capacity to meet needs and the operational context. However, given that these needs nearly always go far beyond the resources available, UNHCR must prioritise its interventions in the operations plan. This prioritisation is based on the spending authority provided by the High Commissioner for each region and division (in accordance with assessed needs) and subsequently by bureau directors of each operation in advance of the submission of the operations plans. As such, each comprehensive budget is broken down into two elements: activities and budgets within the spending authority and above the spending authority.</td><td></td></tr> </tbody> </table>		<b>MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities</b>	<b>Score</b>	<b>Overall MI Rating</b>	<b>Satisfactory</b>	<b>Overall MI score</b>	<b>2.75</b>	Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	3	Element 3: The organisational policy or statement is regularly reviewed and updated	2	Element 4: The organisational statement or policy is publicly available	2	<b>MI 4.1 Analysis</b>	<b>Source document</b>	UNHCR's selection procedures for implementing partners (i.e. NGOs that implement and receive funding from UNHCR) (2013) specifies selection criteria, which all partners must meet. These include: the meeting of project requirements; building on partnership principles, complementarities and comparative advantages; demonstrating transparency, objectivity and accountability for its decisions; and demonstrating sound stewardship of funding provided by donors. The Guidance Note on the Selection and Retention of Partners for Project Partnership Agreements is formally reviewed on a bi-annual basis to determine whether it continues to meet policy objectives and applicability for operations.	1, 7, 8, 9, 22(k), 60, 62, 63, 91	The comprehensive budget comprises the total resources to implement interventions required to meet the needs of persons of concern, considering feasibility, capacity to meet needs and the operational context. However, given that these needs nearly always go far beyond the resources available, UNHCR must prioritise its interventions in the operations plan. This prioritisation is based on the spending authority provided by the High Commissioner for each region and division (in accordance with assessed needs) and subsequently by bureau directors of each operation in advance of the submission of the operations plans. As such, each comprehensive budget is broken down into two elements: activities and budgets within the spending authority and above the spending authority.	
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<p>Following concerns regarding excessive bureaucracy surrounding the allocation of resources and the administrative procedures, identified in its 2017 Headquarters Review, UNHCR established a multi-disciplinary working group in order to streamline existing policies and procedures regulating the planning, allocation and management of UNHCR's resources. The revised policy and procedures for resource planning and management are expected to be issued in 2018.</p> <p>UNHCR publishes its biennial budget reports and updates, setting out its budget requirements and the main priorities for funding. However, these are not organisationally linked to the Strategic Directions and do not address how UNHCR will prioritise its own work planning areas at regional or country level, and on the basis of which criteria, on which no publicly accessible information is available. The criteria for implementing partners are publicly available, in the Implementing Partnership Management Guidance Note, on the UNHCR website.</p>	<p>1, 7, 8, 9, 22(k), 60, 62, 63, 91</p>
<b>MI 4.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 4.2: Allocated resources disbursed as planned</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: The institution sets clear targets for disbursement	4
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	4
Element 3: Clear explanations are available in relation to any variances	4
Element 4: Variances relate to external factors rather than internal procedural blockages	4
<b>MI 4.2 Analysis</b>	<b>Source document</b>
UNHCR sets clear targets for disbursement; these are reflected in its financial planning, with all donor resources expected to be disbursed within the agreed window to agreed priorities and needs. For implementing partners, according to the Strategic Directions 2017-21 paper, UNHCR states that it channels approximately 40% of annual expenditure through partners. Financial data records that expenditures have mostly met planned disbursements; in 2017, for example, expenditure was USD 4083.4 million against available resources of USD 4510 million, with a projected carryover of USD 426.7 million. The most recent audits explain the variances between estimated and actual assessed needs (and associated budgetary requirements), setting out the issues relating to the accuracy of data of estimated and actual populations of concern, which has led to underspending, a request for more funds or a re-profiling of funding. No internal procedural blockages were identified.	7, 8, 15, 48, 49, 62, 237, 238, 239
<b>MI 4.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 4.3: Principles of results-based budgeting applied</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	2
Element 2: A budget document is available which provides clear costings for the achievement of each management result	2
Element 3: Systems are available and used to track costs from activity through to result (outcome)	3
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	1

MI 4.3 Analysis	Source document
<p>In the most recent budget document, 'Update on Budgets and Funding for 2017 and 2018,' budget information at corporate level is presented by pillar (global refugee programme - Pillar 1, global stateless programme - Pillar 2, global reintegration projects - Pillar 3, and global internally displaced persons projects - Pillar 4), by geographic location, as well as by rights groups (thematic groupings). Linkages to the GSPs and Strategic Directions are partial - the Strategic Directions do not link clearly with results while GSPs are partially, but not completely based on the Results Framework. The presentation of budget by thematic areas or rights groups further muddles this picture.</p> <p>There is no single document that provides clear costings for the achievement of each management result. Rather, a range of documents and systems exist - with varying availability (e.g. to the public and member countries) - that partially fulfil this requirement.</p> <p>UNHCR's financial management system, MSRP, and its results management system, Focus, are used to track results from activity through to outputs. These systems are linked to a high degree, but are not fully congruent and availability (e.g. to external stakeholders) is not entirely clear. Documentation indicated that systems were required, however several interviews suggested that implementation was not complete.</p> <p>Efforts are being made to improve the costing of management and development results. UNHCR has been refining its Managing Systems, Resources and People (MSRP) upgrade project since 2013 with the objective of upgrading the organisation's enterprise resource planning systems for closer linkage to results. However, the link to ongoing reforms to the RBM system is not explicit.</p>	1, 1(a), 2, 7, 8, 238
MI 4.3 Evidence confidence	High confidence
MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit	Score
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	3
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	3
Element 5: Internal audit functions meet international standards, including for independence	3
Element 6: Internal audit reports are publicly available	4

MI 4.4 Analysis	Source document
<p>Documentation records that UNHCR's external auditor (the UN's Board of Auditors) conducts audits in accordance with the International Standards on Auditing. The most recent external audit available (to year ended 2017) acknowledges a range of steps initiated by UNHCR to improve its internal functions, but also identifies a number of opportunities to improve transparency, specifically in certain parts of the supply-chain management processes, such as inventory management and warehouse locations. Furthermore, the Board found that the list of controls that aim to respond to the risk of fraud and corruption with regard to the financial statements could be enhanced by adding competent control owners and persons responsible for monitoring. Areas which require greater attention from UNHCR include administration and management of operations, specifically consistency of documentation of the financial processes relating to cash-based assistance, monitoring of training for cash-based interventions, the programmatic implications of the 2030 Agenda and the importance of linking the SDGs to the RBM system, and the risk assessment and local, customised anti-fraud and anti-corruption strategies in country operations, business continuity management.</p> <p>The most recent external audit (for year ended 2017) from the UN Board of Auditors confirms that the transactions of the voluntary funds administered by UNHCR comply with IPSAS along with the Financial Regulations and Rules of the United Nations and the financial rules for the voluntary funds administered by UNHCR.</p> <p>The Board of Auditor's report is discussed at the Executive Committee meetings and at UNHCR's Standing Committee meetings. Instances of progress in relation to concerns raised by the Board of Auditors are available in the annex to the BoA's report where UNHCR reports on the status of implementation of the external audit recommendations that is submitted regularly to the governing bodies, indicating what corrective action has been taken, or is planned, to address each issue, with both a timeframe for implementation and the responsible organisational unit.</p> <p>The status of implementation of recommendations up to the year ended 31 December 2017 shown in a report issued by the Board of Auditors, contains updates on 45 audit recommendations up to April 2018, plus Board comments on status. Of these, 23 (51%) had been implemented, 18 (40%) remained under implementation and 4 (9%) had been overtaken by events.</p> <p>The most recent external Board of Auditors report of 2018, notes that UNHCR's financial processes operate well, however, the Board identified cases where additional controls and monitoring steps could further enhance the preparation of the financial accounts. The Board found, for example that the list of controls that aim to respond to the risk of fraud and corruption with regard to the financial statements could be enhanced by adding competent control owners and persons responsible for monitoring. Furthermore, manual detective controls should be added to the list to verify the functioning of automated control.</p> <p>UNHCR's internal audit function is provided by the UN Office of Internal Oversight Services and internal audits are carried out in accordance with the International Standards for the Professional Practice of Internal Auditing. Both internal and external audit reports are available online. Internal audits, together with UNHCR's response to the draft audit reports, are published on the OIOS website 30 days after their issuance. External audits are available on the UN Board of Auditors website.</p>	1, 3, 4, 7, 8, 10, 11, 13, 14, 15, 17, 43, 92, 237, 239
MI 4.4 Evidence confidence	High confidence

<b>MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	4
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	4
Element 3: Clear guidelines are available for staff on reporting any issues identified	4
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	3
<b>MI 4.5 Analysis</b>	<b>Source document</b>
In 2015, UNHCR put a new High-Level Internal Control Framework in place, to provide a practical approach and guidance to implement high-level controls and to obtain standardisation of controls applied to similar types of transactions. It compiles all policies and memoranda in place by presenting a consolidated view. The Framework consists of three objectives (Operations, Reporting, Compliance), which are what UNHCR strives to achieve, components (Control Environment, Risk Assessment, Control Activities, Information & Communication, Monitoring Activities), which represent what is required to achieve the objectives, and the organisational structure (organisation-wide, division, operation, function). This clearly sets out guidance and rules for staff on addressing any identified issues, including timeliness. The Representative or Head of Office issues month-End Package Memorandums highlighting issues in the current month's accounts that need attention, such as but not limited to, ageing and unreconciled open items as well as significant reconciling items related to bank reconciliation. UNHCR Programme Manual (2016) also provides supplementary guidance to staff.	5, 6, 7, 8, 11, 15, 43, 93, 96, 127, 137

The roles and expectations of staff at field/operation level, and senior management are outlined in the Chapter 2 of the UNHCR Manual and the Global Management Accountability Framework, however a review by OIOS 2018 found that the linkages in the roles and responsibilities listed in the different documents were unclear and sometimes misaligned. In 2017, UNHCR produced a handbook on Fraud and Corruption Prevention, building upon the Strategic Framework for the Prevention of Fraud and Corruption (2013), outlining the mitigating actions and policies that are in place, as well as any red flags and potential preventive measures for each risk identified. In 2016, the annual code of conduct refresher session focused on fraud and corruption, at the time of writing, 60% of all UNHCR staff had completed the session. In addition, UNHCR undertook analysis of its Code of Conduct refresher training which informed UNHCR's New Approach to Ethics including a related re-branding of the annual Code of Conduct refresher session "Your Actions Matter" in 2018. Furthermore, in 2016, UNHCR launched an e-learning course on fundamentals of fraud and corruption awareness. This training was designed to enhance awareness of fraud and corruption among all staff in the organisation. The training includes several exercises presenting various everyday situations with possible fraudulent activities. This training is not mandatory and as at 31 December 2017, approximately 9% of all UNHCR staff and its affiliate workforce had completed the course.

The Inspector General's Office (IGO)'s Investigation Service also maintains a tracking matrix of Management Implications Reports (MIRs). MIRs are issued by the Inspector General for the attention of relevant senior managers and are an important risk management tool for UNHCR, as they highlight systemic weaknesses, flaws and policy gaps that have been revealed in the course of investigations. MIRs usually contain recommendations to address the concerns raised and include a deadline for compliance. Office of Internal Oversight Services (IOS) Audit also applies an automated tool called Teammate to track all the audit recommendations raised to UNHCR. The status of actions taken or planned by management to implement audit recommendations is published in the annual report on internal audit function within UNHCR (available on the OIOS website). At country level, responses and actions are also recorded in the monthly executive financial reports for each operation. These are a management tool which assists representatives in carrying out their delegated responsibilities to follow up on any identified issues.

The Board of Auditors (BoA) was satisfied with the positive action taken and the progress made at the time of its report for the year ended 31 December 2017. Of the 45 recommendations made by the BoA in 2016, 23 (51%) had been implemented, 18 (40%) remained under implementation and 4 (9%) had been overtaken by events. The Board noted continuing progress in implementing outstanding recommendations relating to some areas of budget planning, cost-effectiveness and programme review on which the Board made recommendations in its 2014 and 2015 reports.

<b>MI 4.5 Evidence confidence</b>	<b>High confidence</b>
<b>MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.67</b>
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	4
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	2

Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	4
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy)	4
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	4
MI 4.6 Analysis	Source document
In July 2013, UNHCR issued a revised Strategic Framework for the Prevention of Fraud and Corruption, which aims to raise awareness, strengthen controls, consolidate procedures for detection and investigation, and provide concrete and practical advice to staff in recognising fraud indicators and identifying potential risk areas. This framework is publicly available. In 2018, a new fraud prevention manual was launched. It is intended to contribute to preventing, detecting, deterring and combating fraud and corruption by highlighting fraud warning signs, preventive measures, pertinent policies and other guidance documents, as well as appropriate mitigating actions.  In 2016, the annual code of conduct refresher session focused on fraud and corruption. The Board of Auditors noted that approximately 33% of all UNHCR staff had completed the session. In addition, UNHCR launched an e-learning course on fundamentals of fraud and corruption awareness. This training was designed to enhance awareness of fraud and corruption among all staff in the organisation. The training includes several exercises presenting various everyday situations with possible fraudulent activities. This training is not mandatory and as at 31 December about 9 % of all UNHCR staff and its affiliate workforce had completed the course.	
The Inspector General's Office (IGO), based in headquarters, is able to receive reports of possible misconduct confidentially, through UNHCR's website (online complaints form), email, telephone, fax, mail, or complaints may be made directly to an IGO staff member reports, 24 hours a day, seven days a week. In addition, OIOS refers red flags of fraud identified in the conduct of audits to IGO. Brochures are available for staff on 'How to Report Misconduct' and 'Reporting Sexual Exploitation and Abuse'. UNHCR's Whistle-blower Policy is also available publicly.  Statistics on misconduct (which includes fraud and corruption) are published annually through the IGO's annual report. Information on sanctions taken against UNHCR staff members found to have engaged in misconduct is published by Division of Human Resources Management (DHRM) in their annual report. The IGO's Investigation Service publishes an annual report where information on received allegations is reported; the 2017 report comprehensively lists a breakdown of allegations received. External and internal audits also present data on fraud and corruption.	5, 8, 12, 15, 43, 94, 104, 105, 106, 107, 108, 109, 236, 237, 239
UNHCR reported 38 cases of proven fraud during 2017 resulting in financial losses amounting to USD 1 230 000 (2016: 24 cases accounting for losses of USD 140 000). Twenty-eight of the fraud cases were committed by staff members and four by members of affiliated workforces. Five cases concerned partners. One case referred to a vendor. The cases involved embezzlement, entitlement/benefit fraud, misuse of assets, registration fraud, other fraud and theft. This information can be found in the annual reports from the BoA which are publicly available.	
MI 4.6 Evidence confidence	High confidence

## RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)*

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)	KPI score
<b>Satisfactory</b>	<b>2.32</b>
UNHCR's interventions are overall highly relevant to needs. They are closely aligned with national/regional priorities for the population of concern, though evaluations note some gaps arising where insufficient consultation has taken place with national stakeholders. The organisation has a strength in context analysis, arising from strong use of needs assessment, which is reflected in its country and regional planning documentation. However, there are gaps in capacity analysis in intervention design, and attention to risk, whilst strongly present in country-level systems, is not comprehensively reflected in country- and regional-level planning. There is patchy attention to cross-cutting issues in design, with protection and human rights most strongly reflected, and gender mostly interpreted as Sexual and Gender Based Violence (SGBV). Links from UNHCR's humanitarian activities to transition/recovery/resilience are weak, and are unsupported by current programme design tools. The organisation is making efforts, through its Change Management process, to overcome procedural barriers and a lack of coherence which impedes its agility.	
MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results	Score
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.33</b>
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	3
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	4
MI 5.1 Analysis	Source document
Analysis of regional and country level documents covering over 23 countries found that UNHCR broadly aligns its interventions with national/regional commitments to meeting the needs of persons of concern. All results statements were linked to states' obligations under international law to promote and protect the human rights and fundamental freedoms of persons within their jurisdiction (their 'goals' in the sense of their obligations). However, evaluations note some gaps arising where UNHCR has not adequately consulted with national stakeholders, leading to its interventions being effectively disconnected from national systems and structures.  Country and regional documentation also showed investment of time and effort from UNHCR in the alignment process. For example, all four Regional Refugee and Resilience Plans (RRRPs) indicate that UNHCR has made efforts to work with regional bodies and national governments to engage them more effectively in the RRRPs. The 2017 regional Refugee and Migrant Response Plan (RMRP) for Europe for instance brought together 74 appealing organisations, in consultation with host governments, civil society, local communities, donors, as well as the refugees and migrants themselves.	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214

The main institutional incentives for ensuring such consultation are embedded in UNHCR's mandate. The organisation has a range of institutional incentives for ensuring such consultation, which are grounded in its mandate; these include its host country agreements or memoranda of understanding and programmatic guidance in the Programme Manual and the <i>Emergency Handbook</i> .  Evidence from interviews indicates that staff have a clear understanding of the organisation's role in aligning and coordinating with national governments and partners. Survey data found that 158/170 (93%) of total respondents rated UNHCR as 'excellent, very good or fairly good' on whether its activities aligned with the needs of refugees, stateless persons, Internally Displaced Persons (IDPs) and returnees. Survey respondents also rated UNHCR positively on its prioritisation of partnerships in its business practice, with 82% (124/152) respondents assessing UNHCR as 'excellent, very good or fairly good' in this area, though notably the majority of these were NGO partners, with much smaller proportions of UN/International Financial Institutions rating UNHCR positively here.	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214
<b>MI 5.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.83</b>
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	4
Element 2: Context statement has been developed jointly with partners	4
Element 3: Context analysis contains reference to gender issues, where relevant	3
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	2
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	2
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	2
<b>MI 5.2 Analysis</b>	<b>Source document</b>
All country and regional documentation analysed, covering over 23 countries, include a required section on context analysis. This includes Partnership and Co-ordination and Planning Assumptions and Expected Constraints. Survey data found that 132/170 (78%) of total respondents rated UNHCR as 'excellent, very good or fairly good' on whether its interventions are tailored to the specific situations and needs of the local context.  Contextual analysis, as reflected in country and regional documentation, is consistently carried out jointly with partners, whether these are UN Agencies, INGOs, NGOs or national governments. This occurs in UNHCR's engagement in the cluster system for emergencies; in other co-ordination mechanisms for non-refugee responses or where the cluster system has not been activated; and in refugee situations in line with the Refugee Co-ordination Model.	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214

The country and regional strategies reviewed reflect strong presence of human right and protection concerns, and variable reference to gender and/or SGBV specifically in context analyses. Chapter 3 in the 2015 UNHCR Age, Gender and Diversity Accountability Report summarises and analyses UNHCR's implementation of key accountability practices including: participatory assessment and planning, participatory monitoring and evaluation, feedback and complaints mechanisms, as well as the role of senior management.	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214
There are limited references to environmental sustainability however. Environmental impact due to the presence of refugees, the need for durable energy solutions, and environmental sustainability specially in relation to the WASH sector are mentioned, but there is very little analysis. However, there is evidence of adaptation to take significant changes into account. For example, RRRPs have been revised to respond to recommendations on how to further strengthen coordination and to respond to changes in the Refugee situation. There is limited explicit reference to governance issues, which arise only in the context of capacity needs and/or conflict.	
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.6</b>
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	2
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	1
Element 3: Capacity analysis statement has been developed jointly where feasible	0
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	2
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	3
<b>MI 5.3 Analysis</b>	<b>Source document</b>
Country and regional documentation reflects limited analysis of capacity. Where capacity analysis is presented, this focuses primarily on the numbers of partners available, without consistently considering available resources, strategy, culture, staff, systems/processes, structure and performance. Despite this, designs provide clear strategies to address gaps in capacities, though these are usually presented as 'training' rather than addressing systemic weaknesses, or clear links to sustainability. There is no indication of joint capacity analyses conducted.	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214
Survey data finds that UNHCR uses regular review points with partners for joint identification and interpretation of major changes in conditions which affect the work being undertaken, with 80% (107/133) of respondents assessing UNHCR as 'excellent, very good or fairly good' in this area.	
<b>MI 5.3 Evidence confidence</b>	<b>High confidence</b>

<b>MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.33</b>
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	3
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	1
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	1
Element 5: Risks are routinely monitored and reflected upon by the partnership	3
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	3
<b>MI 5.4 Analysis</b>	<b>Source document</b>
UNHCR has undertaken a comprehensive risk management strategy called <i>Risk Management 2.0</i> . This Risk Management approach aims both strengthen risk management especially in key, high risk operations and raise the operational profile of risk management for staff. Furthermore, it enhances UNHCR's ability to learn from best practices and experiences.  Country and regional documentation shows little reference to risks, though those which are present mostly focus on strategic and operational risk. However, the <i>Emergency Handbook</i> and Programme Manual include attention to risk analysis management and mitigation, and requires project designers to consider and seek to mitigate operational risk. <i>Risk Management 2.0</i> also contains mechanisms to identify risks in operational designs, which are then centrally collated in the Corporate Risk Register and discussed with the Enterprise Risk Management Unit at Headquarters. As of May 2018, UNHCR teams identified 2,450 potential risks in 148 Field Operations/HQ entities. Of these, 676 were prioritised. Additionally, the updated Emergency Preparedness and Response Policy requires all country operations to undertake risk analysis and minimum preparedness actions on an annual basis and countries at medium or high risk of a new or escalated emergency are included on the High Alert List for Emergency Preparedness (HALEP).  Available risk analyses reflect strong attention to operational and strategic risk, but little attention to political and reputational risk. <i>Risk Management 2.0</i> emphasises the need to consider risks in partnerships, as well as the need to document risk mitigation actions.	50, 51, 52, 53, 95, 96, 97, 132, 133, 134, 135, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214
<b>MI 5.4 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.43</b>
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	3
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	3
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	3
Element 4: Intervention designs include the analysis of gender issues	2
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	1

Element 6: Intervention designs include the analysis of good governance issues	3
Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	2
<b>MI 5.5 Analysis</b>	<b>Source document</b>
<p>According to UNHCR programmatic guidance, human rights and protection elements are required considerations of programme design. Gender, age, and diversity issues also require analysis. Staff confirm that it is not a requirement to analyse environmental or climate change concerns, though good governance features within protection assessments and response planning in the sense of capacity analysis.</p> <p>Various forms of guidance exist on gender, and protection, specifically the Guide to Participatory Assessments and within the <i>Emergency Handbook</i> and the Programme Manual. UNHCR's SGBV Guidelines also offer practical advice on how to analyse needs and design activities aimed at preventing and responding to sexual and gender-based violence. The Annual Programme Review includes an approval phase for their compliance with planning instructions and guidelines.</p> <p>Overall, country and regional documentation reflects varying levels of analysis for cross-cutting issues. Human rights and protection are comprehensively treated. Whilst there is inclusion of gender and protection issues, this is presented often in terms of risks identified and strategies presented rather than detailed analysis conducted. This is particularly the case for Gender Based Violence issues. Environmental issues are treated infrequently, and specifically relating to environmental impact and the need for durable energy solutions. However, discussion mostly focuses on the provision of strategies, rather than analysis of the underlying issues. Good governance issues are covered in country and regional documentation, however, with a highly variable depth of analysis. Interviews indicate that environmental sustainability is not prioritised, with limited financial resources and technical staff, and that any mainstreaming that takes place is limited to pilot initiatives financed by donors.</p> <p>Cross-cutting issues are also only covered to a very limited extent in monitoring plans and highly variably in evaluations. SGBV appeared in twelve country response monitoring plans; nine country response plans had indicators related to Human Rights; whilst approximately half of the plans had indicators related to good governance; and only one plan had an indicator relating to the environment.</p>	50, 51, 52, 53, 95, 155, 156, 157, 158, 160, 161, 181, 182, 209, 210, 211, 212, 213, 214
<b>MI 5.5 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.5</b>
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	2
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	1
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	2
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	1

MI 5.6 Analysis	Source document
<p>All country and regional documentation analysed refer to the long-standing nature of relevant crises, to complexity or to governance weaknesses or gaps in the systems. However, there is only limited in-depth analysis of the issues, and few comprehensive strategies are identified for addressing such linkages programmatically, although all strategies and plans contain some approaches to build longer-term capacity. These are often fragmented, however, and there is no mention made of the policy environments in which such reforms need to take place. Indicators in the Planned Response (at country level) do reflect some of the underlying assumptions that underpin sustainability though these are not systematically addressed.</p> <p>The 2015 OIOS report states that, whilst UNHCR has the long-term aim of delivering durable solutions, and although the organisation has increased its focus on durable solutions, its progress in that regard has been limited. It observed that since 2012, UNHCR budgeted expenditure on durable solutions has declined from 9% to 4% and states that UNHCR has not monitored its progress in delivering successful durable solutions. However, the 2016 GSP report does comment on progress in developing institutional frameworks, investing in capacity building, durable solutions and efforts to ensure sustainability of interventions. Furthermore, in 2018, UNHCR established a new division on Resilience and Solutions to facilitate the institutional shift in orientation towards solutions and strengthened the partnership with the World Bank.</p> <p>Mindful of external factors, such as national political commitment to long-term solutions programming for refugees, evaluations and other reports point out that UNHCR programmes tend to focus largely on reacting to the immediate and short-term needs, rather than taking a more focused, strategic approach, including the need, at a given stage, to transition to longer-term solutions programming, focusing on developmental dimensions of refugee assistance. The 2015 evaluation on the relevance and effectiveness of UNHCR's work on durable solutions also found that whilst UNHCR had provided lifesaving assistance and asylum to millions, it had experienced fewer successes in achieving durable solutions for persons of concern in protracted refugee situations. The evaluation reported that UNHCR in 2015 was largely oriented around an emergency response model and that it had not fully engaged with development partners on solutions and transition programming.</p>	15, 23, 35, 37, 50, 51, 52, 53, 98, 105
MI 5.6 Evidence confidence	High confidence
MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation	Score
Overall MI Rating	Satisfactory
Overall MI score	2.25
Element 1: Internal standards are set to track the speed of implementation	4
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	1
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	1
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	3

MI 5.7 Analysis	Source document
<p>Improving procedural agility is a concern under UNHCR's Change Management process. The main internal standards to track speed of implementation are reflected in the Results Framework as indicators. The administrative instructions on UNHCR-funded partnership agreements also contain specific timelines. Targets are referenced in the 2017 Global Appeal under Emergency Response capacity and effectiveness. However, there is no benchmarking conducted across different operating contexts.</p> <p>Out of 13 evaluations and 3 reviews analysed, only 1 concludes that interventions had been well coordinated and executed. 7 others point to a variety of concerns that have been assessed to impact negatively on the speed of implementation of interventions. These concerns range from long timeframes for registration of refugees; six-monthly planning cycles ill-suited for solutions programming and development-oriented programmes; a slow build-up and the use of programming tools not well-suited to the Turkey context; poorly accessible and traceable documents; to lengthy exit procedures of some countries of asylum and the lengthy process to transfer cases. Interview evidence was consistent on the need to improve UNHCR's timely response capability.</p> <p>Strengthening emergency preparedness was also a priority in 2016. UNHCR established a dedicated team at headquarters to provide guidance and support to field operations in countries at high risk of a new or deteriorating emergency. Guidance and support included focus on contingency planning and developing analytical tools, embedding protection, age, gender and diversity, cash, alternatives to camps and local partnerships aspects. UNHCR also introduced the High Alert List for Emergency Preparedness (HALEP), a tool for early warning and monitoring of current and potential risks of displacement, along with analysis on readiness and capacity of UNHCR operations to respond.</p> <p>Additional technical tools introduced to support speed of implementation include:</p> <ul style="list-style-type: none"> <li>The Progress in Partnership refugee case management and processing tool, released in August 2016. By the end of 2016, the tool had been deployed to 15 operations.</li> <li>The Biometric Identity Management System (BIMS), deployed to 24 operations by end 2016, with over 1.1 million refugees enrolled.</li> </ul> <p>Improvements made to internal information and telecommunication systems, including a cloud-based video conference system (WebEx) and updates to enterprise resource planning tool, MSRP. The Connect and Collaborate infrastructure in the field was also improved in 2016.</p>	1, 1(a), 4, 5, 14, 16, 53, 54, 63, 65, 66, 67, 68, 70, 71, 72, 73, 74, 75, 81, 94, 98
MI 5.7 Evidence confidence	High confidence
KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources	KPI score
Satisfactory	2.95
<p>UNHCR has a strong commitment to partnership, as reflected in the Strategic Directions and other corporate documentation. Its comparative advantages within its partnerships are linked to its very specific mandate in the humanitarian architecture. It leads the global system in refugee emergencies, and also in relevant clusters such as the Shelter, Protection and Camp Management and Camp Co-ordination Clusters. Its strategic partnerships are reflected in its engagement in the CRRF and its tasking to develop the Global Compact for refugees. However, evaluations indicate scope for improved operational coherence with sister UN agencies on the ground and partnerships with NGOs, whilst extensive, are comparatively unsystematised.</p> <p>The organisation also has a comparative advantage in the production of global knowledge products to support the international community in addressing the rights and needs of the population of concern. Its knowledge products are highly valued by partners.</p>	

UNHCR commits to timely adjustments in programme planning and implementation. However, the need to further streamline processes and procedures has been widely-recognised, including by UNHCR itself, and reforms under the Change Management process aim to address this. UNHCR has comprehensive systems in place to ensure that commitments on Accountability to Affected Populations are mainstreamed into programme design, implementation, monitoring and reporting.

