

Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

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

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Appendix I Methodology

1. Introduction

This document describes the methodology used to conduct the MOPAN Common Approach in 2011. It is important to note that MOPAN continues to improve the methodology for the Common Approach from year to year. With this in mind, comparisons of this year's results with those of previous years should be handled cautiously.

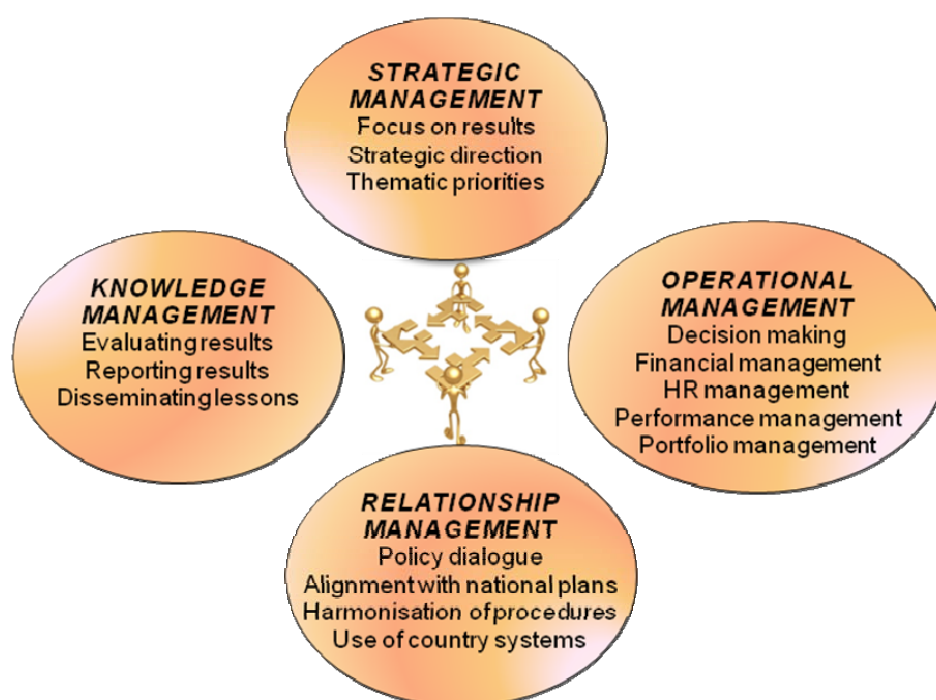
1.1 The MOPAN Common Approach Assessment Framework

MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development and/or humanitarian results in the countries where it operates.

Using a survey of stakeholders and a document review, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results in the field. The Common Approach groups these organisational capacities in four areas of performance, which are called “quadrants”:

- *strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *operational management*: managing operations in a way that is performance oriented, thus ensuring organisational accountability for resources and results;
- *relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and,
- *knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

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

Dimensions of organisational effectiveness in the MOPAN Common Approach¹**1.2 Indicators**

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

In an initial mapping exercise of existing bilateral donor assessment tools in 2007, MOPAN identified some 250 indicators, many of which were overlapping. The Common Approach reduced these to 35 key performance indicators and 120 micro-indicators. In 2008, the indicators were further refined and tested and this led to the adoption in 2009 of 19 KPIs and 63 MIs for international financial institutions and 64 MIs for UN funds and programs. These were subsequently tested and adjusted for humanitarian organisations. In 2011, the assessment included up to 20 KPIs and 75 MIs for each organisation, depending on the nature of the organisation and its mandate. The full list of MIs assessed in 2011 is provided in Appendix V (KPI and MI Data by Quadrant).

1.3. Multilateral Organisation Selection

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

1. Perceived importance and interest to all MOPAN members;
2. Medium-Term Strategic Planning (or equivalent) and replenishment cycles. The organisations should be assessed by the beginning of the planning process or prior to the start of the replenishment negotiation process;
3. The organisations include international financial institutions (IFI); UN funds, programs, and specialised agencies; and humanitarian organisations.

¹ To better reflect the mandates of organisations engaged in humanitarian work, additional dimensions are incorporated (such as adherence to humanitarian principles in their field operations) in the frameworks used to assess those organisations.

MOPAN aims to assess institutions selected on the basis of the criteria identified above on a 3 to 5 year cycle. Countries should not be surveyed by MOPAN in two consecutive years.

In 2011, MOPAN assessed the Food and Agriculture Organization (FAO) of the United Nations, the Inter-American Development Bank (IDB), the United Nations Environment Programme (UNEP), the United Nations High Commissioner for Refugees (UNHCR), and the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA).

1.4. Country Selection

Each year countries and territories are selected for the Common Approach assessment on the basis of:

1. The presence of the multilateral organisations being assessed;
2. The presence of MOPAN members;
3. Ensuring that no country or territory is included in the survey in two consecutive years;
4. Geographical distribution, so that developing countries in all regions are included while taking into account the regional mandates of the group of organisations to be assessed.

In 2011, the Common Approach assessment included Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru, Tanzania, Jordan, Lebanon, Palestinian territories (the West Bank and Gaza Strip), and the Syrian Arab Republic. However, each organisation was assessed only in the countries and territories in which it operates.

2. Survey

2.1 Overview

In 2011, the MOPAN Common Approach gathered stakeholder perceptions through a survey of MOPAN donors (at headquarters and in-country) and other key stakeholders of the multilateral organisations, which included: direct partners or clients, peer organisations, and host or recipient government representatives. The number and type of respondent groups varied for each organisation.

The main instrument for conducting the survey was an online survey based on Computer-Aided Web Interviewing (CAWI). The survey could be completed online in Arabic, English, French, Portuguese, or Spanish (depending on the organisation being assessed). All MOPAN respondents and most respondents in other groups completed the survey online.

When it was not possible for respondents to complete the survey online, off-line methods were used. Respondents could complete a paper-based survey or an electronic version of the survey in Microsoft Word that was sent by email, or they could participate in a structured interview either in person or by telephone. Paper-based versions of the survey were made available in all of the languages noted above, as well as in Bengali.

Individual responses to the survey were confidential to the independent consultants who managing the online survey or collecting data off-line in the field.

The survey data were collected over a five-week period in April and May 2011.

Respondent Types

To gather diverse perspectives on the multilateral organisations assessed, MOPAN sought the perceptions of the following respondent groups:

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.

- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the field level.
- **Direct Partner/Client (DP):**² Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of “direct partner” varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.
- **Peer organisation (PO):** International or regional organisations that work closely with the multilateral organisation being reviewed either at the country or field level (as in the case of UNHCR and UNRWA) or at a global or regional level (as in the case of UNEP).
- **Host or recipient government (GOV):** Representatives of the government that hosts the multilateral organisation being reviewed, usually in the context of organisations with protection and humanitarian mandates (as in the case of UNHCR and UNRWA).

2.2 Sampling and Response Rates

Sampling

The Common Approach 2011 used a purposive sampling method called ‘expert sampling’ in which potential respondents were identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. The identification process, which involved all MOPAN members in collaboration with the multilateral organisations assessed, resulted in lists of the population (all potential respondents) for each of the multilateral organisations.

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

The data on potential and actual respondents and their level of familiarity with the organisation are provided below.

² In the context of IFIs, these are referred to as “Clients.”

³ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, DP, PO, or GOV) and the multilateral organisation(s) they had been assigned to. A few individuals, particularly MOPAN members, completed surveys on more than one organisation.

Response Rates

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Response Rate	Percentage of Respondents who reported a good level of familiarity with the organisation ⁴
FAO	361	284	79%	89%
IDB	188	132	70%	92%
UNEP	426	215	50%	87%
UNHCR	309	206	67%	90%
UNRWA	192	130	68%	95%

MOPAN aimed to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate from all other target groups. Despite follow-up efforts, MOPAN was unable to meet the targets for some respondent groups in some cases. (See Section 2.2 of the organisational reports for response rates and targets by respondent group.)

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised for each multilateral organisation assessed, to reflect both the type of organisation and the types of respondents. This was done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

First, a set of core questions was developed for all respondents. Additional questions were designed for specific respondent groups, to reflect their functional responsibilities. For example, in some surveys, questions related to corporate issues were asked only of donors at headquarters, and questions on country-specific issues were asked only of donors in-country and clients/direct partners of multilateral organisations. Some questions were adjusted to reflect the nature of the multilateral organisation (e.g., cross-cutting thematic priorities). The final customised survey for the organisation is presented in Appendix II.

Survey Instrument

At the beginning of the survey, respondents were invited to assess the overall internal effectiveness of the multilateral organisation and were also asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, respondents were invited to provide comments on each of the four dimensions of effectiveness.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Survey respondents were presented with statements describing an organisational practice, system, or behaviour and asked to rate the organisation's performance on a scale of 1 to 6 as shown below.

⁴ This percentage includes only those who responded 3, 4 or 5 as their level of familiarity. Also note, these are un-weighted data.

Score	Rating	Definition
1	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	Weak	The multilateral organisation has this system but there are important deficiencies.
3	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	Adequate	The multilateral organisation's system is acceptable in this area.
5	Strong	The multilateral organisation's system is more than acceptable, yet without being "best practice" in this area.
6	Very Strong	The multilateral organisation's system is "best practice" in this area.

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse responses.

First level data analysis

First level survey data analysis included calculations of mean scores, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions.

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

Mean Score Calculation: Mean scores were calculated on a weighted basis only. Scores were calculated based on answers to survey questions corresponding to micro-indicators. For the calculation of mean scores, 'don't know' responses were removed from the calculation. In cases where respondents left questions blank (i.e., missing data), either because they decided not to answer, or because they did not conform to required criteria (e.g. Location of work), responses were screened out. In such cases, mean scores were calculated using the number of valid responses to each question.

Mean scores were calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight was applied to each MI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 had a KPI mean of 3. In particular cases where multiple survey questions were needed to develop a concept, micro indicators were composed of multiple sub-indicators. In such cases, we took the mean score of the sub-indicators to calculate the score for that particular MI.

A weighting scheme was applied to ensure that no single respondent group or country was under-represented in the analysis.

The weighting gave equal weight to:

- The views of each respondent group ⁵
- The countries where the survey took place
- Donors in-country, direct partners, and/or peer organisations and host governments, within each country where the survey took place.⁶

A weight was calculated for each multilateral organisation using the following equation.

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

P = total number of respondents for the multilateral organisation

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

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

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

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

Weighted figures are used in all multilateral organisation reports unless otherwise stated.

Converting Individual Scores to Group Ratings

As noted above, a mean score was calculated for each group of respondents (e.g., donors at HQ). Since the mean scores were not necessarily whole numbers (from 1 to 6) MOPAN assigned numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

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

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

⁵ To account for the different numbers of respondents in each respondent group, individual weights were applied to each group.

⁶ Weights for these groups were determined by the total number of respondents from each group who answered in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carried a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

Second level analysis

Second level analysis examined differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis were applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance was adopted ($p \leq .05$) and these are reported where significant differences were found.

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

3. Document Review

3.1 Overview

Through an examination of publicly available documents,⁷ the MOPAN document review explored evidence that the multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's internal effectiveness.

The document review considered three types of documents:

- Multilateral organisation documents relevant to the assessment of MOPAN micro-indicators. The organisations helped to identify these documents.
- Organisational reviews or assessments (external or internal) of the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- Other sources of data such as the Survey on Monitoring the Paris Declaration (2010), the Common Performance Assessment (COMPAS) report (2009), and previous MOPAN surveys.⁸

3.2 Document Sampling

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

All documents, regardless of type or level within the organisation, were approved by the relevant authority (e.g., organisation-wide documents were usually approved by the multilateral organisation's Executive Management or Board).⁹

⁷ MOPAN aims to work within the confines of a multilateral organisation's disclosure policy. The documents used for the assessment were either on the organisation's web site, on other web sites of the UN system, or were provided by the organisation for the purposes of assessing the micro-indicators.

⁸ If data from these sources were not available for the multilateral organisations participating in this year's assessment, either an alternate approach was developed or the micro-indicators were not assessed.

⁹ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

All documents (including policies, guidelines, strategies, thematic documents, and web site information) were selected at least in part based on the “type-specific” and “level-specific requirements” noted below.

a) Type-specific requirements

The following requirements apply to policies, guidelines, strategies, thematic documents, or web site information at any level of the organisation. These documents were also subject to the “level-specific requirements” listed in the following subsection.

- Policies or guidelines, at any level within the multilateral organisation, were selected only if they were currently in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, were generally selected only if they were being implemented in the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected to represent a mix of thematic areas.
- Any text from a multilateral organisation’s web site (i.e., not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

All documents were selected based on the following requirements, as applicable:

- Except for policies, strategies, and guidelines, all documents were drawn from the period 2009 – May 2011.
- Documents were included from all countries assessed in the 2011 MOPAN Common Approach. However, in some cases documents from other countries or regions in which the multilateral organisation works were also considered.
- Project and program level documents were generally selected from recent projects that had the highest levels of investment and that represented different types of programming activity in the region.

3.3 Document Collection

Document collection was not a linear process, but generally followed the following steps:

- Initial document research on the website of the multilateral organisation
- Collection of COMPAS and Paris Declaration Survey Data (if applicable)
- Consultation with the multilateral organisation, through the MOPAN Institutional Lead, who reviewed and refined the initial data set
- Finalisation of document list.

Once the document review commenced, further documentation needed to fill any gaps in information for certain indicators was requested from the multilateral organisation. If the documents obtained from these requests did not contain the information needed, the consultant team made the assessment based on the information available.

Data from other Assessments

As noted above, the document review included a review of other assessments, when relevant.

Common Performance Assessment System (COMPAS) report, 2009: COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR.

In assessing IFIs, MOPAN draws on indicators from the COMPAS report¹⁰ in order to help triangulate findings and assess relevant micro-indicators. The following COMPAS indicators were used in the 2011 assessment of MOPAN micro-indicators:

- B. Managing for Development Results through the Project Cycle
Implementation performance
- B. 8. Number and percentage of projects that were unsatisfactory in FY08 and that became satisfactory in FY09.
Project completion reporting and evaluation
- B. 11. Number of projects independently reviewed ex post during FY09, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on Monitoring the Paris Declaration, 2011. This survey, managed by the OECD, highlights areas in which countries and organisations may be falling short of the targets established for 2010. As eight of the MOPAN indicators are based on the Paris Declaration indicators, the document review looked at the Paris survey data provided by multilateral organisations themselves or published in the OECD report. The following indicators were relevant to the MOPAN assessment:

Appendix C: Donor Data:¹¹

- Indicator 3: Aid flows aligned on national procedures
- Indicator 4: Strengthen capacity by co-ordinated support
- Indicator 5a: Use of country public financial systems
- Indicator 5b: Use of country procurement systems
- Indicator 6: Strengthen capacity by avoiding parallel implementation structures
- Indicator 7: Aid is more predictable
- Indicator 9: Use of common arrangements or procedures
- Indicator 10a: Joint missions

In 2011, two organisations assessed by MOPAN (IDB and FAO) had participated in the OECD survey and contributed their data to the MOPAN assessment.

3.4 Document Analysis

Document Review Criteria

For most micro-indicators, five document review criteria were established which, taken together, were thought to represent good practice in that topic area. The criteria were based on existing standards and guidelines for each of the indicator areas when these were available (for example, UNEG or OECD-DAC guidelines) and other criteria were developed or adapted to the MOPAN Common Approach based on the following considerations:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of items or characteristics noted in standards as best practice.

¹⁰ The indicators in the COMPAS report have changed over time. In 2011, the Assessment Team reviewed the 2009 COMPAS report.

¹¹ In general, the MOPAN assessment draws on data from the “Average Country Ratio – All Countries” in the appendices of OECD Report.

- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document were examined, such as evidence from budget documents that a policy or priority area was being financed, or evidence from evaluations that showed implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type were examined (such as country strategies in different countries) to assess the extent to which criteria were met consistently across the organisation.
- **Improvement over time:** In some cases, documents were examined over several years to assess progress over time.

Document Review Ratings

Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. The rating on any micro-indicator was the total number of criteria met by the organisation.

As in the survey, the document review ratings ranged from 1 (very weak) to 6 (very strong). In the document review, however, the definition of “very weak” was expanded to include “the organisation has no document that provides evidence of such a system being in place.”

Rating and Descriptor	Number of criteria met	Definition
1. Very Weak	No criteria met or required document(s) do not exist	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place.
2. Weak	One criterion met	The multilateral organisation has this system but there are important deficiencies.
3. Inadequate	Two criteria met	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4. Adequate	Three criteria met	The multilateral organisation's system is acceptable in this area.
5. Strong	Four criteria met	The multilateral organisation's system is more than acceptable yet without being “best practice” in this area.
6. Very Strong	All five criteria met	The multilateral organisation's system is “best practice” in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source, followed a different rating method. In these cases, ratings were established on a case-by-case basis through the delineation of percentage ranges. These ranges reflected the perspective of MOPAN with respect to performance in relation to the 2010 targets of by the Paris Declaration (meeting the Paris Declaration target, for example, was considered “strong”).

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

While the document review assessed most micro-indicators, it did not assign a rating to all of them (when criteria had not been established for best practice on that MI). Consequently, some charts do not show document review scores for each KPI or MI.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. While these are still an important component of the judgments on organisational performance, the introduction of document review allows MOPAN to draw on a variety of sources that can be compared and triangulated in making judgments.

To the extent possible, MOPAN assessment standards and criteria are adjusted to reflect the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias and detect errors or anomalies.¹² In the Common Approach, data are triangulated in a number of ways:

- Document review ratings are not combined with survey results, but presented separately to illustrate convergence with or divergence from survey results.
- Other evaluations or assessments of the organisations are reviewed to help to validate or question the findings.
- Findings are widely vetted within the MOPAN network and revised based on feedback from members.
- Reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and the multilateral organisations themselves.

5. Strengths and Limitations of the Common Approach

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools.
- It is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN donors (at headquarters and in-country), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review, thus adding an additional data source. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data sources.

¹² Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations.

Limitations

While MOPAN continues to improve its methodology based on experiences in each year of implementation, the following limitations should be considered when reading MOPAN reports.

MOPAN Framework

- The Common Approach is designed primarily for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, modifications have been made wherever possible to provide greater nuance in the analysis.

Sources of Data

- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of behaviours, systems, and procedures in the organisation.
- The Common Approach asks MOPAN members and the organisations assessed to identify the most relevant individuals to complete the survey. MOPAN does not have a way of determining if the most knowledgeable and qualified individuals are the ones completing the survey.
- Since MOPAN works within the confines of each organisation's disclosure policy, the document review was sometimes limited by the availability of documents in certain indicator areas related to the internal procedures of the organisations (e.g., on audit and human resource policies).
- Perception data has several potential limitations, one of which is 'central tendency bias' – i.e., the tendency of respondents to avoid the extreme points of a scale.

Data Collection Instruments

- Because one of MOPAN's intentions is to merge existing bilateral assessment tools and forestall the development of others, the survey instrument is long. MOPAN might consider eliminating certain survey questions in future, as other sources of data are introduced.
- Some survey questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of 'don't know' responses.

Sampling

- The countries surveyed in the 2011 assessment, which were selected based on established MOPAN criteria,¹³ comprise only a small proportion of most of the multilateral organisation's overall programming.

Data Analysis

- While the document review can comment on the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).

¹³ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread. UNRWA and IDB required special considerations in 2011 because of their regional mandates.

Basis for Judgment

- For many of the MOPAN indicators there are no pre-established standards or criteria for what constitutes good practice for a multilateral organisation. As a result, some of the criteria for the document review were developed by MOPAN to meet the needs of this assessment process.
- In the document review, low ratings are sometimes due to an organisation's lack of appropriate documents that meet specific MOPAN criteria (some of which require certain aspects to be documented explicitly).
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's partners.

Despite the limitations, in general, we contend that the data presents a reasonable picture of the systems associated with the internal effectiveness of the multilateral organisations.

Appendix II MOPAN Common Approach Survey for UNHCR 2011

Note: This is the survey used to assess UNHCR in 2011. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Your time spent in participating in the MOPAN Common Approach is very much appreciated.