UNHCR has recently sought to improve its approach to transparency. Information on UNHCR's budget and management plans are publicly available. The organisation has joined the International Aid Transparency Initiative in September 2018; it also reports funding flows through the OECD DAC's Creditor Reporting System.

<b>MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	2
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	2
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	3
<b>MI 6.1 Analysis</b>	<b>Source document</b>
UNHCR has developed mechanisms to, in a timely manner, adjust the course of projects and programmes during implementation (including reallocation of resources), as well as to identify measures that can improve project quality if conditions require. These are laid down in UNHCR's Emergency Handbook and Operations Manual. In the Emergency Handbook, UNHCR provides guidance on how to manage operations in emergency situations, calling on staff to prepare contingency plans and emergency preparedness action plans during all stages of the operations management cycle and to develop and put in place a monitoring plan to track whether implementation is proceeding according to plan and achieving the desired effects. Based on the data that has been collected and analysed, programmes should be adjusted. The Programme Manual explains that operations must update their plans to reflect changes in the operating environment and/or data gathered through performance monitoring. Under UNHCR's Resource Allocation Framework, the Representative maintains authority to make adjustments within the Operating Level.	1, 9, 22, 46, 47, 60, 62, 63, 98
Mechanisms such as the Resource Allocation Framework (RAF), the Budgetary Internal Control Framework (BICF), and the Financial Internal Control Framework (FICF) and associated Delegation of Authority Plan allow for changes and revisions within each individual's delegated authority levels. However, staff interviewed complained of cumbersome processes which restricted their ability to adjust in response to changing external conditions; high levels of earmarking also constrain adaptive capacity.	

<p>These shortcomings have been recognised by UNHCR's management, and the Change Management process. Particularly the multi-disciplinary team, formed to review UNHCR's planning and resource allocation process, is expected to develop solutions to these perceived bottlenecks. The Strategic Directions document commits to the simplification and streamlining of procedures, processes and tools, including in key areas of programme, procurement, supply, and administration and finance, to ensure that these function as efficiently as possible as tools for enabling field delivery.</p> <p>Where projects are implemented by partners, the 2013 Implementing Partnership Management Guidance Note No. 1 and the Project Partnership Agreements procedure introduced the requirement for "<i>formal joint monitoring and review meetings</i>" to be held at least at mid-year and at the end of the project to agree on the resolution of findings and build on lessons learned. Such joint meetings are intended to support regular review of conditions, and an assessment of any changes required.</p>	<p>1, 9, 22, 46, 47, 60, 62, 63, 98</p>
<b>MI 6.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.5</b>
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	3
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	3
Element 3: The organisation aligns its resources/competencies to its perceived comparative advantage	2
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	2
<b>MI 6.2 Analysis</b>	<b>Source document</b>
<p>UNHCR derives its comparative advantages largely from its mission and mandate, and specifically the 1951 Convention and 1967 Protocol. Whilst there is no explicit statement of UNHCR's comparative advantage in corporate documentation, its organisational capacities are implicitly linked to the key dimensions of its approach. They include: its legal capacity, ability to provide policy guidance and operational support, its convening power, its advocacy capacity and its policy and standard setting abilities. All these capacities are linked to the 'core priorities' of the Strategic Directions.</p> <p>There are several examples where UNHCR applies resources and competencies to support its comparative advantages under its mandated co-ordination remit. These include:</p> <ul style="list-style-type: none"> <li>• Deployments of trained UNHCR and partner staff to emergency operations around the world, in areas such as shelter, SGBV, protection, Human Rights and ICT</li> <li>• Maintaining internal rosters and stand-by agreements with partners for technical expertise, leadership, and coordination.</li> <li>• Providing advice and guidance to country operations and states, including on the scope of legal obligations and individual rights.</li> <li>• Engaging extensively in the process that led to the adoption of the New York Declaration for Refugees and Migrants by 193 governments and the associated CRRF and subsequent Global Compact.</li> </ul>	<p>1, 2, 3, 4, 5, 6, 7, 55, 56, 63, 65, 67, 68, 70, 71, 72, 73, 74, 75, 76, 77, 80, 145, 146</p>

UNHCR has relationships with over 1,000 implementing partners, including NGOs, Red Crescent/Red Cross agencies, governments, UN agencies etc., who implement much of its operational activity. UNHCR has MOUs with most key partners, NGOs and UN agencies, that define global operational partnerships and set out areas of collaborations to ensure complementarity, rationale for engaging and mutual benefits. These are followed up through yearly bilateral high-level meetings and updated when required. Similarly, regular bilateral and inter-agency meetings are held with partners at country and local level. At the country level, the overarching strategy and specific objectives of partnerships during the joint needs assessments, country operations planning and through inter-agency coordination mechanisms, as well as during the negotiation of partnership agreements. Partnership strategies at country-level can be found in Country Operations Plans.

Still, although UNHCR has an Enhanced Framework for Implementing with Partners, holds annual NGO consultations and established the High Commissioner's Structured Dialogue, a fully-developed clear partnership strategy that sets out a) a strategic rationale for engaging with different types of partners and b) the mutual benefits such partnerships can bring to both parties is lacking. Staff interviewed indicated that at the strategic level, NGO partnerships are not always fully coherent, with the lack of a clear overarching strategy and an absence of specific objectives.

However, evaluations find mixed results: whilst they identify evidence of UNHCR's deployment of its comparative advantage in partnerships to achieve results in areas such as emergency relief, resettlement, refugee status determination and advocacy with partner governments; they also signal areas where UNHCR's comparative advantages had not realised tangible results, specifically in the areas of capacity strengthening and durable solutions (although this is often beyond UNHCR's control). Weaknesses in operational co-ordination in practical humanitarian action are also noted in several evaluations.

<b>MI 6.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems</b>	<b>Score</b>
<b>Overall MI Rating</b>	
<b>Overall MI score</b>	<b>N/A</b>
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	
Element 4: Reasons for non-use of country systems clearly and transparently communicated	
Element 5: Internal structures and incentives supportive of greater use of country systems	
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	
<b>MI 6.3 Analysis</b>	<b>Source document</b>
Not applicable	
<b>MI 6.3 Evidence confidence</b>	

<b>MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.8</b>
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	2
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	2
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	2
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	1
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	2
<b>MI 6.4 Analysis</b>	<b>Source document</b>
<p>At corporate level, UNHCR engages closely with inter-agency processes, including the Inter Agency Standing Committee (IASC), the United Nations Secretary-General's Chief Executive Board for Coordination (CEB), the High-Level Committee on Programmes (HLCP), the United Nations Development Group (UNDG) and the Economic and Social Council Humanitarian Affairs Segment (ECOSOC HAS). At country level, UNHCR has global responsibility for leadership in refugee emergencies, and engages in the cluster system for non-refugee emergencies. It is a member of UN Country Teams and Humanitarian Country Teams. UNHCR leads or co-leads the following clusters at the global level: protection, shelter, and camp coordination, and camp management (CCCM).</p> <p>Country and regional documentation reference the importance of synergies though without clear statements on how these will be operationalised, or how leverage will be ensured. Despite some positive examples (e.g. in Ethiopia, with UNICEF), evaluations do signal scope for improvement in co-ordination with sister UN agencies, including co-ordination 'gaps' leading to fragmented or disjointed operational activity (see also MI 10.3). Documentation does not state clearly how partner resources will be applied catalytically to stimulate wider change.</p> <p>However, there are some areas where synergies have started to take hold. Examples include enhanced collaboration with the World Food Programme (WFP) and the United Nations Children's Fund (UNICEF) on cash-based interventions, as well as a strategic partnership with the World Bank, on resilience. The Strategic Directions 2017-2021 document also emphasises the importance of developing partnership-based responses under the CRRF at the country, regional and global levels.</p> <p>Survey respondents rated UNHCR positively on its prioritisation of partnerships in its business practice, with 82% (124/152) respondents assessing UNHCR as 'excellent, very good or fairly good' in this area. However, notably, the majority of these were NGO partners, with much smaller proportions of UN/ International Financial Institutions rating UNHCR positively.</p>	<p>3, 4, 5, 8, 19, 23, 33, 34, 35, 37, 46, 48, 49, 50, 51, 52, 53, 76, 98, 105, 145, 241</p>
<b>MI 6.4 Evidence confidence</b>	<b>High confidence</b>

<b>MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.33</b>
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	1
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	2
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	3
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	3
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	2
<b>MI 6.5 Analysis</b>	<b>Source document</b>
UNHCR participates in joint planning processes for refugees and other forcibly displaced persons at country level. These include the production of Regional and Country Refugee Response Plans, as well as UNOCHA-co-ordinated Humanitarian Response Plans and Humanitarian Needs Overviews at country level. UNHCR also engages in UNDAF planning, as part of its membership of UN Country Teams. However, a recent review found that UNHCR's own planning and budgeting systems rarely cohere with those of the UNDAF.  There are several examples of engagement in joint programming. These include: <ul style="list-style-type: none"><li>• The introduction and initial implementation of the 2016-2020 joint UNHCR-WFP 'Strategy for Enhancing Self-reliance for Food Security and Nutrition in Protracted Refugee Situations'.</li><li>• Joint trainings with UNICEF on WASH in emergencies for standby partner organisations such as DRC, Irish Aid, MSB, NRC, Red Cross and SDC.</li><li>• Co-operation with WFP, OCHA and UNICEF on a joint emergency preparedness project in ten high-risk countries.</li></ul> In the IDP context, UNHCR is responsible for coordinating inter-agency monitoring within the clusters led by it. Similarly, in a refugee situation, and in line with the Refugee Coordination Model (RCM), UNHCR has a responsibility to coordinate the monitoring of the whole response, including the inter-agency dimension, as well as its own activities. However, UNHCR's operating model has come under criticism for not adequately matching its substantial coordination responsibilities. Documentation includes many examples of participation in joint monitoring and reporting processes.	4, 5, 6, 50, 51, 52, 53, 54, 56, 62, 63, 81

<p>The main vehicles for identifying shared information gaps and strategies occur through Joint Assessment Missions and review processes for regional and country level plans and above. RRRPs and country response plans indicate clear identification of information gaps and efforts to address these. Additionally, UNHCR has undertaken research with partners to address information gaps. For example, the 2017 Global Appeal Update records that the World Bank and UNHCR have recently collaborated to build an evidence base on root causes and solutions to displacement, as well as a study of the economic impact of refugees on host economies. These studies have led to follow-on projects in the Democratic Republic of the Congo, Djibouti, Ethiopia, Nigeria, Uganda, and Zambia.</p> <p>The main example of participation in joint evaluation exercises are engagement in UNOCHA-co-ordinated Inter Agency Humanitarian Evaluations, of which three country-specific evaluations and one synthesis have been conducted to date, the Evaluation of the One-Card Pilot in Lebanon, jointly with WFP, and the Joint Evaluation of Implementation of IASDC Guidelines for GBV in Syrian crisis response. UNHCR also linked with WFP to develop four joint UNHCR-WFP Impact Evaluations of Food Assistance to Refugees in Protracted Situations, conducted in 2013. However, the majority of evaluations conducted are single-agency.</p>	<p>4, 5, 6, 50, 51, 52, 53, 54, 56, 62, 63, 81</p>
<b>MI 6.5 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.4</b>
Element 1: Information on the organisation's website is easily accessible and current	3
Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems	4
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (CRS) guidelines	4
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3
Element 5: Evidence that information shared is accurate and of good quality	3
<b>MI 6.6 Analysis</b>	<b>Source document</b>
<p>In the Strategic Directions 2017-2021 document, UNHCR commits to increase its investment in monitoring, reporting and evaluation to generate evidence-based assessments of its performance, to inform policy and programming decisions, and to demonstrate transparency and accountability. The Global Focus portal is essentially UNHCR's transparency platform. It provides a comprehensive overview of UNHCR's work with a vast amount of contextualised, in-depth information on country operations, sub-regions, linking plans to budgets and results to expenditures. UNHCR is looking at how it can further develop our systems to provide fuller and more comparable data. UNHCR is currently engaging with other UN agencies (e.g. WFP) and key donors to improve information sharing as a way to bolster support for operations.</p> <p>UNHCR became an IATI publisher in September 2018 and has published IATI data for 2016, 2017 and 2018. Data published includes contributions from donors, budgets, expenditure, disbursements and results. It continues to report through the OECD DAC's Creditor Reporting System.</p>	<p>1, 44, 49, 54, 61</p>

UNHCR's budgets and management plans are publicly available on the UNHCR website. In the 2016 UNHCR Partner Survey, NGO respondents noted that the response time to queries relating to UNHCR's Results and Reporting platform was excellent, but that this efficiency had decreased recently. Of the survey respondents, 75% (109/145) assessed UNHCR's sharing of key information (on analysis, budgeting, management and results) with partners on an ongoing basis as 'excellent, very good or fairly good'.	1, 44, 49, 54, 61
<b>MI 6.6 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.7: Clear standards and procedures for accountability to affected populations implemented</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.83</b>
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	4
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	4
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	4
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	4
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	4
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	3
<b>MI 6.7 Analysis</b>	<b>Source document</b>
UNHCR's commitments to Accountability to Affected Populations (AAP) are strong and firmly rooted reflected in multiple policies, reports and strategies. These contain detailed statements outlining the need to include affected populations in planning and decision-making, monitoring and reviews.  In its Strategic Directions, UNHCR explicitly states that it will hold itself accountable to the people it serves in all aspects of its work by involving them, in identifying and analysing their needs and the risks they face, and in designing, implementing and evaluating its operations. Its approaches to AAP are rooted in the age, gender and diversity (AGD) policy, from the outset of an emergency until durable solutions are achieved. UNHCR co-chairs (with ActionAid) the IASC Task Team on Accountability to Affected Populations, including Protection from Sexual Exploitation and Abuse (AAP/PSEA Task Team). Numerous initiatives have been taken in terms of policy development, mainstreaming of AAP and PSEA in multi-year programming, training and others.	1, 4, 5, 6, 22d, 29, 31, 34, 35, 36, 37, 62
Guidance on AAP is available for staff within both the Emergency Handbook and Programme Manual. These require country teams to employ participatory assessments as part of intervention design and provide clear guidance on procedures, processes and expected standards. Approval processes require the addressing of AAP concerns.	

<p>Staff indicated that training has been extensively provided across the organisation. The pilot 'Programming for Protection Learning' training module targets operations and teams at country level. The training feeds into the operations planning cycle and has 4 elements, including AAP. UNHCR is partnering with the UN's Global Learning Centre to encourage self-study and open AAP training up to all. In addition, an AAP specific e-learning programme is currently being developed, while community-based training is being redrafted to make it AAP centric.</p> <p>In accordance with IASC guidelines, UNHCR's Programme Manual and Emergency Operations Manual require that all operations embed accountability, seek feedback through continuous dialogue with persons of concern on programmes and staff attitudes, and ensure participation in design, implementation, monitoring and evaluation by persons of concern. The aim is to guarantee that persons of concern are involved in decision-making processes that affect their lives. UNHCR has established feedback and complaints mechanisms to maintain an accountability-focused approach and take corrective action if necessary.</p> <p>The ongoing review of UNHCR's results-based management system and tools will include actions to enhance the monitoring and evaluation of accountability to beneficiaries.</p>	<p>1, 4, 5, 6, 22d, 29, 31, 34, 35, 36, 37, 62</p>
<b>MI 6.7 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	4
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	4
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	4
Element 5: Surveys or other methods applied to assess partner perception of progress	4
<b>MI 6.8 Analysis</b>	<b>Source document</b>
<p>The main vehicle for joint performance review is the Joint Assessment Missions for interventions, in which UNHCR participates extensively. Together with WFP, UNHCR has produced a wide range of guidance tools and technical notes to support the conduct of Joint Assessment Missions (JAMs), notably the Practical Guide to Planning and Implementation of Joint Assessment Missions. One of the indicators for the GSPs 2018-19 is that multi-year, multi-partner strategies are informed by improved joint needs assessments and are developed and implemented in consultation with key stakeholders, including national authorities, civil society, development partners, and private sector representatives.</p> <p>There is strong evidence (from documentation and survey responses) that UNHCR participates extensively in joint dialogue around normative commitments for refugees and other persons of concern. The two main examples are:</p> <ul style="list-style-type: none"> <li>Engagement at the World Humanitarian Summit on a wide range of issues</li> <li>Dialogue and participation in the preparation of the New York Declaration and the CRRF, as well as the subsequent development of the Global Compact.</li> </ul>	<p>4, 34, 54, 78</p>

Joint Assessment Mission reports constitute evidence of engagement in the production of joint progress statements regarding the implementation of commitments. These reports contain clear statements of UNHCR's contribution, as agreed by all relevant partners participating in the missions. UNHCR conducts surveys to understand partner perceptions, e.g. the 2016 NGO partner survey.	4, 34, 54, 78
<b>MI 6.8 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.17</b>
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	3
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	3
Element 5: Evidence that knowledge products are perceived as high quality by partners	3
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3
<b>MI 6.9 Analysis</b>	<b>Source document</b>
UNHCR is a key resource for statistical data on the population falling under its mandate. In 2016, Global Representatives called for a stronger evidence-based protection advocacy by UNHCR, based on well-grounded analysis and 'think pieces' which can inform and drive strategic advocacy and influence public policy. The Strategic Directions 2017-21 commit UNHCR to upgrading its capacity for research and knowledge management in order to strengthen the basis for UNHCR's policies, proposals, and advocacy. Under these commitments, knowledge management, promoting the exchange of lessons across operations and regions and cross-fertilization of ideas and experiences will be prioritised: " <i>UNHCR will strive to be a learning organisation, refining and adjusting approaches based on analysis, evaluation and peer reviews. UNHCR will actively engage in learning from partners, promoting dialogue and exchange and seeking to identify and build on best practices.</i> "	1, 3, 4, 25, 26, 30, 31, 32, 33, 48, 49, 61
The Results Framework contains an indicator which relates to the dissemination of knowledge products, namely the percent of information products shared with partners. Additionally, in the partnership survey of 2016, partners requested open access to UNHCR's knowledge hub section of its portal (i.e. materials - templates, guidance documents etc.) so that these can be sourced and used by all potential partners, whether they are registered on the portal or not. The UNHCR website contains a link to UNHCR's data sources, including Global Focus, population statistics, Global Trends analysis, maps, data guidance, and the operational portal.	
Key knowledge products include: the global needs assessment, which provides the international community with data on the scale of the population of concern; studies on stateless populations.	

<p>Survey responses indicate that partners value UNHCR's inputs to policy dialogue positively and assert that its views and contributions are well respected in national or regional policy dialogue forums (79%, or 103 out of 131 respondents). Partners also affirm the utility of UNHCR's knowledge products for their own work (85% or 122/143 rated these as excellent, very good or fairly good). Partners that took part in the survey also appreciate the timeliness of UNHCR's knowledge products for their own work (89% or 131/148 rating timeliness as excellent, very good or fairly good).</p> <p>The UNHCR website was revised in 2016 to present information in a more visual, shareable and mobile-friendly way, which increased the number of site visitors. The 2017 Update on the Global Strategic Priorities records that UNHCR's reporting platform, Global Focus, saw an increase in users in 2016, reaching nearly 63,900 unique users from 191 countries.</p>	<p>1, 3, 4, 25, 26, 30, 31, 32, 33, 48, 49, 61</p>
<b>MI 6.9 Evidence confidence</b>	<b>High confidence</b>

## PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning*

KPI 7: Strong and transparent results focus, explicitly geared to function	KPI score
<b>Satisfactory</b>	<b>2.3</b>
<p>UNHCR's management has committed to a results culture at all levels. The current Results Based Management (RBM) system has developed organically over the years and follows a logical structure and system. Its focus is primarily at the programmatic level. However, it currently lacks coherence with the strategic architecture, as well as containing some technical limitations which constrain its scope for accurate and reliable data aggregation. Monitoring systems also have technical weaknesses. The utility of the current system is questioned by staff, many of whom have developed their own internal performance monitoring systems. These shortcomings have been recognised, and the RBM system is currently under reform, with completion scheduled for 2020.</p>	
MI 7.1: Leadership ensures application of an organisation-wide RBM approach	Score
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	4
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	2
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	3
Element 4: Tools and methods for measuring and managing results are available	3
Element 5: Adequate resources are allocated to the RBM system	2
Element 6: All relevant staff are trained in RBM approaches and methods	4

MI 7.1 Analysis	Source document
<p>Key corporate documents indicate a stated commitment to an RBM culture, as reflected in the GSPs/ Strategic Directions, which commits to an overhaul of the results architecture. A Results Framework is in place, though currently undergoing revision. Management and staff also voiced recognition of UNHCR's commitment to a results culture.</p> <p>Officially, UNHCR's RBM approach is mandatory and informs the office's main planning, budgeting, reporting and decision-making mechanism. The RBM principles and requirements are laid out in the Programme Manual, which establishes the global policies and procedures to which staff are required to comply and describes the planning and approval process. There are predefined, standardised corporate indicators for staff to apply in project/programme cycle management, and standardised document templates using pre-defined results frameworks and indicators. Nevertheless, staff indicated that they felt the RBM system did not always match their sectoral or thematic needs and had therefore developed separate, parallel systems.</p> <p>UNHCR's Programme Manual contains detailed guidance for staff on how to use and apply RBM principles in planning and programming. The guidance is available via the agency's intranet. UNHCR updated it in 2016, adding a comprehensive reference guide informing to inform results-based management, and released a French version. However, staff indicated that they did not routinely use this guidance, especially when applying their own, internally developed results systems.</p> <p>UNHCR's RBM system has evolved organically over the years but has not kept pace with the growing complexity surrounding the organisation's operations, nor the growing requirements of donors. Although UNHCR has worked to simplify and improve RBM tools and systems and to train staff on these tools and systems, an overhaul of the system is currently underway. The overhaul, which also features in the Change Management Initiative, is a significant undertaking and will be completed by 2020. Dedicated staff have been allocated to the reform process, with funding provided from the total budget for the Organisational Department and Management Service (ODMS) in 2017 of USD 1.44m.</p> <p>Since use of the focus system is mandatory, all staff have been trained. Interviews indicated that staff feel confident in their skills to use both the main corporate focus system and unit-specific systems.</p>	1, 1(a), 3, 4, 5, 6, 62, 105
MI 7.1 Evidence confidence	Score
<b>MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic</b>	<b>High confidence</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.8</b>
Element 1: Organisation-wide plans and strategies include results frameworks	2
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	1
Element 3: An annual report on performance is discussed with the governing bodies	2
Element 4: Corporate strategies are updated regularly	2
Element 5: The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results	2