[1 - Samplegroup - single]

Samplegroup - Auto answered

- ☐ 1. HQ
- ☐ 2. CO
- ☐ 3. DP
- ☐ 4. GOV
- ☐ 5. PO

[Welcome]

Welcome to the Survey for the MOPAN Common Approach in 2011 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions of the United Nations High Commissioner for Refugees (UNHCR), as well as your knowledge. Your perceptions may be shaped by your experience with and exposure to UNHCR.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take around 45 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please note: It would be ideal if you would complete the survey in one session; however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey please contact mopan2011@epinion.dk. At any point you can move back and forth in the questionnaire if you would like to change a

response or a comment.

Your time spent in participating in the Common Approach is very much appreciated.

Please click the 'Next' button below to begin.

[2 - single]

Which of the following best describes how often you, in your professional role, have contact with UNHCR?

- ☐ 1. Daily
- ☐ 2. Weekly
- ☐ 3. Monthly
- ☐ 4. A few times per year or less
- ☐ 5. Never

[3 - single]

You have been identified to assess the organisational practices, systems and behaviours of the United Nations High Commissioner for Refugees (UNHCR). However, before answering the questionnaire we would like to know how familiar you are with UNHCR and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is "very familiar" and 1 is "not at all familiar".

- ☐ 1. Not at all familiar
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5. Very familiar

[ScreenOut Confirm]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer.

[4 - single]

Fake

Overall Performance

We would like to ask you a few questions about the effectiveness of UNHCR, its strengths and its areas for improvement.

[5 - single]

Thinking about UNHCR, and the way it operates, what do you consider to be its greatest strength?

Please type your answer into the box below:

☐ 1. Note:

[6 - single]

And still thinking about UNHCR and the way it operates, what do you consider to be the area where it most needs improvement?

Please type your answer into the box below:

☐ 1. Note:

[7 - single]

How would you rate the overall internal effectiveness of UNHCR?

(SEE DEFINITION BELOW)

Please use the scale below, where 6 means "very effective" and 1 means "not effective at all".

- ☐ 1. Not effective at all
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.
- ☐ 6. Very effective
- ☐ 7. Don't Know

DEFINITION:

Effectiveness = 'being organised to support beneficiaries/partners to produce and deliver expected results'.

We would like to ask you some questions about specific aspects of the performance of UNHCR. In thinking about these questions, please consider all you know about UNHCR.

Performance areas

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation. Please rate how you think UNHCR performs in those areas. You will see a scale from 1 to 6, as described below. The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

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

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

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

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

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

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

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, Knowledge Management.

Strategic Management

First of all we would like to ask you about Strategic Management.

Organisational Governance

To start with, we would like to ask you some questions related to organisational governance. According to what you know how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statements?

All words typed in bold have definitions - see definitions below the questions.

[8 - single]

UNHCR's institutional culture supports a focus on results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[9 - single]

UNHCR's institutional culture is focused on humanitarian partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[10 - single]

UNHCR's institutional culture is **direct beneficiary focused**
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[11 - single]

UNHCR's institutional culture strongly emphasises respect for **Humanitarian Principles**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[12 - single]

UNHCR's senior management shows leadership on **results-based management**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[13 - single]

UNHCR makes **key documents** readily available to key partners, including the public.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Direct beneficiary focused = Emphasis on the persons of concern to the organisation/the ultimate beneficiary of the humanitarian assistance/services provided by the organisation.

Humanitarian Principles = Key humanitarian principles are: humanity, neutrality, impartiality, and operational independence.

Results-based management = Management for results, or Results-Based Management (RBM). That is, managing and implementing programming in a way that focuses on the desired results and uses information to improve decision-making.

Key documents = Documents that describe strategies, policies, key financial information, and other types of reports at organisation-wide, country, and/or project/program level.

[14 - single]

Do you have any additional comments on UNHCR's organisational governance?

- ☐ 1. Yes, note:
- ☐ 2. No

Organisation-wide Strategy

Thinking about organisation-wide strategies, how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statement(s)?

All words typed in bold have definitions - see definitions below the questions.

[15 - single]

UNHCR's organisation-wide strategy is clearly based on humanitarian principles.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate

- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[16 - single]

UNHCR's organisation-wide strategy is based on a clear definition of its protection mandate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[17 - single]

UNHCR's organisation-wide **strategy** includes appropriate mechanisms to facilitate **durable solutions**.

(SEE DEFINITIONS BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[18 - single]

UNHCR ensures the application of results-based management across the organisation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[19 - single]

UNHCR's organisation-wide strategy contains explicit **management results**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[20 - single]

UNHCR's organisation-wide strategy contains

explicit **results**

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[21 - single]

UNHCR's results framework has **causal links** from inputs through to outputs/outcomes.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[22 - single]

UNHCR's strategy includes measurable indicators at output and outcome levels.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Strategy = High level documents that guide and direct the operations of the multilateral organisation.

Durable solutions = Any means by which the situation of refugees can be satisfactorily and permanently resolved, enabling refugees' normal lives (e.g. voluntary repatriation, local integration, and resettlement).

Management results = A description (in tabular, chart or narrative form) of management (in-house/business focused) results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Humanitarian results = A description (in tabular, chart or narrative form) of humanitarian, beneficiary/stakeholder focused results, including indicators, that are expected to be achieved from the multilateral organisation's

activities.

Causal links = A fundamental principle of results based management (RBM) is that results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

Cross-cutting Priorities

We would like you to think about how UNHCR approaches 'cross-cutting' priorities. According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[23 - single]

UNHCR sufficiently mainstreams gender equality (including gender based violence) into its programmatic work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[24 - single]

UNHCR's strategy sufficiently addresses how it will take environmental issues into account when delivering humanitarian action.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[25 - single]

UNHCR sufficiently integrates emergency preparedness and response into its work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[26 - single]

UNHCR sufficiently applies human rights-based approaches to humanitarian action.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[27 - single]

UNHCR sufficiently mainstreams HIV/AIDS in its programmatic work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[28 - single]

Do you have any additional comments on UNHCR's organisational strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

Strategies - Country, Regional, Thematic

Thinking about UNHCR's strategies at the country level, how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statements?

All words typed in bold have definitions - see definitions below the questions.

[29 - single]

UNHCR links results from rapid onset situations, projects, and programmes at **country level**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[30 - single]

UNHCR's results include indicators at all levels (country, sector and project/program).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[31 - single]

UNHCR's frameworks for rapid onset situations include indicators.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[32 - single]

UNHCR ensures sufficient involvement of **beneficiaries** in design of humanitarian response (except in some cases of armed conflict).

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[33 - single]

UNHCR ensures sufficient involvement of **partners** (including governments) in design of humanitarian response whenever feasible and appropriate.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[34 - single]

UNHCR's strategies (country level, rapid response) include results for the thematic areas it defines as cross-cutting priorities (e.g., gender equality, environment, human rights, HIV/AIDS, emergency preparedness and response).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[35 - single]

UNHCR has **contingency plans** in place should a major increase or scale up of humanitarian actions be required.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Country level = At the country level, this question may refer to an organisation's country strategy.

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

Partners = Organisations who receive a direct transfer from the multilateral organisation or have direct interaction with them at the country level. The transfer might include financial assistance, capacity building, policy advice, etc. Partners can be governmental (ministries, departments, agencies, etc.), non-governmental (associations, non-profits, co-operatives, institutes, etc.), multilateral agencies or private sector corporations.

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

[36 - single]

Do you have any additional comments on UNHCR's country strategies?

- ☐ 1. Yes, note:
- ☐ 2. No

[37 - single]

Is there anything further you would like to say about UNHCR's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Operational Management

We would like to know what you think about Operational Management within UNHCR.

Financial Resources and Risk Management

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

[38 - single]

UNHCR makes readily available its criteria for allocating un-earmarked resources.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[39 - single]

UNHCR allocates un-earmarked resources according to the criteria mentioned above.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[40 - single]

UNHCR manages aid flows on the basis of needs and its own strategic priorities.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate

- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[41 - single]

UNHCR accesses or generates reasonably accurate overall financial estimates of demand for its humanitarian action.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[42 - single]

UNHCR makes accurate projections of expected donor support.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[43 - single]

UNHCR's allocations are linked to expected humanitarian results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[44 - single]

UNHCR reports on results include the amounts disbursed to achieve those results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

Financial Resources and Risk Management

Still thinking about financial resources and risk management.

According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statement(s)?

All words typed in bold have definitions - see definitions below the questions.

[45 - single]

UNHCR's external financial audits are meeting the expectations of donors.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[46 - single]

UNHCR's programmes and projects are appropriately audited at a country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[47 - single]

UNHCR has appropriate systems in place to follow up on financial irregularities, including fraud and corruption.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[48 - single]

UNHCR's internal financial audits provide objective information to its governing body.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[49 - single]

UNHCR's procurement and contract

management processes for the provision of services or goods are usually effective.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[50 - single]

UNHCR has appropriate strategies in place for **risk management** (identification, mitigation, contingency planning, monitoring and reporting). (SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Risk management = Risk management involves the identification, analysis, monitoring, mitigation, contingency planning, and reporting of those risks that impact on achievement of results, and actions to address them.

[51 - single]

Do you have any additional comments on UNHCR's financial resources and risk management?

- ☐ 1. Yes, note:
- ☐ 2. No

Performance Management

We would like you to think about performance management - the way UNHCR manages the performance of its operations. According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

[52 - single]

UNHCR uses performance information from rapid onset situations, projects/programmes, sectors and countries to revise organisational policies.

- ☐ 1. Very weak
- ☐ 2. Weak

- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[53 - single]

UNHCR uses performance information to plan responses to new rapid onset situations, initiatives, projects, programmes.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[54 - single]

Poorly performing humanitarian initiatives, programmes and/or projects of UNHCR are subject to proactive management.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[55 - single]

UNHCR appropriately tracks implementation of evaluation recommendations reported to the Board/General Assembly etc.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[56 - single]

Do you have any additional comments on UNHCR's performance management?

- ☐ 1. Yes, note:
- ☐ 2. No

Human Resources Management

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

[57 - single]

UNHCR uses results-focused performance assessment systems for senior staff.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[58 - single]

UNHCR uses a transparent system to manage staff performance.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[59 - single]

UNHCR has appropriate measures in place to ensure staff security.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[60 - single]

UNHCR keeps deployed international staff in post for a sufficient time to maintain effective partnerships at country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[61 - single]

UNHCR makes use of in house personnel for rapid deployment.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[62 - single]

UNHCR makes use of externally accessible personnel for rapid deployment.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[63 - single]

Please indicate if you are familiar with UNHCR's **code of conduct**.

(SEE DEFINITION BELOW)

- ☐ 1. Yes
- ☐ 2. No

DEFINITION:

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

According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statement(s)?

[64 - single]

UNHCR staff follow the code of conduct.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[65 - single]

UNHCR monitors compliance with the code of conduct.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[66 - single]

UNHCR has a system in place for reporting transparently on compliance with the code of conduct.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[67 - single]

Do you have any additional comments on UNHCR's human resources management?

- ☐ 1. Yes, note:
- ☐ 2. No

Portfolio Management

We would like you to think about portfolio management, that is the management of competing organisational priorities. According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[68 - single]

UNHCR subjects new programming initiatives to **impact analysis**.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[69 - single]

UNHCR subjects new programming initiatives to **risk analysis**.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[70 - single]

UNHCR sets targets to enable monitoring of progress in rapid onset situations or project/program implementation at country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[71 - single]

Key operational/management decisions in UNHCR are delegated in a manner appropriate to the context (e.g. centralised decision-making may be appropriate in conflict situations).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

DEFINITION:

Impact analysis = Including environmental, social and economic impacts.

Risk analysis = Analysis that assesses the probability or likelihood of a detrimental outcomes of an activity or action, and the potential humanitarian impact of the activity/action on different segments of the population.

[72 - single]

Do you have any additional comments on UNHCR's portfolio management?

- ☐ 1. Yes, note:
- ☐ 2. No

Humanitarian Principles

We would like you to think about the way UNHCR ensures adherence to humanitarian principles. According to what you know about

UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

[73 - single]

UNHCR has clear procedures for in-house coordination of the various functions and roles that are part of its mandate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[74 - single]

UNHCR maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in the delivery of humanitarian action, particularly in cases of conflict.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[75 - single]

UNHCR respects humanitarian principles while delivering humanitarian action.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[76 - single]

UNHCR engages with local partners and communities to promote sustainable livelihoods.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[77 - single]

UNHCR uses appropriate modalities to mitigate aid dependency.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[78 - single]

Do you have any additional comments on the way UNHCR ensures adherence to humanitarian principles?

- ☐ 1. Yes, note:
- ☐ 2. No

[79 - single]

Before moving on to the next section, is there anything further you would like to say about UNHCR's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Relationship Management

We would like to ask you about some aspects of Relationship Management - that is, UNHCR's relationship with direct partners, governments, and other humanitarian partners.

Ownership

According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

[80 - single]

UNHCR uses procedures (e.g. funding and reporting requirements) that can be easily understood and followed by humanitarian partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[81 - single]

The length of time it takes to complete UNHCR procedures does not affect implementation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[82 - single]

UNHCR adjusts its overall portfolio in country quickly, to respond to changing circumstances.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[83 - single]

UNHCR flexibly adjusts its implementation of individual projects/programmes as learning occurs.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[84 - single]

UNHCR is able to respond to rapid onset situations in a timely manner.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[85 - single]

UNHCR transfers funds to humanitarian partners in a timely manner.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

☐ 7. Don't Know*[86 - single]*

UNHCR ensures that it sufficiently uses local capacities.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[87 - single]

UNHCR ensures that capacity development of local partners is undertaken.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[88 - single]

Do you have any additional comments on UNHCR's performance with regard to ownership?

- ☐ 1. Yes, note:
- ☐ 2. No

Alignment

According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in each of the following statements?

[89 - single]

UNHCR contributes to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises) in a timely fashion.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[90 - single]

UNHCR engages fully in the CHAP (Common Humanitarian Action Plans) in countries where this programming process is being utilised.

☐ 1. Very weak☐ 2. Weak☐ 3. Inadequate☐ 4. Adequate☐ 5. Strong☐ 6. Very strong☐ 7. Don't Know*[91 - single]*

UNHCR provides valuable inputs to policy dialogue.

☐ 1. Very weak☐ 2. Weak☐ 3. Inadequate☐ 4. Adequate☐ 5. Strong☐ 6. Very strong☐ 7. Don't Know*[92 - single]*

UNHCR respects the views of humanitarian partners when it undertakes policy dialogue.

☐ 1. Very weak☐ 2. Weak☐ 3. Inadequate☐ 4. Adequate☐ 5. Strong☐ 6. Very strong☐ 7. Don't Know*[93 - single]*

UNHCR uses advocacy with governments and other stakeholders to enhance the protection space.

☐ 1. Very weak☐ 2. Weak☐ 3. Inadequate☐ 4. Adequate☐ 5. Strong☐ 6. Very strong☐ 7. Don't Know*[94 - single]*

Please indicate if you are familiar with UNHCR's participation in the cluster system at the country level.

☐ 1. Yes☐ 2. No

According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in

each of the following statements?

[95 - single]

UNHCR adjusts its programmes to reflect strategic priorities agreed by the cluster(s) in which it participates.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[96 - single]

UNHCR implements its programmes in a manner compliant with the technical recommendations of the appropriate cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[97 - single]

Do you have any additional comments on UNHCR's performance with regard to alignment?

- ☐ 1. Yes, note:
- ☐ 2. No

Harmonisation

[98 - single]

Harmonisation

Please indicate if you are familiar with UNHCR's role as a cluster co-lead in Burundi.

- ☐ 1. Yes
- ☐ 2. No

According to what you know about UNHCR, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[99 - single]

UNHCR dedicates sufficient analytical resources and policy-level engagements to strategic activities within the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[100 - single]

UNHCR provides dedicated staff for coordination of the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[101 - single]

UNHCR ensures that pertinent information is circulated within the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[102 - single]

UNHCR facilitates prioritisation of financial needs within the cluster it leads.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[103 - single]

UNHCR often participates in joint missions (coordination, analysis, design, evaluation, needs assessments).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[104 - single]

UNHCR shares relevant information, in particular regarding needs, with humanitarian and other partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[105 - single]

UNHCR's technical assistance is provided through coordinated programmes.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[106 - single]

UNHCR contributes actively to common/joint needs assessments at country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[107 - single]

Do you have any additional comments on UNHCR's performance with regard to harmonisation?

- ☐ 1. Yes, note:
- ☐ 2. No

[108 - single]

Before moving on to the next section, is there anything further you would like to say about UNHCR's Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Knowledge Management

In this last section we would like to ask you

about Knowledge Management within UNHCR.

Performance Evaluation

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

[109 - single]

UNHCR uses evaluation findings in its decisions on programming, policy and strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[110 - single]

UNHCR requires the involvement of key direct partners in its evaluation function.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[111 - single]

UNHCR requires the involvement of key beneficiaries in its evaluation function.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[112 - single]

Do you have any additional comments on UNHCR's performance evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

Performance Reporting

Please think about performance reporting.

According to what you know about UNHCR,

how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statement(s)?

[113 - single]

UNHCR reports to the governing body on performance, including on outcomes achieved.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[114 - single]

UNHCR reports to the governing body on adjustments made to country programming on the basis of performance information.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[115 - single]

Do you have any additional comments on UNHCR's performance reporting?

- ☐ 1. Yes, note:
- ☐ 2. No

Dissemination

We would like you to think about how UNHCR disseminates lessons learned.

According to what you know about UNHCR, how do you think UNHCR performs in relation to the practices, systems or behaviours described in the following statement(s)?

[116 - single]

UNHCR identifies and disseminates lessons learned from performance information.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[117 - single]

UNHCR provides opportunities at all levels of the organisation to share lessons from practical experience.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[118 - single]

Do you have any additional comments on how UNHCR disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[119 - single]

Is there anything further you would like to say about UNHCR's Knowledge Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

Background Questions

[120 - single]

What MOPAN member country do you work with?