MI 7.2 Analysis	Source document
<p>Organisation-wide plans and strategies include results frameworks. However, the multitude of corporate as well as thematic policies and strategies complicates the RBM architecture. There are inconsistencies among organisation-wide plans and strategies and UNHCR's Results Framework (RF). The GSPs 2016-2017 and 2018-2019 are based on the RF. There is no direct link between the RF and the 2017-2021 Strategic Directions (SD) document, which does not include concrete results or indicators. The 5 'core directions' identified in the SD do not correspond fully with the 'rights groups' listed in the GSP documents. Other corporate and thematic strategies and policies are not clearly linked into the results architecture, and it is unclear how their intended results link in to corporate objectives, and/or how these will be measured and monitored.</p> <p>In principle, linkages exist within the layers of the RF, with pre-determined indicators set to measure progress at the lowest level of intervention – operations - which should then link up to corporate level indicators at impact level. Operations in the field may select whichever GSPs are relevant to their operating context. Operational Plans must reflect coherence between strategy, resource allocation and the results chain. However, because of the inconsistencies between the RF and the GSPs, aggregating results from the local to the corporate level is practically impossible.</p> <p>In the Global Strategic Priority documents, there are eight operational GSPs divided across six 'rights groups'. Additionally, there are eight (2016-2017) and ten (2018-2019) GSPs for management and support, with impact indicators that are not part of the RF. Each GSP is tied to a select number of pre-determined indicators to measure progress at the lowest level of intervention – operations -. The RF includes 180 Impact Indicators for the 6 rights groups, whereas the GSPs for 2016-17 contain only 22 impact indicators. The GSPs 2018-2019 contain 1 less, namely 21. The UNHCR Programme Manual lists 11 pre-defined goals, over 60 pre-defined objectives, 9 rights groups (3 of which involve management and support), and 180 impact indicators. Not all policies and strategies apply a clear results architecture, nor do the parallel RBM systems that have been developed for certain thematic priorities link up with the RF.</p> <p>UNHCR produces an Annual Global Report, Annual Global Strategic Priorities progress reports, and, more recently, the annual Strategic Directions progress reports which are discussed with the governing body.</p> <p>Corporate strategies are prepared on 4-year basis (e.g. UNHCR Strategic Directions 2017-21); and on a biennial basis (e.g. Global Strategic Priorities and biennial programme budget 2016-17). The GSPs are revised annually, considering changes in the global policy as well as changes in the population of concern. However, the revision of the strategies is not coherently linked to a clear set of corporate results, whose revision accords with those of the strategies.</p> <p>Corporate progress reports such as the annual Global Report and more detailed annual updates on global strategic priorities, show progress over time against corporate objectives. Each report includes anecdotal evidence on operations, global and regional initiatives' progress and challenges, but suffer from the inconsistencies stated above. The reports do not include a systematic clarification of deviations (real vs. targeted outcomes), nor do they indicate whether any changes in initial projections are required.</p>	1, 1(a), 3, 4, 5, 6, 7, 8, 29, 34, 35, 36, 37, 48, 49, 62, 63
MI 7.2 Evidence confidence	High confidence

<b>MI 7.3: Results targets set based on a sound evidence base and logic</b>		<b>Score</b>
<b>Overall MI Rating</b>		<b>Unsatisfactory</b>
<b>Overall MI score</b>		<b>1.75</b>
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives		1
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement		2
Element 3: Development of baselines are mandatory for new interventions		2
Element 4: Results targets are regularly reviewed and adjusted when needed		2
<b>MI 7.3 Analysis</b>		<b>Source document</b>
<p>Overall, the RF presents a results logic with relevant targets and indicators divided into those addressing operational and those addressing support and management GSPs. During the planning process, operations develop the results chain (population planning groups, goals, rights groups, objectives, outputs, indicators) based on the protection and solutions strategy. At corporate level, however, many targets and indicators rely on qualitative and perception data at objective level. Causal pathways are mixed, with some clear upwards logic, and some more uncertain. Moreover, whilst in principle linkages exist within the layers of the RF, with pre-determined indicators set to measure progress at the lowest level of intervention – operations – which should then link up to corporate level indicators at impact level, challenges affecting global aggregation include changes in coverage on an annual basis and the technical nature of many of the indicators, which restrict the potential for meaningful global aggregation. Staff interviews attested to the challenge.</p> <p>Detailed guidance is available for impact indicators, including when to use the indicator and how to measure it, particularly for complex “extent” indicators. However, not all of the 180 impact and 657 performance indicators are equally relevant to their intended result, with some lacking a clear link to the intended output or outcome. Many indicators still have to be unpacked to be useful in measuring UNHCR’s progress against corporate objectives, while other objectives do not yet have corresponding indicators.</p> <p>Baselines, showing the situation related to an impact indicator, are a required component of the planning process and are used to measure progress over time. Analysis is done at the operations level during the planning stage, when developing the results-chain (selection of goals, rights groups, objectives, outputs, impact and performance indicators, baselines, targets and so forth). However, staff indicated that in practice, these were not always conducted.</p> <p>Corporate results targets have been amended over the years and were reviewed at least once during the period under review. At the operations level, Planning Coordinators validate the operation’s baselines and targets each year. They ensure that baselines for impact indicators correspond to projected progress by the end of the current year and set the baseline or the following year. Progress is monitored and reported on internally at least twice a year to enable adjustments to current programming and the design of future programming. Completeness of Operations Plans data is assessed by Integrated Programme Service (HQ) on a regular basis. Missing baselines and targets are included in the compliance reports. However, the use of evidence to justify these revisions was unclear; and staff indicated that revision was sometimes ad-hoc.</p>		1, 1(a), 62, 63
<b>MI 7.3 Evidence confidence</b>	<b>High confidence</b>	

<b>MI 7.4: Monitoring systems generate high quality and useful performance data</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.43</b>
Element 1: The corporate monitoring system is adequately resourced	2
Element 2: Monitoring systems generate data at output and outcome level of the results chain	2
Element 3: Reporting structures are clear	4
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	4
Element 5: A system for ensuring data quality exists	2
Element 6: Data adequately captures key corporate results	1
Element 7: Adequate resources are allocated to the monitoring system	2
<b>MI 7.4 Analysis</b>	<b>Source document</b>
<p>Monitoring capacity in UNHCR is limited, with programme officers tasked with monitoring responsibilities. Staff located in DPSM and DIP provided monitoring guidance to the field, but dedicated expertise at country and regional level is limited. Monitoring instructions at HQ are delivered by several different entities, each one for its own specific domain (Programme, technical sectors, interagency coordination, CRRF etc.). Monitoring costs are embedded in programme budgets.</p> <p>UNHCR has a dual monitoring role: it has to monitor its own funded activities, and is in charge of monitoring the whole humanitarian community response for refugee matters, and for clusters where the organisation is the lead and co-lead in countries where clusters are activated. Against its own funded activities, a distinction is made between direct implementation by UNHCR and activities implemented by partners through Project Partnership Agreements (PPA). In both cases, detailed guidance is in place to generate relevant data at the output level. The operational data is then aggregated at the corporate level, on the basis of which UNHCR monitors and reports against corporate objectives and targets. Although detailed guidance and procedures are in place, collecting, collating and – most importantly – aggregating accurate data against stated objectives and impact indicators, has proven challenging. Interviewees signalled shortcomings, either because conditions in the ground oftentimes make it difficult to collect accurate data in a timely manner, or because of technical challenges in aggregating data, or both.</p> <p>Reporting structures are clear. Operations staff prepare progress reports (narrative + financial), which include monitoring data, and submit these to representatives. Representatives hold the overall responsibility for reviewing and signing off on reports before they are submitted to headquarters.</p> <p>UNHCR uses a prescribed timeline for sequencing of data collection and reporting, to ensure adequate aggregation of data at higher levels, leading to Corporate Annual Reports. Mid-year and end of year reports are the key reporting milestones in the UNHCR operations management cycle. In addition, ad hoc reports, often related to donor earmarking, are prepared at various times during the year. These are complemented by other more targeted reports that form part of the annual reporting cycle.</p> <p>At field level, a system exists to quality assure data, whether it involves data collected by partners or by UNHCR staff itself. Methods include document reviews, field visits, comparison of data at intermittent moments in time, participatory assessments, surveys, joint partner-UNHCR field visits, as well as remote monitoring when validating data collected by partners in places to which UNHCR has limited or no physical access. Guidance on validation is provided through the Programme Manual and <i>Emergency Handbook</i>. Interviews signalled shortcomings in data collection and validation, pointing to the challenging circumstances in the field, as well as technical problems with the RBM systems. This renders the generation of aggregate-level data against corporate indicators challenging in terms of ensuring reliability and validity.</p>	1, 2, 3, 4, 6, 7, 53, 54, 62, 63, 78
<b>MI 7.4 Evidence confidence</b>	<b>Medium confidence</b>

<b>MI 7.5: Performance data transparently applied in planning and decision-making</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.5</b>
Element 1: Planning documents are clearly based on performance data	2
Element 2: Proposed adjustments to interventions are clearly informed by performance data	2
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3
<b>MI 7.5 Analysis</b>	<b>Source document</b>
In principle, UNHCR's RBM systems encourage the use of performance evidence to make programming decisions – both to adjust ongoing programming and to design future interventions. With the exception of new interventions, Operational Plans are generally based on past performance against projected targets and impact indicators, and adjusted where necessary, taking these deviations as well as baseline assessment data into account. Monitoring of progress against objectives, budget, timeframe is compulsory and reported on internally at least twice a year. Under UNHCR's Resource Allocation Framework, the manager is authorised to adjust the operational plan – within pre-defined parameters. However, these parameters do not include a systematic review of performance data and staff indicated that the use of performance data to inform planning was often ad-hoc rather than systematic.	
Corporate performance reviews are done on the basis of Operations' progress against corporate objectives, provided through mid-year (July) and end of year (February) progress reports. These reports are recorded in FOCUS and FOCUS Reader and aggregated at HQ-level through the RBM Global Focus Insight (GFI) software, which generates aggregate budget, expenditures and results data at various levels. GFI-generated reports enable management to review corporate progress at least twice a year and, depending on implementation, resources available and other priorities, adjust as and when appropriate. Based on evidence provided in annual reports and the interviews and examples given during a presentation of the RBM systems in place, this occurs in practice in some instances, though staff indicated that this was not consistent across the organisation.	1, 5, 6, 14, 17, 54, 62, 63
Based on the internally generated performance data, UNHCR prepares various reports (e.g. Global Report, Update on Global Strategic Priorities, Financial Reports) and thematic papers which it shares and discusses with its governing bodies, donors and partners at the global, regional and country levels. Some of the data generated through the RBM software is made available on UNHCR's Global Focus website, the main operational information portal for donors and partners. This information also supports UNHCR's engagement in various other fora and initiatives such as the CRRF and Global Compact on refugees.	
<b>MI 7.5 Evidence confidence</b>	<b>High confidence</b>

KPI 8: Evidence-based planning and programming applied	KPI score
<b>Satisfactory</b>	<b>2.48</b>
UNHCR's evaluation function is building momentum, although it does not yet meet all best practice standards. UNHCR launched its strongly revised Evaluation Policy, strengthened its Evaluation Service, and issued a guidance manual (including for Quality Assurance) in 2016. A 5-year Evaluation Strategy was developed in 2017, in close consultation with staff from other Departments. The policy aims to improve evaluative coverage, with demonstrable success so far, and to foster and strengthen an organisational culture of learning and accountability for results. The new evaluation policy describes the types and potential triggers for evaluation as well as stipulating the requirement for management responses to key findings and recommendations within a clear timeframe. However, as yet, the evaluation service is not fully independent, either structurally, operationally, or in budgetary terms.	
Tracking of implementation of evaluation recommendations is improving, and systems for quality assurance are being piloted. In principle, systems are in place to ensure that poorly performing interventions are proactively identified, tracked and addressed. At this stage, few formal incentives or requirements are evident to ensure demonstration of the evidence base in designing new interventions. UNHCR does not have a formal knowledge management function as yet.	
MI 8.1: A corporate independent evaluation function exists	Score
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.57</b>
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance ( <i>operational independence</i> )	3
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation ( <i>Structural independence</i> )	1
Element 3: The evaluation office has full discretion in deciding the evaluation programme	2
Element 4: A separate budget line (approved by the Governing Body) ensures <i>budgetary independence</i>	2
Element 5: The central evaluation programme is fully funded by core funds	2
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	4
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated ( <i>Behavioural independence</i> )	4
MI 8.1 Analysis	Source document
Following critical comments from the Joint Investigation Unit (JIU) and the Office for Internal Oversight Services (OIOS), in 2016, UNHCR introduced a new Evaluation Policy, meant to align with established international norms and standards, including UN Evaluation Group (UNEG). The 2016 policy provides for the establishment of a robust, independent and professional evaluation function. It affirms the dual purpose of learning and accountability. Under the revised policy, the evaluation function is meant to enjoy both behavioural and organisational independence. In practice, the Deputy High Commissioner and High Commissioner decide which centralised evaluations will be conducted, out of a shortlist presented by the Evaluation Service.	1, 3, 7, 8, 39, 40, 43, 59, 80, 143, 144
The Head of the Evaluation Service reports to the High Commissioner – who has been appointed by the UN General Assembly – who in turn submits an annual report to UNHCR's governing body, the Executive Committee. Although not reporting to the governing body - the Head of Evaluation does prepare an annual report independently to ExCom and also has accountability to the Executive Committee. As such, the evaluation section is fairly, though not entirely structurally independent.	

Formally, according to UNHCR's Evaluation Policy, the Head of the Evaluation Service has full discretion over the preparation of the annual Centralised Evaluation Work Plan for approval by the High Commissioner and the approval and issuance of centralised evaluation reports. In practice, the selection of evaluations is adopted through a consultative approach, involving over 300 proposals from staff, with the aim to generate more support for the evaluation function internally. The results of the consultations are analysed by the Evaluation Service to determine the most strategic topics. The High Commissioner/Deputy High Commissioner, in dialogue with the Evaluation Service, then select which centralised evaluations will be conducted, out of those on the shortlist presented. For decentralised evaluations, decision-making authority rests with the divisions, regional bureaus, regional or country representations, with an advisory, technical support and quality assurance role for the Evaluation Service.

The evaluation budget line is a separate budget line in the budget submitted to UNHCR's Executive Committee for approval. While subject to availability of funds overall for the organization, the Evaluation Service budget has been steadily increasing, and once the spending authority has been approved it can be expended fully at the discretion of the head of Evaluation. Since 2013, the core allocation for evaluations has steadily increased, from USD 1.58 million in 2013, to USD 2.76 million in 2017. The 2018 budget shows a further increase, to USD 6.48m, approx. 0.16% of an estimated USD4bn total expenditure. The financing of decentralised evaluations requires divisions, regional bureaux, regional and country offices to allocate resources from their approved annual budgets. Depending on the availability of funds, these may be supplemented as appropriate by the Evaluation Service. Systematic tracking of expenditure on evaluation across the organisation will be pursued, as part of the evaluation policy. Approval of the budget is provided by the High Commissioner; therefore, the evaluation function does not have full budgetary independence.

UNHCR's 2016 pilot Guidance on Evaluation requires that the evaluation manager submits a final evaluation report for final approval to the Head of the Evaluation Service (for centralised evaluation) or to the senior manager who commissioned the decentralised evaluation. Both evaluation types are commented on by senior management at central and decentralised level respectively. Hence, the Head of the Evaluation Function possesses the discretionary powers necessary to submit reports to the appropriate level for discussion and action.

The Guidance on Evaluation and related Quality Assurance states that the evaluation principles of independence, impartiality, credibility and utility are to be adhered to at all stages of the evaluation. Evaluations are to be conducted by external, independent consultants "*without undue influence or pressure from any party, including the programme being evaluated.*" Building on these principles, the 2018-2022 strategy lays out how the policy will be implemented across various types of evaluations and (self-)assessments, with clear lines of authority and responsibility for each. Evaluations do not indicate any compromises of behavioural independence in methodologies.

1, 3, 7, 8, 39, 40, 43, 59,  
80, 143, 144

**MI 8.1 Evidence confidence**

**High confidence**

<b>MI 8.2: Consistent, independent evaluation of results (coverage)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.8</b>
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	3
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	3
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	3
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	3
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	2
<b>MI 8.2 Analysis</b>	<b>Source document</b>
The 2016 Evaluation Policy and pilot Guidance Manual lay out the principles to ensure coverage, quality assurance and use of finding. Evaluations are deemed fundamental to support UNHCR's accountability, learning and the continual improvement of UNHCR's performance. In terms of coverage, while the evaluation policy distinguishes between centralised and decentralised evaluations, the Evaluation Strategy goes further, adding rapid (or 'hybrid') evaluations and longitudinal evaluations. The number of evaluations is growing substantially, from 5 in 2017 to 20 in 2018. However, coverage norms are not established.	
The pilot Guidance on Evaluations and related Quality Assurance Manual (2016) provides general guidance on conducting evaluations in UNHCR, outlining the different categories of evaluations and their uses. The 2017 Strategy subsequently added Rapid and Longitudinal evaluations to the mix, plus a targeted number of evaluations for 2018 (i.e. an Evaluation Work Plan). These are yet to be incorporated in the Guidance Manual.	39, 40, 143, 144
As part of UNHCR's professionalisation process, the 2018-2022 Evaluation Strategy forms the basis for annual planning and budgeting. The strategy sets out four pillars of work (Coverage, Utility, Capacity Development, and Linkages), and includes a list of foreseen evaluations for the first year. The Evaluation Strategy mentions that UNHCR will significantly expand its evaluation coverage by introducing four types of centralised evaluations (rapid evaluations; strategic evaluations; institutional evaluations; and longitudinal evaluations). The 2018 Evaluation Workplan shows both an increase in the number of centralised evaluations, and broader coverage across all four types of centralised evaluations.	
Since 2016, when the revised Evaluation Policy and Evaluation Guidelines were published, the number of evaluations has increased. Survey responses indicate that, in recent years at least, UNHCR is committed to follow through to ensure evaluations are carried out, with 80% (85/106) respondents rating UNHCR as excellent, very good or fairly good on ensuring that requirements for evaluation were followed through. With only nine decentralised evaluations foreseen in the 2018 Evaluation Plan, the number and coverage of decentralised evaluations remains low.	
<b>MI 8.2 Evidence confidence</b>	<b>High confidence</b>

<b>MI 8.3: Systems are applied to ensure the quality of evaluations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	2
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	2
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3
Element 4: The methodology presented includes the methodological limitations and concerns	2
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	1
<b>MI 8.3 Analysis</b>	<b>Source document</b>
The 2016 Evaluation Policy states that all UNHCR-commissioned evaluations must follow internationally recognised norms, standards and guidelines, in particular those developed by the UNEG. At centralised level, since the advent of the 2016 Evaluation Policy, this includes quality assurance of Terms of Reference, recruitment processes, design and implementation.  Prior to the new Evaluation Policy, however, UNHCR did not have a formal requirement on evaluation standards in place. Examples of past and more recent evaluations indicate variable application of quality standards, particularly those conducted prior to the current Policy.  Thus, the quality of methodologies applied to the evaluations assessed, is variable. Several of the evaluations undertaken prior to the publication of the 2016 Evaluation Policy, and those undertaken afterwards, show a variety of methods are applied which are relevant to the evaluation object. Data is collected from different sources (documents, surveys, interviews, field visits and others) and in some cases triangulation is applied to ensure the validity and reliability of results. However, this is not consistent across the sample of evaluations reviewed.  Of the 18 evaluation reports and 3 reviews analysed, 16 evaluations and 3 reviews present in a complete and balanced way the evidence, findings, conclusions and recommendations, with all evaluation questions presented and answered. Analysis does not indicate presence of bias. 2 evaluations do not meet these standards.  Of the 18 evaluation reports and 3 reviews analysed, 13 evaluations and 1 Review include a separate section on evaluation limitations or constraints. 4 evaluations and 2 Reviews do not include a section on limitations, while 1 evaluation does, though these are limited in their formulation and mitigation strategies are not presented.  The 2016 pilot 'Guidance on Evaluation and Related Quality Assurance' provides guidance on how UNHCR can and should improve the quality of evaluations. All centralised evaluations carried out since the issuance of the Evaluation Policy have benefitted from quality assistance by the Evaluation Service. This includes decentralized evaluations for which the Evaluation Service reviews and quality assures all products from draft ToRs to final reports. All evaluations are placed in the public domain with a management response. However, the Evaluation policy and guidance do not provide for independent quality assurance, and no formal systems are available to conduct quality assurance or assessment either externally or internally.	39, 40, 55, 56, 63, 64, 66, 67, 68, 69, 71, 72, 73, 74, 75, 76, 77, 80, 145, 146, 240, 241
<b>MI 8.3 Evidence confidence</b>	<b>High confidence</b>

<b>MI 8.4: Mandatory demonstration of the evidence base to design new interventions</b>		<b>Score</b>
<b>Overall MI Rating</b>		<b>Unsatisfactory</b>
<b>Overall MI score</b>		<b>2</b>
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions		2
Element 2: Clear feedback loops exist to feed lessons into new interventions design		3
Element 3: There is evidence that lessons from past interventions have informed new interventions		2
Element 4: Incentives exist to apply lessons learnt to new interventions		2
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public		1
<b>MI 8.4 Analysis</b>		<b>Source document</b>
In the 2016 Report of the Board of Auditors, UNHCR's commitment to improving systems and to innovating the way it delivers its programmes was acknowledged. Currently, however, the Programme Manual (Chapter 4) does not require to demonstrate how lessons from past interventions have been considered in the design of new interventions.		
However, management's recent commitments in this area, as reflected in the Strategic Directions 2017-2021, suggest intent to improve. Additionally, there is growing evidence of feedback loops to feed lessons into new intervention designs. The updated 2017 Global Appeal notes lessons learned from evaluations as a source for policy and strategy development/revision at the thematic, regional and country levels. UNHCR's policy on emergency response activation, leadership and accountabilities is also being revised and updated based on lessons learned from emergencies in 2015 and 2016. Examples from the field were also given during interviews, such as Mexico, where monitoring and evaluation information informs programming.		
There is some evidence that in the past, experiences and lessons learned did not sufficiently and systematically inform new interventions. The programme manual does not mandate this; consequently, country and regional documentation does not systematically reflect lessons learned. One evaluation explicitly states that UNHCR has not always sufficiently generated or strategically used evidence to inform national decision-making and policy formulation around solutions. Another evaluation calls upon UNHCR to develop a level of strategic thinking and planning that benefits from over 50 years of academic research and practice. Management responses to recent evaluations indicate that evaluation findings are now being used to amend or adapt interventions. More recently, in 2018, the Evaluation Service has used various means to communicate evaluation findings and lessons, including workshops, seminars and events.		
Some incentives are available to help UNHCR apply lessons learned to new interventions; these include the 2016 pilot Guidance on Evaluation and related Quality Assurance, which encourages staff to incorporate evaluation results and apply lessons learnt to inform new interventions. UNHCR is also expanding the technical capacity of the Evaluation Service itself, building capacity more broadly among staff, and increasing the availability of evaluations. However in the absence of a mandatory requirement in the Programme Manual and through programme approval processes, incentives are not consistent across the organisation.		
The number or share of new operations designs that draw on lessons from evaluative approaches is neither formally captured nor made public. Survey responses largely rated UNHCR positively here, however, with 77% of respondents (90/117) rating the organisation as 'excellent, very good or fairly good' on whether its new intervention designs include a statement of the evidence base (what has been learned from past interventions).		
<b>MI 8.4 Evidence confidence</b>	<b>High confidence</b>	

<b>MI 8.5: Poorly performing interventions proactively identified, tracked and addressed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: A system exists to identify poorly performing interventions	3
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3
Element 3: A process for addressing the poor performance exists, with evidence of its use	3
Element 4: The process clearly delineates the responsibility to take action	4
<b>MI 8.5 Analysis</b>	<b>Source document</b>
In principle, the internal monitoring and reporting mechanisms should allow for identification of poorly performing interventions on a 6 or 12-monthly basis or shorter, depending on the level and nature of the operation. Survey responses suggest that in the majority of cases, this is also the case, with 82% (90 out of 110) of respondents assessing UNHCR as 'excellent, very good or fairly good' here. The various internal monitoring and reporting mechanisms enable regular tracking of all interventions, including poorly performing ones. Mid-Year and End of Year Reviews are the main mechanisms involved. Substantive guidance, templates and administrative instructions on reporting, at operations and other levels, are available on the Intranet. Survey responses were also positive here, with 85% (106/124) of respondents rating UNHCR as 'excellent, very good or fairly good'. Monitoring processes are well established, as are the mechanisms for Mid-Year and End of Year reviews of country level activity. These are described in detail in the Programme Manual and Emergency Handbook Manual. The Programme Manual explains that operations must update their plans to reflect changes in the operating environment and/or data gathered through performance monitoring. This allows for the identification of poorly performing interventions on an ongoing basis. At the operational level, delineation of responsibility to act at different levels is clear, both for operations under direct implementation, as well as activities carried out by implementing partners. The Global Management Accountability Framework (GMAF) comprehensively maps accountabilities, responsibilities and authorities (ARAs), including for programme adjustment when under-performance is identified. Depending on the activity's implementation modality, roles and responsibilities in monitoring are identified between the (Country) representatives; Programme Staff, Protection staff, Project Control; Supply; Technical specialists; and Information Management. Staff interviews confirmed that these roles are implemented in practice.	4, 39, 55, 62
<b>MI 8.5 Evidence confidence</b>	<b>High confidence</b>

<b>MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.4</b>
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	2
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	4
Element 3: A timeline for implementation of key recommendations is proposed	4
Element 4: A system exists to regularly track status of implementation	2
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	0
<b>MI 8.6 Analysis</b>	<b>Source document</b>
The 2016 Evaluation Policy formally requires management responses to key findings and recommendations put forward in the evaluation report within two months from the date of dissemination of the report. This was not always the case with past evaluations. Management responses to all 18 evaluations analysed are available online and comply with relevant UNEG Guidance (though those for previous evaluations are not consistently available). The Evaluation Service uses evaluation reports to underpin the internal dialogue to discuss and internalise the findings and render evaluations part of an organisational learning culture. The Evaluation Service organises action-learning workshops. Interviews point out that evaluation findings are being used by managers in the field and are helping them to further professionalise their performance.  Since the introduction of the Evaluation Policy, management responses are compulsory and apply a standard matrix as per UNEG guidance, i.e. including an action plan and (non-) agreement with recommendations, as well as an overview of responsibilities and accountabilities. Before, management responses were less systematic and not always evident. A tracking of actions in response to evaluation recommendations is included in the Management Response Matrix. A year after implementation of the management response, the Evaluation Service tracks progress by requesting an update, which is made publicly available. However, an annual report on the status of implementation of evaluation recommendations has not yet been developed.	39, 40, 64, 69
<b>MI 8.6 Evidence confidence</b>	<b>High confidence</b>
<b>MI 8.7: Uptake of lessons learned and best practices from evaluations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.33</b>
Element 1: A complete and current repository of evaluations and their recommendations is available for use	4
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	2
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2
Element 4: A system is available and used to track the uptake of lessons learned	0
Element 5: Evidence is available that lessons learned and good practices are being applied	2
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	4

MI 8.7 Analysis	Source document
<p>Evaluations are considered as one of various management decisions and corporate learning. There is a growing appetite for learning, and evaluations are one way to feed this. UNHCR's Evaluations are available on the organisation's website along with the corresponding management response. The repository categorises evaluations in three types: (1) Evaluation Service commissioned and managed evaluations, dating back to 1994; (2) decentralised evaluations (dating back to 2012); and (3) interagency and other evaluations and reviews.</p> <p>Documentation and interviews suggest that UNHCR's knowledge management and learning systems used to date were mostly informal. There is no evidence of a formal Knowledge Management function in place, other than the Evaluation Service itself, whose aim is to contribute to improved learning and accountability by systematically distilling and disseminating lessons learned.</p> <p>UNHCR has recently increased its commitment to ensure the accessibility of evaluation results, make reports publicly available through better dissemination, and actively communicate evaluation findings and conclusions. It does so both externally and internally, with seminars and discussion events held. Evidence taken from interviews suggests an increasingly systematic uptake of lessons learned, driven by the Evaluation Service, and backed by senior leadership. Evaluation findings are discussed in Senior Management meetings, on the basis of which management responses are developed. According to interview responses, a series of action-learning workshops have been held to share evaluation results and generate an internal discussion around the role and function of evaluations. However, these have mainly been internally held to date.</p> <p>In the past, however, the application of lessons learned was largely ad-hoc. There is evidence of some early change, as witnessed by the 2017 Annual Report, the 2018-2019 Global Appeal, and other examples (e.g. the response to the evaluation of cash-based interventions in Jordan). For instance, in the Global Appeal, examples are given where past performance and lessons learned informed policy and operations. However, systems for distilling and collating lessons learned are still not fully formalised; there is no system in place to track the uptake of lessons learned, and the only evidence of lessons being applied comes from evaluations, which reflect highly variable uptake and use.</p> <p>UNHCR has a policy on Information Classification, Handling and Disclosure since 2010. This also applies to evaluations. All evaluation reports and management responses are made public.</p>	31, 39, 54, 112
MI 8.7 Evidence confidence	Medium confidence

## RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way*

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and, at the regional/country level, with results contributing to normative and cross-cutting goals	KPI score
<b>Satisfactory</b>	<b>2.36</b>
<p>A substantial body of evidence from evaluations reports that interventions generated positive benefits for people of concern, with particular strengths in service delivery. There was mixed performance in the achievement of UNHCR's humanitarian objectives, with external factors, often a feature of the challenging operating environments in which UNHCR works, sometimes constraining the organisation's ability to achieve its intended results. UNHCR's interventions supported changes in national policies and programmes related to UNHCR's persons of concern, but with some opportunities missed, such as for greater advocacy and/or capacity strengthening.</p> <p>UNHCR's interventions supported the realization of human rights and protection concerns among its population of concern. Limited evidence is available from evaluations on UNHCR's effectiveness in enhancing gender equality and the empowerment of women in its interventions, and there is no evidence at all available on efforts to address environmental sustainability and climate change. Performance on supporting good governance, in the sense of building national systems to respond to persons of concern, was variable, with some good examples of effective action, but also some missed opportunities, and some short-term approaches constraining effectiveness.</p>	
<b>MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 9.1 Analysis</b>	<b>Source document</b>
Nineteen sample evaluations and reviews report on achievement against objectives. Of these, three found that the intervention largely achieved their objectives, whilst the remainder found gaps, weaknesses or missed opportunities in reaching the intended objectives. Evaluations identified a particular strength in meeting targets related to UNHCR's basic assistance mandate, with key services delivered to persons of concern. Other areas of strong performance against objectives/targets included:	55, 56, 64, 66, 67, 68, 69, 71, 72, 73, 74, 75, 76, 77, 80, 145, 146, 240, 241
<ul style="list-style-type: none"> <li>• Registering individual asylum applications and refugee applications</li> <li>• Refugee status determination</li> <li>• Issuance of birth certificates</li> <li>• The use of resettlement as a protection tool</li> <li>• Working with Governments to improve legislative frameworks governing refugees and other persons of concern</li> </ul>	

Where targets had not been reached, constraints arose partly from external challenges in UNHCR's sometimes volatile operating contexts, but also from ambitious targets, critiqued by evaluations for failing to take account of funding or other realities (nine evaluations), or the development of 'aspirational' targets (six evaluations). Eight evaluations also noted weak monitoring and reporting systems, which limited the scope to robustly assess and reflect results. For example, the evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that reported programme results were well below targets, but the evaluation team could not determine the extent to which this was due to poor performance of the country team or weaknesses of the reporting system itself. The weakest area of performance was in the areas of meeting food security and nutrition targets, and creating sustainable/durable solutions, with seven evaluations or reviews reporting unmet targets here.	55, 56, 64, 66, 67, 68, 69, 71, 72, 73, 74, 75, 76, 77, 80, 145, 146, 240, 241
<b>MI 9.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.2 Analysis</b>	<b>Source document</b>
<p>Thirteen evaluations report on outcomes for target group members were revised. Of these, nine found that UNHCR's intervention generated positive benefits for the population of concern, whilst four evaluations found gaps, weaknesses or missed opportunities.</p> <p>Key benefits delivered included:</p> <ul style="list-style-type: none"> <li>• the provision of asylum to those in need (seven evaluations)</li> <li>• the delivery of lifesaving assistance on a large scale (nine evaluations)</li> <li>• successful resettlement (four evaluations)</li> <li>• the provision of basic services for millions (eleven evaluations)</li> </ul> <p>Refugee status determination was also provided on a large scale, though evaluations found mixed results in terms of lifting participants out of poverty. For example:</p> <ul style="list-style-type: none"> <li>• The Evaluation of Resettlement Programmes in Argentina, Brazil, Chile, Paraguay, and Uruguay found that most refugees supported received positive benefits as a result of UNHCR's interventions;</li> <li>• The evaluation of the UNHCR Graduation Programme in Egypt found that the average income earned per person per month increased by 18% - 27% since joining the programme. The programme also improved the status of the majority of the participants, lifting them out of ultra-poverty (i.e. earning nothing), and supported some participants to surpass the threshold of poverty. However, the majority of programme participants could barely cover their basic needs.</li> </ul> <p>Evaluation identified scope for greater outreach, including helping refugees to raise their concerns to Governments and building their social capital and capacity to do so (four evaluations). Eight evaluations also noted a need for stronger programme design, including more coherent strategisation and closer links into national structures and processes. For example, the evaluation of UNHCR's Regional Office for Southern Africa's (ROSA) Xenophobia Related Programmes found that UNHCR ROSA provided Persons of Concern with temporary relief in certain areas. However, its efforts were compromised by the absence of a coherent, empirically informed strategy; the presence of short-term and narrow programming; and an inability to address political structures and incentives.</p>	55, 64, 67, 68, 69, 71, 72, 75, 76, 145, 146, 240, 241
<b>MI 9.2 Evidence confidence</b>	<b>High confidence</b>

<b>MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms</b> <i>(This indicator is applied to UNHCR in the sense that the organisation primarily contributes to national development policies and programmes aimed to enhance the protection of persons of concern to the Office (refugees, stateless, returnees and IDPs) in the context of UNHCR's actions to support a stronger nexus between humanitarian and development programmes, and within the context of the SDGs and 'leaving no one behind':)</i>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.3 Analysis</b>	<b>Source document</b>
<p>Nine evaluations report on significant changes in national policies and programmes related to UNHCR's persons of concern, or needed system reforms were revised. Of these, six found that UNHCR successfully contributed to improving national policy and system reforms for the population of concern. These positive contributions arose from application of UNHCR's core areas of expertise to the policy environment, such as helping build or enhance national policies for persons of concern, and enhancing legal frameworks for refugee status determination. For example:</p> <ul style="list-style-type: none"> <li>The 2016 Evaluation of UNHCR's Emergency Response to the influx of Syrian refugees into Turkey found that <i>'Turkey provides an extraordinarily welcome policy and legal environment for refugees... While the bulk of the recognition for this achievement must go to the government and people of Turkey, there is no doubt that UNHCR's patient policy advice and technical support were instrumental both in the framing of this legislation, and in the building of the national institutions to implement it.'</i></li> <li>The 2015 Formative Evaluation of the Refugee Status Determination (RSD) Transition Process in Kenya found that UNHCR successfully contributed to the initiation of an intended Kenyan 'National Policy on Refugees and Asylum Seekers', and that it achieved this by dedicating consistent efforts to build partnerships with national stakeholders.</li> </ul> <p>Factors supporting results included the positive image and leverage resulting from UNHCR's support in large-scale emergencies and its capacity to work in close partnership with national stakeholders. However, evaluations also identified missed opportunities for advocacy with key stakeholders, such as through the generation and use of evidence to influence policy change.</p> <p>UNHCR also consistently prioritised service delivery over more strategic, policy-focused engagement, with some interventions disconnected from national systems and structures. At times its actions were characterised as reactive, rather than strategic. For example, the evaluation of Resettlement Programmes in Argentina, Brazil, Chile, Paraguay, and Uruguay found that Governments and their National committees for Refugees were almost totally disconnected from the resettlement programme post refugee arrival. Scope for greater advocacy and engagement existed. Similarly, the evaluation of UNHCR and the Response to Syrian Refugees in Jordan and Lebanon noted a pattern of UNHCR's response being reactive rather than strategic. It observed that UNHCR lacked a strategy linking with the Governments in Lebanon and Jordan to further facilitate the entry of other assistance and development actors (while maintaining UNHCR's focus on refugees). Though the Management Response to the evaluation reports that the issue was currently being addressed.</p>	64, 66, 68, 71, 73, 76, 77, 240, 241
<b>MI 9.3 Evidence confidence</b>	<b>High confidence</b>

<b>MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women</b>	<b>Score</b>
<b>MI Rating</b>	<b>Highly unsatisfactory</b>
<b>MI score</b>	<b>0.5</b>
<b>MI 9.4 Analysis</b>	<b>Source document</b>
<p>Only eight evaluations of the total sample examined report substantively on gender results. All find that insufficient technical capacity for gender mainstreaming, alongside limited analysis and data gaps, hindered the achievement of gender-related results. For example:</p> <ul style="list-style-type: none"> <li>The evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that while many individual UNHCR and partner staff were gender aware, the absence of a strong and shared gender analysis linked to a gender strategy led to fragmented activities, with lost opportunities for coordination and leverage.</li> <li>The evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that critical SGBV response services were set up, but insufficient capacity building of SGBV partners and weak harmonisation resulted in low quality and underutilised services, weak case management and weak prevention mechanisms, even if studies on SGBV incidents among South Sudanese refugees indicated high levels of prevalence.</li> </ul> <p>Evaluations also report that UNHCR's gender-related results are also commonly understood as Sexual and Gender Based Violence (SGBV); they report that UNHCR adopted a mostly reactive approach, with services provided to survivors, but insufficient attention to addressing the systemic causes of SGBV and building national capacities to respond. For example, the 2016 evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that critical SGBV response services were set up, but insufficient capacity building of SGBV partners and weak harmonisation resulted in low quality and underutilised services, weak case management and weak prevention mechanisms, despite comparatively high SGBV prevalence and high underreporting.</p>	68, 72, 73, 74, 75, 146, 240, 241
<b>MI 9.4 Evidence confidence</b>	<b>High confidence</b>
<b>MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change</b>	<b>Score</b>
<b>MI Rating</b>	
<b>MI score</b>	<b>N/E</b>
<b>MI 9.5 Analysis</b>	<b>Source document</b>
Insufficient evidence was available in evaluations to report against this indicator.	
<b>MI 9.5 Evidence confidence</b>	

<b>MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1.c)</b>		<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>	
<b>MI score</b>	<b>2.5</b>	
<b>MI 9.6 Analysis</b>	<b>Source document</b>	
<p>UNHCR has helped improve the legal environment for persons of concern but can do more to build national capacities, including by undertaking thorough analysis. Eleven evaluations report on having helped improve good governance, with six reporting some significant gains but five identifying missed opportunities, gaps or weaknesses.</p> <p>Of the six evaluations reporting positive gains, these noted capacity improvements in a range of areas, including those for child protection, refugee status determination, and refugee/asylum seeker registration. Co-ordination mechanisms were also established or supported at national level in a range of key areas, to support national systems addressing the needs of persons of concern. For example, the Independent Programme Evaluation of UNHCR's Response to the refugee influx in Lebanon and Jordan found that in Jordan, UNHCR-led efforts were effective in strengthening capacity development and coordination mechanisms and improving quality of services for children.</p> <p>Supporting factors included adopting, in some interventions, a graduated approach, where capacities/legislative reforms were built incrementally over time, and applying in some interventions a comprehensive strategy for capacity development, rather than implementing 'one-shot' training initiatives. However, six evaluations reported weak ex-ante analysis of national capacity gaps, meaning that mitigation strategies were not built into design or implementation, and/or short programming cycles, which meant that a short-term (i.e. 'training') rather than a medium-term or systemic approach was adopted.</p>		64, 66, 67, 69, 71, 73, 74, 75, 80, 240, 241
<b>MI 9.6 Evidence confidence</b>	<b>High confidence</b>	
<b>MI 9.7: Interventions assessed as having helped improve human rights</b>		<b>Score</b>
<b>MI Rating</b>	<b>Highly satisfactory</b>	
<b>MI score</b>	<b>3.5</b>	
<b>MI 9.7 Analysis</b>	<b>Source document</b>	
<p>Fourteen evaluations and reviews report on UNHCR's efforts to realise human rights. All find positively, with a variety of rights realised for populations of concern. These include access to territory, asylum and refugee rights. For example, the Independent Programme Evaluation of UNHCR's Response to the refugee influx in Lebanon and Jordan found that in Lebanon, UNHCR has been especially effective achieving its primary objective: access to territory and respect of refugee rights. UNHCR's advocacy efforts enabled it to achieve improvements in terms of refugee rights protection, in a difficult context with few applicable legal precedents. Progress was being made on community participation and reaching out to the most vulnerable in a context in which the refugees are highly dispersed.</p> <p>Low or no cases of refoulement arose in interventions studied, and national stakeholders and populations of concern had greater awareness of their rights as a result of UNHCR's interventions.</p> <p>All evaluations record that UNHCR aligned its work with international legal and normative frameworks related to refugees, international humanitarian law, international human rights law and international refugee law in order to deliver on its commitments to human rights.</p>		64, 68, 72, 73, 76, 77, 80, 81, 88, 92, 145, 146, 240, 241
<b>MI 9.7 Evidence confidence</b>	<b>High confidence</b>	

<b>MI 9.8: Interventions assessed as having helped improve protection</b>	<b>Score</b>
<b>MI Rating</b>	<b>Highly satisfactory</b>
<b>MI score</b>	<b>3.5</b>
<p>As 'core business' of UNHCR, all nineteen evaluations and reviews report on the achievement of protection concerns. All report positively, with UNHCR having helped protect populations of concern, whether refugees, internally displaced persons or other vulnerable groups. For example:</p> <ul style="list-style-type: none"> <li>The Evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that in Uganda, several protection outcomes relating to access to territory and asylum were achieved: South Sudanese asylum seekers were granted <i>prima facie</i> refugee status and no cases of refoulement were reported. Refugees had continuous access to Ugandan territory, asylum and protection.</li> <li>The 2015 Evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that UNHCR had provided support to the Government of Turkey in passing two pieces of progressive legislation to protect refugees. In doing so, UNHCR contributed significantly to the protective environment for Syrian refugees in Turkey, particularly by focusing on the legal and institutional framework needed for Syrians to be registered and to access social services.</li> <li>The 2017 evaluation of UNHCR's leadership of the Global Protection Cluster and Field Protection Clusters (FPCs) effectiveness of UNHCR's cluster leadership in delivering the six core functions of cluster coordination at field level was mixed: FPCs have performed most consistently well in their support to service delivery, in providing protection analysis and, linked to this, support to advocacy on the protection of civilians (though performance of FPCs was far more variable in determining strategic priorities and in developing work plans, which negatively impacted their ability to monitor their performance).</li> </ul>	55, 56, 64, 66, 67, 68, 69, 71, 72, 73, 74, 75, 76, 77, 80, 145, 146, 240, 241
<b>MI 9.8 Evidence confidence</b>	<b>High confidence</b>
<b>KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.17</b>
Overall, evaluations find that UNHCR's interventions were highly relevant to the needs of persons of concern, supported by comprehensive and participatory needs assessments. Interventions helped contribute to the realisation of national goals and objectives, with a particular strength in supporting service delivery, though evaluations identify scope for improved coherence in implementation, particularly with sister UN agencies.	
<b>MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>

<b>MI 10.1 Analysis</b>	<b>Source document</b>
<p>Fifteen evaluations report on having responded to the needs/priorities of target groups. Of these, all found that UNHCR had successfully targeted persons of concern, whether refugees, internally displaced persons or other forcibly displaced individuals. Examples include:</p> <ul style="list-style-type: none"> <li>The Evaluation of the Emergency Shelter and Non-Food Items Cluster in the Ukraine found a satisfactory prioritisation of activities in relation to expressed needs, (though some informants expressed the need to refine this prioritisation)</li> <li>The Independent Programme Evaluation (IPE) of UNHCR's Response to the refugee influx in Lebanon and Jordan found UNHCR had performed well in terms of responding to needs, collecting and organising vast amounts of data on the refugees and their social, economic, and developmental needs</li> </ul> <p>This success arose from strong use of participatory needs assessments, as well as a high degree of responsiveness to needs, whether in terms of the provision of basic services, resettlement, or other needs.</p> <p>However, eight evaluations also noted gaps in data and long-term strategic planning which constrained UNHCR's ability to address the priorities of people of concern. One-way communication flows were also identified in four evaluations, with persons of concern receiving less information than their entitlements under AAP commitments. For example, the Evaluation of Resettlement Programmes in Argentina, Brazil, Chile, Paraguay, and Uruguay found that UNHCR had generally responded well to identified needs, but that information flows concerning the resettlement country varied. Where refugees had not received sufficient information, this led to more challenges in the resettlement process. Insufficient consultation with persons of concern also arose in two evaluations.</p>	55, 64, 66, 67, 68, 71, 72, 73, 74, 75, 76, 80, 146, 240, 241
<b>MI 10.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 10.2 Analysis</b>	<b>Source document</b>
<p>Of the twelve evaluations reporting in this area, all find that interventions were strongly aligned to national priorities for the population of concern. Examples include:</p> <ul style="list-style-type: none"> <li>The Evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that the UNHCR-coordinated response and the Ethiopian Government's strict adherence to the principle of non-refoulement, in partnership with UNHCR, enabled life-saving activities to be implemented, rapidly decreasing the high levels of malnutrition and along with it associated mortality.</li> <li>The evaluation of UNHCR's Regional Office for Southern Africa's (ROSA) Xenophobia Related Programmes found that where national government had a strategic priority but lacked a policy related to xenophobia, as in South Africa, UNHCR had initiated a number of partnerships and working relationships with relevant stakeholders to start to build policy frameworks.</li> </ul> <p>Key areas of strength included service delivery to populations in need, and the provision of asylum processing, which were priorities for governments. For instance, in Turkey, with UNHCR advice and support, the government set standards for camps that met or exceeded SPHERE standards, and UNHCR and Government of Turkey worked in partnership to enable the design and delivery of effective psycho-social services to Syrian refugees.</p>	56, 64, 66, 68, 70, 71, 73, 76, 77, 146, 240, 241

However, five evaluations also record some missed opportunities, below the level of strategic alignment, to link interventions more closely with national systems and priorities. Three evaluations note that a reduced emphasis on advocacy, with service delivery favoured instead, saw UNHCR's influence on policy formulation decline.	56, 64, 66, 68, 70, 71, 73, 76, 77, 146, 240, 241
<b>MI 10.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 10.3 Analysis</b>	<b>Source document</b>
<p>Fourteen evaluations report on having been delivered as part of a coherent response to an identified problem. Of these, six found that UNHCR had implemented its interventions coherently with partner agencies and/or led overarching co-ordination of refugee responses well. However, eight found gaps, weaknesses or missed opportunities.</p> <p>Examples of positive findings include:</p> <ul style="list-style-type: none"> <li>The evaluation of the Emergency Shelter and non-food items Cluster in the Ukraine found that overall the Shelter Cluster, led by UNHCR, was perceived as one of the strongest and most relevant clusters of the response. UNHCR as the lead agency provided resources, capacity, and competent staff allowing the Shelter Cluster Team to be able to operate effectively and take leadership of the sector. UNHCR anticipated this leadership role by proactively setting up a sectoral working group prior to the activation of the cluster system.</li> <li>The evaluation of UNHCR's Regional Office for Southern Africa's Xenophobia Related Programmes found that the Protection Working Group had engendered concrete partnerships and collaborations between UNHCR and other organisations.</li> <li>The 2017 evaluation of UNHCR's leadership of the Global Protection Cluster found that UNHCR's leadership of the protection cluster had provided important support to field coordination and delivery of protection programming.</li> </ul> <p>However, eight evaluation or reviews found gaps or weaknesses, most commonly arising from co-ordination deficiencies, including a lack of interaction between UNHCR and its UN partners and/or competing co-ordination structures; and a lack of joint strategic planning which resulted in disjointed operational approaches. For example:</p> <ul style="list-style-type: none"> <li>The 2015 Evaluation of Resettlement Programmes in Argentina, Brazil, Chile, Paraguay, and Uruguay found several key problems in the arenas of roles, responsibilities, communication, and coordination. The most striking was the lack of interaction and engagement among the three entities as a group on an ongoing basis.</li> <li>The Evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found no mechanism obliging agencies to be horizontally coherent. It found that UNHCR had improved co-ordination on education with UNICEF, but that the two agencies were implementing different strategies. Challenges were also reported in co-ordination, including competing coordination structures, lack of strategic planning which resulted in a disjointed response (for example, UNICEF and UNHCR initially did not agree on the preferred medium of instruction in education) and high burdens on staff and management.</li> </ul>	55, 64, 66, 67, 68, 70, 71, 73, 74, 76, 145, 146, 240, 241

<ul style="list-style-type: none"> <li>The evaluation of leadership of the Global Protection Cluster and Field Protection Clusters found that UNHCR's cluster leadership in delivering the six core functions of cluster coordination at field level was mixed, with stronger results in service delivery providing protection analysis and advocacy; but with weaknesses in determining strategic priorities and in developing work plans to support monitoring.</li> </ul>	55, 64, 66, 67, 68, 70, 71, 73, 74, 76, 145, 146, 240, 214
<b>MI 10.3 Evidence confidence</b>	<b>High confidence</b>
<b>KPI 11: Results delivered efficiently</b>	<b>KPI score</b>
<b>Highly unsatisfactory</b>	<b>1</b>
Cost efficiency was assessed as highly variable by evaluations, with some strong examples of internal efficiencies, but weaknesses/missed opportunities/a lack of prioritisation was identified in operational activity, which constrained scope for cost-efficiency. Timeliness was similarly mixed, with weaknesses sometimes due to challenging external conditions, but also arising from planning and implementation weaknesses in UNHCR's interventions.	
<b>MI 11.1: Interventions assessed as resource/cost efficient</b>	<b>Score</b>
<b>MI Rating</b>	<b>Highly unsatisfactory</b>
<b>MI score</b>	<b>0.5</b>
<b>MI 11.1 Analysis</b>	<b>Source document</b>
<p>10 out of 12 relevant evaluations and reviews found scope for improvement in UNHCR's cost-efficiency. Where efficiencies had arisen, these had been created by strong staff contributions, policy refinement, technological advances and strengthened partnerships. For example, the evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that efficient and timely registration procedures were set up for refugees at appropriate locations in reception points and transit centres and registered 100% of refugees.</p> <p>Weaknesses stemmed from a range of factors. These included inefficiencies in case management for refugees; the lack of a prioritisation of efficiency concerns, with a consequent lack of integration into operational management; missed opportunities for cost reductions; the use of parallel processes which could have been harmonised; a lack of strategic planning; and poor co-ordination, which led to duplication and inefficiencies arising from fragmented activities. For example:</p> <ul style="list-style-type: none"> <li>The evaluation of UNHCR's Response to the refugee influx in Lebanon and Jordan found that efficiency, while recognised as important, was not integrated into operational management, and so remained ad-hoc and limited. More importantly, it was normally addressed from a budget perspective rather than in terms of operational efficiency. The lack of an integrated, operational focus on efficiency was considered due to a lack of sufficient attention, management skills, and available information, but also to the nature of UNHCR/UN accounting standards.</li> <li>The Formative Evaluation of the Refugee Status Determination Transition Process in Kenya identified three key areas of weak efficiency including parallel registration processes by UNHCR and Government of Kenya: the need to establish the appeal process (which required Government support); and problems with recruitment and retention of staff within Government of Kenya, with high turnover impeding UNHCR's efforts to build capacity</li> <li>The evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey noted many inefficiencies mostly linked to poor co-ordination but including lack of strategic planning and inadequate data sharing, as well as the absence of a host country agreement with Turkey.</li> </ul>	55, 56, 64, 67, 68, 70, 72, 73, 75, 80, 146, 241
<b>MI 11.1 Evidence confidence</b>	<b>High confidence</b>