- ☐ 1. Australia
- ☐ 2. Austria
- ☐ 3. Belgium
- ☐ 4. Canada
- ☐ 5. Denmark
- ☐ 6. Finland
- ☐ 7. France
- ☐ 8. Germany
- ☐ 9. Ireland
- ☐ 10. Republic of Korea
- ☐ 11. The Netherlands
- ☐ 12. Norway
- ☐ 13. Spain
- ☐ 14. Sweden
- ☐ 15. Switzerland
- ☐ 16. United Kingdom

[121 - single]

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

- ☐ 1. MOPAN member organisation, in offices in the MOPAN country
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the multilateral organisation
- ☐ 3. Other

[122 - single]

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

- ☐ 1. MOPAN member organisation, in country/regional office (including embassies)
- ☐ 2. Other

[123 - single]

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

- ☐ 1. Government - line ministry
- ☐ 2. Government - ministry of finance/statistics/planning/economics
- ☐ 3. Government - other
- ☐ 4. Civil society organisation (e.g. NGO, CBO)
- ☐ 5. International organisation (e.g. UN organisation, INGO)
- ☐ 6. Other

[124 - single]

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

- ☐ 1. Senior-level professional
- ☐ 2. Mid-level professional
- ☐ 3. Junior professional

[ALMOST DONE]

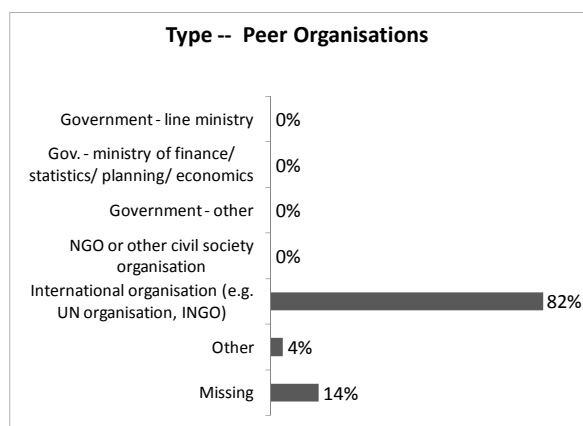
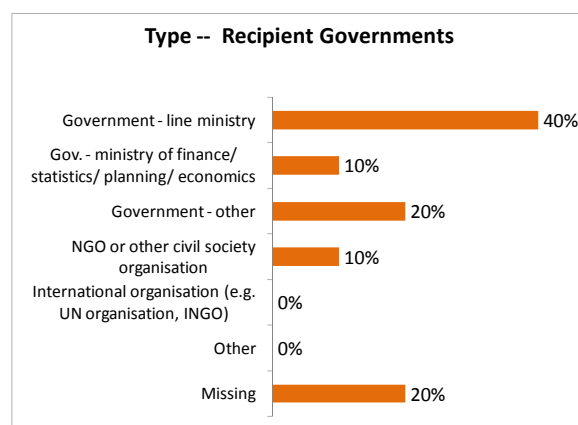
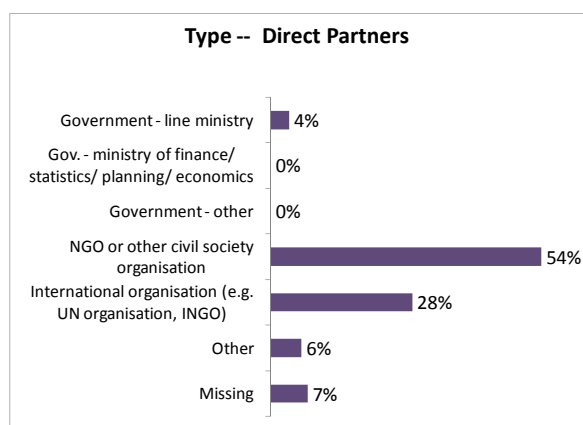
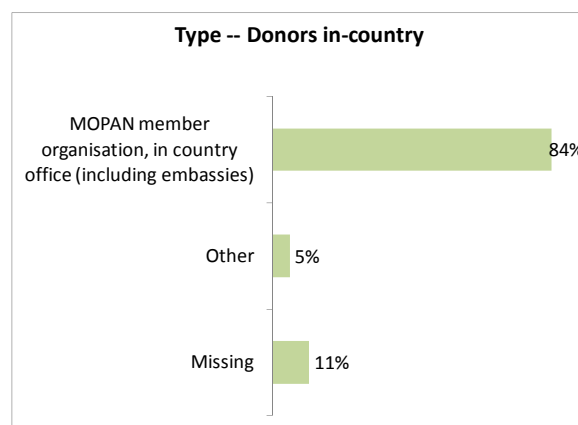
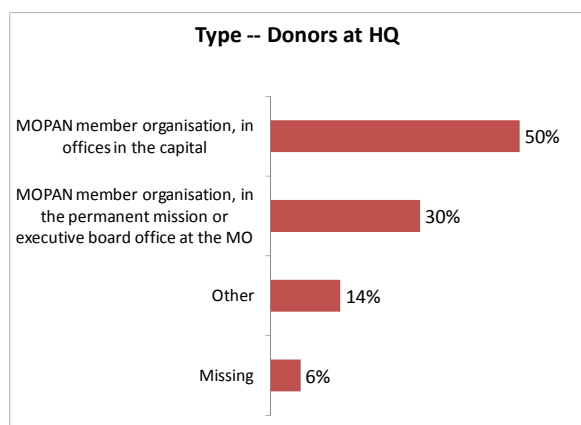
You have answered the last question. Once you click 'Next' you cannot go back and edit your answers.

[End of Interview]

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

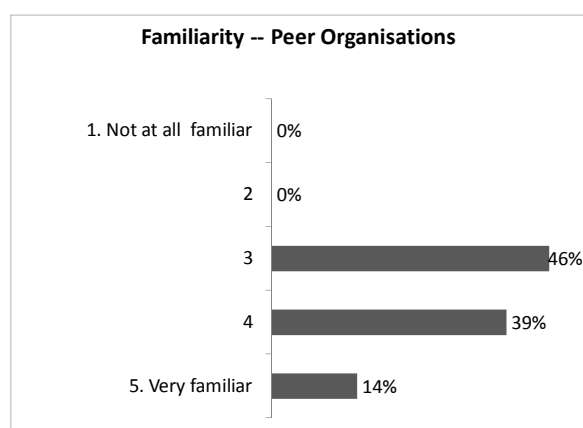
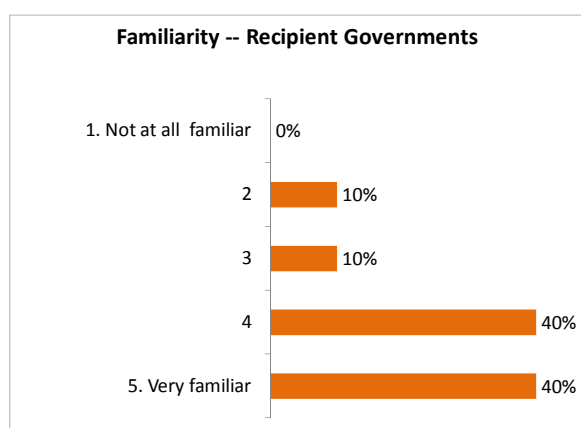
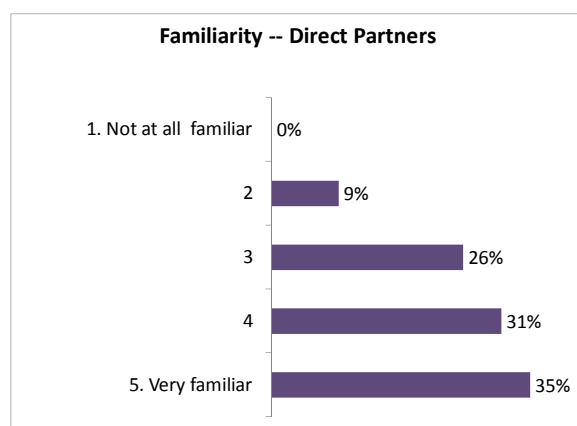
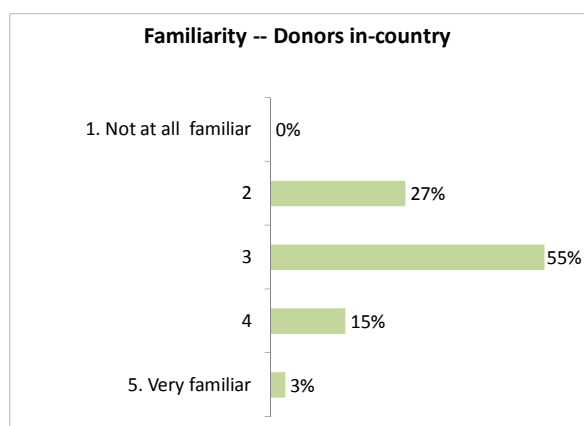
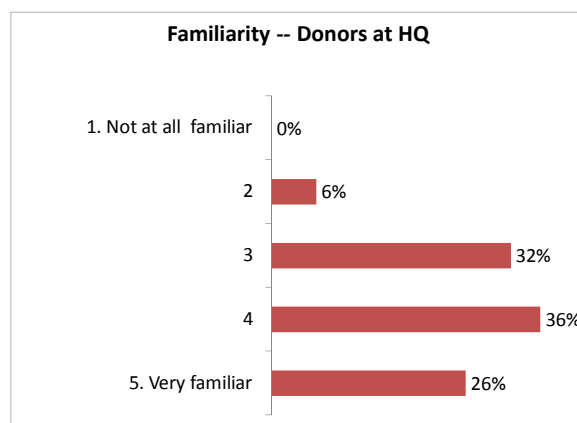
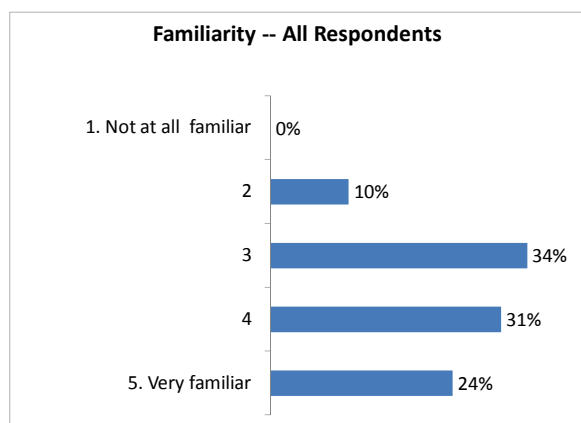
Appendix III Respondent Profile

Types of Respondents¹⁴

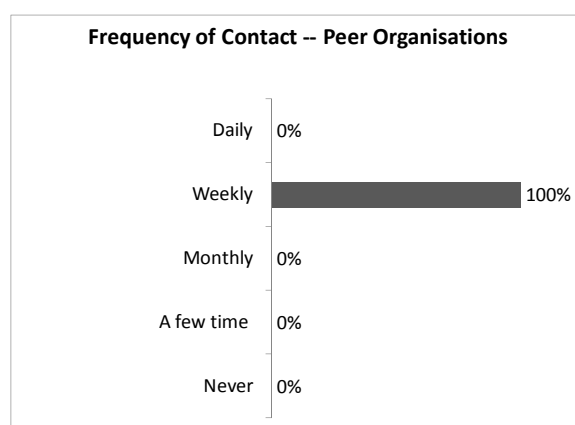
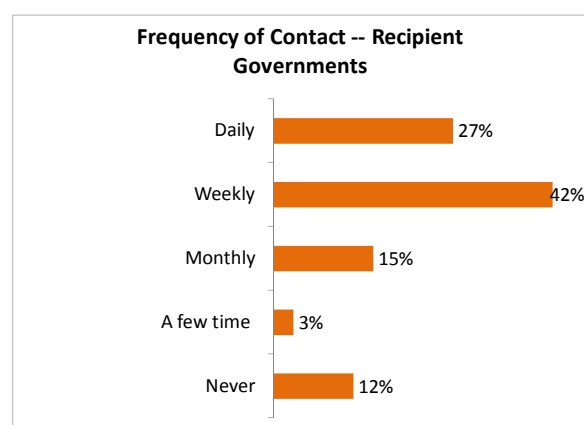
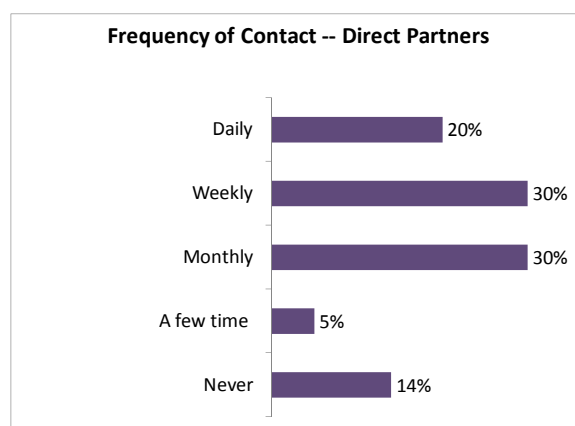
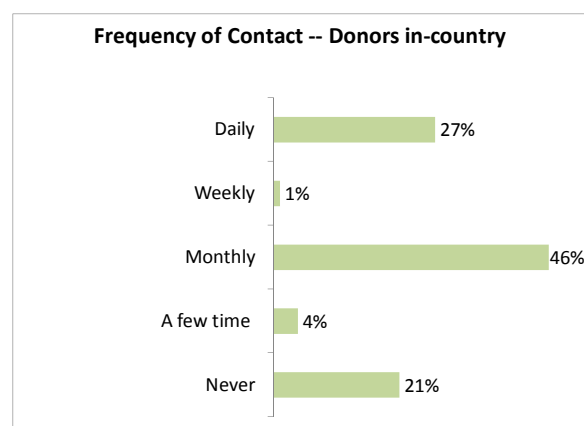
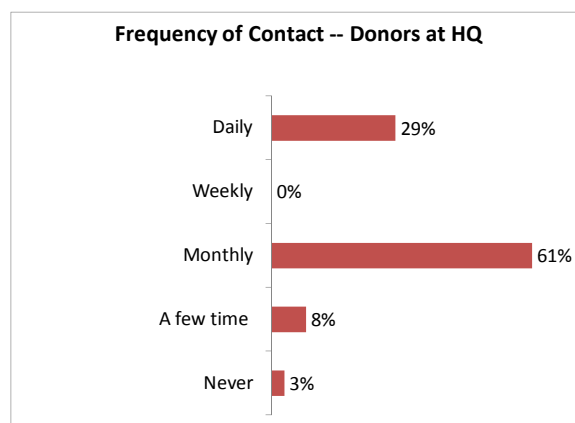
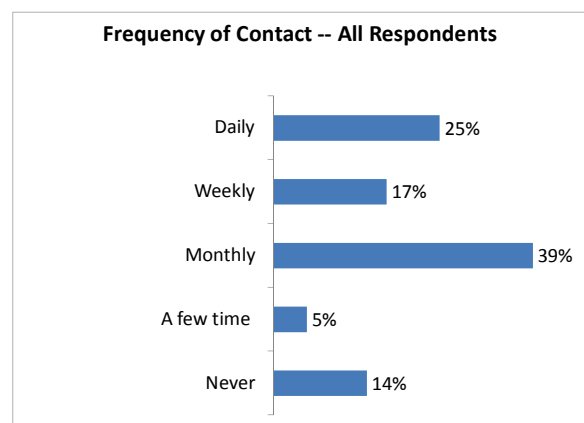


¹⁴ The group in which respondents were classified in the list of potential respondents identified for the survey is sometimes different than the way respondents categorised themselves.

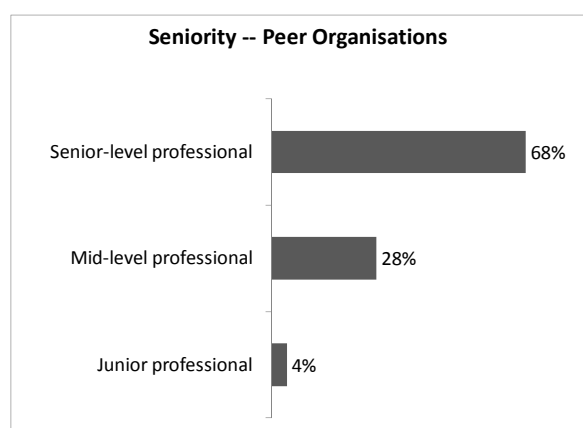
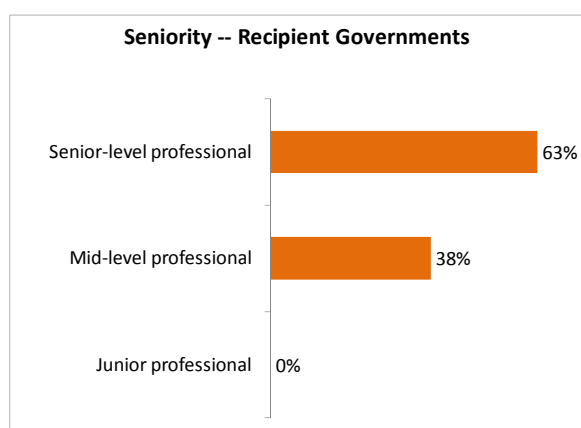
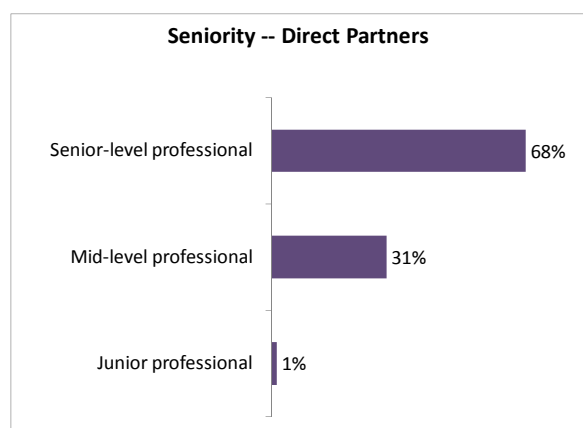
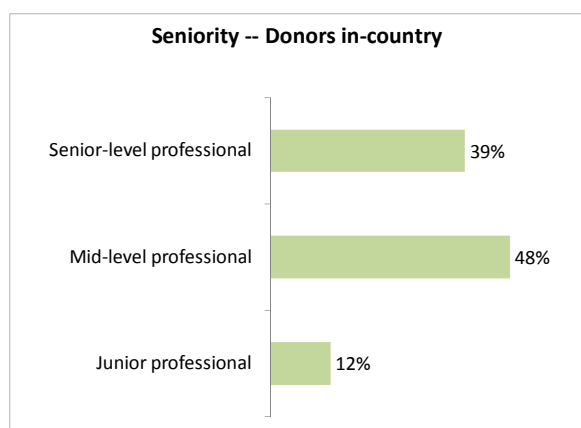
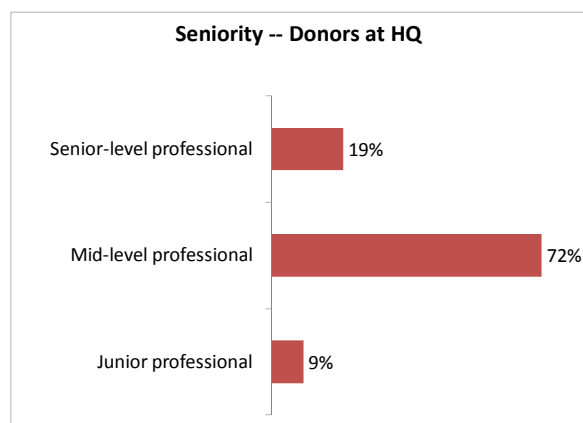
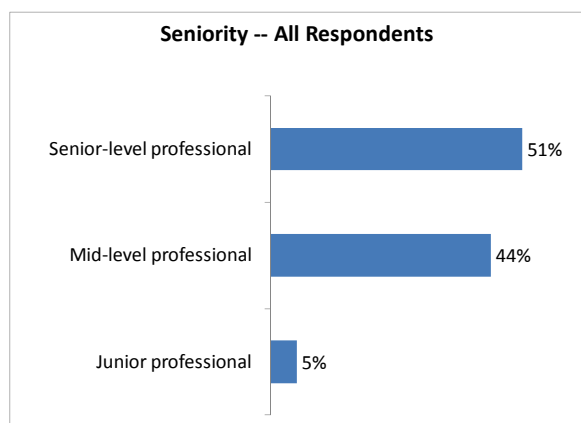
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



Respondent Level of Seniority



Appendix IV Base Size and Rate of “Don’t Know” Responses

N (#) = number of respondents who were asked the question (un-weighted data).

% DK = percentage of respondents who indicated “Don’t Know” to the question (weighted data).

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

I- Strategic Management

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
KPI 1	Providing direction for results	--	--	--	--	--	--	--	--	--	--	--	--
MI 1.1	Value system supports results-orientation and partner and beneficiary focus	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR's institutional culture supports a focus on results	206	4	28	5	10	0	81	2	37	12	50	2
SUB MI	ii) UNHCR's institutional culture is focused on humanitarian partners	206	2	28	0	10	0	81	3	37	5	50	4
SUB MI	iii) UNHCR's institutional culture is direct beneficiary focused	206	1	28	0	10	0	81	0	37	7	50	0
SUB MI	iv) UNHCR's institutional culture strongly emphasises respect for Humanitarian Principles	206	2	28	0	10	0	81	2	37	5	50	2
MI 1.2	Leadership on results management	60	4			10	0	--	--	--	--	50	8
MI 1.3	Key documents available to the public	125	4	28	8	10	0	--	--	37	5	50	4
KPI 2	Corporate focus on humanitarian needs and results	--	--	--	--	--	--	--	--	--	--	--	--
MI 2.1	Organisational strategy clearly based on humanitarian principles	88	1	28	0	10	0	--	--	--	--	50	2
MI 2.2	Organisational strategy based on clear mandate	88	1	28	0	10	0	--	--	--	--	50	2
MI 2.3	Organisational strategy includes appropriate mechanisms to facilitate durable solutions	125	3	28	0	10	6	--	--	37	4	50	4

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
MI 2.4	Organisational policy on results management	50	10	--	--	--	--	--	--	--	--	50	10
MI 2.5	Plans and strategies contain results frameworks	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR's organisation-wide strategy contains explicit management results	60	6	--	--	10	6	--	--	--	--	50	6
SUB MI	ii) UNHCR's organisation-wide strategy contains explicit humanitarian results	60	5	--	--	10	6	--	--	--	--	50	4
MI 2.6	Results frameworks link inputs to outputs/outcomes	50	26	--	--	--	--	--	--	--	--	50	26
MI 2.7	Plans and strategies contain performance indicators	50	26	--	--	--	--	--	--	--	--	50	26
KPI 3	Focus on thematic priorities	--	--	--	--	--	--	--	--	--	--	--	--
MI 3.1	Gender equality	125	4	28	0	10	0	--	--	37	12	50	6
MI 3.2	Environment	125	16	28	13	10	11	--	--	37	25	50	14
MI 3.3	Emergency preparedness and response	125	9	28	13	10	6	--	--	37	16	50	2
MI 3.4	Human rights based approaches	125	1	28	0	10	0	--	--	37	2	50	2
MI 3.5	HIV/AIDS	125	26	28	33	10	11	--	--	37	23 3	50	28
KPI 4	Country focus on results	--	--	--	--	--	--	--	--	--	--	--	--
MI 4.1	Frameworks link results at project, program, sector and country levels	75	15	28	27	10	6	--	--	37	12	--	--
MI 4.2	Frameworks include indicators at project, program, sector, and country levels	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR's results include indicators at all levels (country, sector, and project/program)	125	27	28	38	10	6	--	--	37	37	50	28

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
SUB MI	ii) UNHCR's frameworks for rapid onset situations include indicators	125	36	28	50	10	6	--	--	37	39	50	48
MI 4.3	Humanitarian response developed in consultation with partners	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR ensures sufficient involvement of beneficiaries in design of humanitarian response (except in some cases of armed conflict)	156	10	28	15	10	11	81	3	37	12	--	--
SUB MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in design of humanitarian response whenever feasible and appropriate	156	5	28	8	10	0	81	1	37	9	--	--
MI 4.4	Results for thematic priorities included in country level frameworks	125	23	28	22	10	6	--	--	37	28	50	36
MI 4.5	Results for thematic priorities included in country level frameworks	125	18	28	23	10	6	--	--	37	35	50	8

II- Operational Management

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
KPI 5	Aid allocation decisions	--	--	--	--	--	--	--	--	--	--	--	--
MI 5.1	Criteria for allocating resources publicly available	169	21	28	48	10	0	81	14	--	--	50	22
MI 5.2	Resources allocations follow the criteria	50	36	--	--	--	--	--	--	--	--	50	36
MI 5.3	Resources released as needed and available	125	11	28	27	10	0	--	--	37	13	50	2
MI 5.4	Reasonably accurate financial estimates of demand for its humanitarian action	50	10	--	--	--	--	--	--	--	--	50	10
KPI 6	Linking aid management to performance	--	--	--	--	--	--	--	--	--	--	--	--
MI 6.1	Accurate projections of expected donor support	87	16	--	--	--	--	--	--	37	24	50	8
MI 6.2	Allocations linked to expected results	50	10	--	--	--	--	--	--	--	--	50	10
MI 6.3	Expenditures linked to reported results	87	20	--	--	--	--	--	--	37	28	50	12
KPI 7	Financial accountability	--	--	--	--	--	--	--	--	--	--	--	--
MI 7.1	External financial audits performed across the organisation	50	18	--	--	--	--	--	--	--	--	50	18
MI 7.2	External financial audits performed at the regional, country or project level	60	26	--	--	10	22	--	--	--	--	50	30
MI 7.3	Systems for immediate measures against irregularities	125	38	28	48	10	28	--	--	37	53	50	24
MI 7.4	Internal financial audit processes provide objective information	50	22	--	--	--	--	--	--	--	--	50	22
MI 7.5	Effective procurement and contract management processes	50	38	--	--	--	--	--	--	--	--	50	38
MI 7.6	Strategies for risk management	50	24	--	--	--	--	--	--	--	--	50	24
KPI 8	Using performance information	--	--	--	--	--	--	--	--	--	--	--	--
MI 8.1	Using information for revising and adjusting policies	50	22	--	--	--	--	--	--	--	--	50	22

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
MI 8.2	Using information for planning new interventions	125	24	28	37	10	6	--	--	37	28	50	24
MI 8.3	Proactive management of poorly performing humanitarian initiatives	125	29	28	27	10	11	--	--	37	41	50	36
MI 8.4	Evaluation recommendations are acted upon	50	18	--	--	--	--	--	--	--	--	50	18
KPI 9	Managing human resources	--	--	--	--	--	--	--	--	--	--	--	--
MI 9.1	Results-focused performance assessment systems for senior staff	50	44	--	--	--	--	--	--	--	--	50	44
MI 9.2	Transparent incentive/reward system for staff performance	50	44	--	--	--	--	--	--	--	--	50	44
MI 9.3	Measures to ensure staff security	125	18	28	8	10	28	--	--	37	22	50	16
MI 9.4	Staff rotation is adequate for development of effective partnerships	125	18	28	8	10	28	--	--	37	12	50	24
MI 9.5	Code of conduct followed by staff members	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR staff follow the code of conduct	65	1	4	0	2	0	53	2	6	0	--	--
SUB MI	ii) UNHCR monitors compliance with the code of conduct	13	0	--	--	--	--	--	--	--	--	13	0
SUB MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	13	0	--	--	--	--	--	--	--	--	13	0
MI 9.6	Rapid personnel deployment or surge mechanisms in place	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR makes use of in house personnel for rapid deployment	125	29	28	35	10	28	--	--	37	36	50	18
SUB MI	ii) UNHCR makes use of externally accessible personnel for rapid deployment	125	35	28	45	10	28	--	--	37	41	50	26
KPI 10	Performance oriented programming	--	--	--	--	--	--	--	--	--	--	--	--

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
MI 10.1	New initiatives subject to risk and benefits/impact analysis	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR subjects new programming initiatives to impact analysis	88	25	28	33	10	6	--	--	--	--	50	36
SUB MI	ii) UNHCR subjects new programming initiatives to risk analysis	88	27	28	37	10	6	--	--	--	--	50	40
MI 10.2	Milestones/targets set to rate progress of implementation	125	26	28	43	10	6	--	--	37	23	50	32
KPI 11	Delegating decision making	--	--	--	--	--	--	--	--	--	--	--	--
MI 11.1	Key operations/management decisions can be made locally	125	36	28	48	10	28	--	--	37	37	50	32
KPI 12	Adherence to humanitarian principles	--	--	--	--	--	--	--	--	--	--	--	--
MI 12.1	Clear procedures for in-house coordination	87	35	--	--	--	--	--	--	37	45	50	26
MI 12.2	Ongoing policy dialogue with partners on observing humanitarian principles	206	7	28	5	10	0	81	7	37	16	50	6
MI 12.3	Humanitarian principles respected while delivering humanitarian action	206	2	28	0	10	0	81	0	37	9	50	2
MI 12.4	Sustainable livelihoods and transition from relief to recovery and development promoted	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR engages with local partners and communities to promote sustainable livelihoods	206	3	28	0	10	0	81	2	37	12	50	2
SUB MI	ii) UNHCR uses appropriate modalities to mitigate aid dependency	206	14	28	15	10	0	81	4	37	32	50	20

III- Relationship Management

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
KPI 13	Adjusting procedures	--	--	--	--	--	--	--	--	--	--	--	--
MI 13.1	Procedures easily understood and completed by partners	206	13	28	18	10	11	81	0	37	25	50	10
MI 13.2	Length of time for procedures does not affect implementation	206	22	28	38	10	6	81	0	37	34	50	30
MI 13.3	Ability to respond quickly to changing circumstances	206	13	28	17	10	6	81	8	37	19	50	16
MI 13.4	Flexibility in implementation of projects/programs	206	13	28	18	10	6	81	7	37	16	50	18
MI 13.5	Timely response to events/disaster situations	206	8	28	15	10	6	81	4	37	16	50	0
MI 13.6	Timely transfer of funds to local/international organisations	206	24	28	45	10	0	81	0	37	41	50	36
MI 13.7	Sufficient use of local capacities	156	7	28	2	10	0	81	3	37	23	--	--
MI 13.8	Capacity development of local partners undertaken	156	9	28	8	10	0	81	2	37	27	--	--
KPI 14	Supporting inter-agency plans and appeals	--	--	--	--	--	--	--	--	--	--	--	--
MI 14.1	Active contribution to inter-agency plans and appeals	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR contributes to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises) in a timely fashion	206	10	28	8	10	0	81	14	37	20	50	8
SUB MI	ii) UNHCR engages fully in the CHAP (Common Humanitarian Action Plans) in countries where this programming process is being utilised	206	42	28	38	10	44	81	52	37	53	50	20
KPI 15	Contributing to policy dialogue	--	--	--	--	--	--	--	--	--	--	--	--

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
MI 15.1	Reputation for high quality, valued policy dialogue inputs	206	8	28	7	10	0	81	16	37	13	50	6
MI 15.2	Policy dialogue respects partner views and perspectives	206	8	28	13	10	0	81	3	37	11	50	14
MI 15.3	Advocacy used to enhance protection space	146	5	28	0	--	--	81	7	37	7		
MI 15.4	Programs reflect strategic priorities agreed by the cluster	87	16	13	0	--	--	24	0	--	--	50	28
MI 15.5	Program implementation compliant with technical recommendations of the cluster	87	22	13	0	--	--	24	5	--	--	50	36
KPI 16	Managing the cluster	--	--	--	--	--	--	--	--	--	--	--	--
MI 16.1	Sufficient analytical resources and policy-level engagement dedicated to cluster	18	23	3	0	--	--	14	18	1	100	--	--
MI 16.2	Dedicated staff for the coordination of the cluster	18	23	3	0	--	--	14	18	1	100	--	--
MI 16.3	Pertinent information circulated within the cluster	18	17	3	0	--	--	14	6	1	100	--	--
MI 16.4	Prioritisation of financial needs within the cluster	18	23	3	0	--	--	14	18	1	100	--	--
KPI 17	Harmonising procedures	--	--	--	--	--	--	--	--	--	--	--	--
MI 17.1	Participation in joint missions	206	13	28	8	10	17	81	7	37	26	50	6
MI 17.2	Sharing relevant information with partners	206	4	28	0	10	0	81	3	37	11	50	6
MI 17.3	Technical cooperation disbursed through coordinated programs	125	17	28	2	10	0			37	36	50	30
MI 17.4	Contributing actively to common/joint needs assessments	156	10	28	7	10	0	81	14	37	20	--	--

IV- Knowledge Management

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
KPI 18	Evaluating external results	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.1	Independent evaluation unit	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.2	Sufficient evaluation coverage of programming activity	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.3	Quality of evaluations	--	--	--	--	--	--	--	--	--	--	--	--
MI 18.4	Use of evaluation findings to inform decisions	50	14	--	--	--	--	--	--	--	--	50	14
MI 18.5	Beneficiaries and stakeholders involved in evaluation	--	--	--	--	--	--	--	--	--	--	--	--
SUB MI	i) UNHCR requires the involvement of key direct partners in its evaluation function	169	20	28	23	10	6	81	10	--	--	50	42
SUB MI	ii) UNHCR requires the involvement of key beneficiaries in its evaluation function	169	23	28	38	10	6	81	13	--	--	50	36
KPI 19	Presenting performance information	--	--	--	--	--	--	--	--	--	--	--	--
MI 19.1	Reports on achievement of outcomes	60	17	--	--	10	22	--	--	--	--	50	12
MI 19.2	Reports on performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--	--	--
MI 19.3	Reports against its organisational strategy, including results	--	--	--	--	--	--	--	--	--	--	--	--
MI 19.4	Reports on programming adjustments based on performance information	206	37	28	50	10	22	81	47	37	45	50	18
KPI 20	Disseminating lessons learned	--	--	--	--	--	--	--	--	--	--	--	--
MI 20.1	Reports on programming adjustments based on performance information	206	25	28	40	10	17	81	11	37	39	50	18

		Total		Peer Organisations		Recipient Governments		Direct Partners		Donors in Country		Donors at HQ	
		N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK	N #	% DK
MI 20.2	Lessons shared at all levels of the organisation	178	32	--	--	10	22	81	16	37	53	50	36

Appendix V KPI and MI Data by Quadrant

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

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

However, the base is un-weighted.¹⁵ Total – includes all respondents. “--” indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)

I – Strategic Management

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
	Base (un-weighted):	206	28	10	81	37	50
KPI 1	Providing direction for results	4.51	4.33	4.66	4.74	4.47	4.47
MI 1.1	Value system supports results-orientation and partner and beneficiary focus	4.76	4.76	5.09	4.74	4.60	4.61
SUB MI	i) UNHCR's institutional culture supports a focus on results	4.42	4.38	4.94	4.46	3.98	4.26
SUB MI	ii) UNHCR's institutional culture is focused on humanitarian partners	4.64	4.59	5.18	4.63	4.61	4.16
SUB MI	iii) UNHCR's institutional culture is direct beneficiary focused	4.89	4.98	5.00	4.80	4.86	4.81
SUB MI	iv) UNHCR's institutional culture strongly emphasises respect for Humanitarian Principles	5.11	5.10	5.24	5.07	4.94	5.20
MI 1.2	Leadership on results management	4.51	--	4.59	--	--	4.42
MI 1.3	Key documents available to the public	4.25	3.89	4.29	--	4.35	4.40
KPI 2	Corporate focus on humanitarian needs and results	4.39	4.60	4.86	--	4.16	4.38
MI 2.1	Organisational strategy clearly based on humanitarian principles	5.04	5.08	5.12	--	--	4.93

¹⁵ For a description of weighting, please see the Methodology in Appendix I.

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
MI 2.2	Organisational strategy based on clear mandate	5.09	5.06	5.12	--	--	5.09
MI 2.3	Organisational strategy includes appropriate mechanisms to facilitate durable solutions	4.21	3.65	4.63	--	4.16	4.38
MI 2.4	Organisational policy on results management	3.98	--	--	--	--	3.98
MI 2.5	Plans and strategies contain results frameworks	4.45	--	4.59	--	--	4.30
SUB MI	i) UNHCR's organisation-wide strategy contains explicit management results	4.18	--	4.31	--	--	4.05
SUB MI	ii) UNHCR's organisation-wide strategy contains explicit humanitarian results	4.71	--	4.88	--	--	4.56
MI 2.6	Results frameworks link inputs to outputs/outcomes	4.06	--	--	--	--	4.06
MI 2.7	Plans and strategies contain performance indicators	3.91	--	--	--	--	3.91
KPI 3	Focus on thematic priorities	4.40	4.18	4.63	--	4.31	4.40
MI 3.1	Gender equality	4.51	4.49	4.88	--	4.34	4.27
MI 3.2	Environment	3.96	3.70	4.33	--	3.88	3.88
MI 3.3	Emergency preparedness and response	4.47	3.98	4.63	--	4.60	4.61
MI 3.4	Human rights based approaches	4.73	4.63	4.59	--	4.75	4.93
MI 3.5	HIV/AIDS	4.34	4.13	4.73	--	3.96	4.33
KPI 4	Country focus on results	4.39	4.30	4.60	4.44	4.30	4.23
MI 4.1	Frameworks link results at project, program, sector and country levels	4.48	4.49	4.62	--	4.35	--
MI 4.2	Frameworks include indicators at project, program, sector, and country levels	4.36	4.33	4.81	--	4.06	4.08
SUB MI	i) UNHCR's results include indicators at all levels (country, sector, and project/program)	4.38	4.29	5.08	--	3.86	4.12
SUB MI	ii) UNHCR's frameworks for rapid onset situations include indicators	4.33	4.38	4.54	--	4.26	4.04
MI 4.3	Humanitarian response developed in consultation with partners	4.54	4.27	4.88	4.44	4.59	--

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
SUB MI	i) UNHCR ensures sufficient involvement of beneficiaries in design of humanitarian response (except in some cases of armed conflict)	4.44	4.24	4.83	4.20	4.55	--
SUB MI	ii) UNHCR ensures sufficient involvement of partners (including governments) in design of humanitarian response whenever feasible and appropriate	4.64	4.30	4.93	4.68	4.62	--
MI 4.4	Results for thematic priorities included in country level frameworks	4.31	4.13	4.85	--	4.20	3.97
MI 4.5	Results for thematic priorities included in country level frameworks	4.28	4.27	3.85	--	4.28	4.65

II – Operational Management

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
	Base (un-weighted):	206	28	10	81	37	50
KPI 5	Aid allocation decisions	4.23	4.55	4.32	4.42	4.59	4.12
MI 5.1	Criteria for allocating resources publicly available	4.17	4.42	4.14	4.42	--	3.81
MI 5.2	Resources allocations follow the criteria	3.90	--	--	--	--	3.90
MI 5.3	Resources released as needed and available	4.55	4.69	4.50	--	4.59	4.48
MI 5.4	Reasonably accurate financial estimates of demand for its humanitarian action	4.31	--	--	--	--	4.31
KPI 6	Linking aid management to performance	4.32	--	--	--	4.27	4.32
MI 6.1	Accurate projections of expected donor support	4.38	--	--	--	4.37	4.40
MI 6.2	Allocations linked to expected results	4.43	--	--	--	--	4.43
MI 6.3	Disbursements linked to reported results	4.15	--	--	--	4.18	4.12
KPI 7	Financial accountability	4.28	4.82	4.74	--	4.29	4.17
MI 7.1	External financial audits performed across the organisation	4.11	--	--	--	--	4.11
MI 7.2	External financial audits performed at the regional, country or project level	4.39	--	4.70	--	--	4.13
MI 7.3	Systems for immediate measures against irregularities	4.43	4.82	4.78	--	4.29	4.06
MI 7.4	Internal financial audit processes provide objective information	4.33	--	--	--	--	4.33
MI 7.5	Effective procurement and contract management processes	4.29	--	--	--	--	4.29
MI 7.6	Strategies for risk management	4.11	--	--	--	--	4.11
KPI 8	Using performance information	4.18	3.97	4.63	--	4.12	4.16
MI 8.1	Using information for revising and adjusting policies	4.25	--	--	--	--	4.25
MI 8.2	Using information for planning new interventions	4.45	4.34	4.85	--	4.16	4.37

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
MI 8.3	Proactive management of poorly performing humanitarian initiatives	4.04	3.60	4.42	--	4.08	4.00
MI 8.4	Evaluation recommendations are acted upon	4.00	--	--	--	--	4.00
KPI 9	Managing human resources	4.38	4.72	4.60	5.02	4.72	4.33
MI 9.1	Results-focused performance assessment systems for senior staff	4.20	--	--	--	--	4.20
MI 9.2	Transparent incentive/reward system for staff performance	3.76	--	--	--	--	3.76
MI 9.3	Measures to ensure staff security	4.89	5.00	5.33	--	4.83	4.56
MI 9.4	Staff rotation is adequate for development of effective partnerships	4.32	4.33	4.00	--	4.45	4.40
MI 9.5	Code of conduct followed by staff members	4.58	5.25	4.50	5.02	5.23	4.38
SUB MI	i) UNHCR staff follow the code of conduct	4.98	5.25	4.50	5.02	5.23	--
SUB MI	ii) UNHCR monitors compliance with the code of conduct	4.38	--	--	--	--	4.38
SUB MI	iii) UNHCR has a system in place for reporting transparently on compliance with the code of conduct	4.38	--	--	--	--	4.38
MI 9.6	Rapid personnel deployment or surge mechanisms in place	4.49	4.29	4.56	--	4.37	4.67
SUB MI	i) UNHCR makes use of in house personnel for rapid deployment	4.48	4.20	4.44	--	4.46	4.68
SUB MI	ii) UNHCR makes use of externally accessible personnel for rapid deployment	4.51	4.38	4.67	--	4.29	4.65
KPI 10	Performance oriented programming	4.29	4.20	4.46	--	4.64	4.07
MI 10.1	New initiatives subject to risk and benefits/impact analysis	4.08	4.04	4.15	--	--	4.00
SUB MI	i) UNHCR subjects new programming initiatives to impact analysis	4.01	4.07	4.00	--	--	3.97
SUB MI	ii) UNHCR subjects new programming initiatives to risk analysis	4.14	4.00	4.31	--	--	4.04