<b>MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 11.2 Analysis</b>	<b>Source document</b>
<p>The majority of relevant evaluations (8 out of 10) reported that despite UNHCR's strong capacity for immediate responses, its interventions experienced delays at various points. In several cases, these delays arose from challenges in UNHCR's volatile operating contexts, which limited the scope for timely implementation. However, evaluations also identified internal constraints which impeded timeliness. These included a lack of co-ordination and/or confusion between UNHCR and sister UN agencies, such as occurred in Lebanon and Jordan, despite wider strengths in co-ordination, as well as unrealistic planning and design. For example:</p> <ul style="list-style-type: none"> <li>The evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that UNHCR applied planning and programming tools that were not well-suited to the Turkey context, leading to implementation delays. The evaluation of UNHCR's response to the refugee influx in Lebanon and Jordan notes that from a field perspective, competition for leadership between UNICEF and UNHCR created confusion and ambiguity and in some cases delayed the response.</li> <li>The evaluation of UNHCR's Regional Office for Southern Africa's Xenophobia Related Programmes found that changes in the original plan and funding arrangement contributed significantly to weaknesses in delivery - objectives and expected outcomes from the original plan were maintained even when timeframe and budget were significantly reduced.</li> </ul> <p>Two evaluations related to the Syria regional response also noted that UNHCR's ability to be effective in a challenging programming environment was hampered by a slow build-up of programming and staff, as well as slowness in scaling up responses when conditions required it.</p>	64, 66, 67, 68, 70, 71, 72, 74, 80, 241
<b>MI 11.2 Evidence confidence</b>	<b>Medium confidence</b>
<b>KPI 12: Sustainability of results</b>	<b>KPI score</b>
<b>Unsatisfactory</b>	<b>1.5</b>
Evaluations find that links to transition/durable solutions, where applicable, have been inconsistently implemented, with scope for increased strategising and implementation of appropriate mechanisms. In terms of the likelihood of sustainability, there is little evidence of UNHCR building sufficient institutional and/or community capacity for sustainability, or its interventions being absorbed by government – sometimes due to factors beyond UNHCR's control -. Evaluations, however, find some positive examples where UNHCR's interventions have contributed to strengthening the enabling environment for the protection of, and durable solutions for, the needs of persons of concern. However, many evaluations also highlight the lack of long-term strategic planning in UNHCR's interventions.	
<b>MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term development results</b> ( <i>This indicator is applied to UNHCR in the sense that UNHCR primarily contributes to national policies and programmes aimed to enhance the protection of persons of concern to the Office (refugees, stateless, returnees and IDPs) in the context of UNHCR's actions to support a stronger nexus between humanitarian and development programmes, and within the context of the SDGs and 'leaving no one behind'.</i> )	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>

MI 12.1 Analysis	Source document
<p>Ten evaluations report present evidence against this indicator. Partly due to the nature of UNHCR's interventions, 9 out of 10 found limited measures to link humanitarian interventions to transition, recovery or resilience initiatives or, eventually, to longer-term developmental results.</p> <p>Positively, evaluations report that UNHCR has made some adjustments to shifting its structure and thinking to accommodate links to development, and has in some contexts prioritised capacity development, which augurs well for continued benefits in the future. It also has prioritised national ownership in some interventions. For example, the evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that UNHCR Turkey appropriately focused a major part of its efforts on strengthening the capacity of national NGOs, as well as helping build up the new Government ministry with material assistance, technical advice and training. A high degree of local ownership suggested good prospects for the sustainability of a favourable protection and assistance environment. However, the evaluation notes several important measures outstanding that UNHCR could take to consolidate sustainability, specifically, maintaining its focus on the regulatory and enabling environment, continuing to transition to the community-based protection model, and maintaining the broader resilience dimension of the Regional Refugee and Response Plan and strategic communications.</p> <p>Overall, however, evaluations report that UNHCR is still operating under a largely short-term humanitarian operating model and mindset, with limited planning for, or operationalisation of, sustainable solutions. Durable solutions have experienced only limited success for persons of concern in protracted refugee situations, and opportunities to influence or affect the regulatory and enabling environment have not been consistently seized. Examples include:</p> <ul style="list-style-type: none"> <li>The evaluation of UNHCR's response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that UNHCR's response lacked a strategy to ensure sustainability and faced major challenges to support refugee self-reliance. Whilst a strategy had been developed to address these issues, it lacked operational details, as well as government approval and funding certainty.</li> <li>The Evaluation of UNHCR and the response to Syrian Refugees in Jordan and Lebanon found that in Jordan, UNHCR's strategy in the country at the time addressed mostly short-term needs with limited attention paid to durable solutions and that, in Lebanon, UNHCR's strategy of reliance on partnership with the World Bank to provide development interventions in support of humanitarian action had provided insufficient concrete results.</li> </ul>	64, 66, 67, 71, 72, 73, 74, 75, 76, 241
MI 12.1 Evidence confidence	High confidence
<b>MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government</b> (This indicator applies to UNHCR in the sense that UNHCR primarily contributes to national development policies and programmes aimed to enhance the protection of persons of concern to the Office (refugees, stateless, returnees and IDPs) in the context of UNHCR's actions to support a stronger nexus between humanitarian and development programmes, and within the context of the SDGs and 'leaving no one behind').	Score
MI Rating	Unsatisfactory
MI score	1.5
MI 12.2 Analysis	Source document
Of nine evaluations reporting on the extent to which UNHCR's interventions have built institutional and/or community capacity for sustainability, just over half (5) find some capacities built, but also some opportunities missed. The remaining four find limited efforts to build capacities, and consequently few gains arising.	

Of nine evaluations reporting on the extent to which UNHCR's interventions have built institutional and/or community capacity for sustainability, just over half (5) find some capacities built, but also some opportunities missed. The remaining four find limited efforts to build capacities, and consequently few gains arising.

Positively, where UNHCR's interventions had resulted in capacity gains, these arose from dedicated tailoring of its interventions to the needs of stakeholders, as well as strong responsiveness in terms of capacity strengthening services provided. Examples include:

- The Independent Programme Evaluation of UNHCR's Response to the refugee influx in Lebanon and Jordan found that in Jordan, UNHCR-led efforts were effective in strengthening capacity development and coordination mechanisms and improving quality of services for children.
- The Formative Evaluation of the Refugee Status Determination (RSD) Transition Process in Kenya found that UNHCR's activities were directly relevant to the goal of equipping the Government's Department of Refugee Affairs to assume its responsibilities in the envisaged timeframe.

64, 66, 67, 71, 72, 73,  
74, 75, 241

However, weaknesses identified included a lack of thorough ex-ante analyses; a lack of prioritisation of capacity strengthening in intervention design; and a tendency to interpret capacity strengthening as 'training' rather than adopting a more systems-focused approach. For example, despite strong support to government in setting standards for refugee camps, the evaluation of UNHCR's Emergency Response to the influx of Syrian Refugees into Turkey found that UNHCR had not placed sufficient priority on strengthening the capacity of the Turkish SGBV response and advocacy bodies.

Evaluations report that external factors also constrained effectiveness, such as non-implementation of national legislation and challenges in recruiting and retaining high-calibre government staff.

<b>MI 12.2 Evidence confidence</b>	<b>High confidence</b>
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<b>MI 12.3: Interventions assessed as having strengthened the enabling environment for development</b> ( <i>This indicator applies to UNHCR in the sense of an enabling environment focused on protection of and durable solutions for UNHCR's persons of concern</i> )	<b>Score</b>
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<b>MI Rating</b>	<b>Unsatisfactory</b>
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<b>MI score</b>	<b>1.5</b>
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<b>MI 12.3 Analysis</b>	<b>Source document</b>
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Thirteen sample evaluations and two reviews report on achievement provided evidence against this indicator. Eight of these find at least some progress, with UNHCR's advocacy or influencing leading to an improved protective environment for persons of concern, including an improved regulatory environment and the promotion of refugee standards. Examples include:

- The Independent Programme Evaluation (IPE) of UNHCR's Response to the refugee influx in Lebanon and Jordan found that continued and persistent advocacy work had contributed to maintaining a largely positive protection environment. This included work with the Lebanese Ministry of Interior to ease procedures related to birth registration
- The 2016 Evaluation of UNHCR's Response to the Level 3 South Sudan Refugee Crisis in Uganda and Ethiopia found that UNHCR supported the Ugandan Government and institutions, at a central and local level, to play a crucial role in creating a very favourable operational context and protection environment.

56, 64, 66, 67, 70, 71,  
72, 74, 77, 80, 145,  
240, 241

However, seven evaluations also noted the lack of medium or long-term strategic planning in UNHCR's interventions. Operationally, this compromised the organisation's ability to take a medium-term view towards reforming the enabling environment. Opportunities for advocacy or policy influencing had sometimes been missed.

<b>MI 12.3 Evidence confidence</b>	<b>High confidence</b>
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## Annex 2. List of documents

1. UNHCR (2017), *Strategic Directions 2017–2021*, United Nations High Commissioner for Refugees, Geneva.  
a – *UNHCR's Results Framework*  
<http://www.unhcr.org/5894558d4.pdf>
2. UNHCR (2013), *Note on the Mandate of the High Commissioner for Refugees and His Office*, United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/526a22cb6.pdf>
3. UNHCR (2016), *Summary Report of the Global Representatives Meeting (Geneva, 10-11 May 2016)* United Nations High Commissioner for Refugees, Geneva.
4. UNHCR (2017), *Update on the global strategic priorities, Executive Committee of the High Commissioner's Programme Standing Committee 69th meeting 14 June 2017*. United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/594a51667.pdf>
5. UNHCR (2016), *2016 Global Strategic Priorities Progress Report*, United Nations High Commissioner for Refugees, Geneva. <http://reporting.unhcr.org/sites/default/files/2016%20Global%20Strategic%20Priorities%20Progress%20Report.pdf>
6. UNHCR (2015), *2015 Global Strategic Priorities Progress Report*, United Nations High Commissioner for Refugees, Geneva.  
<http://reporting.unhcr.org/sites/default/files/2015%20Global%20Strategic%20Priorities%20Progress%20Report.pdf>
7. UNHCR (2014), *Biennial programme budget 2014-15 (revised) of the Office of the United Nations High Commissioner for Refugees, Report by the High Commissioner*, United Nations High Commissioner for Refugees, Geneva.  
<http://www.unhcr.org/excom/excomrep/541fef569/biennial-programme-budget-14-15-revised-office-united-nations-high.html>
8. UNHCR (2016), *Biennial programme budget 2016-17 (revised) of the Office of the United Nations High Commissioner for Refugees, Report by the High Commissioner*, United Nations High Commissioner for Refugees, Geneva.  
<http://www.unhcr.org/en-ie/excom/scaf/57c574ab7/biennial-programme-budget-16-17-revised-office-united-nations-high.html>
9. UNHCR (2007), *Revised Framework for Resource Allocation and Management Inter-Office Memorandum No. 051/2007 Field Office Memorandum No. 054/2007*, United Nations High Commissioner for Refugees, Geneva.
10. UNHCR (2011), *Financial rules for voluntary funds administered by the High Commissioner for Refugees*. Revised by the High Commissioner, United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/en-ie/excom/excomrep/4b693d089/financial-rules-voluntary-funds-administered-high-commissioner-refugees.html>
11. UNHCR (2015), *High-Level Internal Control Framework with focus on Financial Management*. United Nations High Commissioner for Refugees, Geneva.
12. UNHCR (2013), *Strategic Framework for the Prevention of Fraud and Corruption*, United Nations High Commissioner for Refugees, Geneva. <http://www.refworld.org/pdfid/5433a4e54.pdf>
13. Office of Internal Oversight Services (2015), *Report of the Office of Internal Oversight Services - Internal audit activities in the Office of the United Nations High Commissioner for Refugees for the period from 1 July 2014 to 30 June 2015*. Office of Internal Oversight Services, Geneva.
14. Office of Internal Oversight Services (2016), *Report of the Office of Internal Oversight Services - Internal audit activities in UNHCR from 1 July 2015 to 30 June 2016*. Office of Internal Oversight Services, Geneva.
15. Board of Auditors (2016), *Voluntary funds administered by the United Nations High Commissioner for Refugees. Financial report and audited financial statements for the year ended 31 December 2015*. Report of the Board of Auditors. United Nations High Commissioner for Refugees, Geneva.

16. UNHCR (2015), *Human resources, including staff welfare. Executive Committee of the High Commissioner's Programme Standing Committee 64th meeting. 31 August 2015.* United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/en-au/55e5722c9.pdf>
17. UNHCR (2015), *UNHCR's People Strategy 2016-21*[Including Work plan], United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/55f97a9f9.pdf>
18. UNHCR (2014), *Policy on Performance Management.* United Nations High Commissioner for Refugees, Geneva.
19. UNHCR (2016), *Human resources, including staff welfare. Executive Committee of the High Commissioner's Programme 1 September 2016.* United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/57e909d07.pdf>
20. Kuusela, A, (2016), *Analysis of Flexible Workforce Arrangements in UNHCR, Findings, Conclusions and Recommendations.* United Nations High Commissioner for Refugees, Geneva.
21. UNHCR (2017), *Note on UNHCR's review of its affiliate workforce, Division of Human Resources Management (DHRM),* United Nations High Commissioner for Refugees, Geneva.
22. UNHCR (undated), *Handbook for Emergencies (Emergency Handbook)*<sup>6</sup> United Nations High Commissioner for Refugees, Geneva.
  - a – *Risk analysis and monitoring - refugee emergencies*
  - b – *UNHCR operations plan in emergencies*
  - c – *Evaluations*
  - d – *Accountability to affected populations*
  - e – *Emergency priorities and related indicators*
  - f – *Emergency Standby resources: Emergency standby partners (deployment of personnel and service packages); ICT emergency standby partners; Requesting emergency deployments (personnel)*
  - g – *Policy on Emergency Preparedness and Response*
  - h – *Sourcing strategy*
  - i – *UNHCR operations management cycle*
  - j – *Energy and environment - camps*
  - k – *Project Partnership Agreement*
  - l – *Refugee Response Plan*
  - m – *Needs assessment for refugee emergencies*
  - n – *Humanitarian programme cycle (IASC)*

<https://emergency.unhcr.org/>
23. UNHCR (2011), *Action against Sexual and Gender-Based Violence: An Updated Strategy.* United Nations High Commissioner for Refugees, Geneva. <http://www.unhcr.org/4e1d5aba9.pdf>
24. UNHCR (2015), *2015 Global Child Protection, Education & SGBV Strategy Implementation Report.* United Nations High Commissioner for Refugees, Geneva.  
<http://www.unhcr.org/en-ie/publications/fundraising/57612a017/2015-global-child-protection-education-sgbv-strategy-implementation-report.html>
25. UNHCR (2003), *Sexual and Gender-Based Violence against Refugees, Returnees and Internally Displaced Persons. Guidelines for Prevention and Response.* United Nations High Commissioner for Refugees, Geneva.  
<http://www.unhcr.org/en-ie/protection/women/3f696bcc4/sexual-gender-based-violence-against-refugees-returnees-internally-displaced.html>
26. UNHCR (2016), *SGBV Prevention and Response Training Package,* United Nations High Commissioner for Refugees, Geneva.  
<http://www.unhcr.org/en-ie/publications/manuals/583577ed4/sgbv-prevention-response-training-package.html>

6. This is primarily a tool for UNHCR emergency operations and its workforce. Most of the Emergency Handbook content is publicly available. As such, the Handbook is also accessible as a tool for partners in emergency operations and other interested parties. Some sections of the Emergency Handbook are for internal use and relate to UNHCR management and administrative procedures. UNHCR personnel can access this content by signing in with their UNHCR e-mail address.

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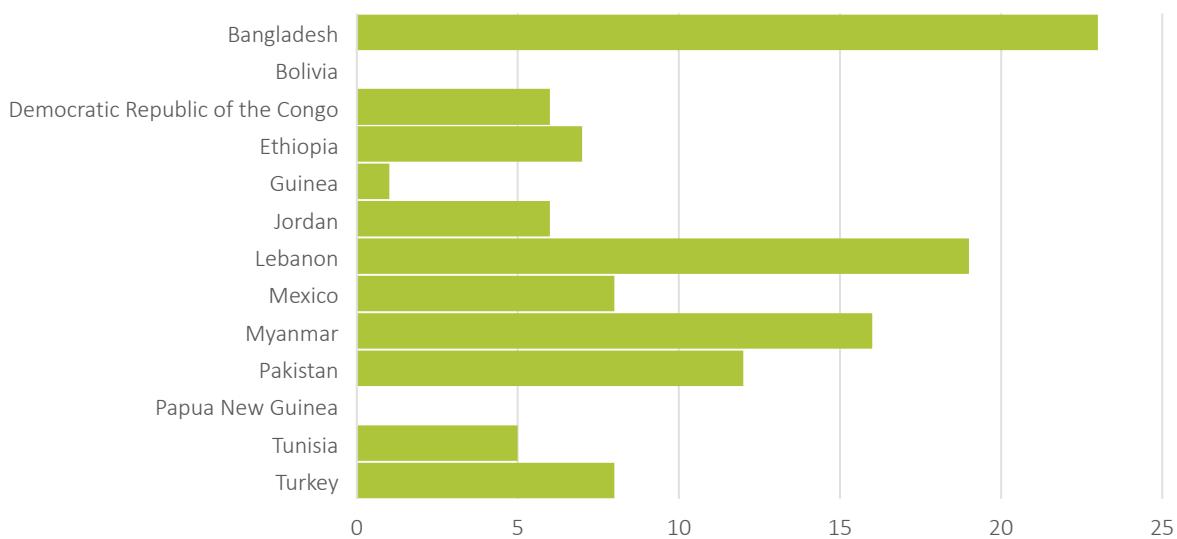
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  - 238. UNHCR (2018), Report of the Board of Auditors, Voluntary funds administered by the United Nations High Commissioner for Refugees Financial report and audited financial statements for the year ended 31 December 2017
  - 239. UNHCR (2017), Evaluation of UNHCR's implementation of three of its protection strategies: The Global Education Strategy, the Updated SGBV Strategy, and the Child Protection Framework
  - 240. UNHCR (2016), Evaluation of UNHCR's Emergency Response to the influx of Syrian refugees into Turkey
  - 241. UNHCR (2016), Management response to Evaluation of UNHCR's Response to the L3 South Sudan Refugee Crisis in Uganda and Ethiopia
  - 242. UNHCR (2017), Management response to Ukraine Country Programme Evaluation
  - 243. UNHCR (2017), Management response to the Evaluation of UNHCR's implementation of three of its protection strategies: The Global Education Strategy, the Updated SGBV Strategy, and the Child Protection Framework
  - 244. OECD (2018), Creditor Reporting System: Aid activities, OECD International Development Statistics (database), <https://doi.org/10.1787/data-00061-en>
  - 245. UNHCR (2017), AGD internal indicators review (internal document)

## Annex 3. Results of Mopan's Partner Survey

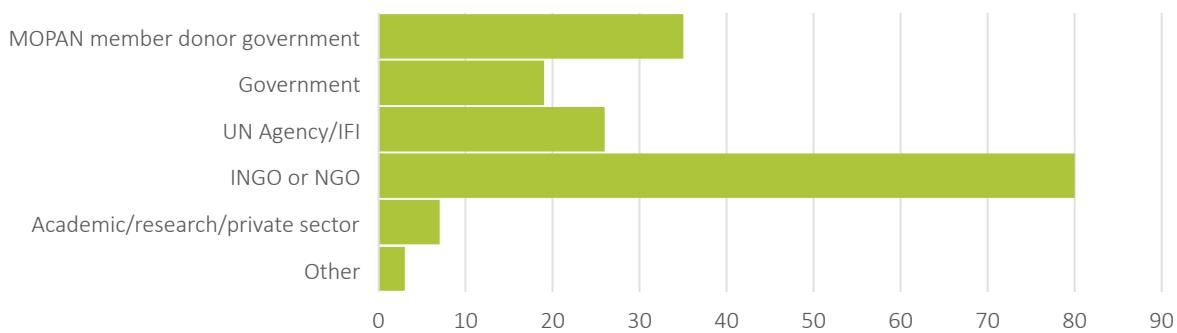
### Response profile

**Number of survey responses:** 170

#### Number of survey responses by country:

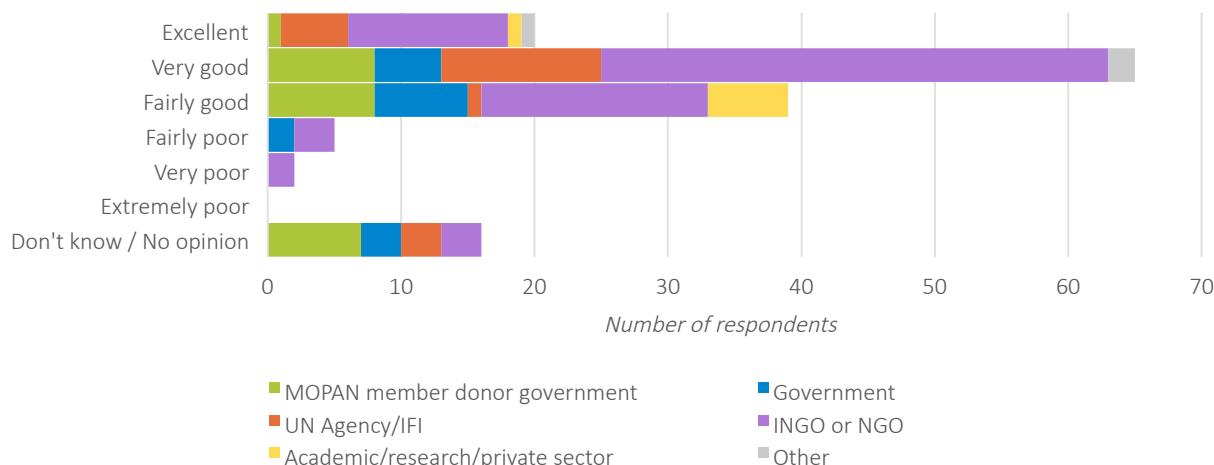


#### Respondent type:

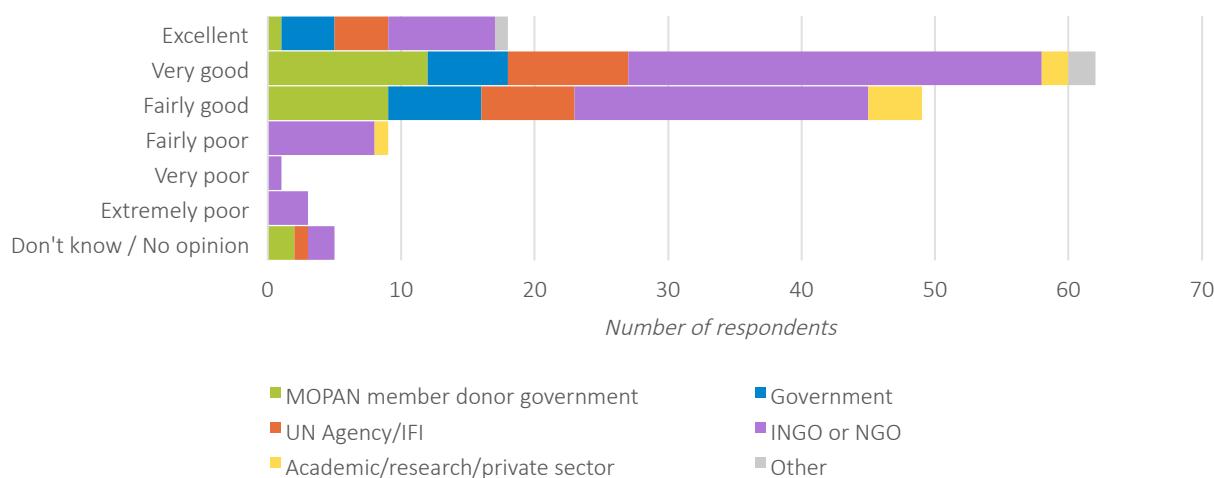


## Staffing

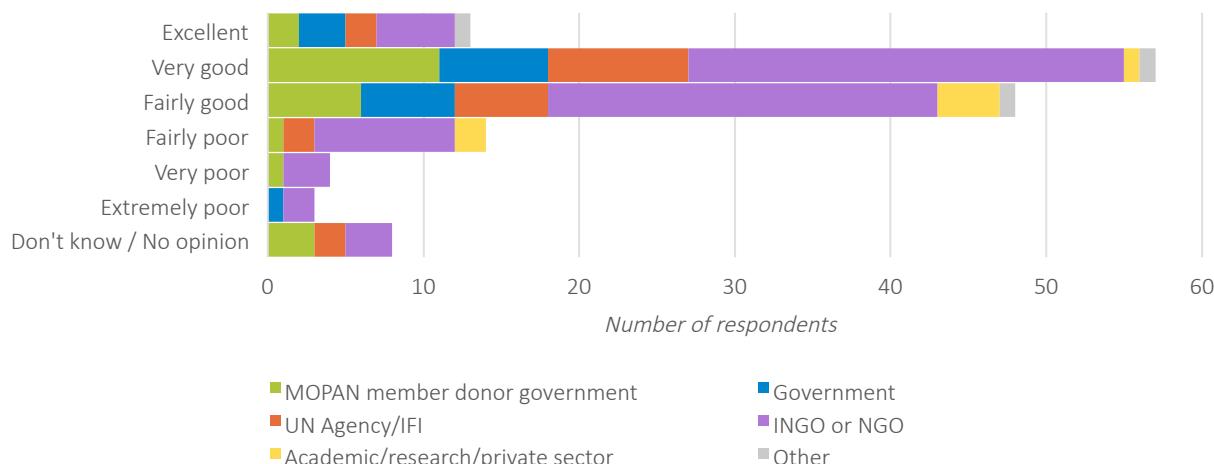
### UNHCR has sufficient staffing to deliver results



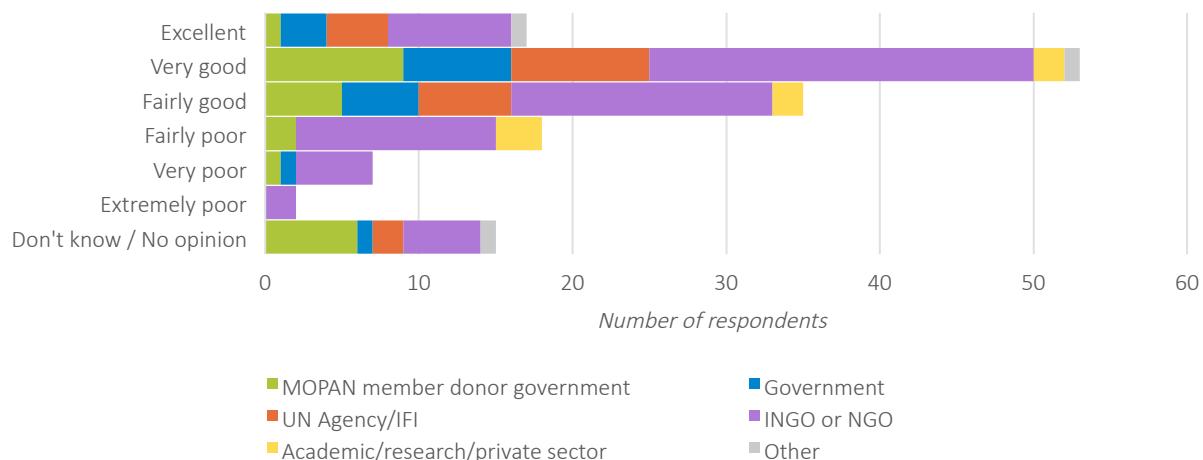
### UNHCR has sufficiently skilled and experienced staff



### UNHCR has sufficient continuity of staff to build relationships

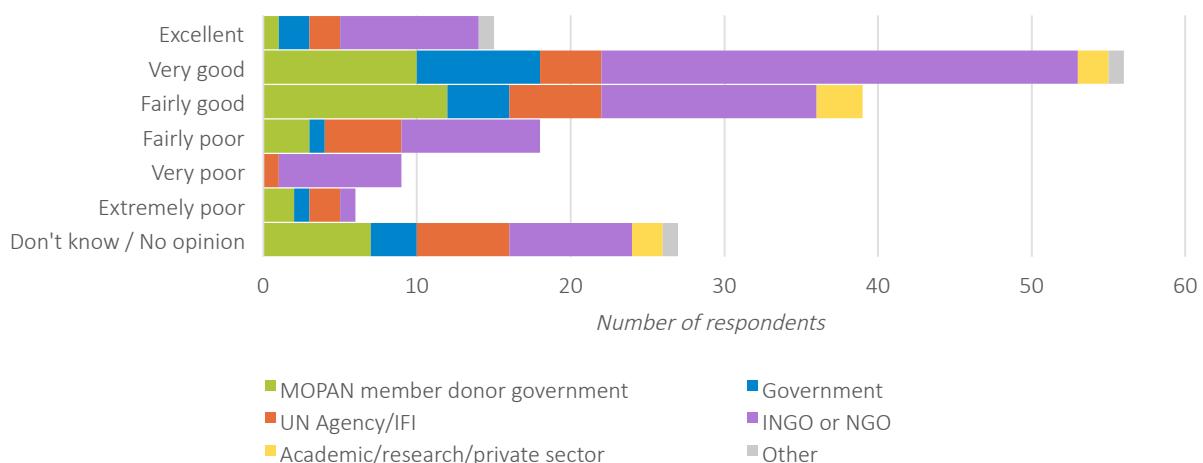


### UNHCR staff can make critical strategic and programming decisions locally

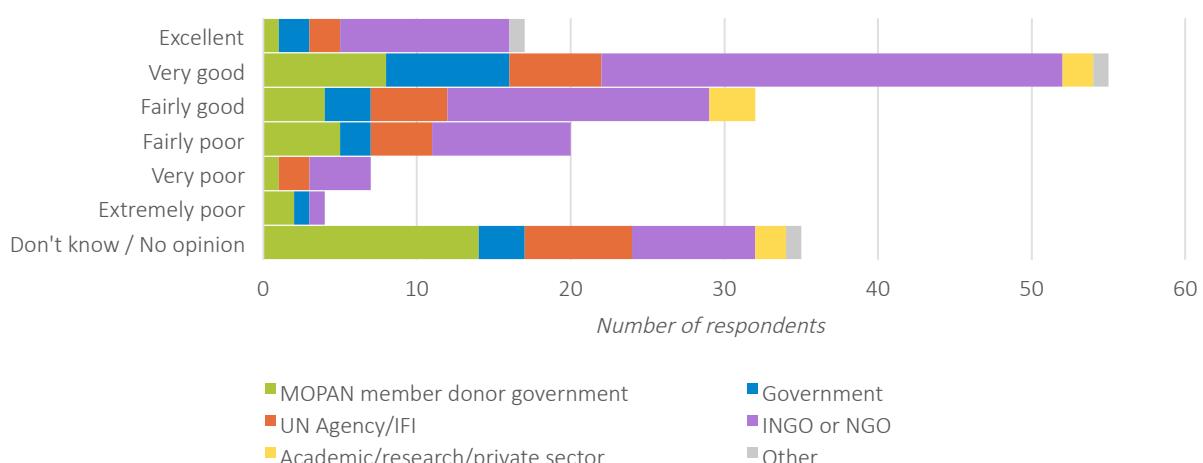


### Managing financial resources

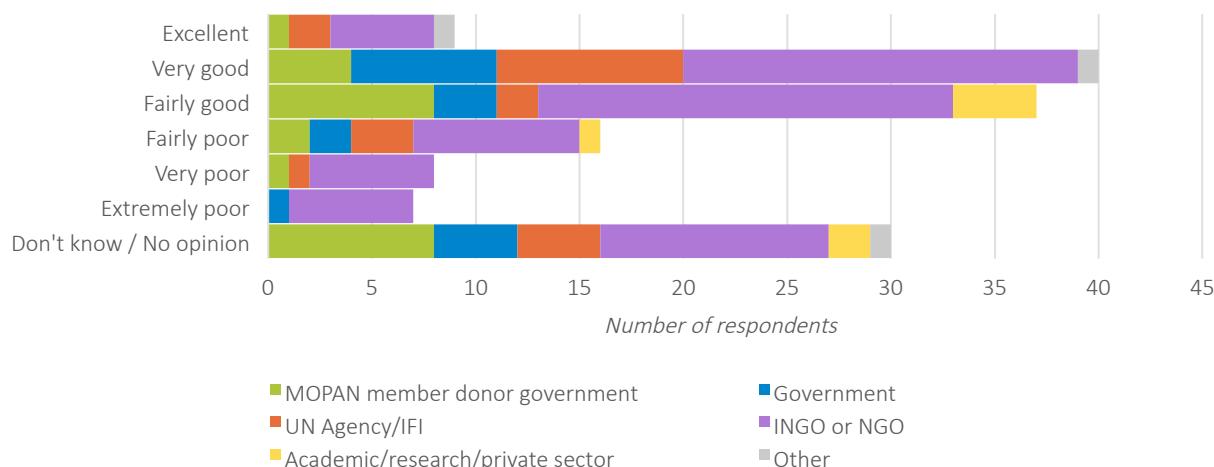
#### UNHCR provides transparent criteria for financial resource allocation



#### UNHCR provides predictable financial allocations and disbursements

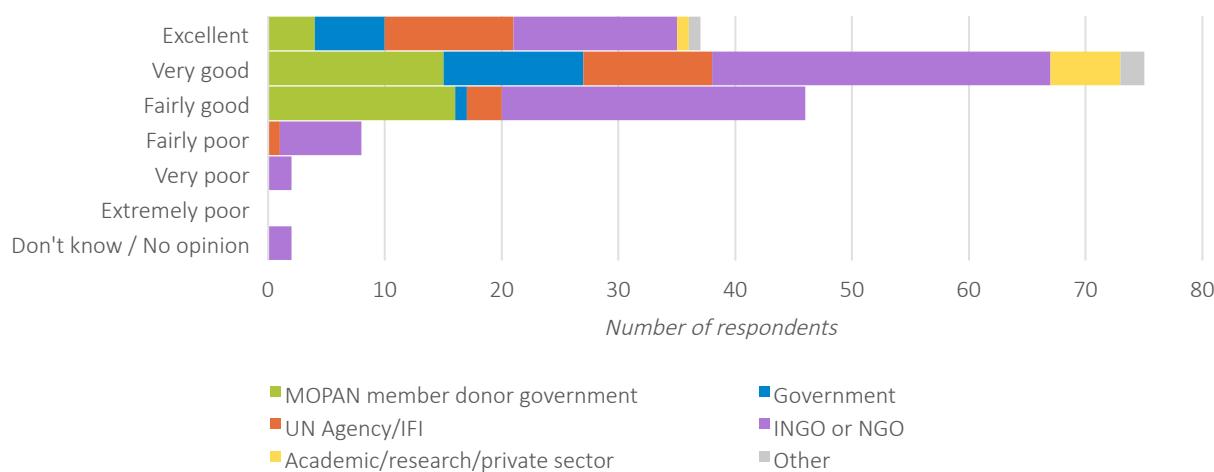


### UNHCR has flexible resources

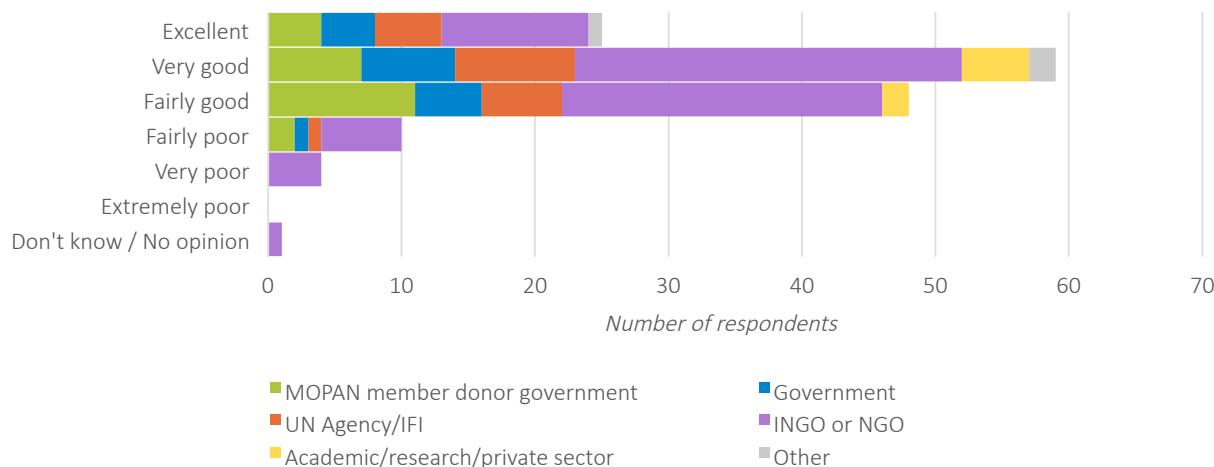


### Interventions (programmes, projects, normative work)

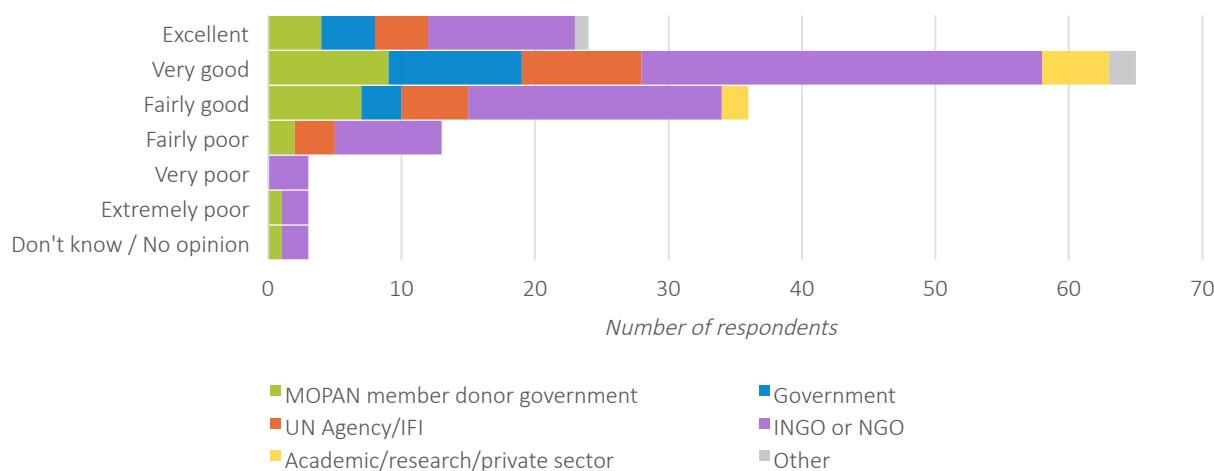
#### UNHCR interventions are fit national programmes and results of partner countries



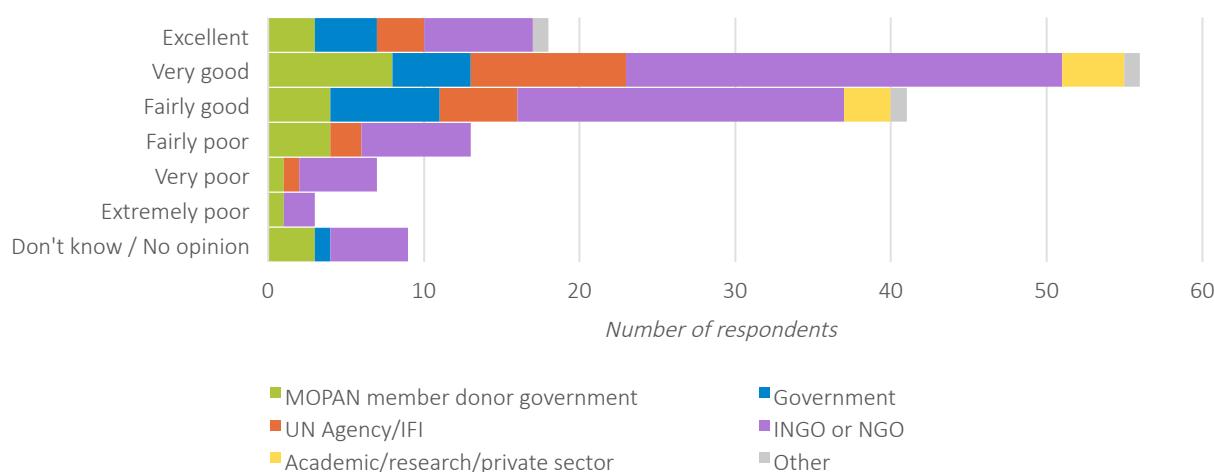
#### UNHCR interventions are tailored to the needs of the local context



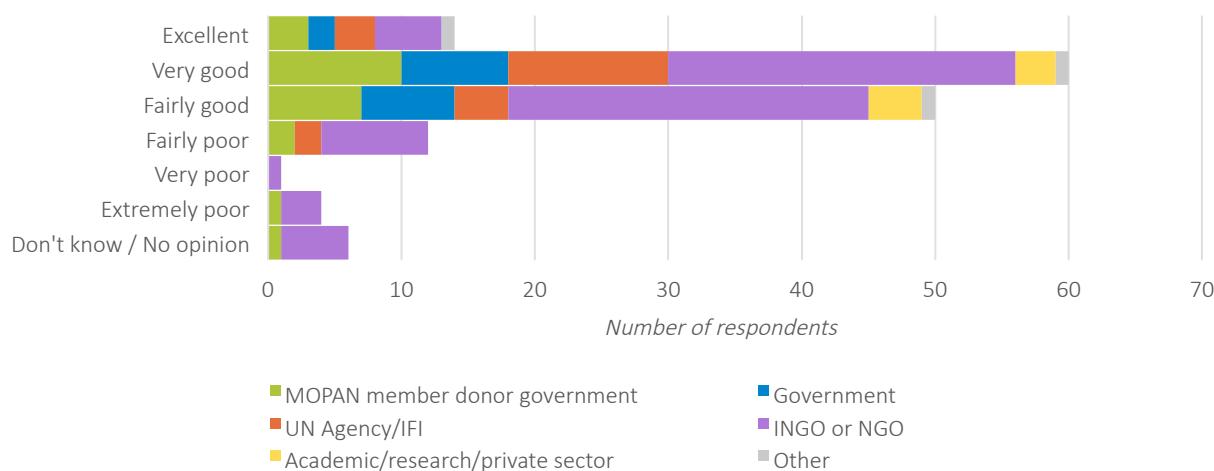
### UNHCR interventions are based on a clear understanding of comparative advantage



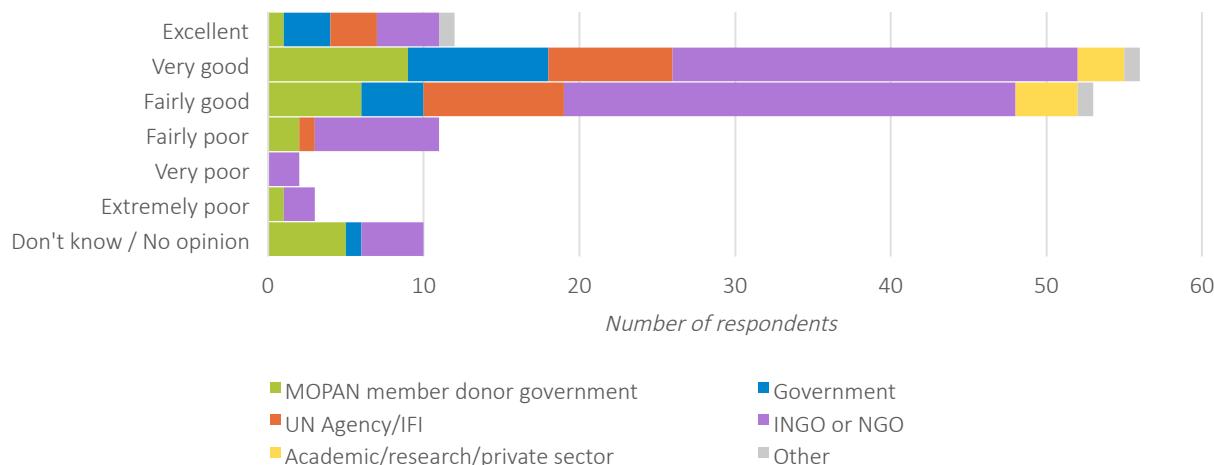
### UNHCR can adapt or amend interventions to changes in context



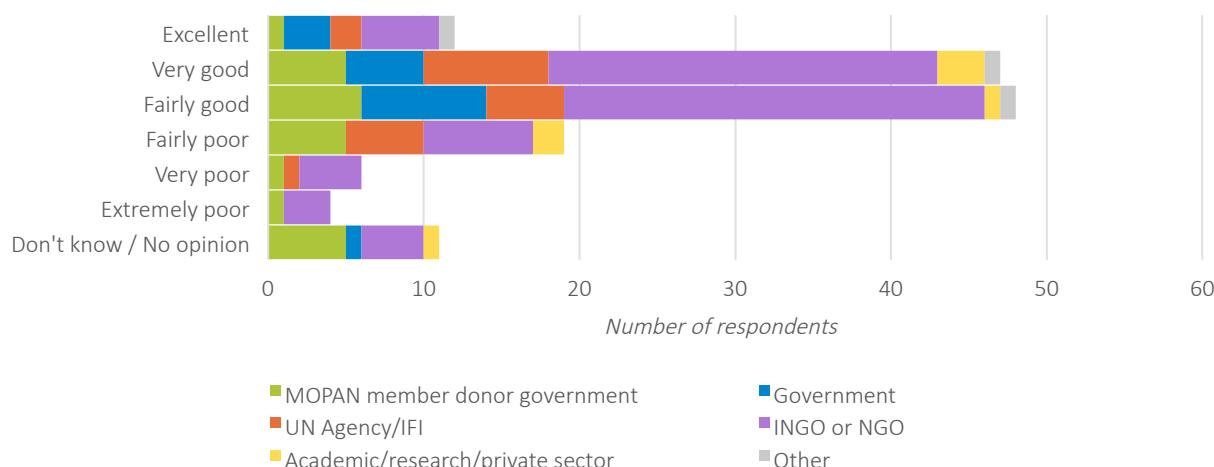
### UNHCR interventions take in to account realistic assessments of national/regional capacities



### UNHCR interventions appropriately manage risk in a given context

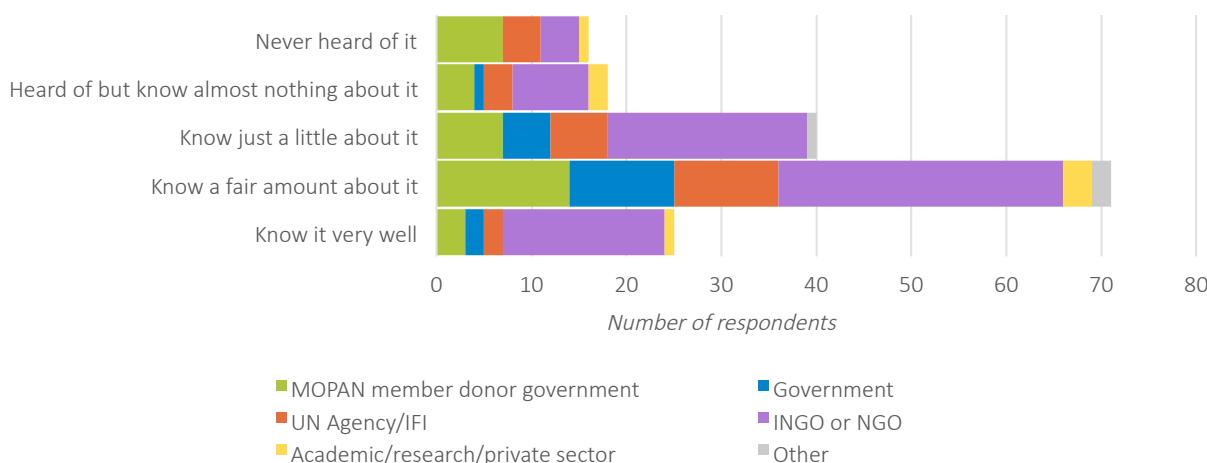


### UNHCR designs and implements its interventions to sustain effect and impact over time

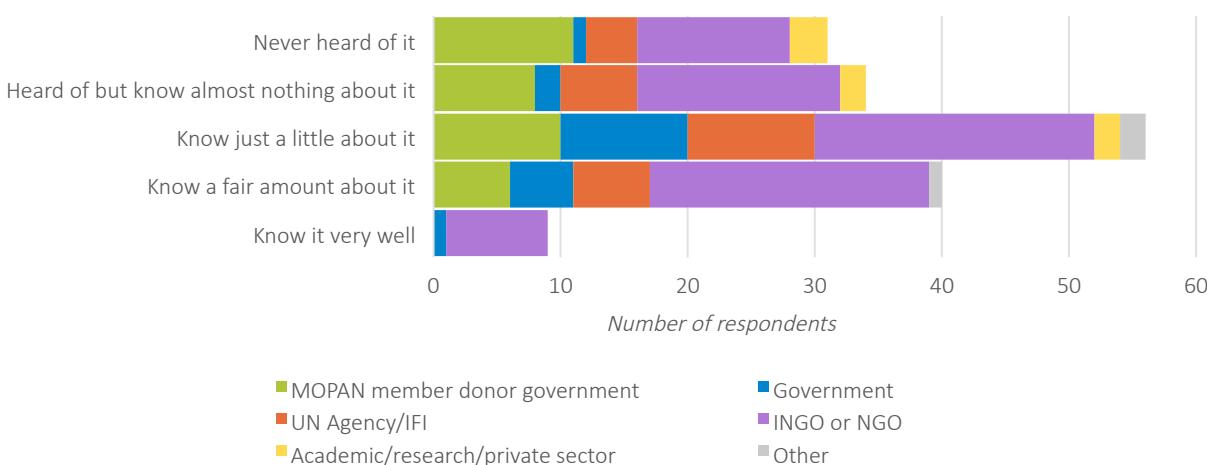


## Interventions (cross-cutting issues)

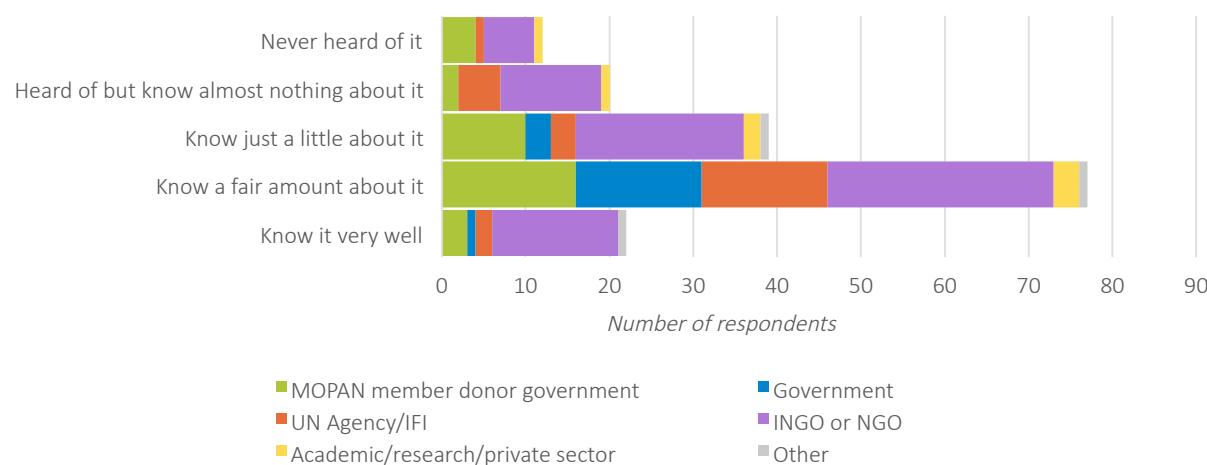
### Familiarity with the gender strategy of UNHCR