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
MI 10.2	Milestones/targets set to rate progress of implementation	4.50	4.36	4.77	--	4.64	4.13
KPI 11	Delegating decision making	4.39	4.55	4.33	--	4.46	4.29
MI 11.1	Key operations/management decisions can be made locally	4.39	4.55	4.33	--	4.46	4.29
KPI 12	Adherence to humanitarian principles	4.61	4.51	4.83	4.52	4.61	4.67
MI 12.1	Clear procedures for in-house coordination	4.56	--	--	--	4.77	4.41
MI 12.2	Ongoing policy dialogue with partners on observing humanitarian principles	4.77	4.58	5.29	4.56	4.59	4.84
MI 12.3	Humanitarian principles respected while delivering humanitarian action	4.99	5.02	5.07	4.90	4.85	5.11
MI 12.4	Sustainable livelihoods and transition from relief to recovery and development promoted	4.14	3.94	4.14	4.09	4.22	4.30
SUB MI	i) UNHCR engages with local partners and communities to promote sustainable livelihoods	4.42	4.24	4.36	4.31	4.61	4.61
SUB MI	ii) UNHCR uses appropriate modalities to mitigate aid dependency	3.86	3.64	3.93	3.86	3.83	4.00

III – Relationship Management

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
	Base (un-weighted):	206	28	10	81	37	50
KPI 13	Adjusting procedures	4.32	4.31	4.45	4.34	4.23	4.30
MI 13.1	Procedures easily understood and completed by partners	4.51	4.63	4.58	4.68	4.42	4.24
MI 13.2	Length of time for procedures does not affect implementation	4.14	3.82	4.85	3.99	3.81	4.09
MI 13.3	Ability to respond quickly to changing circumstances	4.33	4.54	4.38	4.44	3.91	4.36
MI 13.4	Flexibility in implementation of projects/programs	4.35	4.10	4.85	4.43	4.16	4.21
MI 13.5	Timely response to events/disaster situations	4.65	4.43	4.62	4.65	4.70	4.81
MI 13.6	Timely transfer of funds to local/international organisations	4.41	4.38	4.64	4.37	4.52	4.07
MI 13.7	Sufficient use of local capacities	4.19	4.32	4.07	4.09	4.29	--
MI 13.8	Capacity development of local partners undertaken	4.00	4.28	3.64	4.05	4.03	--
KPI 14	Supporting inter-agency plans and appeals	4.62	4.78	4.35	4.71	4.57	4.59
MI 14.1	Active contribution to inter-agency plans and appeals	4.62	4.78	4.35	4.71	4.57	4.59
SUB MI	i) UNHCR contributes to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises) in a timely fashion	4.68	4.57	4.86	4.67	4.72	4.58
SUB MI	ii) UNHCR engages fully in the CHAP (Common Humanitarian Action Plans) in countries where this programming process is being utilised	4.57	5.00	3.83	4.74	4.43	4.59
KPI 15	Contributing to policy dialogue	4.52	4.47	4.79	4.81	4.62	4.29
MI 15.1	Reputation for high quality, valued policy dialogue inputs	4.64	4.57	4.64	4.61	4.53	4.82
MI 15.2	Policy dialogue respects partner views and perspectives	4.57	4.23	4.93	4.59	4.71	4.38
MI 15.3	Advocacy used to enhance protection space	4.76	4.82	--	4.86	4.60	--

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
MI 15.4	Programs reflect strategic priorities agreed by the cluster	4.36	4.44	--	5.09	--	4.00
MI 15.5	Program implementation compliant with technical recommendations of the cluster	4.27	4.28	--	4.92	--	3.97
KPI 16	Managing the cluster	4.34	4.25	--	4.42	--	--
MI 16.1	Sufficient analytical resources and policy-level engagement dedicated to cluster	4.17	4.00	--	4.33	--	--
MI 16.2	Dedicated staff for the coordination of the cluster	4.38	4.33	--	4.42	--	--
MI 16.3	Pertinent information circulated within the cluster	4.63	4.33	--	4.87	--	--
MI 16.4	Prioritisation of financial needs within the cluster	4.19	4.33	--	4.05	--	--
KPI 17	Harmonising procedures	4.46	4.14	4.53	4.87	4.55	4.35
MI 17.1	Participation in joint missions	4.58	4.26	4.91	4.88	4.60	4.32
MI 17.2	Sharing relevant information with partners	4.49	4.06	4.43	4.82	4.62	4.52
MI 17.3	Technical cooperation disbursed through coordinated programs	4.22	4.14	4.14	--	4.45	4.22
MI 17.4	Contributing actively to common/joint needs assessments	4.54	4.11	4.64	4.90	4.52	--

IV – Knowledge Management

		Mean scores					
		Total	Peer Organisations	Recipient Governments	Direct Partners	Donors in Country	Donors at HQ
	Base (un-weighted):	206	28	10	81	37	50
KPI 18	Evaluating external results	4.29	4.28	4.31	4.39	--	4.19
MI 18.1	Independent evaluation unit	--	--	--	--	--	--
MI 18.2	Sufficient evaluation coverage of programming activity	--	--	--	--	--	--
MI 18.3	Quality of evaluations	--	--	--	--	--	--
MI 18.4	Use of evaluation findings to inform decisions	4.30	--	--	--	--	4.30
MI 18.5	Beneficiaries and stakeholders involved in evaluation	4.28	4.28	4.31	4.39	--	4.07
SUB MI	i) UNHCR requires the involvement of key direct partners in its evaluation function	4.27	4.12	4.31	4.47	--	4.04
SUB MI	ii) UNHCR requires the involvement of key beneficiaries in its evaluation function	4.29	4.44	4.31	4.32	--	4.10
KPI 19	Presenting performance information	4.26	4.38	4.05	4.59	4.24	4.26
MI 19.1	Reports on achievement of outcomes	4.30	--	4.20	--	--	4.37
MI 19.2	Reports on performance using data obtained from measuring indicators	--	--	--	--	--	--
MI 19.3	Reports against its organisational strategy, including results	--	--	--	--	--	--
MI 19.4	Reports on programming adjustments based on performance information	4.22	4.38	3.90	4.59	4.24	4.16
KPI 20	Disseminating lessons learned	4.12	4.19	3.86	4.12	4.08	4.32
MI 20.1	Reports on programming adjustments based on performance information	4.07	4.19	3.82	4.04	4.03	4.26
MI 20.2	Lessons shared at all levels of the organisation	4.16	--	3.90	4.20	4.13	4.38

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – UNHCR

QUADRANT I – STRATEGIC MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
1. PROVIDING DIRECTION FOR RESULTS			
1.3	Key MO documents are available to the public.	1. <i>More than half</i> of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.	Met - Executive Committee Documents by sessions/year: http://www.unhcr.org/cgi-bin/texis/vtx/search?page=&comid=49eee19518&cid=49aea93a20&scid=49aea93a1b - Executive Committee Reports: http://www.unhcr.org/cgi-bin/texis/vtx/search/?page=&comid=4a2fb8e293&cid=49aea93a20&scid=49aea93a1b - List of Global Reports: (EN) http://www.unhcr.org/pages/49c3646c278.html, (FR) http://www.unhcr.fr/pages/4aae621d2e5.html, (SPA) http://www.acnur.org/index.php?id_pag=2018 - Overall organisational organigram: (EN) http://www.unhcr.org/pages/49c3646c98.html, (SPA) http://www.acnur.org/t3/fileadmin/scripts/doc.php?file=biblioteca/pdf/3869 - List of other (more specific) organigrams: http://www.unhcr.org/pages/49c3646c98.html - Statute of the Office of the United Nations High Commissioner for Refugees: (EN) http://www.unhcr.org/3b66c39e1.html, (FR) http://www.unhcr.fr/4aeaff76.html, (SPA) http://www.acnur.org/t3/fileadmin/scripts/doc.php?file=biblioteca/pdf/0004, (POR) http://www.acnur.org/t3/portugues/informacao-geral/a-missao-do-acnur/ - List of Global Appeals: (EN) http://www.unhcr.org/pages/49c3646c4b8.html, (FR) http://www.unhcr.fr/pages/4aae621d2e5.html, (SPA) http://www.acnur.org/index.php?id_pag=2018 - List of Public Health and HIV Annual Reports: http://www.unhcr.org/cgi-bin/texis/vtx/search?page=&comid=4a2e46b16&keywords=public-health-annualrep - List of Environmental Publications: http://www.unhcr.org/3b94c8364.html - Protection Publications (although not reports per se): (EN) http://www.unhcr.org/pages/4a2787216.html, (FR) http://www.unhcr.fr/pages/4aae621e2e0.html, (SPA) http://www.acnur.org/t3/que-hace/proteccion/ - Thematic Executive Committee Conclusions: http://www.unhcr.org/3d4ab3ff2.html - Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010): (EN) http://www.unhcr.org/4c80edd49.html, (FR) http://www.unhcr.fr/4c80ee629.html - Internal Audit in the Office of the United Nations High Commissioner for Refugees (2008-2009): (EN) http://www.unhcr.org/4acaf8d79.html, (FR) http://www.unhcr.fr/4b7177cde.html - All evaluations are available here: (EN) http://www.unhcr.org/cgi-

MI	Micro-Indicator	Criteria	Evidence / Discussion
			bin/texis/vtx/search/?page=&comid=4a1d3b346&cid=49aea93a6a&scid=49aea93a39&keywords=evaluation report, (FR) http://www.unhcr.org/cgi-bin/texis/vtx/search/?page=&comid=4b682d0b6&cid=4acb455f1b&scid=4acb456051
		2. (If first criterion met) all of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.	Met As above
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i>	Met As above Policy of Distribution of ExCom documents (available in UN 6 required languages on ODS website): http://www.unhcr.org/pages/49ddba106.html
		4. A disclosure / privacy / access to information policy exists and is available on the MO website	Not Met
		5. Clear procedures exist to contact the MO	Met - Contact Us web page: http://www.unhcr.org/pages/4a324fcc6.html - UNHCR Headquarter online contact form: http://www.unhcr.org/php/contact.php?opt=headquarters - Inspector General's Office: http://www.unhcr.org/pages/49f0619f6.html - How to contact the investigation of the IGO: http://www.unhcr.org/pages/49f064786.html - How to report misconduct and what to expect: http://www.unhcr.org/4a1278f06.html - IGO Online Complaint Form: http://www.unhcr.org/cgi-bin/texis/vtx/page/complaintsigo.html - Archives: http://www.unhcr.org/pages/4a320b156.html
Overall score MI 1.3		Strong	Overall comments: UNHCR has an Information Classification, Handling and Disclosure Policy that is consistent with UN directives in this area. However, this policy is not readily accessible on UNHCR's web site.
2. CORPORATE FOCUS ON HUMANITARIAN NEEDS AND RESULTS			
2.1	The MO's organisation wide strategy is clearly based on the humanitarian principles.	<i>This MI will not be rated. A contextual analysis will be provided.</i>	- Statute of the Office of the United Nations High Commissioner for Refugees: HTTP://WWW.UNHCR.ORG/3B66C39E1.HTML "Restoring Hope, Rebuilding Lives", <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4CD914D69.HTML "Mission Statement", <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4CD913AB9.HTML - OCHA, <i>OCHA on Message: Humanitarian Principles</i>, (2010):

MI	Micro-Indicator	Criteria	Evidence / Discussion
			HTTP://OCHANET.UNOCHA.ORG/P/DOCUMENTS/OOM_HUMPRINCIPLE_ENGLISH.PDF • “Identifying Needs and Funding Requirements”, <i>Global Appeal 2011 update</i> : HTTP://WWW.UNHCR.ORG/4CD919B19.HTML
Overall score MI 2.1		--	Overall comments:
2.2	The MO’s organisation-wide strategy is based on a clear definition of its mandate.	1. The necessary periodic revisions of the MO mandate are made so it has continuing relevance	Met • <i>Statute of the Office of the United Nations High Commissioner for Refugees</i> : HTTP://WWW.UNHCR.ORG/3B66C39E1.HTML • Resolution 64/127 (2010): HTTP://WWW.UNHCR.ORG/4B8FD5579.HTML • Resolution 63/148 (2009): HTTP://WWW.UNHCR.ORG/49BFB70E2.HTML • Resolution 62/124 (2008): HTTP://WWW.UNHCR.ORG/4815D46F2.HTML • Resolution 61/137 (2007): HTTP://WWW.UNHCR.ORG/45CB47462.HTML • Resolution 60/129 (2006): HTTP://WWW.UNHCR.ORG/45CB47462.HTML • Resolution 59/170 (2005): HTTP://WWW.UNHCR.ORG/4266673E2.HTML • Resolution 58/153 (2004): HTTP://WWW.UNHCR.ORG/4056D8894.HTML
		2. The organisational strategic plan articulates goals & focus priorities.	Met • <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html
		3. The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a certain period.	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html
		4. (If criteria two and three are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation’s mandate.	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html • <i>Statute of the Office of the United Nations High Commissioner for Refugees</i> : http://www.unhcr.org/3b66c39e1.html
		5. If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation’s mandate.	Not met As above
Overall score MI 2.2		Strong	Overall comments:
2.4	The MO promotes an organisation-wide policy on	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of	Met • <i>Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations</i> , 2nd ed., (2006): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=40eaa9804

MI	Micro-Indicator	Criteria	Evidence / Discussion
	results management.	results based management (RBM) in the organisation is corporately approved (alternatively, the approach to RBM may be described in the context of a strategic plan and further operationalised through other documents).	
		2. The MO has guidelines on RBM, either in hard copies or online.	Met • <i>Update on UNHCR's structural and management change process</i>, (2009): HTTP://WWW.UNHCR.ORG/49⁹⁰41BB2.HTML • <i>Oral update on UNHCR's Structural and Management Change Process</i>, (2009): HTTP://WWW.UNHCR.ORG/4A48D6389.HTML • <i>Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations</i>, 2nd ed., (2006): HTTP://WWW.UNHCR.ORG/CGI-BIN/TEXIS/VTX/HOME/OPENDOCPDFVIEWER.HTML?DOCID=40EAA9804
		3. The MO provides training to its staff on RBM.	Met • <i>Update on UNHCR's Structural and Management Change Process</i>, (2009): HTTP://WWW.UNHCR.ORG/499041BB2.HTML • <i>Oral update on UNHCR's Structural and Management Change Process</i>, (2009): HTTP://WWW.UNHCR.ORG/4A48D6389.HTML • <i>Measure for measure: A field-based snapshot of the implementation of results based management in UNHCR</i>, (2010): HTTP://WWW.UNHCR.ORG/4CF3AD8F9.HTML • <i>Measure for measure: A field-based snapshot of the implementation of results based management in UNHCR – Initial management response</i>, (2010): HTTP://WWW.UNHCR.ORG/4D1B47D49.HTML
		4. There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM to ensure its adequate implementation.	Met • <i>Measure for measure: A field-based snapshot of the implementation of results based management in UNHCR</i>, (2010): http://www.unhcr.org/4cf3ad8f9.html
		5. There is evidence that the MO supports its direct partners/clients to engage in RBM.	Not met
Overall score MI 2.4		Strong	Overall comments:
2.5	Organisation-wide	1. The MO has a current	Met

MI	Micro-Indicator	Criteria	Evidence / Discussion
	plans and strategies contain frameworks of expected management and humanitarian results (including reference to internationally agreed humanitarian standards).	management results framework (MRF).	• “Global strategic priorities”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd915a69.html • UNHCR Results Framework
		2. The MO has a current humanitarian (program-related) results framework.	Met As above
		3. (If second criterion is met) The humanitarian (or program-related) results framework includes outputs and expected outcomes.	Met As above
		4. (If third criterion met) in the humanitarian (or program-related) results framework, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Not met As above
		5. Criteria 3 and 4 (referring to quality of results statements) are met for the MRF.	Not met As above
Overall score MI 2.5		Adequate	Overall comments:
2.6	Results frameworks have causal links from outputs through to outputs/ outcomes.	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or humanitarian results framework).	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd915a69.html • UNHCR Results Framework
		2. (If first criterion is met) there is an implicit or explicit description, in the humanitarian results framework (or in the strategic plan), of how the outputs in the results framework(s) are linked to the expected outcomes (i.e. there is no big leap from outputs to outcomes).	Not met As above
		3. In the humanitarian results framework, there is a plausible	Not met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		link between outcomes and impacts (i.e. there is no big leap from outcomes to impacts).	As above
		4. Same as 2 for MRF.	Not met As above
		5. Same as 3 for MRF.	Not met As above
Overall score MI 2.6		Weak	Overall comments:
2.7	Standard performance indicators included in organisation-wide plans and strategies at the delivery (output) and humanitarian results level (outcome).	1. At least one results framework exists at the organisation-wide level (MRF and/or humanitarian results framework), and contains adequate performance indicators at both the output and outcome levels.	Not met • “Global strategic priorities”, Global Appeal 2011 update, p. 12-27 http://www.unhcr.org/4cd915a69.html
		2. More than half of the performance indicators are relevant to the results they are associated with in the framework(s).	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html
		3. More than half of the performance indicators are clear (i.e. it is clear what is to be measured).	Not met As above
		4. At least some of the indicators (most likely at the outcome level) are based on or make use of accepted international indices and data elements, as possible (e.g. respects the minimum standards and key indicators developed by the Sphere Project).	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html • The Sphere Project, <i>Humanitarian Charter and Minimum Standards in Humanitarian Response</i> , (2011): http://www.sphereproject.org/component/option,com_docman/task,cat_view/gid,17/Itemid,203/lang,english/
		5. More than half of the performance indicators are monitorable (i.e. they have targets set for them,	Not met • “Global strategic priorities”, <i>Global Appeal 2011 update</i> : http://www.unhcr.org/4cd915a69.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		and the date(s) for target achievement is clear). Note that dates for target achievement may be found in the narrative of the framework document or the strategic plan. Note also that it may be appropriate for impact indicators not to have targets.	
Overall score MI 2.7		Inadequate	Overall comments:
3. FOCUS ON THEMATIC PRIORITIES			
3.1	Gender equality	1. The organisation-wide strategic plan identifies gender equality as a cross-cutting priority or a focus area.	Met • “Ensuring Protection for People of Concern”, <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4CD916B19.HTML
		2. (If the first criterion is met) the organisation commits to developing its internal management/institutional capacity to support gender mainstreaming, either in the organisation-wide strategic plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its MRF.	Met • <i>Update on the Policy on Achieving Gender Equity in UNHCR Staffing</i>, (2009): http://www.unhcr.org/4abb8cde9.html • <i>Progress in achieving gender equity in UNCHR staffing</i>, (2010): http://www.unhcr.org/4b979f1e9.html • <i>Policy on Achieving Gender Equity in UNHCR Staffing</i>, (2007) • <i>Report on age, gender and diversity mainstreaming</i> (2008): http://www.unhcr.org/484514f52.html • <i>Age, gender and diversity mainstreaming</i>, (2010): http://www.unhcr.org/4c0526c69.html
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its programming, either in the organisation-wide strategic plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its humanitarian results framework.	Met • <i>Report on age, gender and diversity mainstreaming</i>, (2008): http://www.unhcr.org/484514f52.html • <i>Age, gender and diversity mainstreaming</i>, (2010): http://www.unhcr.org/4c0526c69.html • “Global strategic priorities”, <i>Global Appeal 2011 update</i>, p. 16, 20 http://www.unhcr.org/4cd915a69.html
		4. (If either criteria 2 and/or 3 are met) the organisation-wide	Met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy.	- Policy on Achieving Gender Equity in UNHCR Staffing, (2007) “Ensuring Protection for People of Concern”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd916b19.html - UNHCR Accountability Framework for Age, Gender and Diversity Mainstreaming, (2007): http://www.unhcr.org/refworld/docid/47a707950.html - Report on age, gender and diversity mainstreaming, (2008): http://www.unhcr.org/484514f52.html
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality.	Met Changing the way UNHCR does business? An evaluation of the Age, Gender and Diversity Mainstreaming Strategy, 2004-2009, pre-publication ed., (2010): http://www.unhcr.org/4c206b449.html
Overall score MI 3.1		Adequate	Overall comments: Even though UNHCR meets all the criteria, the evaluation of its AGDM strategy shows that there are still several areas for improvement for the organisation to adequately mainstream s gender at all operational levels. Consequently, the rating on this MI cannot be more than adequate (according to our methodology).
3.2	Environmental policy and environmental assessment practices	1. The organisation-wide strategic plan identifies environment/climate change as a cross-cutting priority.	Met “Providing for Essential needs”, <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4CD916FF9.HTML - UNHCR Environmental Guidelines, (2005): HTTP://WWW.UNHCR.ORG/3B03B2A04.HTML
		2. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>internal management</i> activities, either in the organisation-wide strategic plan or in a separate policy document.	Met UNHCR Environmental Guidelines, (2005): http://www.unhcr.org/3b03b2a04.html
		3. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document.	Met - UNHCR Environmental Guidelines, (2005): http://www.unhcr.org/3b03b2a04.html “Providing for Essential needs”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd916ff9.html “Global strategic priorities”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd915a69.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or environment policy commits the organisation to evaluate the implementation of the environmental policy/strategy	Met • <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/GA11/INDEX.HTML#/INTRODUCTION • <i>UNHCR Environmental Guidelines</i>, (2005): HTTP://WWW.UNHCR.ORG/3B03B2A04.HTML • “Module I: Introduction”, <i>FRAME Toolkit</i>, (2009): HTTP://WWW.UNHCR.ORG/4A968EC59.HTML • “Module VII: Evaluation”, <i>FRAME Toolkit</i>, (2009): HTTP://WWW.UNHCR.ORG/4A97AA109.HTML
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to environment	Not met
Overall score MI 3.2		Strong	Overall comments:
3.3	Emergency preparedness and response	1. The organisation-wide strategic plan identifies emergency preparedness and response as a cross-cutting priority or focus area.	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4cd915a69.html • “Operational support and management”, <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4cd91d459.html
		2. The organisation-wide strategic framework or another policy/strategy document contains results statements on emergency preparedness and response.	Met • “Global strategic priorities”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd915a69.html
		3. The organisation has policy, strategy, and guidance in place to support emergency preparedness and response activity, either as a sector or as a cross-cutting theme.	Met • <i>Handbook for Emergencies</i>, 3rd ed., (2007): HTTP://WWW.UNHCR.ORG/472AF2972.HTML
		4. There is evidence (in program reports) that the MO supports emergency preparedness and response.	Met • “Strengthening Emergency Response”, <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4c08F2169.HTML • <i>UNHCR emergency preparedness and response in 2009 and 2010</i>, (2010): HTTP://WWW.UNHCR.ORG/4b910bcc9.html • <i>Report of the United Nations High Commissioner for Refugees</i>, (2010): HTTP://WWW.UNHCR.ORG/4cBEA0d79.HTML • Enhancing UNHCR’s emergency response capacity: an organization-wide approach to mobilizing human resources, (2011): HTTP://WWW.UNHCR.ORG/4d665c6e9.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to emergency preparedness and response.	Not met • <i>UNHCR emergency preparedness and response in 2009 and 2010</i>, (2010): HTTP://WWW.UNHCR.ORG/4B910BCC9.HTML • <i>Report of the United Nations High Commissioner for Refugees</i>, (2010): HTTP://WWW.UNHCR.ORG/4CBEA0D79.HTML
Overall score 3.3		Strong	Overall comments:
3.4	Human Rights Based Approach	1. The organisation-wide strategic plan identifies human rights based approach as a cross-cutting priority or focus area.	Met • “Ensuring Protection for People of Concern”, <i>Global Appeal 2011 update</i>: http://www.unhcr.org/4cd916b19.html
		2. (If the first criterion is met) The organisation commits to developing its <i>internal management/institutional capacity</i> to support human rights-based approaches (HRBA). (This refers to organisational efforts to improve staff capacity, system capacity, to be able to implement HRBA.)	Met • “Ensuring Protection for People of Concern”, <i>Global Appeal 2011 update</i>: HTTP://WWW.UNHCR.ORG/4CD916B19.HTML • <i>Note on international protection</i>, (2008): HTTP://WWW.UNHCR.ORG/484FF22B2.HTML • UNHCR and Human Rights: a policy paper resulting from deliberations in the Policy Committee on the basis of a paper prepared by the Division of International Protection, (1997): HTTP://WWW.UNHCR.ORG/REFWORLD/DOCID/3AE6B332C.HTML • Collection of International Instruments and Other Legal Texts concerning Refugees and Displaced Persons, (2007): HTTP://WWW.UNHCR.ORG/455C460B2.HTML • Human rights and Refugee Protection, Self Study Module 5, (2006): – VOL.1: HTTP://WWW.UNHCR.ORG/45A7ACB72.HTML – VOL.2: HTTP://WWW.UNHCR.ORG/45A7AD712.HTML
		3. (If the first criterion is met) the organisation commits to adopt human rights based approaches in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document (While there are UN system wide policy and guidelines, it is important for an organisation to outline how it will take on the HRB approach and what it means for their specific areas and ways of working.).	Met • “ENSURING PROTECTION FOR PEOPLE OF CONCERN”, <i>GLOBAL APPEAL 2011 UPDATE</i>: HTTP://WWW.UNHCR.ORG/4CD916B19.HTML • <i>REPORT OF THE FIFTY-NINTH SESSION OF THE EXECUTIVE COMMITTEE (6-10 OCTOBER 2008): REPORT BY THE RAPPORTEUR</i>, (2008): HTTP://WWW.UNHCR.ORG/49083D6D2.HTML • <i>NOTE ON INTERNATIONAL PROTECTION</i>, (2008): HTTP://WWW.UNHCR.ORG/484FF22B2.HTML