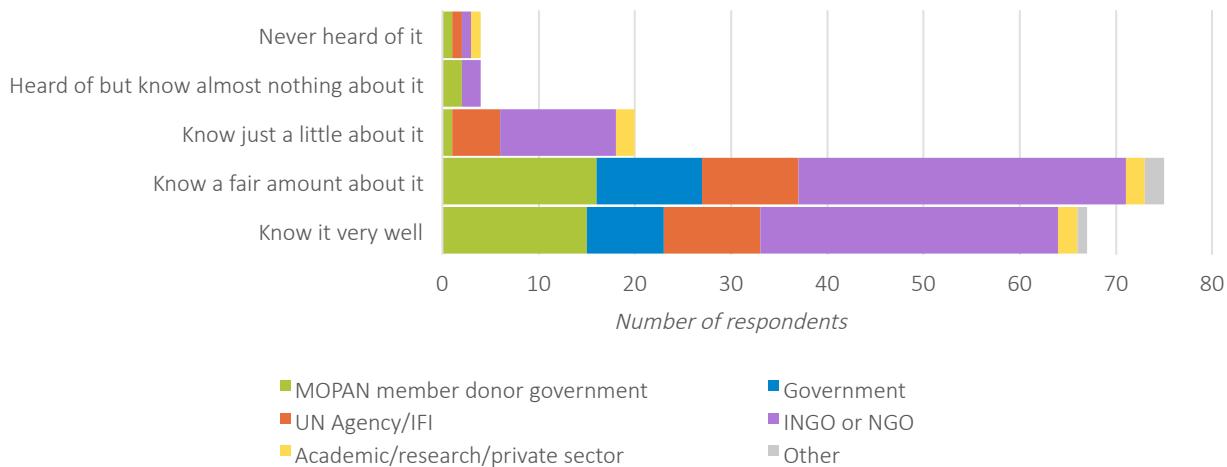
### Familiarity with environmental sustainability strategy of UNHCR, including addressing climate change



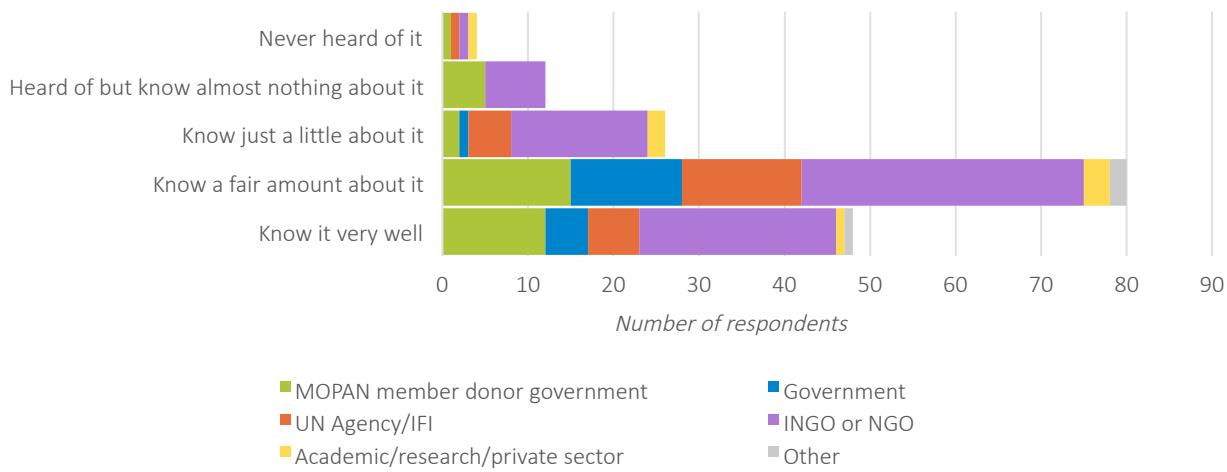
### Familiarity with strategy for setting out how UNHCR intends to engage with good governance



### Familiarity with strategy for how UNHCR intends to take forward its policy commitment on human rights

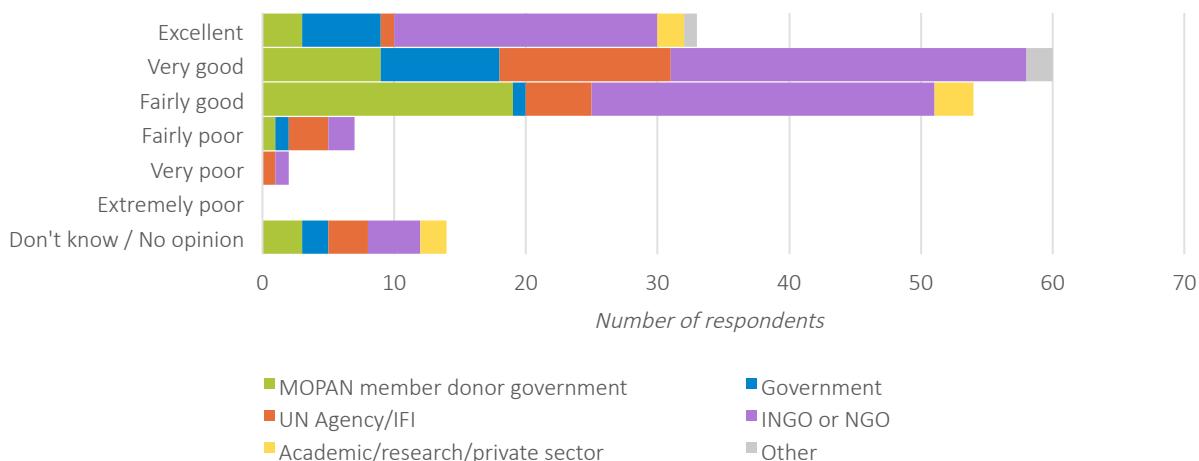


### Familiarity with strategy for how UNHCR intends to take forward protection

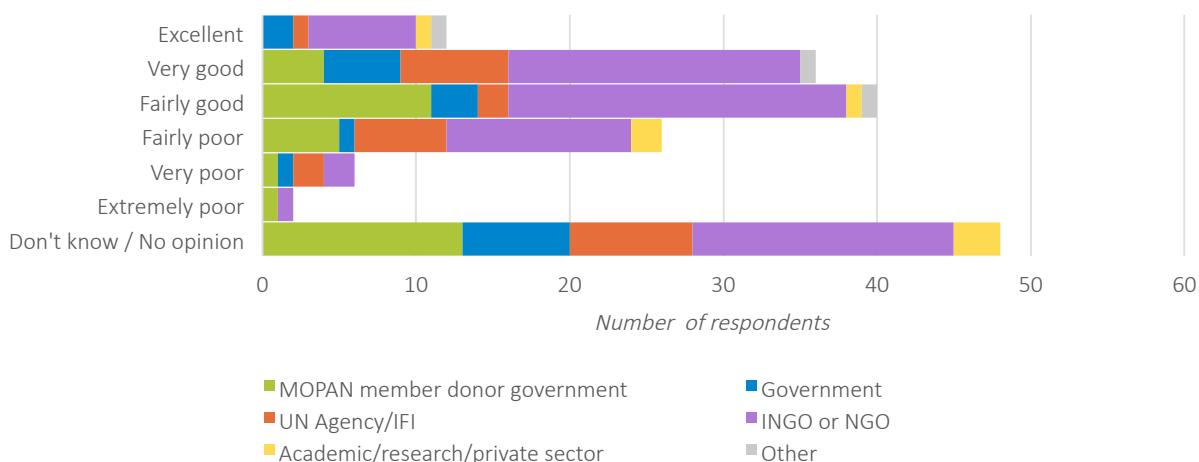


### Interventions (cross-cutting issues, organisational performance)

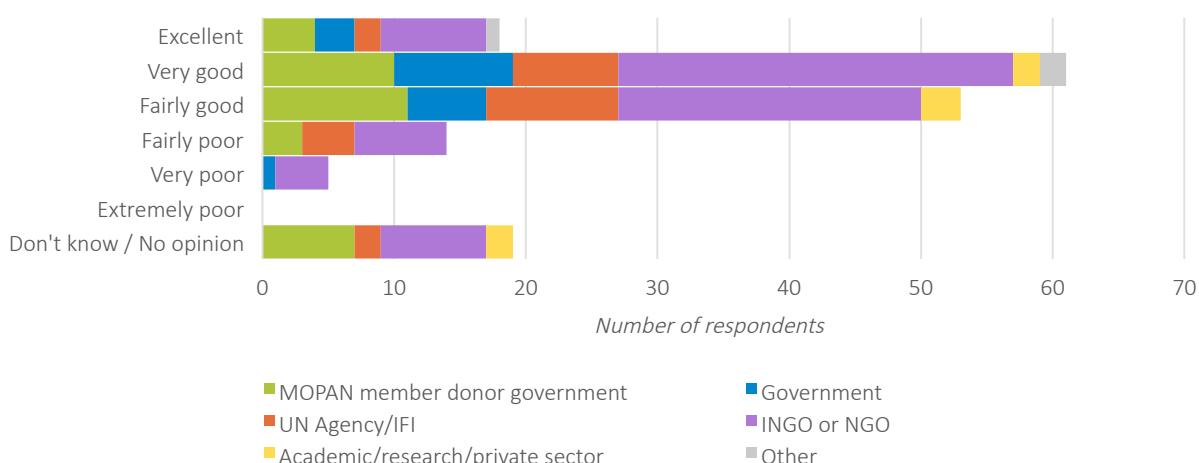
#### UNHCR promotes gender equality



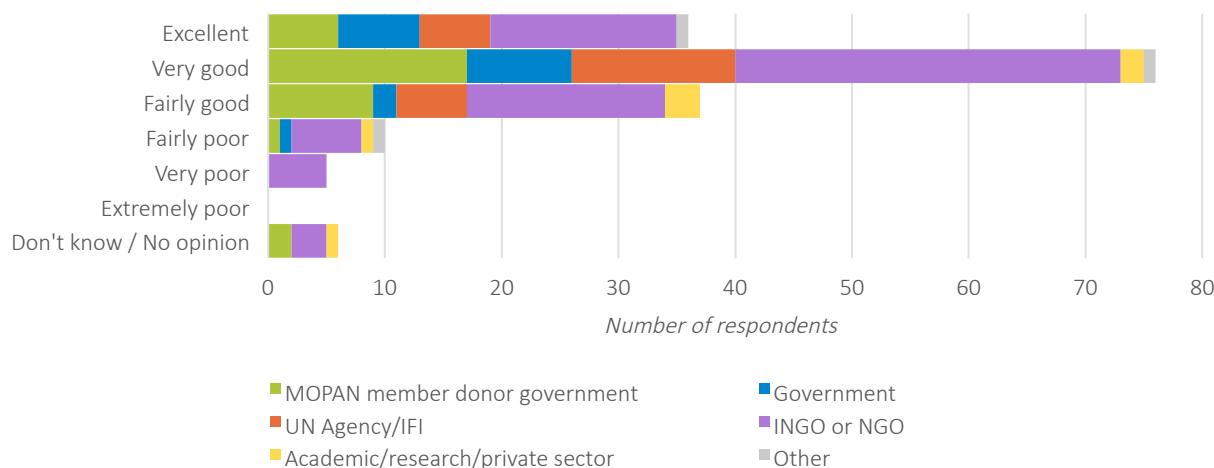
#### UNHCR promotes environmental sustainability/addresses climate change



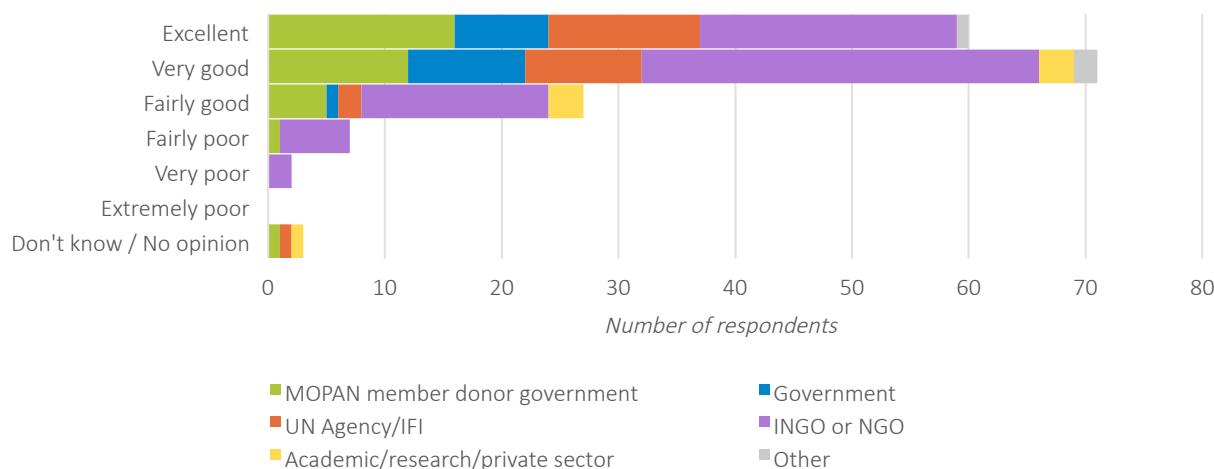
#### UNHCR promotes principles of good governance



### UNHCR promotes human rights

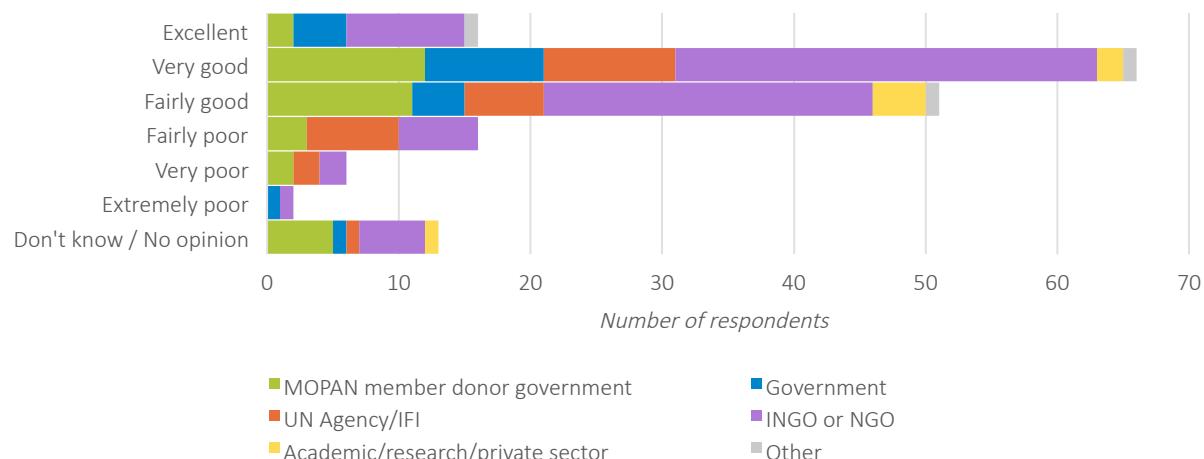


### UNHCR promotes protection

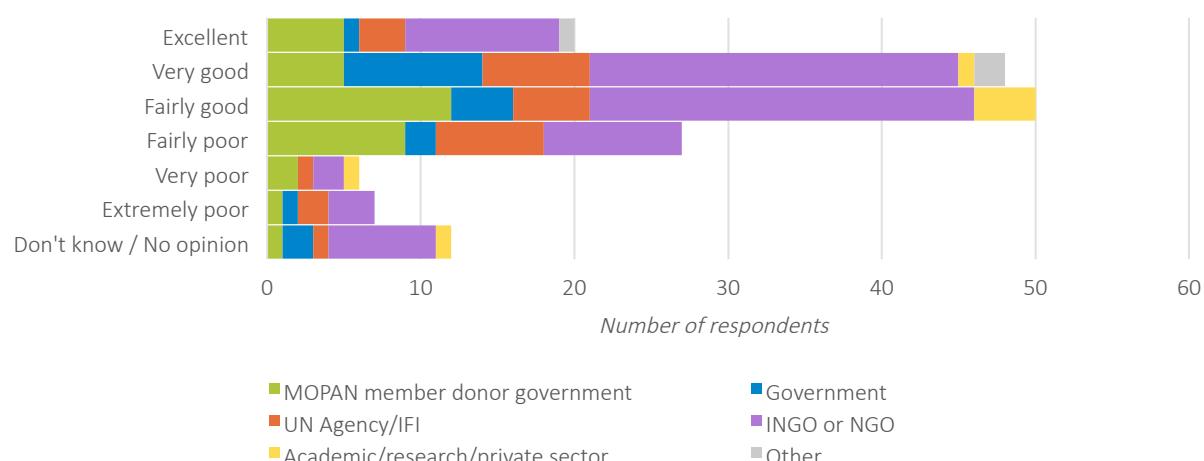


## Managing relationships

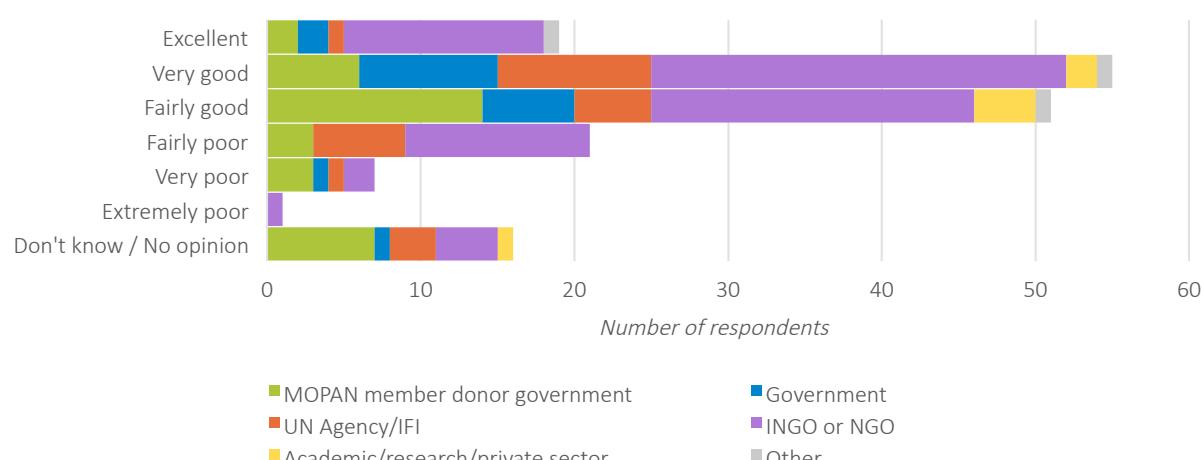
UNHCR prioritises working in synergy/partnerships



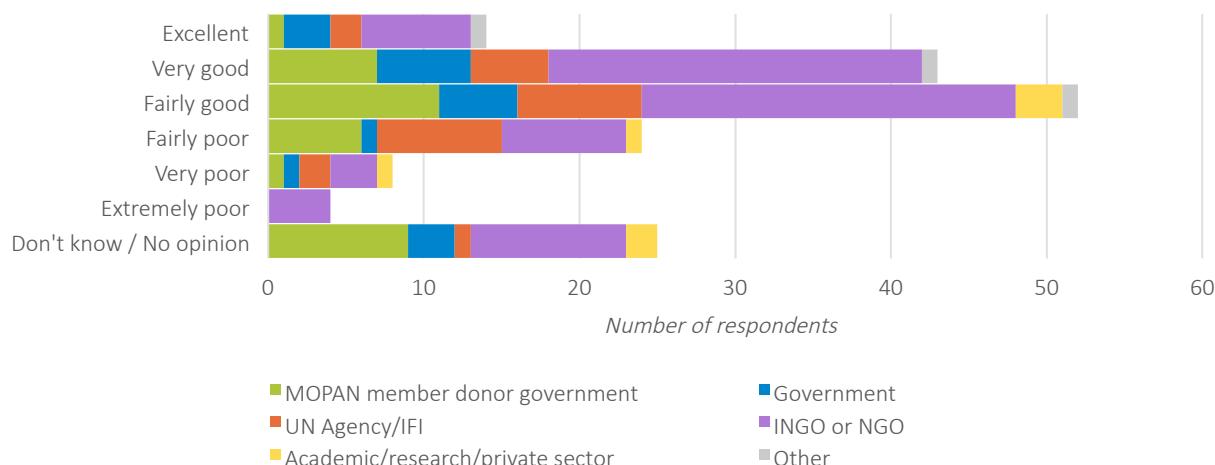
UNHCR shares key information with partners on an ongoing basis



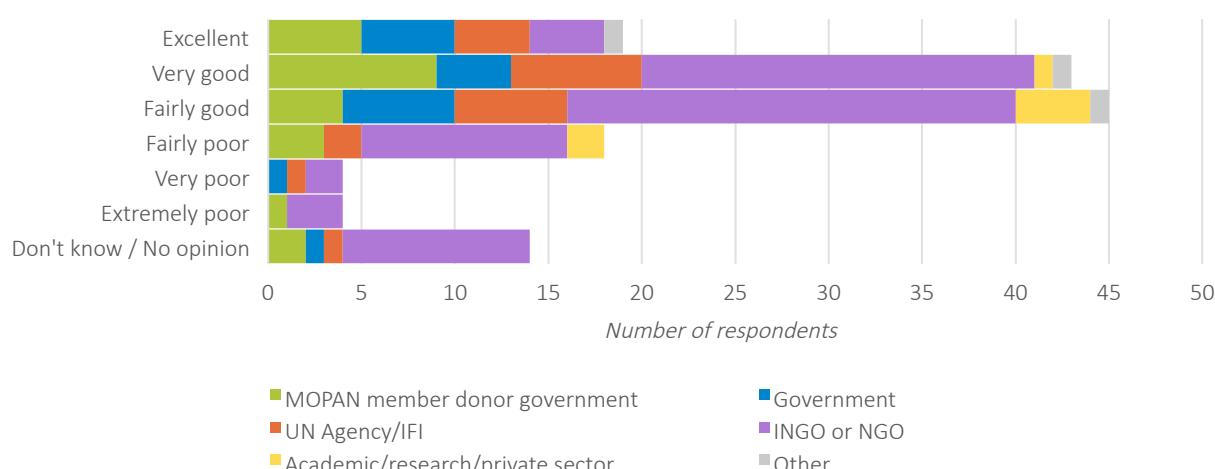
UNHCR uses regular review points with partners to identify challenges



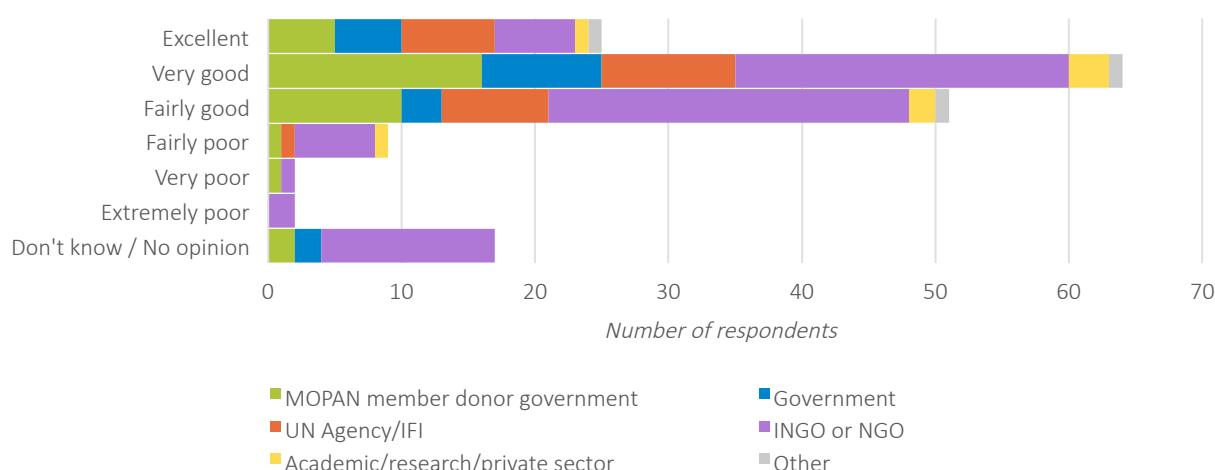
### UNHCR organisational procedures are synergised with partners



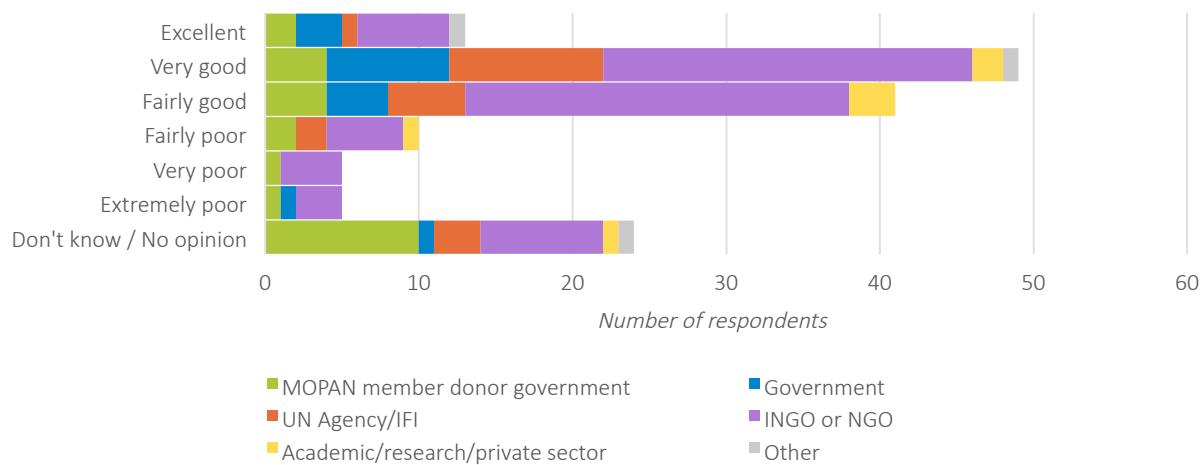
### UNHCR provides high quality inputs to country dialogue