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HRBA policy commits the organisation to evaluate its application of HRBA.	Not met
		5. (If criterion 4 is met) An organisation-wide evaluation or review illustrates progress in implementing the commitment to human rights based approaches.	Not met
Overall score MI 3.4		Adequate	Overall comments:
3.5	HIV/AIDS	1. The organisation-wide strategic plan identifies HIV/AIDS prevention, treatment, and/or mitigation of its effects as a cross-cutting priority.	Met • “Providing for Essential Needs”, <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD916FF9.HTML • “UNHCR’s Strategic Plan for HIV and AIDS 2008-2012”, <i>Public Health and HIV’s Section’s Guiding Principles and Strategic Plans for HIV and AIDS, Malaria Control, Nutrition and Food Security, Reproductive Health, Water and Sanitation 2008-2012</i>, (2008): HTTP://WWW.UNHCR.ORG/488495642.HTML • <i>HIV and AIDS policies and interventions</i>, (2008): HTTP://WWW.UNHCR.ORG/4845152A2.HTML • <i>Annual Report 2009: Public Health and HIV</i>, (2010): HTTP://WWW.UNHCR.ORG/4BFF765D9.HTML
		2. (If the first criterion is met) The organisation commits to developing its <i>internal management/institutional capacity</i> to work on HIV/AIDS, either in the organisation-wide strategic plan or in a separate policy document.	Met • “Providing for Essential Needs”, <i>Global Appeal 2011 Update</i>, p.42 HTTP://WWW.UNHCR.ORG/4CD916FF9.HTML • “UNHCR’s Strategic Plan for HIV and AIDS 2008-2012”, <i>Public Health and HIV’s Section’s Guiding Principles and Strategic Plans for HIV and AIDS, Malaria Control, Nutrition and Food Security, Reproductive Health, Water and Sanitation 2008-2012</i>, 2008, p. II 2, II 11 HTTP://WWW.UNHCR.ORG/488495642.HTML • <i>Rapid Assessment of Alcohol and Other Substance Use in Conflict-affected and Displaced Populations: A Field Guide</i>, 2008 HTTP://WWW.UNHCR.ORG/480617582.HTML • <i>HIV/AIDS and Conflict/Displaced Persons Assessment and Planning Tool Framework</i>, 2004 HTTP://WWW.UNHCR.ORG/4028E2EA8.HTML • <i>Guidance on Infant feeding and HIV in the context of refugees and displaced populations</i>, June 2009, version 1.1 HTTP://WWW.UNHCR.ORG/4ACB0C111B.HTML
		3. (If the first criterion is met) the organisation commits to integrating HIV/AIDS prevention, treatment, and/or mitigation of its effects in its <i>programming</i> , either	Met • “Providing for Essential Needs”, <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD916FF9.HTML • “Global strategic priorities”, <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD915A69.HTML • “UNHCR’s Strategic Plan for HIV and AIDS 2008-2012”, <i>Public Health and HIV’s Section’s Guiding</i>

MI	Micro-Indicator	Criteria	Evidence / Discussion
		in the organisation-wide strategic plan or in a separate policy document.	Principles and Strategic Plans for HIV and AIDS, Malaria Control, Nutrition and Food Security, Reproductive Health, Water and Sanitation 2008-2012, (2008): HTTP://WWW.UNHCR.ORG/488495642.HTML • <i>HIV and AIDS policies and interventions</i> , (2008): HTTP://WWW.UNHCR.ORG/4845152A2.HTML
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HIV/AIDS policy commits the organisation to evaluate the implementation of the HIV/AIDS policy/strategy.	Met • “UNHCR’s Strategic Plan for HIV and AIDS 2008-2012”, Public Health and HIV’s Section’s Guiding Principles and Strategic Plans for HIV and AIDS, Malaria Control, Nutrition and Food Security, Reproductive Health, Water and Sanitation 2008-2012, (2008): http://www.unhcr.org/488495642.html
		5. (If criterion 4 is met) An organisation-wide evaluation or review illustrates progress in implementing the commitment to HIV/AIDS– this may not be an evaluation of the policy or strategy per se.	Not met • <i>Annual Report: Public Health and HIV 2009</i> : http://www.unhcr.org/4bff765d9.html
Overall score MI 3.5		Strong	Overall comments:
4. COUNTRY FOCUS ON RESULTS			
4.1	Results frameworks that link results at project, program, sector, and country levels	1. At least half of the MO’s strategies at the country level contain statements of expected results articulated at output and outcome levels.	• UNHCR’s Results Framework: Impact and Performance Indicators • UNHCR INSTRUCTIONS AND GUIDELINES TO UNHCR FIELD OFFICES AND HEADQUARTERS UNITS ON PLANNING FOR 2012-2013 – PART II: PLANNING AND PRIORITIES FOR 2012-2013 • Example of Country Operations Prioritized Plan
		2. (If first criterion met) in more than half of the country strategies, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	
		3. (If first criterion is met) more than half of the country strategies sampled explicitly link expected results of the MO’s projects and/or programmes to the MO’s	

MI	Micro-Indicator	Criteria	Evidence / Discussion
		expected results at country level.	
		4. (If first criterion is met) at least two of the country strategies sampled explicitly link expected results of the MO's sector strategies to the MO's expected results at country level.	
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled.	
Overall score MI 4.1		Data not available	Overall comments: The assessment of this MI should be based on a review of country operational plans. UNHCR's practices with regard to results-oriented planning at the field level have changed considerably since 2007, when the COPs that are currently on its web site (for 2008-2009) were prepared. There is evidence of this change in practice in the example provided, the guidelines issues for the 2012 planning period, and other documents reviewed. However, at the time of the review, COPs remain internal documents. This will begin to change at the end of 2011 when portions of these documents will be made available to donors.
4.2	Frameworks include indicators at project, program, sector, and country levels	More than half of the country strategies sampled have the following characteristics:	
		1. More than half of the performance indicators are <i>adequate</i> (i.e. provide a sufficient basis to assess performance).	• UNHCR RESULTS FRAMEWORK: Impact and Performance Indicators
		2. More than half of the performance indicators are <i>relevant</i> to the results they are associated with in the country strategies.	
		3. More than half of the performance indicators are <i>clear</i> (i.e. it is clear what is to be measured).	
		4. Data sources and data collection methods are clear for more than half of the performance indicators.	
		5. More than half of the performance	

MI	Micro-Indicator	Criteria	Evidence / Discussion
		indicators are <i>monitorable</i> (i.e. they have targets set for them, and the date(s) for target achievement is clear).	
Overall score MI 4.2		Data not available	Overall comments: As above, at the time of the review, the COPS remain internal documents. However, indicators for operations at the country level draw on indicators in the UNHCR results Framework and are captured in Focus, the software that is used for planning, monitoring and reporting. In the narrative of the report, we comment on the field-level indicators (for Rights Groups 1 to 6) in the Result Framework.
4.4	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, emergency preparedness, environment (as appropriate).	More than half of the country strategies sampled identify (at least briefly mention) at least two of the relevant cross-cutting themes (the same ones assessed in KPI 3).	
		More than half of the country strategies sampled identify (at least briefly mention) all of the key cross-cutting themes for the organisation being assessed.	
		(If first criterion is met) more than half of country strategies sampled identify results that integrate at least two of the issues / themes, as relevant.	
		(If first criterion is met) more than half of country strategies sampled describe strategies & approaches to address or apply the issue / theme (in other words, there is evidence that the MO is trying to implement its strategic focus on the cross-cutting issue in its programming at the country level).	
		(If first criterion is met) more than half of country strategies sampled contain reference to international	

MI	Micro-Indicator	Criteria	Evidence / Discussion
		agreements, treaties & conventions governing the theme / issue (when applicable).	
Overall score MI 4.3		Data not available	Overall comments: As above, a sample of current Country Operations Plans was not available. The narrative in the report is based on the review of complementary documents.
4.5	Contingency plans are in place should a major increase or scale up of humanitarian actions be required.	1. The MO commits to develop contingency plans in a policy.	Met “Contingency Planning”, <i>Handbook for Emergencies</i>, 3rd ed., (2007): HTTP://WWW.UNHCR.ORG/472AF2972.HTML <i>Contingency Planning: Learning Module</i>, (2011): HTTP://WWW.THE-ECENTRE.NET/RESOURCES/PDF/CONTINGENCY_PLANNING.PDF
		2. There is evidence that the MO commits to test contingency planning processes through exercises.	Met <i>Contingency Planning: Learning Module</i>, (2011): http://www.the-ecentre.net/resources/pdf/Contingency_Planning.pdf
		3. The MO has developed contingency plans for emerging or anticipated crisis.	Not met <i>Response to the Somali Displacement Emergency 2010</i>, (2010): http://www.unhcr.org/4be7bb699.html
		4. There is evidence that contingency planning within the MO is a participatory process (i.e. it includes all those who will be required to work together in the event of an emergency).	Met “Contingency Planning”, <i>Handbook for Emergencies</i>, 3rd ed., (2007): http://www.unhcr.org/472af2972.html
		5. There is evidence that the contingency plans sampled are regularly reviewed and updated.	Not met
Overall score MI 4.5		Adequate	Overall comments:

QUADRANT II – OPERATIONAL MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
5. AID ALLOCATION DECISIONS			
5.1	The MO's criteria for allocating un-earmarked resources are publicly available.	1. A system for allocating resources exists. The system covers the majority of the resources that are allocated to LDCs.	Met • UNHCR's biennial programme budget 2010-2011, (2009): HTTP://UNHCR.ORG/4ABB8E369.HTML • Global needs assessments: Prioritization, (2010): HTTP://UNHCR.ORG/4B9104A49.HTML
		2. (If first criterion is met) this model/formula is available in more than one language relevant to the MO.	Met As above
		3. (If first criterion is met) this model/formula is published on the MO web site.	Not met
Overall score for MI 5.1		Adequate	Overall comments:
5.3	Aid flows or planned resources (financial / technical co-operation, etc) are released as needed and available.	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• "Funding UNHCR's programmes", <i>Global Report 2009</i>: http://www.unhcr.org/4c08f22b9.html • <i>Earmarking Trend 2001-2009 (Percentage of Total Contributions)</i>, (2010): http://www.unhcr.org/4c879c8d9.html
Overall score MI 5.3		--	Overall comments:
5.4	The MO accesses or generates reasonably accurate overall financial estimates of demand for their humanitarian action.	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• "Identifying needs and funding requirements", <i>Global Appeal 2008-2009</i>: HTTP://WWW.UNHCR.ORG/PUBL/PUBL/474AC8C12.PDF • "Funding UNHCR's programmes", <i>Global Report 2008</i>: http://www.unhcr.org/4a2d1a4b2.html • "Identifying needs and funding", <i>Global Appeal 2009 Update</i>: HTTP://WWW.UNHCR.ORG/PUBL/PUBL/4922D43E0.PDF • "Funding UNHCR's programmes", <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4C08F22B9.HTML • "Identifying Needs and Funding Requirements", <i>Global Appeal 2010-2011</i>: HTTP://WWW.UNHCR.ORG/4B03CD33128.HTML • "Identifying Needs and Funding Requirements", <i>Global Appeal 2011 Update</i>: http://www.unhcr.org/4cd919b19.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
Overall score MI 5.4		--	Overall comments:
6. LINKING AID MANAGEMENT TO PERFORMANCE			
6.1	The MO makes accurate projections of expected donor support.	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• "Identifying needs and funding requirements", <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD919B19.HTML
Overall score MI 6.1		--	Overall comments:
6.2	Aid budget allocations are linked to expected humanitarian results.	1. In the most recent annual or multi-year organisation-wide budget, an attempt has been made to present budget information in a results-oriented way.	Met • Biennial Programme Budget 2010-2011 (revised)* of the Office of the United Nations High Commissioner for he Refugees: Report by the High Commissioner (2010): http://www.unhcr.org/4c9c5a8f9.html
		2. Some outputs costs and/or outcomes costs from the humanitarian results framework and MRF are presented in the budget document.	Not met
		3. Most outputs and/or outcomes in the humanitarian results framework and MRF are presented in the budget document.	Not met
		4. There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system).	Met • Biennial Programme Budget 2008-2009 (revised)* of the Office of the United Nations High Commissioner for Refugees: Report by the High Commissioner, (2008): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=48f4b36d2&query=2008-2009 budget
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to outcome.	Not met • Biennial programme budget 2010-2011 (revised) of the Office of the United Nations High Commissioner for Refugees, Addendum: Report by the Advisory Committee on Administrative and Budgetary Questions, (2010): http://www.unhcr.org/4c9c5b5c9.html • Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and Report of the Board of Auditors, (2011) : http://www.unhcr.org/4e60a7339.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
Overall score MI 6.2		Adequate	Overall comments: Although outputs are not presented in UNHCR's biennial budget, there is evidence that the planning and budget process (captured in Focus), is based on budgeting by outputs. Given the number of outputs, it is not reasonable to expect that the output costs would be presented in the biennial budget document. Given that results-based budgeting was introduced only recently, the current practice is considered to be adequate.
6.3	Aid or lending disbursements are linked to reported results.	1. The most recent annual financial report shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	Met • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2009 and Report of the Board of Auditors</i>, (2010): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=4c99f6829&query=financial report • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and Report of the Board of Auditors</i>, (2011) : http://www.unhcr.org/4e60a7339.html "Funding UNHCR's programmes", Global Report 2009: http://www.unhcr.org/4c08f22b9.html
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.	Not met • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2009 and Report of the Board of Auditors</i>, (2010): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=4c99f6829&query=financial report • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and Report of the Board of Auditors</i>, (2011): http://www.unhcr.org/4e60a7339.html
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	Not met • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2009 and Report of the Board of Auditors</i>, (2010): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=4c99f6829&query=financial report • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and Report of the Board of Auditors</i>, (2011): http://www.unhcr.org/4e60a7339.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If the third criterion is met) In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	Not met
		5. There is evidence of improvement over time in financial reports reviewed.	Met • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2008 and Report of the Board of Auditors</i> (2009): http://www.unhcr.org/cgi-bin/texis/vtx/home/opensslPDFViewer.html?docid=4af2f5219&query=Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2008 and Report of the Board of Auditors • <i>Voluntary funds administered by the United Nations High Commissioner for Refugees: Financial report and audited financial statements for the year ended 31 December 2010 and Report of the Board of Auditors</i>, (2011): http://www.unhcr.org/4e60a7339.html
Overall score MI 6.2		Inadequate	Overall comments: The reports for 2010, both the Financial report and the Global Report, present expenditures in relation to the four agreed pillars of the budget structure. The pillars reflect the populations of concern for UNHCR.. However, it is not possible to see how expenditures linked to results.
7. FINANCIAL ACCOUNTABILITY			
7.1	External financial audits (meeting recognised international standards) are performed across the organisation	1. The MO has annual organisation-wide external audit reports. (In the case of some UN organisations, the schedule for external audit may be determined by the Board of Auditors, therefore the requirement of "annual" may not apply.)	Met • Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2009: Report by the Secretariat, (2010): HTTP://WWW.UNHCR.ORG/4C976A0C9.HTML • Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2008: Report by the Secretariat, (2009): http://www.unhcr.org/4ac0d6ad9.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
	(UN Board of Auditors).	2. (If first criterion is met) the most recent external audit report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report and/or audit opinion comes from the Board of Auditors, in case of some of the UN agencies.)	Met Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2009: Report by the Secretariat, (2010): HTTP://WWW.UNHCR.ORG/4C976A0C9.HTML
		3. (If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (In case of UN Agencies audited by BOA, the audits are carried out using international standards.)	Met Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2009: Report by the Secretariat, (2010): HTTP://WWW.UNHCR.ORG/4C976A0C9.HTML
		4. (If first criterion is met) <i>all</i> annual financial audit reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies.)	Met Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2008: Report by the Secretariat, (2009): http://www.unhcr.org/4ac0d6ad9.html
		5. (If criterion 4 is met) in <i>all</i> external financial audit reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies.)	Met Report of the Board of Auditors on the Financial Statements of the Voluntary Funds Administered by the United Nations High Commissioner for the Refugees for the year ended 31 December 2008: Report by the Secretariat, (2009): http://www.unhcr.org/4ac0d6ad9.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
Overall score MI 7.1		Very strong	Overall comments:
7.2	External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate).	1. The suite of documents available provide evidence that audits are performed at regional, country, or project levels (as appropriate).	Met - Financial rules for voluntary funds administered by the High Commissioner for Refugees, (2009): HTTP://WWW.UNHCR.ORG/4B693D089.HTML - Partnership: An operations management handbook for UNHCR's partners, (2003): HTTP://WWW.UNHCR.ORG/4A39F7706.HTML
		2. There are established rules/ procedures for the conduct of audits in the organisation.	Met - Partnership: An operations management handbook for UNHCR's partners, (2003): http://www.unhcr.org/4a39f7706.html “Operational support and management”, Global Appeal 2011 Update: http://www.unhcr.org/4cd9739b9.html
		3. The rules/ procedures ensure ample audit coverage of the organisation’s programmes and operations.	Met Partnership: An operations management handbook for UNHCR's partners, (2003): http://www.unhcr.org/4a39f7706.html
		4. The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures.	Met Partnership: An operations management handbook for UNHCR's partners, (2003): http://www.unhcr.org/4a39f7706.html
		5. External financial audit reports at country/project/ regional level are made available to the public by the MO.	Not met UNHCR’s Information Classification, Handling and Disclosure Policy, (2010)
Overall score MI 7.2		Strong	Overall comments:
7.3	Systems are in place for immediate measures against irregularities identified at the country (or other) level.	1. There is a policy on financial audit that refers to measures to be taken against irregularities.	Met Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010) – Report by the Office of Internal Oversight Services, (2010): http://www.unhcr.org/4c80edd49.html
		2. Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit.	Not met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time).	Not met
		4. There is evidence (in audit reports to the Board or other documents) that audit recommendations are in fact followed up by management.	Met - Follow-up to the recommendations of the Board of Auditors in their 2010 report on 2009 accounts, (2011): HTTP://WWW.UNHCR.ORG/4D665EB79.HTML - Follow-up to the recommendations of the Board of Auditors in their 2009 report on 2008 accounts, (2011): http://www.unhcr.org/4d665e709.html
		5. Major or systemic irregularities are reported to the board/governing body, as appropriate.	Met Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010) – Report by the Office of Internal Oversight Services, (2010): http://www.unhcr.org/4c80edd49.html
Overall score MI 7.3		Adequate	Overall comments:
7.4	Internal financial audit processes are used to provide management / governing bodies with objective information.	1. There is evidence (<i>in a suite of documents</i>) of practice of internal financial audits in the organisation.	Met - Financial rules for voluntary funds administered by the High Commissioner for Refugees, (2009): HTTP://WWW.UNHCR.ORG/4B693D089.HTML - Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010): Report by the Office of Internal Oversight Services, (2010): HTTP://WWW.UNHCR.ORG/4C80EDD49.HTML - Internal Audit in the Office of the United Nations High Commissioner for Refugees (2008-2009): Report of the Office of Internal Oversight Services, (2009): http://www.unhcr.org/4acaf8d79.html
		2. (If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	Met Internal Audit Division of the Office of Internal Oversight Services, <i>Audit Manual</i>, (2009): http://www.un.org/Depts/oios/pages/audit%20manual%20-%20march%202009%20edition.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separated enough from the programming areas to be able to provide an "independent" audit opinion (it reports to the CEO of the MO or to Finance VP). The key is that internal auditors are not influenced by the programs they are auditing.	Met • "Operational support and management", <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD9739B9.HTML • <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010): Report by the Office of Internal Oversight Services</i>, (2010): HTTP://WWW.UNHCR.ORG/4C80EDD49.HTML
		4. There is evidence in these documents that the internal audit function reports directly to the Board, thus providing maximum assurance of its independence from programming.	Not met • <i>Internal Audit in the Office of the United Nations High Commissioner for Refugees (2009-2010): Report by the Office of Internal Oversight Services</i>, (2010): HTTP://WWW.UNHCR.ORG/4C80EDD49.HTML
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information.	Not met • <i>Establishment of an Independent Audit and Oversight Committee</i> (2011): http://www.unhcr.org/4d665dbd9.html
Overall score MI 7.4		Adequate	Overall comments:
7.5	The MO's procurement and contract management processes for the provision of services or goods are usually effective.	1. There is an organisation-wide policy, guidelines or instructions on procurement and contract management processes.	Met • <i>Doing business with the United Nations High Commissioner for Refugees</i> (2007): HTTP://WWW.UNHCR.ORG/3B9203194.HTML • <i>IP Procurement Guidelines For implementing Partners of UNHCR funded Programmes</i>, (2004): HTTP://UNHCR.ORG/3C458F992.HTML • <i>UNHCR's supply chain management strategy</i>, (2011): HTTP://UNHCR.ORG/4D665C929.HTML • "Implementing arrangements", <i>Handbook for Emergencies</i>, 3rd ed., (2007): http://www.unhcr.org/472af2972.html
		2. (If the first criterion is met) This/these document(s) explicitly sets targets or requirements with respect to the timeliness of these processes.	Met • <i>UNHCR's supply chain management strategy</i>, (2011): http://unhcr.org/4d665c929.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If the first criterion is met) This/these document(s) establishes requirements for the efficiency and effectiveness of these processes.	Met • <i>UNHCR's supply chain management strategy</i>, (2011): http://unhcr.org/4d665c929.html
		4. An audit, evaluation or other review has been undertaken, at the country, regional or organisation-wide level, that examined the timeliness, efficiency and/or effectiveness of the MO's procurement and contract management processes, and found that these are satisfactory.	Not met • Assuring effective Supply Chain Management to support UNHCR's beneficiaries: An independent evaluation commissioned by the Policy Development and Evaluation Service, (2008): HTTP://WWW.UNHCR.ORG/496DB70A4.HTML • <i>Supply Chain Management</i>, (2009): HTTP://WWW.UNHCR.ORG/499D2F932.HTML • <i>UNHCR's supply chain management strategy</i>, (2011): http://unhcr.org/4d665c929.html
		5. There is other documentary evidence that the MO has functioning procurement and contract management systems in place.	Not met
Overall score MI 7.5		Adequate	Overall comments:
7.6	The MO has strategies in place for risk management (identification, mitigation, contingency planning, monitoring and reporting).	1. An organisation-wide policy, strategy, framework or guidelines (or a suite of documents) on risk management exists and is corporately approved.	Met • <i>HEIGHTENED RISK IDENTIFICATION TOOL: USER GUIDE</i>, 2ND ED., (2010): http://www.unhcr.org/refworld/docid/46f7c0cd2.html • <i>Security Risk Management: Learning Module</i>, (2009): http://www.the-ecentre.net/resources/pdf/SRM.pdf • <i>Handbook for Emergencies</i>, 3rd ed., (2007): http://www.unhcr.org/472af2972.html
		2. (If first criterion is met) this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Not met • <i>Security Risk Management: Learning Module</i>, (2009): http://www.the-ecentre.net/resources/pdf/SRM.pdf
		3. (If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels.	Not met • <i>Security Risk Management: Learning Module</i>, (2009): http://www.the-ecentre.net/resources/pdf/SRM.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) Major risk analysis (significant programs, projects, etc) is presented to the Board.	Met - Summary report on main risk areas raised in the Report of the Board of Auditors on the accounts for 2009, (2010): HTTP://WWW.UNHCR.ORG/4C99BA159.HTML - Summary report on main risk areas raised in the Report of the Board of Auditors on the accounts for 2008, (2009): HTTP://WWW.UNHCR.ORG/4ABB8C3D9.HTML - Summary report on main risk areas raised in the Report of the Board of Auditors on the accounts for 2007, (2008): http://www.unhcr.org/48bd490c2.html
		5. (If first criterion is met) Management and/or Board documents demonstrate utilisation of risk management policy and procedures.	Not met
Overall score MI 7.6		Inadequate	Overall comments:
8. USING PERFORMANCE INFORMATION			
8.1	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., progress towards outcomes achieved) is available, for instance in annual performance reports, or from an organisation-wide evaluation.	Met Global Report 2010: HTTP://WWW.UNHCR.ORG/GR10/INDEX.HTML
		2. (If first criterion is met) There is evidence that the MO analyses its performance.	Met As above
		3. (If first two criteria are met) There is evidence that the MO is doing something to respond to the <i>specific</i> performance problems.	Met - Measure for measure: a field-based snapshot of the implementation of results based management n UNHCR: Initial management response, (2010): HTTP://WWW.UNHCR.ORG/4D1B47D49.HTML - Supply Chain Management, (2009): http://www.unhcr.org/499d2f932.html
		4. (If the first two criteria are met) there is evidence that the MO revises and adjusts its larger programming and policies in response to performance issues (problems and successes).	Met Measure for measure: a field-based snapshot of the implementation of results based management n UNHCR: Initial management response, (2010): http://www.unhcr.org/4d1b47d49.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) There is evidence that the MO implements the revisions and adjustments to its programming and policies in response to any performance issues identified.	Not met
Overall score MI 8.1		Adequate	Overall comments: On criteria 3 and 4, there are some examples of how evaluations are used to inform adjustments in policy, but there is less evidence of systematic use of performance information for this purpose. The overall evidence was considered sufficient to provide a rating of adequate.
8.2	Planning new interventions	1. Information on the MO's performance in the country (i.e., progress towards outcomes) is available, for instance in annual country performance reports or in country planning documents (describing results from the previous cycle).	Met • <i>Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations</i>, 2nd ed., (2006): HTTP://WWW.UNHCR.ORG/40EAA9804.HTML • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html • <i>Global Appeal 2010-2011</i>: http://www.unhcr.org/ga10/index.html
		2. (If first criterion is met) for at least half of the countries, there is evidence of an analysis of performance (problems as well as successes).	Met • <i>Shelter from the storm: A real-time evaluation of UNHCR's response to the emergency in Côte d'Ivoire and Liberia</i>, (2011): http://www.unhcr.org/4e04982c9.html
		3. (If second criterion is met) There is evidence of analysis of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed in response to the performance information).	Not met As above
		4. (If all above criteria are met) for at least half of the countries, there is evidence from country strategies or reports that new interventions have been introduced in response to the performance information.	Not met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If all above criteria are met) all criteria met for all countries.	Not met
Overall score MI 8.2		Data Not Available	Overall comments: This indicator would normally draw on a sample of country plans and reports. However, the Country Operating Plans that are available on the UNHCR web site do not reflect the changes that the organisation has introduced in its country programming. Complementary documents, such as planning instructions and a sample of an abstract of a COP, were reviewed and are commented on in the narrative.
8.3	Proactive management of poorly performing humanitarian initiatives, programmes and/or projects.	1. The MO has a process for reviewing the performance of its humanitarian initiatives, programmes and/or projects.	Met - Annual operational planning process - Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations, 2nd ed., (2006): HTTP://WWW.UNHCR.ORG/40EAA9804.HTML
		2. There is evidence that the MO is implementing this process.	Met The Living Conditions of Refugees in Armenia and Pakistan, Asylum-seekers in Ecuador and Internally Displaced Persons in Sri Lanka: Sub-Project Monitoring Report, Narrative report, (2007): http://www.unhcr.org/cgi-bin/txis/vtx/home/opendocPDFViewer.html?docid=45acab634&query=Sub-Project Monitoring Report
		3. The MO has a specific process for reviewing poorly performing humanitarian programmes, projects or initiatives.	Not met Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations, 2nd ed., (2006): http://www.unhcr.org/40eaa9804.html
		4. The MO has a way for following up on poorly performing humanitarian programmes, projects or initiatives.	Not met
		5. There is evidence that changes to poorly performing humanitarian programmes, projects or initiatives are being implemented.	Not met
Overall score MI 8.3		Inadequate	Overall comments:
8.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible	1. MO Evaluation Policy or guidelines include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations).	Met - UNHCR's evaluation policy, (2010): HTTP://WWW.UNHCR.ORG/3d99a0f74.html - How to manage evaluations: Seven steps, (2005): http://www.unhcr.org/429d7c792.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
	units.	2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations).	Met As above
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	Not met As above
		4. There is evidence of <u>periodic reports</u> on the status of the implementation of these evaluation recommendations accepted by management/ governing body.	Not met
		5. There is evidence of a systematic process (regularly on the agenda of the Executive Board; reports or presentations to Board illustrate regular tracking of follow up) for follow-up on the evaluation of the recommendations accepted by management/ governing body.	Not met
Overall score MI 8.4		Inadequate	Overall comments:
9. MANAGING HUMAN RESOURCES			
9.1	Results-focused performance assessment systems are in place for senior	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance assessments for at least some staff.	Met “Headquarters”, <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4C08F2449.HTML <i>General Information on Entitlements & Benefits for International Staff: Recruitment Brochure</i>, (2011); http://www.unhcr.org/4b82a19222.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
	staff (Including Country Directors).	2. The evidence suggests that this applies to senior staff (e.g., president/CEO, vice presidents, sector/program/division directors, country representatives, country directors) and/or that it has a specific performance assessment system for senior staff.	Met • <i>UNHCR's Biennial Programme Budget 2010-2011</i>, (2009): HTTP://WWW.UNHCR.ORG/4ABB8E369.HTML • “Annex 1: Policy Framework for the Performance Appraisal and Management System (PAMS)”, <i>Policy for the UNHCR Performance & Appraisal System (PAMS)</i>, (2008)
		3. The system is described in the suite of documents provided, giving an understanding of the approach to creating performance assessments and the content of those assessments.	Met • “Headquarters”, <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4c08f2449.HTML • <i>General Information on Entitlements & Benefits for International Staff: Recruitment Brochure</i>, (2011):, http://www.unhcr.org/4b82a19222.html • “Annex 1: Policy Framework for the Performance Appraisal and Management System (PAMS)”, <i>Policy for the UNHCR Performance & Appraisal System (PAMS)</i>, (2008)
		4. There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff.	Met • Policy for the UNHCR Performance & Appraisal System (PAMS), (2008)
		5. (If the first two criteria are met) There is evidence of compliance with the performance assessment system. In other words, there are management indicators that pay attention to the application of the performance assessment system, or there are other sources – newsletters, reports etc—that comment on how many senior staff go through this system every year.	Not met • “Headquarters”, <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4c08f2449.HTML
Overall score MI 9.1		Strong	Overall comments:
9.2	There is a transparent incentive and reward system for staff performance.	1. There is evidence (either in an HR policy or through a suite of documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	Met • <i>Oral update on UNHCR's Structural and Management Change Process</i>, (2011): HTTP://WWW.UNHCR.ORG/4d665f0f9.HTML

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from partner agencies or other organisations, etc).	Not met
		3. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next).	Not met • <i>General Information on Entitlements & Benefits for International Staff: Recruitment Brochure</i>, (2011): HTTP://WWW.UNHCR.ORG/4B82A19222.HTML • <i>Policy and Procedures on Assignments and Promotions</i>, (2010)
		4. There is an explicit mention of the relationship between staff performance and rewards.	Not met
		5. There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards.	Not met • <i>The State of UNHCR's Organisation Culture: What now?</i>, (2006): HTTP://WWW.UNHCR.ORG/43EB6A862.HTML • "Headquarters", <i>Global Report 2009</i>: http://www.unhcr.org/4c08f2449.html
Overall score MI 9.2		Weak	Overall comments:
9.3	The MO has appropriate measures in place to ensure staff security.	1. The MO has a statement about staff security in its human resources policy/strategy or any other key document.	Met • <i>Handbook for Emergencies</i>, 3rd ed., (2007): http://www.unhcr.org/472af2972.html
		2. The MO has a written policy/guidelines on security for both national and international staff.	Met As above
		3. The MO has security procedures/plans specific to the country or region.	Met • <i>Handbook for Emergencies</i>, 3rd ed., (2007): HTTP://WWW.UNHCR.ORG/472AF2972.HTML • <i>Risk Management: Learning Module</i>, (2009): http://www.the-ecentre.net/resources/pdf/SRM.pdf

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is evidence that the MO offers training to staff on security issues before deployment.	Met Staff safety and security issues, including refugee security: UNHCR security management plan of action and strategy for implementation, (2010): http://www.unhcr.org/4c0cf4299.html
		5. There is evidence (in an evaluation or a review of the policy) that appropriate measures to ensure staff security are in place and implemented.	Not met Staff safety and security issues, including refugee security: UNHCR security management plan of action and strategy for implementation, (2010): http://www.unhcr.org/4c0cf4299.html
Overall score MI 9.3		Strong	Overall comments:
9.5	The MO has a code of conduct which is followed by staff members.	1. The MO has a code of conduct for staff members.	Met Code of Conduct & Explanatory Notes, (2004): http://www.unhcr.org/422dbc89a.html
		2. (If first criterion is met) There is evidence that the MO offers training to all staff on the code of conduct.	Met - Code of Conduct & Explanatory Notes, (2004): http://www.unhcr.org/422dbc89a.html - Country Operations Plan 2008-2009: Ecuador: http://www.unhcr.org/4716249e0.html
		3. (If first criterion is met) The MO monitors compliance with the code of conduct.	Not met
		4. (If first criterion is met) The MO has a system in place for reporting on compliance with the code of conduct.	Met - Code of Conduct & Explanatory Notes, (2004): HTTP://WWW.UNHCR.ORG/422DBC89A.HTML “Contacting the IGO Investigation Section”, UNHCR web site: HTTP://WWW.UNHCR.ORG/PAGES/49F064786.HTML - How to report misconduct and what to expect?: HTTP://WWW.UNHCR.ORG/4A1278F06.HTML
		5. The MO defines sanctions for not following the code of conduct.	Not met - Code of Conduct & Explanatory Notes, (2004): HTTP://WWW.UNHCR.ORG/422DBC89A.HTML - How to report misconduct and what to expect?: http://www.unhcr.org/4a1278f06.html
Overall score MI 9.5		Adequate	Overall comments:
9.6	The MO has rapid personnel deployment or	1. The MO has a general policy on rapid personnel deployment.	Not met Catalogue of Emergency response Resources, (2006): http://www.unhcr.org/refworld/docid/46aa0efd2.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
	surge mechanisms in place.	2. The MO has a general rapid deployment policy for internal personnel.	Met - Catalogue of Emergency response Resources, (2006): http://www.unhcr.org/refworld/docid/46aa0efd2.html - Enhancing UNHCR's emergency response capacity: an organization-wide approach to mobilizing human resources, (2011): http://www.unhcr.org/4d665c6e9.html
		3. The MO has a policy for accessing external personnel that can be rapidly deployed.	Met <i>Guide to UNHCR's Emergency Standby Partners and External Deployment Arrangements</i>, (2008): http://onerresponse.info/GlobalClusters/Protection/Documents/Guide%20to%20UNHCRs%20Emergency%20Standby%20Partners%20and%20External%20Deployment%20Arrangements.pdf - Catalogue of Emergency response Resources, (2006): http://www.unhcr.org/refworld/docid/46aa0efd2.html
		4. The MO has formal partnerships to access external personnel that can be rapidly deployed in a timely manner (e.g. MoU).	Met <i>GUIDE TO UNHCR'S EMERGENCY STANDBY PARTNERS AND EXTERNAL DEPLOYMENT ARRANGEMENTS, (2008):</i> HTTP://ONERESPONSE.INFO/GLOBALCLUSTERS/PROTECTION/DOCUMENTS/GUIDE%20TO%20UNHCRS%20EMERGENCY%20STANDBY%20PARTNERS%20AND%20EXTERNAL%20DEPLOYMENT%20ARRANGEMENTS.PDF "Resettlement Deployment Scheme", <i>UNHCR web site</i>, http://www.unhcr.org/pages/4a2cdcb66.html - Enhancing UNHCR's emergency response capacity: an organization-wide approach to mobilizing human resources, (2011): http://www.unhcr.org/4d665c6e9.html <i>Technical integrity of UNHCR's programmes</i>, 2011: http://www.unhcr.org/4e08906d9.html
		5. The MO has a review mechanism for rapid personnel deployment.	Not met
Overall score MI 9.6		Strong	Overall comments: Although UNHCR does not have a specific policy on this topic (Criterion 1), there was ample evidence illustrating its practice in this area and thus justifying a rating of strong.
10. PERFORMANCE ORIENTED PROGRAMMING			
10.1	Prior to approval new initiatives are subject to risk and benefits/impact analysis (economic, social, etc)	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	<i>Technical integrity of UNHCR's programmes</i>, 2011: http://www.unhcr.org/4e08906d9.html
Overall score MI 10.1		--	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
10.2	Milestones / targets are set to rate the progress of (project) implementation.	1. <i>At least two of the PIPs</i> or country workplans sampled contain a description of milestones and/or targets for project/program implementation.	Met
		2. (If first criterion is met) <i>in most cases</i> , baseline values have been established for each indicators used to measure the progress of project/program implementation.	Not met As above
		3. (If first criterion is met) in most cases, the milestones/targets provided align with activities described in the project/program implementation document.	Not met As above
		4. (If first criterion is met) dates are established for the milestones/targets, <i>in more than half</i> of the PIPs or country workplans sampled.	Not met As above
		5. (If all above criteria are met) all above criteria met for all PIPs/country or other workplans sampled.	Not met As above
Overall score MI 10.2		Data not available	Overall comments: The assessment was designed to draw on a sample of country plans, and thus data was not available. However, in the narrative of the report reference is made to the programming process and requirements for establishing targets to facilitate the monitoring of progress.
11. DELEGATING DECISION MAKING			
11.1	The MO key operations/ management decisions can be made locally.	1. An organisation-wide policy or guidelines exists and is corporately approved that describes decision-making authorities (including operations/management decisions) at different levels within the organisation.	Met • UPDATE ON THE STRUCTURAL AND MANAGEMENT CHANGE PROCESS, (2007): HTTP://WWW.UNHCR.ORG/46D586D82.HTML • <i>Update on UNHCR's structural and management change process, (2009):</i> http://www.unhcr.org/499041bb2.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of operations/management decisions that can be made at the country level (or other local level as appropriate).	Met • <i>Update on UNHCR's structural and management change process</i>, (2009): http://www.unhcr.org/499041bb2.html
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts or parameters within which the local level does not require central level approval prior to making decisions on operations/management.	Met • <i>Emergency preparedness and response</i> (2007): http://www.unhcr.org/46d586462.html • Revised Framework for Resource allocation and Management
		4. There is evidence that the organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence).	Met • <i>Update on UNHCR's structural and management change process</i>, (2009): http://www.unhcr.org/499041bb2.html
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of operations/management decisions to the country or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met • <i>Oral update on UNHCR's Structural and Management Change Process</i>, (2011): http://www.unhcr.org/4d665f0f9.html
Overall score MI 11.1		Strong	Overall comments:
12. ADHERENCE TO HUMANITARIAN PRINCIPLES			
12.4	The MO strives to promote	1. The MO has a policy about sustainable livelihood.	Not met