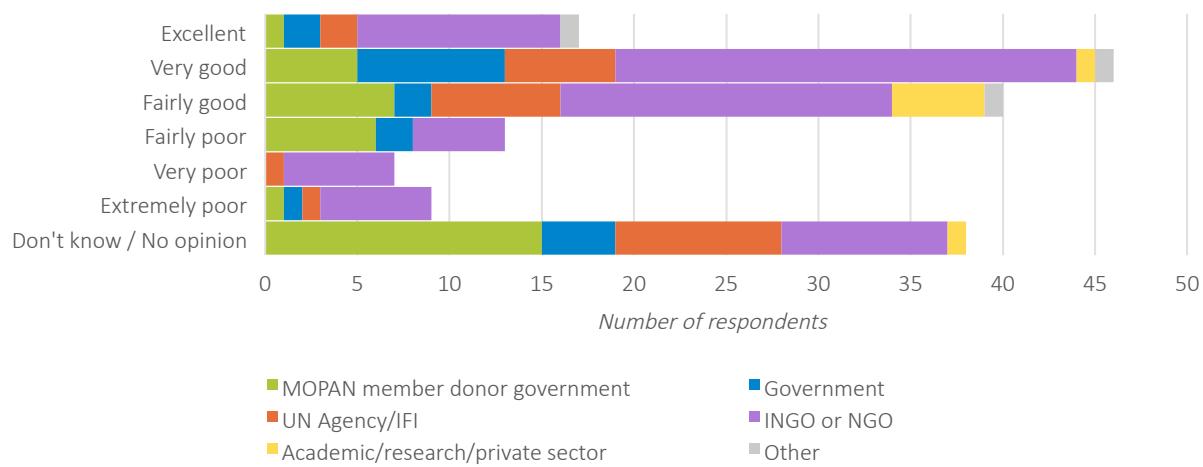
### UNHCR views are well respected in country policy dialogue



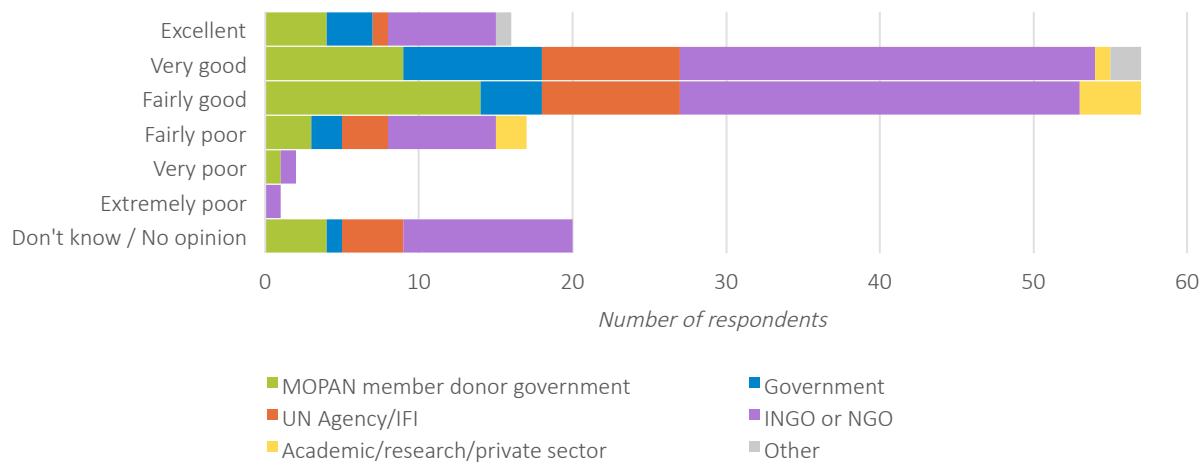
### UNHCR conducts mutual assessments of progress with national/regional partners



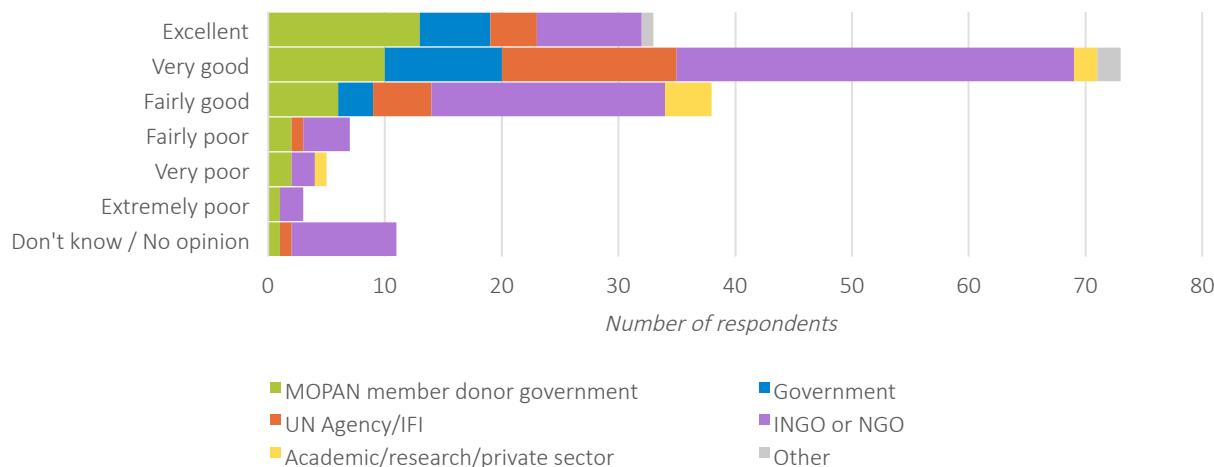
### UNHCR organisational procedures do not cause delays for implementing partners



### UNHCR knowledge products are useful for my work

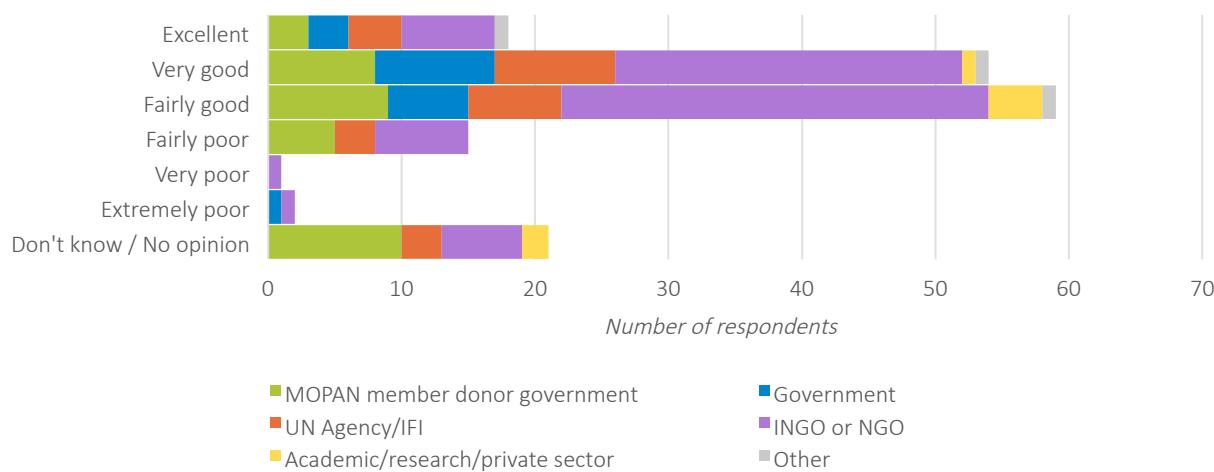


### UNHCR knowledge products are timely

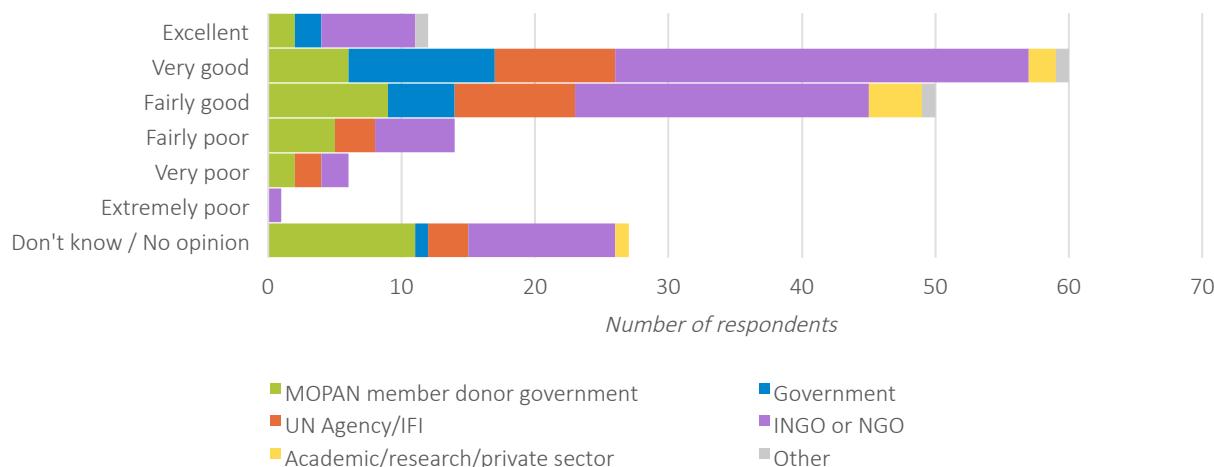


### Performance management

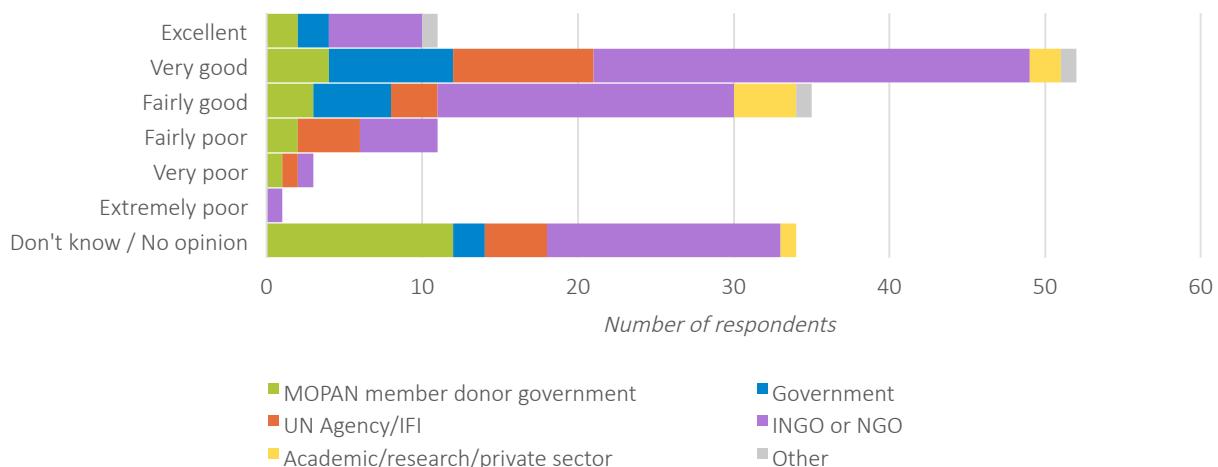
#### UNHCR prioritises as results-based approach



#### UNHCR uses robust performance data when designing and implementing interventions

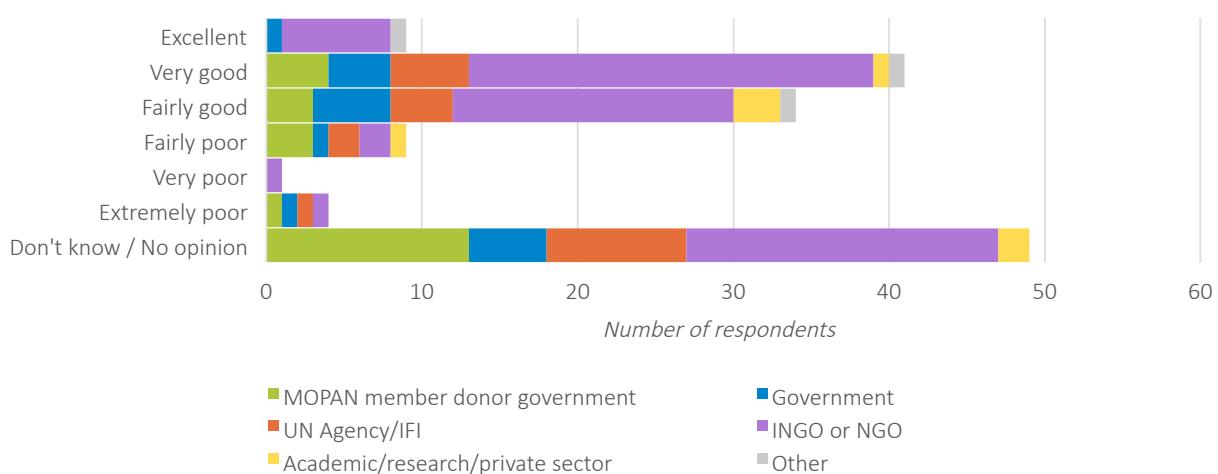


### UNHCR bases its policy and strategy decisions on robust performance data

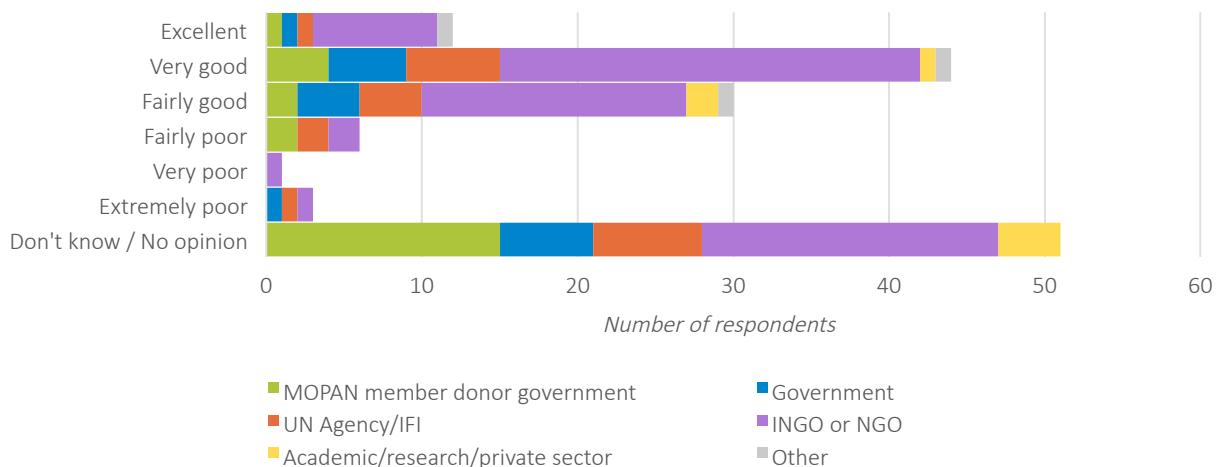


### Evidence base for planning and programming

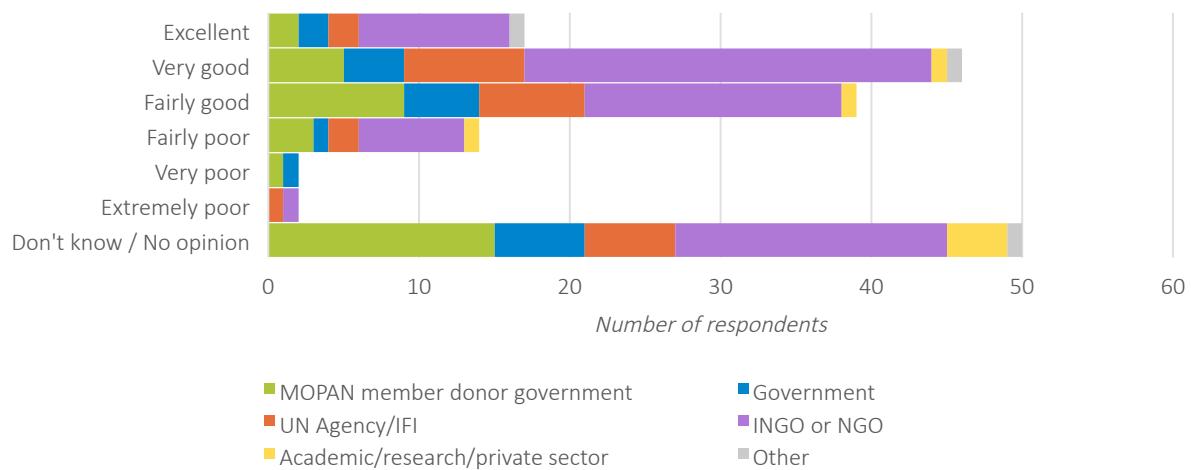
UNHCR has a clear statement on which of its interventions must be evaluated



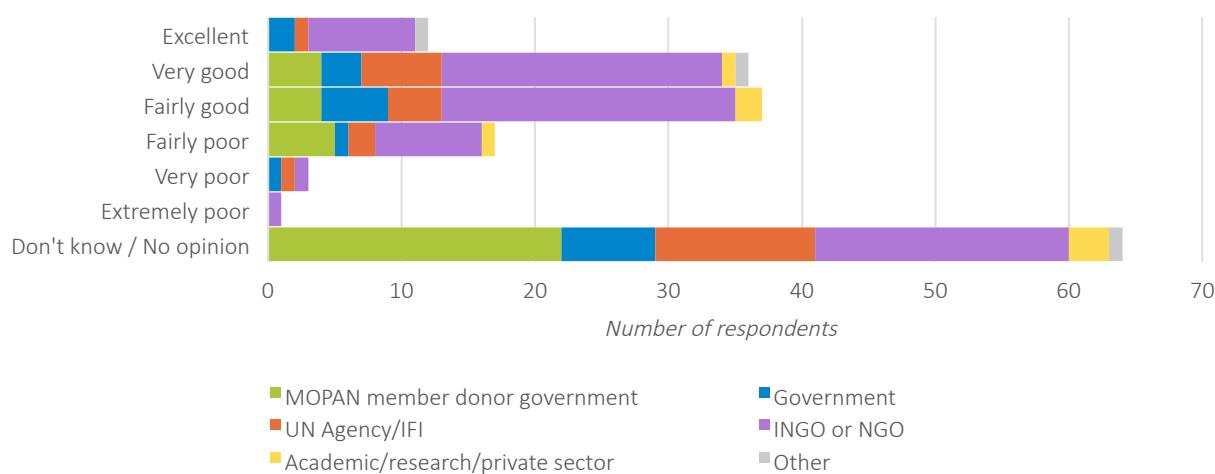
### Where required, UNHCR ensures that evaluations are carried out



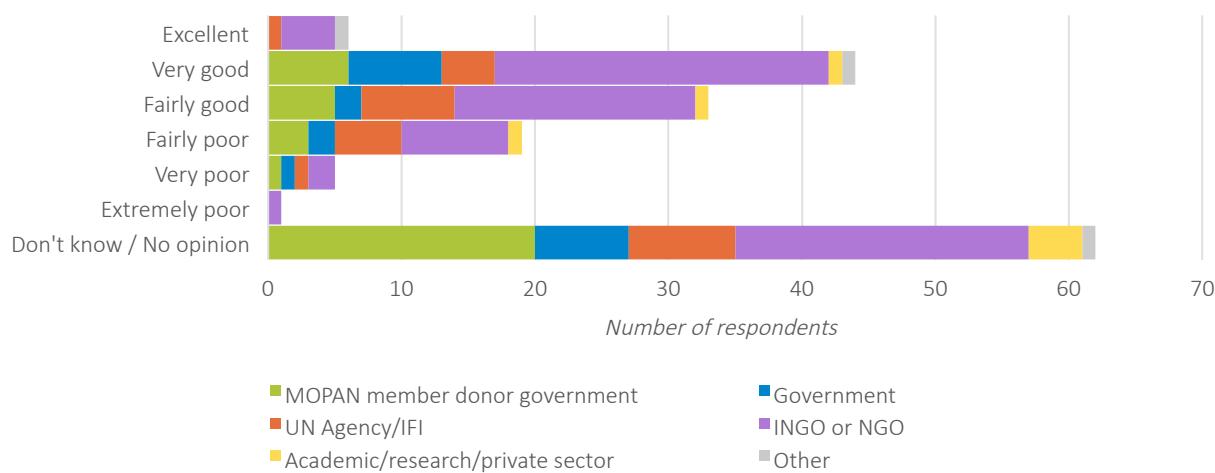
### UNHCR participates in joint evaluations at the country/regional level



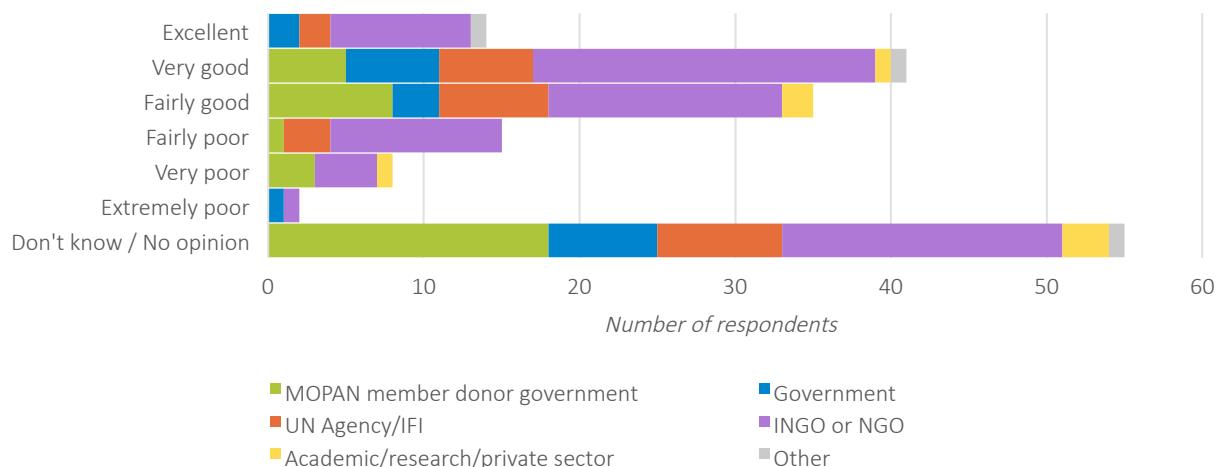
### UNHCR intervention designs contain a statement of the evidence base



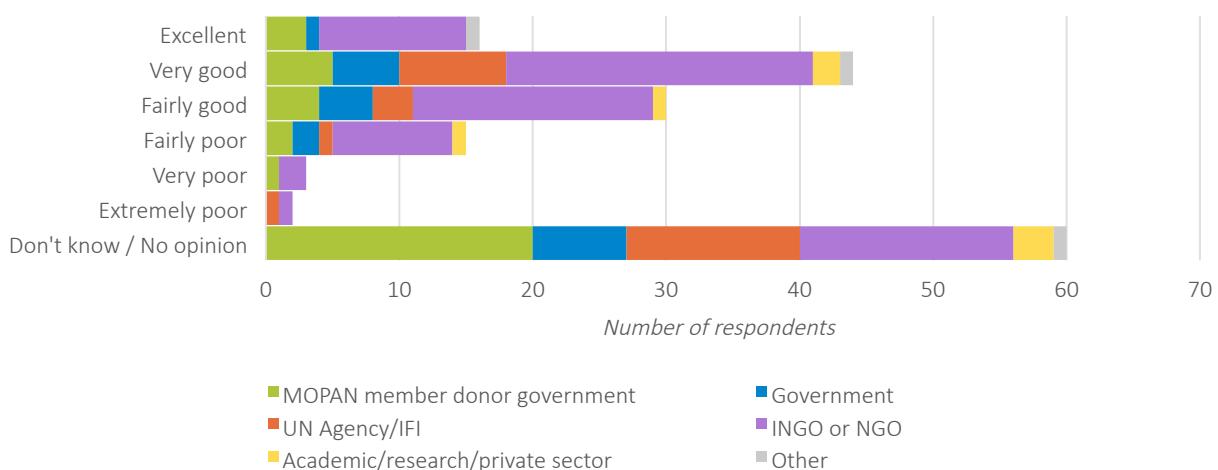
### UNHCR identifies under-performing interventions



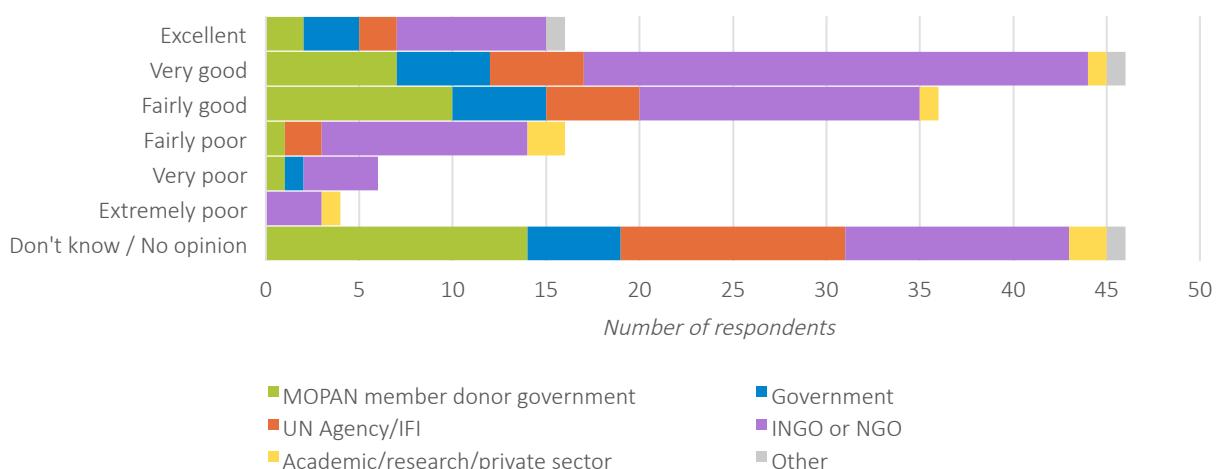
### UNHCR addresses any areas of intervention under-performance



### UNHCR follows up evaluation recommendations systematically



### UNHCR learns lessons from experience rather than repeating the same mistakes





For any questions or comments, please contact:  
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[www.mopanonline.org](http://www.mopanonline.org)