MI	Micro-Indicator	Criteria	Evidence / Discussion
	sustainable livelihoods and transition from relief to recovery and development.	2. The MO has a strategy/plan for sustainable livelihood.	Met • <i>Update on UNHCR's global programmes and partnerships – 2010</i>, (2010): HTTP://WWW.UNHCR.ORG/4CA5DEB59.HTML • “Urban Refugees and Livelihoods”, <i>UNHCR web site</i>, HTTP://WWW.UNHCR.ORG/PAGES/4AD2F22C6.HTML • “Women Leading for Livelihoods”, <i>UNHCR web site</i>, HTTP://WWW.UNHCR.ORG/PAGES/49C3646C1DC.HTML • “Community Technology Access”, <i>UNHCR web site</i>, HTTP://WWW.UNHCR.ORG/PAGES/4AD2E8286.HTML • <i>Update on UNHCR's global programmes and partnerships – 2010</i>, (2010): HTTP://WWW.UNHCR.ORG/4CA5DEB59.HTML • “Global strategic priorities”, <i>Global Appeal 2011 Update</i>: HTTP://WWW.UNHCR.ORG/4CD915A69.HTML • “Encouraging Self-Reliance”, <i>Global Appeal 2011 Update</i>: http://www.unhcr.org/4cd918559.html
		3. The MO has an exit strategy for its humanitarian assistance (where appropriate).	Met • <i>Handbook for Emergencies</i>, 3rd ed., (2007): HTTP://WWW.UNHCR.ORG/472AF2972.HTML • “Georgia”, <i>Global Report 2009</i>: HTTP://WWW.UNHCR.ORG/4C08F22F9.HTML • “Guinea”, <i>Global Report 2009</i>: http://www.unhcr.org/4c08f2409.html
		4. The MO has a way of assessing results.	Met • “Urban Refugees and Livelihoods”, <i>UNHCR web site</i>, http://www.unhcr.org/pages/4ad2f22c6.html
		5. The MO has a way of learning lessons.	Not met
Overall score MI 12.4		Adequate	Overall comments:

QUADRANT III – RELATIONSHIP MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
14. SUPPORTING INTER-AGENCY PLANS AND APPEALS			
14.1	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises)	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• “Operational Support and Management”, <i>Global Appeal 2011 Update</i>: http://www.unhcr.org/4cd9739b9.html • “Protection”, <i>Humanitarian reform web site</i>: http://humanitarianreform.org/humanitarianreform/Default.aspx?tabid=79 • <i>Humanitarian Appeal: 2011 Consolidated Appeal Process</i>; <i>Humanitarian Appeal: 2010 Consolidated Appeal Process</i> ; <i>Humanitarian Appeal: 2008 Consolidated Appeal Process</i> : http://ochaonline.un.org/humanitarianappeal/webpage.asp?MenuID=14381&Page=1709 • <i>Humanitarian Appeal web site</i>: http://ochaonline.un.org/humanitarianappeal/webpage.asp?Nav=emergency_en&Site=2011&Lang=en • “IASC Focal Point”, <i>IASC web site</i>,: http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-focalpoint-default
Overall score MI 14.1		--	Overall comments:
17. HARMONISING PROCEDURES			
17.1	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation, needs assessments)	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• “About UNDG Working Groups”, <i>UNDG web site</i>: http://www.undg.org/index.cfm?P=656 • “UNHCR Evaluation Reports”, <i>UNHCR web site</i>: http://www.unhcr.org/cgi-bin/texis/vtx/search?page=home&cid=49aea93a6a&scid=49aea93a39&comid=4a1d3b346&keywords=evaluation+report&skip=0&querysi=joint&searchin=title&display=10&sort=date • Examples of joint assessment reports: http://www.unhcr.org/cgi-bin/texis/vtx/search?page=search&skip=20&query=jointmission&querysi=joint&searchin=title&display=10&sort=relevance
Overall score MI 14.1		--	Overall comments:
17.3	The extent to which the MO technical cooperation is disbursed through coordinated programmes.	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• ILO-UNHCR Partnership through Technical Cooperation: Multi-bilateral programme of technical cooperation; Final report: Self-reliance and sustainable livelihoods for refugees in Dadaab and Kakuma camps, (2005): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=4326a7542&query=technical cooperation
Overall score MI 17.3		--	Overall score:

MI	Micro-Indicator	Criteria	Evidence / Discussion
17.4	The MO contributes actively to common/joint needs assessments at country level.	<i>This MI will not be rated. A contextual analysis of the MI will be provided in the report.</i>	• <i>Memorandum of Understanding between the Office of the United Nations High Commissioner for Refugees (UNHCR) and the World Food Programme (WFP)</i>, (2002): http://www.unhcr.org/refworld/docid/3d357f502.html • <i>UNHCR/WFP Joint Assessment Mission (JAM) Guidelines</i>, 2nd ed., (2008): http://www.unhcr.org/45f81d2f2.html • UNHCR/WFP JAM reports available here: http://www.unhcr.org/cgi-bin/texis/vtx/search?page=search&skip=10&query=joint assessment mission&querysi=Joint Assessment Mission&searchin=title&display=10&sort=date • <i>Joint HIV Assessment Mission of Conflict-affected Populations in Nepal</i>, (2006): http://www.unhcr.org/cgi-bin/texis/vtx/home/opendocPDFViewer.html?docid=47e2422b2&query=joint assessment mission • <i>Global Needs Assessment Pilot Report</i>, (2008): http://www.unhcr.org/48ef09a62.html
Overall score MI 17.4		--	Overall comments:

QUADRANT IV – KNOWLEDGE MANAGEMENT

MI	Micro-Indicator	Criteria	Evidence / Discussion
18. EVALUATING EXTERNAL RESULTS			
18.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	1. An organisation-wide (central) evaluation unit or function exists.	Met • <i>UNHCR's evaluation policy</i>, (2010): http://www.unhcr.org/3d99a0f74.html
		2. An organisation-wide evaluation policy exists, which includes guidance on how the MO is to do independent evaluations.	Not met • <i>UNHCR's evaluation policy</i>, (2010): http://www.unhcr.org/3d99a0f74.html • <i>How to manage evaluation: Seven steps</i>, (2005): http://www.unhcr.org/429d7c792.html
		3. (If first criterion is met) there is evidence in annual reports being provided by the organisation-wide evaluation unit or function to Executive Management (Head of Organisation) or Board of independence of evaluations.	Met • <i>Policy Development and Evaluation: Report of the High Commissioner</i>, (2010): HTTP://WWW.UNHCR.ORG/4C80B6049.HTML • <i>Policy Development and Evaluation: Report of the High Commissioner</i>, (2009): HTTP://WWW.UNHCR.ORG/4A9CE3E09.HTML
		4. (If first criterion is met) the organisation-wide evaluation unit has a direct reporting function to the Executive Management, but not the Board.	Met • <i>UNHCR's evaluation policy</i>, (2010): http://www.unhcr.org/3d99a0f74.html
		5. The central evaluation unit has a direct reporting function to the MO's Board.	Not met • <i>UNHCR's evaluation policy</i>, (2010): http://www.unhcr.org/3d99a0f74.html • <i>Policy Development and Evaluation: Report of the High Commissioner</i>, (2009): http://www.unhcr.org/4a9ce3e09.html
Overall score MI 18.1		Adequate	Overall comments:
18.2	The evaluation function provides sufficient coverage of the MO's programming activity (situations,	1. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programmes.	Met • <i>UNHCR's evaluation policy</i>, (2010): http://www.unhcr.org/3d99a0f74.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
	projects, programs, etc).	2. (If first criterion is met) this policy or plan defines the evaluation coverage of projects and programmes (i.e., the number or percent of projects/programmes requiring evaluations of <i>any type</i>) or it clearly explains how evaluations are planned and prioritised.	Not met As above
		3. (If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an <i>independent</i> evaluation.	Not met As above
		4. Reports of independent, evaluations are available for <i>at least half of the</i> countries sampled.	Met • Money matters: An evaluation of the use of cash grants in UNHCR's voluntary repatriation and reintegration programme in Burundi, (2009): HTTP://WWW.UNHCR.ORG/4A5F436D9.HTML • Joint evaluation: Evaluation of the protracted refugee situation (PRS) for Burundians in Tanzania, (2010): HTTP://WWW.UNHCR.ORG/4CDD4BC29.HTML • Review of CORD community services for Congolese refugees in Tanzania, (2002): HTTP://WWW.UNHCR.ORG/3D81AD774.HTML • Refugee health in Nepal: Joint UNHCR-WHO evaluation of health and health programmes in Bhutanese refugee camps in Nepal, (2005): HTTP://WWW.UNHCR.ORG/425E6AEE2.HTML • Country evaluation of the age and gender mainstreaming pilot project: Syria, (2005): HTTP://WWW.UNHCR.ORG/4253E0822.HTML • Surviving in the city: A review of UNHCR's operation for Iraqi refugees in urban areas of Jordan, Lebanon and Syria, (2009): HTTP://WWW.UNHCR.ORG/4A69AD639.HTML • Real-time evaluation of UNHCR's response to the emergency in Lebanon and Syria, July-September 2006, (2006): HTTP://WWW.UNHCR.ORG/4540A9782.HTML • Country evaluation of the age and gender mainstreaming pilot project: Syria, (2005): http://www.unhcr.org/4253e1c52.html
		5. (If fourth criterion is met) reports of independent evaluations exist for <i>all</i> countries sampled.	Not met
Overall score MI 18.2		Inadequate	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
18.3	The MO ensures quality of its evaluations	1. The MO has policy/procedures for the quality control of their evaluations.	Met • <i>UNHCR's evaluation policy</i> , (2010): http://www.unhcr.org/3d99a0f74.html
		2. The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	Not met
		3. There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting international standards (i.e. UNEG standards, DAC standards) in its centralised and decentralised evaluations.	Met • <i>UNHCR's evaluation policy</i> , (2010): http://www.unhcr.org/3d99a0f74.html
		4. The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations) cover organisation-wide, country and project level evaluations.	Not met
		5. There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	Not met
		Overalls core MI 18.3	
18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	1. The MO has a policy/guidelines statement on involving direct beneficiaries and stakeholder groups in evaluation processes.	Met • <i>UNHCR's evaluation policy</i> , (2010): http://www.unhcr.org/3d99a0f74.html
		2. The policy/guidelines specifies that efforts should be made to include both women and men, primary stakeholders from different socioeconomic groups and ethnicities, and girls and boys in the evaluation process.	Met • <i>UNHCR's evaluation policy</i> , (2010): http://www.unhcr.org/3d99a0f74.html

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. The evaluation reports sampled show evidence that relevant beneficiaries and stakeholders were involved in at least one part of the evaluation process (planning, data collection, reporting, conclusions and recommendations, initiation of lessons learned).	Met <i>No place to stay: A review of the implementation of UNCHR's urban refugee policy in Bulgaria</i>, (2011): HTTP://WWW.UNHCR.ORG/4DC3B9909.HTML <i>Lives in limbo: A review of the implementation of UNHCR's urban refugee policy in Tajikistan</i>, (2011): HTTP://WWW.UNHCR.ORG/4DC261419.HTML <i>Joint evaluation: Evaluation of the protracted refugee situation (PRS) for Burundians in Tanzania</i>, (2010): HTTP://WWW.UNHCR.ORG/4CDD4BC29.HTML <i>Surviving in the city: A review of UNHCR's operation for Iraqi refugees in urban areas of Jordan, Lebanon and Syria</i>, (2009): HTTP://WWW.UNHCR.ORG/4A69AD639.HTML <i>Money matters: An evaluation of the use of cash grants in UNHCR's voluntary repatriation and reintegration programme in Burundi</i>, (2009): http://www.unhcr.org/4a5f436d9.html
		4. The evaluation reports sampled show evidence that relevant beneficiaries and stakeholders were involved in more than one part of the evaluation processes (planning, data collection, reporting, conclusions and recommendations, initiation of lessons learned).	Not met As above
		5. The MO has a review process that ensures the involvement of direct beneficiaries and stakeholders in the evaluation processes (i.e. it tries to improve their involvement).	Not met
Overalls core MI 18.5		Adequate	Overall comments:
19. PRESENTING PERFORMANCE INFORMATION			
19.1	Reports on the achievement of outcomes, not just inputs, activities and outputs.	1. Annual performance reports exist at the organisation-wide level.	Met <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		2. (If first criterion is met) the most recent performance report sampled describes outputs achieved.	Met As above

MI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) the most recent performance report sampled discusses expected outcomes achieved.	Not met As above
		4. (If first two criteria are met) the most recent performance report sampled provides evidence of the MO's contribution to outcome achievement (i.e., establishes a link between outputs and outcomes).	Not met
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i> .	Not met
Overall score MI 19.1		Inadequate	Overall comments: As noted in MI 2.5, UNHCR has an extensive number of outputs that are incorporated in Focus. The narrative of the Global Report cannot be expected to report on all of the outputs. It does describe a sample of types of products and services that have been provided by UNHCR, but does not provide sufficient analysis of how these link to the desired change (either as expressed in the target or the outcome-level result area).
19.2	Reports performance using data obtained from measuring indicators.	1. Annual performance reports exist at the organisation-wide level.	Met • <i>Global Report 2010:</i> http://www.unhcr.org/gr10/index.html
		2. (If first criterion is met) the most recent performance report sampled specifies indicators and associated measurement for the reporting period that respect SMART or CREAM criteria for indicators.	Not met
		3. (If first two criteria are met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years).	Not met

MI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first two criteria are met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	Met • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled.	
Overall score MI 19.2		Inadequate	Overall comments:
19.3	Reports against its organisation-wide strategy, including expected management and humanitarian results.	1. Annual performance reports exist at the organisation-wide level.	Met • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide humanitarian results framework and MRF.	Met • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		3. (If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the humanitarian results framework and MRF, along with an explanation of any variances.	Met • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		4. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met
		5. There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	Not met
Overall score MI 19.3		Adequate	Overall comments:

MI	Micro-Indicator	Criteria	Evidence / Discussion
19.4	Reports on country (or other) level programming adjustments made or recommended based on performance information.	1. The MO reports to the management or governing body on performance at the country level (i.e., outputs and contributions to outcomes).	Met • <i>Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations</i>, 2nd ed., (2006): HTTP://WWW.UNHCR.ORG/40EAA9804.HTML • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html • <i>Global Appeal 2010-2011</i>: http://www.unhcr.org/ga10/index.html#/home
		2. (If first criterion is met) for at least half of the country reports there is a description of the implications of this performance information for planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed, in response to the performance information).	Not met • <i>Global Report 2010</i>: http://www.unhcr.org/gr10/index.html
		3. (If first criterion is met) for at least half of the countries, one of the reports describe changes made to the planning of new interventions as a result of what was learned from performance information.	Not met •
		4. (If all above criteria are met) for at least half of the countries, the reports or subsequent strategies confirm that new interventions have been implemented according to the required changes.	Not met
		5. (If all above criteria are met) all criteria met for all countries.	Not met
Overall score MI 19.4		Data unavailable	Overall comments: The assessment was designed to draw on a sample of country reports, and thus data was not available. Once Global Focus is on line, donors and other key stakeholders will have more access to information on programming adjustments in individual operations, and the formal end-of-year reports may only be one part of that.
20. DISSEMINATING LESSONS LEARNED			

MI	Micro-Indicator	Criteria	Evidence / Discussion
20.1	Reports on lessons learned based on performance information.	There is some evidence that the organisation is committed to the identification of lessons learned and/or best practices.	Met <i>PDES Work programme, January – June 2011</i>: HTTP://WWW.UNHCR.ORG/4cCECE919.HTML <i>Crisis in Central Asia: Lessons learned from UNHCR's response to the 2010 emergency in Kyrgyzstan and Uzbekistan</i>, (2011): HTTP://WWW.UNHCR.ORG/4d7E28219.HTML <i>Microfinance and refugees: lessons learned from UNHCR's experience</i>, (2011): http://www.unhcr.org/4d36ed9e9.html
		There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices.	Met Enhancing UNHCR's emergency response capacity: an organization-wide approach to mobilizing human resources, (2011): http://www.unhcr.org/4d665c6e9.html
		The MO has a system for collecting and disseminating lessons learned and/or best practices internally.	Not met “Operational Support and Management”, <i>Global Appeal 2011 Update</i>: http://www.unhcr.org/4cd9739b9.html
		(If third criterion is met) The MO has an easily accessible system that collects and disseminates <i>both</i> internal <i>and</i> external lessons learned and/or best practices.	Met <i>Refworld web site</i>: http://www.unhcr.org/cgi-bin/texis/vtx/refworld/rwmain
		There is evidence that the MO uses lessons learned and/or best practices based on performance information to change management and program practices.	Not met <i>Establishment of an Independent Audit and Oversight Committee</i>, (2011): HTTP://WWW.UNHCR.ORG/4d665dbd9.html
Overall score MI 20.1		Adequate	Overall comments: