



MOPAN COMMON APPROACH

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Appendices

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Appendix I Methodology

1. Introduction

The following presents the methodology used to conduct the MOPAN Common Approach in 2010. It is important to note that the methodology for the Common Approach has changed significantly in 2010 (in particular due to the introduction of the document review component). Due to these differences, comparisons of the results of this year with those from previous years should be done with caution.

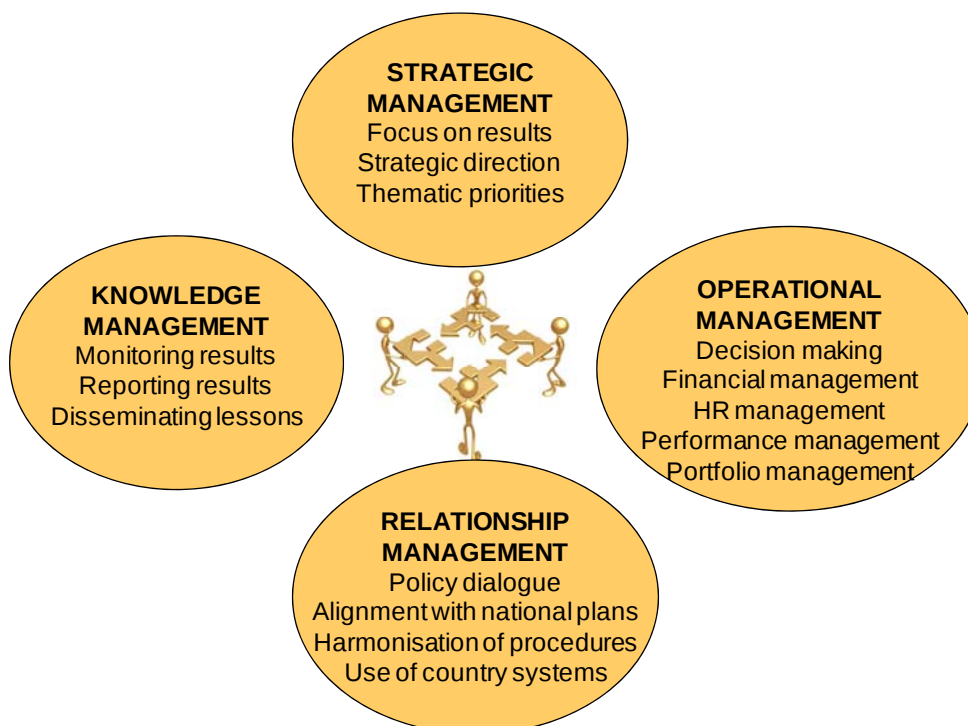
1.1 The MOPAN Common Approach Assessment Framework

MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development 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 at the country level. The Common Approach framework groups these organisational capacities in four areas of performance:

- *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.

Dimensions of organisational effectiveness in the MOPAN Common Approach



1.2 Indicators

Within each performance area (or quadrant), organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in 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. In 2010, the assessment included 19 KPIs and 68 MIs for international financial institutions and 69 MIs for UN Funds and Programs. The full list of MIs assessed in 2010 is provided in Appendix VI (KPI and MI Data by Quadrant).

1.3. Multilateral Organisation Selection Method

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

1. Size of contribution and percentage of contribution classified as Official Development Assistance (ODA)
2. Interest to all MOPAN members
3. 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
4. MOPAN aims to assess institutions with the highest contributions on a 3-5 year cycle. The organisations include International Financial Institutions (IFI) and UN Funds, programs, and specialised agencies.

In 2010, the Asian Development Bank (ADB), United Nations Population Fund (UNFPA), World Health Organization (WHO), and International Fund for Agricultural Development (IFAD) were assessed.

1.4. Country Selection Method

Each year countries are selected for the Common Approach assessment on the basis of presence and availability of MOPAN members, no recent inclusion in the survey,¹ and the need for geographical spread.

The assessment in 2010 was conducted in Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Viet Nam and Zambia.

Country selection in 2010 included two Delivering as One (DAO) countries: Rwanda and Viet Nam. MOPAN reflected on whether the Common Approach assessment could be carried out in DAO countries and concluded that MOPAN should learn from the experiences of working in DAO pilot countries and that the analysis of responses in those countries should acknowledge the One UN context. Where relevant and feasible, data analysis and country level discussions on the data for UNFPA, WHO, and IFAD have taken this into account.

¹ Countries should not be surveyed by MOPAN in two consecutive years.

2. Survey

2.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and at the country level) and direct partners or clients of the multilateral organisations under review.

The main instrument for conducting the survey was Computer-Aided Web Interviewing (CAWI) through an online survey. Respondents were able to complete the web-based survey in English, French, or Spanish. Most of the respondents took the survey online.

When it was not possible for direct partners/clients to complete the survey online, off-line methods were used. Respondents could either fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that was sent by email, or participate in a structured interview either in person or by telephone. Consultants (independent of MOPAN) conducted all off-line surveys to ensure confidentiality.

Paper-based versions of the survey were made available in English, French, and Spanish. Direct partners/clients in Afghanistan, Indonesia and Viet Nam had the opportunity to complete the paper-based survey in local languages (Vietnamese, Pashto, Bahasa Indonesian). Among this respondent group, approximately 39 percent completed a paper-based or electronic version of the survey sent by email and 9 percent completed it via a structured interview.² The remainder completed the survey online.

The survey data were collected over a seven-week period in April and May 2010.

Respondent Types

To provide different perspectives on the multilateral organisations being assessed, MOPAN seeks the perceptions of three respondent groups: donors at headquarters (HQ) and at the country level (CO), and direct partners (DP) of multilateral organisations in developing countries. Respondents are considered qualified on the basis of their expertise: the survey targets specific, knowledgeable, individuals. They include:

- **Donor Headquarters Oversight (HQ):** Working for a (MOPAN) donor government, professional staff 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):** Working for a (MOPAN) donor government, professional who shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):**³ Working for a national partner organisation (government or civil society) in the developing country, professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or has direct interaction with it at country level. This could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.

² These approximate percentages are based on reports from local consultants in 7 of the 10 countries.

³ In the context of IFIs, these are referred to as “Clients.”

2.2 Sampling and Response Rates

Sampling

The Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified either by 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 a master list of 1276 names that defined the universe of potential respondents for all four organisations.

Individuals were invited to complete the survey for each organisation for which they had functional responsibility and sufficient knowledge.⁴ 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.

Respondent Overview

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Percentage of Respondents who reported a good level of familiarity with the organisation ⁵
ADB	186	105	88%
IFAD	350	162	79%
UNFPA	369	238	86%
WHO	371	208	82%
Total	1276	713	

Response Rate

Because each survey respondent could respond for more than one multilateral organisation, the master list of potential respondents provided a potential for 1276 opinions (as illustrated above in the total number of potential respondents for each organisation). The overall response rate, based on the total number of potential opinions, was 56 percent.⁶ Although the response rates varied considerably across organisations (from 46 percent for IFAD to 64 percent for UNFPA), response rates in the range of 50-60 percent are considered to be acceptable for a survey that targets respondents who need to have detailed knowledge in order to participate.

MOPAN set quotas (i.e., targets) for the percentage of respondents that would be considered satisfactory for each respondent group (i.e., donors at headquarters, donors in country offices, and direct partners/clients): 50 percent response rate among direct clients/partners of multilateral organisations in each survey country, and 75 percent response rate among MOPAN members in country offices and at headquarters. The target response rate for MOPAN members was higher as it was expected that they would have greater ownership of the process and thus more incentive to complete the survey. The target response rates for both groups were higher than those frequently used in international survey research. Despite follow-up efforts, MOPAN was unable to meet the quotas for the different respondent groups in some cases. However, MOPAN was satisfied with the respondents' 'self-reported' level of familiarity with respect to each organisation. Section 1.2 under 'Respondents' of the organisational report provides response rates and quotas by respondent group.

⁴ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, or DP) and the multilateral organisation(s) they had been assigned to. Some individuals, particularly among MOPAN members, completed surveys about more than one organisation.

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

⁶ Out of the 1276 potential opinions, 713 completed the survey.

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised to reflect both the type of respondent and the type of multilateral organisation. The survey customisation stage included consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

A core set of questions was developed for all respondents and additional questions were designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, were asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems, were asked only of donors in-country and clients/direct partners of multilateral organisations.

In addition, micro-indicators that related to cross-cutting thematic priorities, for example, were adjusted to reflect the nature of the multilateral organisation.

The final customised survey for each multilateral 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 asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, for each of the four dimensions of effectiveness, respondents were asked to identify the most important strategic element for the management of the organisation and were invited to provide additional comments.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators presented in groupings designed to reflect the key performance indicator (KPI) structure. Respondents were presented with a statement describing an organisational practice, system, or behaviour and asked to rate the performance of the multilateral organisation in this area as: 1 (Very Weak), 2 (Weak), 3 (Inadequate), 4 (Adequate), 5 (Strong), or 6 (Very Strong). These labels were defined for the respondents at the beginning of the survey as shown below:

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

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse the data collected and calculate an overall mean score for each question (micro-indicator).⁷

Calculation of Mean Scores

The mean scores were calculated for each question (micro-indicator) and for each key performance indicator (KPI) by aggregating the scores for each micro-indicator (MI) within that KPI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 has a KPI mean of 3. A few of the MIs consist of more than one question. In these cases, the mean score was calculated for each question and then an average was calculated for the MI.

The resulting mean scores were interpreted according to band ranges outlined below. This system assigns mean scores (which potentially range from 1 to 6) into six bands. Any mean score below 3.5 is interpreted as, at best, inadequate. The findings presented in the report are based on this interpretation of the survey data.

Band Ranges and Descriptions

Band	Range of the mean scores	Rating	Definitions
1	1 to 1.49	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	1.50 to 2.49	Weak	The multilateral organisation has this system but there are important deficiencies.
3	2.50 to 3.49	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	3.50 to 4.49	Adequate	The multilateral organisation's system is acceptable in this area.
5	4.50 to 5.49	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
6	5.50 to 6.00	Very Strong	The multilateral organisation's system is "best practice" in this area.

Other Statistical Analysis

Other characteristics of the data, including standard deviation and frequencies for each question, were calculated in order to analyse the data. Standard deviation, as a measure of dispersion in the data, provided indication of the level of similarity or divergence in opinions on topics covered in the survey among different respondents. Frequency distributions, generated in terms of percentages and absolute numbers, from both weighted and un-weighted data, provided richer detail on the layout of the data.

In addition, statistical analysis was used to test the significance of differences observed across countries and respondent groups in responses to micro-indicator questions. Due to the ordinal nature of the data, non-parametric tests of significance (including Mann-Whitney U and Kruskal-Wallis tests as applicable) were used. These tests are also considered to be useful for analysing small samples.

⁷ Some micro-indicators corresponded to more than one survey question. In this case, mean scores were calculated for each question but not for the micro-indicator itself. However, KPI mean scores were calculated applying equal weight to micro-indicators, not to individual questions.

Tests of significance were deemed to be useful in our analysis as they take account of both the magnitude of difference between groups and the dispersion internal to each group, so that differences occurring by chance are ruled out as non-significant. In our analysis, judgment was suspended on groups whose difference was found to be non-statistically significant: as it is possible that no statistical difference exists, or that the data were not sufficient to provide evidence for the difference.⁸ Given the sizes of the samples, the comparisons across countries and respondent groups are provided as indicative information that can be used as a basis for discussion.

Analysis of Open-Ended Questions

Responses to open-ended questions were analysed using a content analysis technique in which codes were not pre-defined, but were based on the themes emerging from the comments. Then, the frequency of occurrence of each theme was calculated. Section 3.4 of the organisational reports summarises findings based on the data from the open-ended questions on areas of strength and areas for improvement for the multilateral organisation. Respondent comments on the different areas of the survey were also analysed in order to put the survey responses into context. Respondent quotes were drawn from open-ended questions to illustrate tendencies in the ratings and the comments, wherever possible illustrating the positive and negative points of view provided on the theme.

Don't Know Responses

For each question, respondents had the option to indicate that they 'don't know' and these responses were not incorporated into the calculation of mean scores. As a result, some mean scores are based on fewer responses than others.⁹ The respondent base size and rate of 'don't know' responses by KPI are provided in Appendix IV.

Weighting Factors

Due to the fact that the numbers of respondents answering differs – both between respondent types and between survey countries – a weighting factor was applied to the survey data based on the survey response rate. This weighting was designed to give equal weight to:

- The views of each of the three respondent groups;¹⁰
- The countries where the survey took place; and
- Donors in-country and direct partners within each country where the survey took place.¹¹

The multilateral organisation weight factor was calculated based on the following general equation. In each case, the variables refer to one multilateral organisation (each organisation's weight is calculated independently of those of other organisations).

R = number of respondent groups in the survey sample (for one organisation)

C = number of countries in the survey sample (for one multilateral organisation)

P = total number of respondents (for one multilateral organisation)

G = number of respondents in a particular country/respondent group unit (for one multilateral organisation)

W = weight factor for a given unit (for one multilateral organisation)

⁸ This is particularly true of tests involving groups of small sample sizes.

⁹ Although this reduces the respondent base, the results can still be taken to be indicative of perceptions of those who provided an answer and are presented as a basis for discussion between MOPAN and the multilateral organisation.

¹⁰ This is via the application of individual weights, whereby in-country donors, headquarter-level donors, and direct partners are given different weights in order to account for the fact that different numbers of each group were interviewed.

¹¹ In-country donor and direct partner weights are also 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 carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

The general equation for weighting is:

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

For 2010, ADB had four countries in its sample, while the rest of the multilateral organisations (UNFPA, WHO and IFAD) had ten. In all cases, there were three respondent groups (HQ, CO and DP).

For HQ respondents, there is no country value. Therefore, for the HQ unit the weight factor is equal to:

$$W = \frac{P}{3G}$$

For CO and DP respondents, for UNFPA, WHO and IFAD the weight factor is equal to:

$$W = \frac{P}{3 \times 10 \times G}$$

For CO and DP respondents, for ADB, the weight factor is equal to:

$$W = \frac{P}{3 \times 4 \times G}$$

For example, if there are 250 total respondents for UNFPA, and 10 DP respondents in Viet Nam for that multilateral organisation, the weighting for DPs in Viet Nam would be:

$$W = \frac{250}{3 \times 10 \times 10}$$
$$W = 0.83$$

This weight factor is applied uniformly to all quantitative responses of each individual in that unit. Each response to each question is multiplied by the weight factor calculated above.

To illustrate the above:

- If fewer MOPAN headquarter than country office respondents answered on a particular multilateral organisation, then each headquarter respondent was relatively 'up-weighted' and each country office respondent relatively 'down-weighted' to ensure parity between those two groups (in practice, this was carried out to ensure parity between the three respondent groups);
- If more respondents of a certain respondent type in survey country X answered on a particular multilateral organisation than in survey country Y, then respondents in survey country Y were relatively 'up-weighted' and respondents in survey country X were relatively 'down-weighted'.
- If in-country X more CO than DP respondents answered on a particular multilateral organisation, then each DP respondent was relatively 'up-weighted' and each CO respondent relatively 'down-weighted'.

The weighting scheme ensures that when analysing a multilateral organisation at the *overall level*, no single respondent group or survey country is over-represented. It also ensures that when analysing a multilateral organisation at the *country level* there is equal representation of Country Officers and Direct Partners.

Weighted figures are used:

- In the multilateral organisation reports: everywhere unless otherwise stated.
- In the summaries of results for the multilateral organisation in each of the countries surveyed : overall means for the multilateral organisation within that country (i.e., not respondent group means)

3. Document Review

3.1 Overview

Through an examination of publicly available documents,¹² 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 the MOPAN micro-indicators. The organisations helped to identify these documents.
- Organisational reviews or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- External assessments such as the Survey on Monitoring the Paris Declaration (2008), the Common Performance Assessment (COMPAS) report (2008), and previous MOPAN surveys.¹³

3.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents 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).¹⁴

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. In most cases, only one policy or guideline was selected per organisational unit (i.e., country, region, or the organisation as a whole, depending on the micro-indicator). For organisation-wide policies, only one document was selected in total.
- Strategies, regardless of level within the multilateral organisation, were selected only if they were being implemented within the year of assessment. For each MI, normally only one strategy was selected per organisational unit (although two were selected in some instances, if for example the multilateral organisation has both a medium-term and a long-term strategy).

¹² Documents are considered to be "publicly available" if the organisations are able to provide them upon request for the purposes of assessing the micro-indicators.

¹³ If data from these sources were not available for the multilateral organisations participating in this year's survey, either an alternate approach was developed or the micro-indicators were not assessed.

¹⁴ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected based on a principle of reviewing a mix of thematic areas (i.e., two thematic documents covering the same or similar thematic areas will not both be selected). For each MI, up to five thematic documents were selected per organisational unit.
- Any information presented on the multilateral organisation's web site (i.e., the text from a page on this site, not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

For all other types of documents, a maximum of five documents per organisational unit were selected based on the level-specific requirements below.

- All documents (except for policies, guidelines and strategies) were published within the following timelines:
 - Project/program level documents: the current or previous year
 - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- All documents from country level and project/program level were subject to the following country sampling methods. For each MI, up to five countries out of the 10 countries surveyed by MOPAN in 2010 were selected for the sample, based on the organisation's Official Development Assistance (ODA) to sample countries.¹⁵ For project or program level documents, all relevant documents within the countries selected in the above manner were subject to review.¹⁶

The countries selected for document review in the 2010 assessment were as follows:

ADB:	2. Afghanistan, Indonesia, Sri Lanka and Viet Nam
IFAD:	Kenya, Rwanda, Nicaragua, Indonesia and Viet Nam
UNFPA:	Kenya, Zambia, Nicaragua, Afghanistan and Indonesia
WHO:	Kenya, Colombia, Afghanistan, Indonesia and Viet Nam

When specific MIs required a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach was developed and tailored for each of the multilateral organisations.

¹⁵ The data on ODA were drawn from OECD Creditor Reporting system (CRS). ODA data were not available for WHO. Because of this, and in recognition of the distinct organisational and management culture in each regional office of WHO, the country selection is as follows: Afghanistan (EMRO); Colombia (AMRO/PAHO), Indonesia (SEARO); Kenya (AFRO); Viet Nam (WPRO).

¹⁶ The Asian Development Bank was the exception because all four countries participating in the assessment were considered (Afghanistan, Indonesia, Sri Lanka, and Viet Nam).

3.3 Document Collection

The collection of documents followed the steps outlined below, although it was not a linear process:

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

Once the document list was finalised and 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 the third request did not contain the information needed, the consultant team made the assessment based on the information available.

Other External Assessments

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

- **Common Performance Assessment System (COMPAS) report, 2008 and 2007:** COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The annual COMPAS report provides data in eight categories that are relevant to the MDBs' implementation of the MfDR agenda. The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR. For the ADB and IFAD assessments, MOPAN drew on the following indicators from COMPAS report¹⁷ in order to assess five of the micro-indicators:
 - Subcategory 3. Allocation of Concessional Resources. Amount and percentage of total concessional lending resources allocated on the basis of performance
 - Subcategory 4e: Portfolio risk management (ii) Proactivity index
 - Category 4g: Project ex-post evaluation. Number of projects independently reviewed ex-post during the previous year, as a percent of the average number of projects completed annually during the last five years.
 - Subcategory 5b: Evaluation of operational experience. Management uptake of evaluation recommendations as reported to Executive Boards
 - Category 6b. Results-focused Human Resources Management. Emphasising results-related efforts and or/achievements while assessing operational staff performance
- **Survey on Monitoring the Paris Declaration, 2008.** Since the Paris Declaration on Aid Effectiveness was signed in 2005, two monitoring surveys and an early evaluation have been carried out to assess progress on the agreed indicators. The monitoring surveys, managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching their established targets. Since eight of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C: Donor Data, for the following indicators¹⁸:
 - Indicator 3: Aid flows aligned on national procedures
 - Indicator 4: Strengthen capacity by co-ordinated support
 - Indicator 5 a and b. Use of country public financial systems and use of country procurement systems

¹⁷ For most indicators the source is the 2008 COMPAS report, with one exception. The COMPAS Indicator Subcategory 5b changed between 2007 and 2008, from a focus on management uptake of evaluation results to a question that asks about the organisation's system for capturing lessons from project evaluations and applying them to new projects. Since there is a MOPAN micro-indicator that is concerned with management uptake of evaluation recommendations, as a data source the indicator from the 2007 report was used, complemented with other data (if available) from the organisation.

¹⁸ In general, the assessment draws on the data from the "Average Country Ratio – All Countries", unless it is not available.

- 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
- Indicator 10b: Joint analytical work

The OECD survey data were available for ADB and IFAD. ADB also conducts its own annual survey to track progress on these indicators; because ADB data were more recent, ADB reports were used for the assessment. The OECD survey reports data for the United Nations as a whole, thus the consultant team relied on UN Funds and Programs to provide their data as input for these indicators.

3.4 Document Analysis

In 2010, the multilateral organisations were assessed on relevant micro-indicators in the Common Approach document review framework.¹⁹ (The list of MIs assessed through document review is provided in Appendix VI.) The document

review ratings build on the definitions and scale used in the survey, as described in section 2.1 above.²⁰ The document review ratings ranged from 1 (Very Weak) to 6 (Very Strong).

For most micro-indicators, five criteria were established which, taken together, were considered to represent the best practice in that topic area. Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. Ratings were arrived at by totalling the number of criteria met, as shown in the following table. The text box to the right shows an example of the criteria used for the document review. These criteria are for micro-indicator I-2A: “The MO’s organisation wide strategy is based on a clear definition of mandate.”

Example of document review criteria

From MI I-2A (The MO’s organisation wide strategy is based on a clear definition of mandate):

1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists
2. The organisational strategic plan articulates goals & focus priorities
3. The organisational strategic plan mentions the MO’s mandate/articles of agreement
4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation’s mandate/articles of agreement
5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation’s mandate/articles of agreement

¹⁹ Some MOPAN MIs were not identified for document review. For some organisations, document review on certain MIs was not relevant given the type of indicator (for example, conditionality in the case of UN organisations) or the source of data identified (COMPAS reports).

²⁰ For document review, however, the definition of “Very Weak” is expanded to mean that “the multilateral organisation does not have this system in place and this is a source of concern / or the organisation has no document that can provide evidence of such a system being in place.”

Document Review Criteria and Rating

Number of criteria met	Descriptors	Definitions
No criteria met (or required document(s) do not exist)	Very Weak	The multilateral organisation does not have this 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
One criterion met	Weak	The multilateral organisation has this system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation's system is acceptable in this area.
Four criteria met	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
All five criteria met	Very Strong	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. The percentage ranges reflected the perspective of MOPAN with respect to what should be considered "Strong" performance in relation to the targets established by the Paris Declaration (meeting the Paris Declaration target, for example, was considered to be "Strong").

Ratings for key performance indicators (KPIs) were based solely 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 in that KPI, rounded to the nearest whole number. This number was given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator 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.

Content Analysis

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

The analysis included an examination of four broad areas:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics noted in standards as best practice.
- **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 certain 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 the extent to which progress could be seen over time.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. With the introduction of document review, judgments now draw on a variety of sources that can be compared and triangulated.

- Perceptions: Survey respondent perceptions are still an important component of the judgments on multilateral organisation performance.
- Criteria: The document review process was guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g., OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach. See sidebar for example.

To the extent possible, the assessment standards and criteria are framed in a way that reflects the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation and its authorising environment.

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.²¹ In the Common Approach, triangulation was done in a number of ways:

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

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

²¹ Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

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.
- It seeks perceptual information from two different perspectives: MOPAN members (both at headquarters and country level) and direct partners/clients of multilateral organisations. 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 perception data with document review, thus adding an additional data source. This should enhance the analysis and basis for discussion on agency effectiveness, and increase the validity of the methodology through triangulation of data sources.
- The reports undergo a validation process, including multiple reviews by MOPAN members.
- MOPAN strives to have some degree of consistency across its survey questions and document review for each of the multilateral organisations, while allowing for certain customisation to account for differences between the types of multilateral organisations.

Limitations

As a learning organisation, MOPAN will continue to make improvements in the methodology based on the experience in each year of implementation. The following limitations should be taken into consideration when reading the MOPAN reports.

MOPAN Framework

- The countries were selected based on established MOPAN criteria and comprise only a small proportion of each institution's total portfolio of partner/clients, thus limiting broader generalisations.²²
- The Common Approach indicators are designed 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, there is a need for 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 results-oriented behaviours, systems, and procedures in the organisation. It 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 direct partners/clients.
- The MOPAN 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.
- Because one of MOPAN's intentions is to merge existing assessment tools into one, and to forestall the development of others, the survey instrument is still quite long. If documents prove to be an appropriate source of data for some of the MIs, MOPAN may consider eliminating some survey questions in the future.

²² MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward Asian countries given that the ADB was assessed in 2010.

- Some questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of respondents answering 'don't know.'
- Perception data has several potential limitations, one of which is 'central tendency bias', or the tendency of respondents to avoid the extreme points of the scale.
- In some countries, MOPAN was either just short or systematically short of the quotas set for the different respondent groups. There were challenges in getting responses from high ranking officials and in using an online survey as a primary method for collecting data from direct partners/clients. In some countries, such as Sri Lanka and Rwanda, the timing was also an issue due to general elections and/or public holidays during the survey period.
- The document review was 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).

Sampling

- The countries surveyed in the 2010 assessment, which were selected based on established MOPAN criteria,²³ comprise only a small proportion of IFAD's portfolio of activities.
- In most countries where IFAD was assessed, MOPAN was either just short or systematically short of the quota for both clients and MOPAN members. The challenges included getting responses from high ranking officials and using an online survey as a primary method for collecting data from clients. Another factor was a relatively low level of familiarity with IFAD among MOPAN members in countries. This lack of knowledge may be related to the fact that IFAD until recently did not have presence in the field. Because of the nature of the survey sample, the assessment does not claim to provide a fully representative view of performance of the IFAD. The findings should be taken as indicative.

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).
- 2010 has been the first year a document review was carried out and it is therefore likely to require further refinement.

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, many of the criteria for the review of the content of documents have been developed for MOPAN to meet the needs of this assessment process.
- In the document review component, low ratings may be due to the lack of appropriate documents available in relation to the assessment criteria.

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.

²³ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward countries in Asia given that the Asian Development Bank (ADB) was assessed in 2010.

Appendix I Survey

Note: This is the survey used to assess the IFAD in 2010. 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 - Agency - multiple]

Which of the following Multilateral Organisations will you be able to assess?

- ☐ 1. ADB/BAD/BAsD
- ☐ 2. IFAD/FIDA
- ☐ 3. UNFPA/FNUAP/FPNU
- ☐ 4. WHO/OMS

[2 - Level - single]

Samplegroup - Autoanswered

- ☐ 1. HQ
- ☐ 2. CO
- 3. DP

[IFAD]

Welcome to the Survey for the MOPAN Common Approach in 2010 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions of the International Fund for Agricultural Development (IFAD), as well as your knowledge. Your perceptions may be shaped by anything you have seen, heard about or read, and by your general impressions.

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 30 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
mopan2010@capacent.com.

At any point you can move back and forth in the questionnaire if you would like to change a response or a comment.

[101 - single]

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

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

[Screener question]

[102 - single]

You have been identified to assess the organisational practices, systems and behaviours of the International Fund for Agricultural Development (IFAD). However, before answering the questionnaire we would like to know how familiar you are with IFAD 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. 5 - Very familiar
- ☐ 2. 4
- ☐ 3. 3
- ☐ 4. 2
- ☐ 5. 1 - Not at all familiar

[Overall Performance]

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

[103 - single]

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

- ☐ 1. Please type your answer into the box below.

[104 - single]

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

- ☐ 1. Please type your answer into the box below.

[105 - single]

How would you rate the overall internal **effectiveness** of IFAD?

Please use the scale below, where 5 means "very effective" and 1 means "not effective at all."

DEFINITION: **Effectiveness** = 'being organised to support clients/partners to produce and deliver expected results.'

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

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

[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 IFAD performs in those areas. You will see a scale from 1 to 6 where 6 means that it is "very strong", 5 means it is "strong", 4 means it is "adequate", 3 means it is "inadequate", 2 means it is "weak" and 1 means that it is "very weak." The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE

Very strong = The IFAD's practice, behaviour or system is "best practice" in this area.

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

Adequate = The IFAD's practice, behaviour or system is acceptable in this area.

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

Weak = The IFAD has this practice, behaviour or system, but there are important deficiencies.

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

[Strategic Management]

First of all we would like to ask you about Strategic Management, and specifically organisational governance. According to what you know about IFAD's governance, how do you think IFAD 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.

[Corporate Governance]

[106 - single]

IFAD's institutional culture reinforces a focus on results

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

[107 - single]

IFAD's institutional culture is **client** focused (SEE DEFINITION BELOW)

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

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

[108 - single]

IFAD's senior management shows leadership on **results management** (SEE DEFINITION BELOW)

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

[109 - single]

IFAD makes **key documents** easily accessible to the public (SEE DEFINITION BELOW)

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

DEFINITION: **Clients** = organisations that receive a direct transfer of finances or technical assistance from a Multilateral Organisation (MO) - such as national government departments, civil society organisations and private entities

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

DEFINITION: **Key documents** = documents that describe strategies at organisation-wide, country, and / or project/program level

[110 - single]

Do you have any additional comments on IFAD's corporate governance?

- ☐ 1. Yes, note:
- ☐ 2. No

[M2_Corporate Strategy]

Still thinking about Strategic Management, but now about organisation-wide strategies, how do you think IFAD 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.

[111 - single]

IFAD has a clear mandate

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

[112 - single]

IFAD's organisation-wide **strategy/strategies** are aligned with the mandate (SEE DEFINITION BELOW)

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

[113 - single]

IFAD's ensures the application of results management across the organisation.

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

[114 - single]

IFAD's strategies contain **frameworks of expected management and development results**.

(SEE DEFINITION BELOW)

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

DEFINITION: **strategy/strategies** = high level document(s) that guide and direct the operations of the MO.

DEFINITION: **frameworks of expected management and development results** = Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[115 - single]

IFAD's **results frameworks** in strategies have **causal links** from outputs through to outcomes and impact.

(SEE DEFINITION BELOW)

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

[116 - single]

IFAD's **results frameworks** in strategies include measurable indicators at output and outcome levels

(SEE DEFINITION BELOW)

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

DEFINITION: **Causal links** = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that to be used for results management, 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.

DEFINITION: **Results frameworks** = Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[M3_Corporate Strategy]

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

[117 - single]

IFAD sufficiently mainstreams gender equality in its operations

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

[118 - single]

IFAD sufficiently mainstreams environment in its operations

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

[119 - single]

IFAD sufficiently promotes the principles of good governance in its operations

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

[120 - single]

IFAD sufficiently mainstreams HIV/AIDS in its operations

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

[121 - single]

Do you have any additional comments on IFAD's corporate strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

[M4_Strategies - Country]

Now we would like to ask you about strategies at the country, sector and thematic levels. Thinking now about IFAD's strategies, how do you think IFAD 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.

[122 - single]

IFAD has results frameworks that link results across project, programme, sector and **country levels**

(SEE DEFINITION BELOW)

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

[123 - single]

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

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

[124 - single]

IFAD country strategies contain statements of expected results consistent with those in

the country's **national development strategies**

(SEE DEFINITION BELOW)

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

[125 - single]

IFAD consults with **beneficiaries** to develop its expected results

(SEE DEFINITION BELOW)

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

[126 - single]

IFAD's country strategies include results for the thematic areas it defines as cross-cutting priorities (e.g., gender equality, environment, governance, Human Rights, HIV/AIDS)

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

DEFINITION: **Country levels** = At the country level, this question may refer to an organisation's country strategy

DEFINITION: **National development strategies** = National development strategies are plans or strategies that set out the country's national development priorities

DEFINITION: **Beneficiaries** = individuals, groups, or organisations who are the intended end recipients of the benefits of development interventions

[127 - single]

Do you have any additional comments on IFAD's strategies?

- ☐ 1. Yes, note:

☐ 2. No

[128 - single]

Which of the following areas do you consider to be the most important for the strategic management of IFAD? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on results in its organisational strategies
- ☐ 3. Focus on the cross-cutting thematic priorities identified in its strategic framework

[129 - single]

Which of the following areas do you consider to be the most important for the strategic management of IFAD? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on the cross-cutting thematic priorities identified in its strategic framework
- ☐ 3. A results focus in its country strategies

[130 - single]

Is there anything further you would like to say about IFAD'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]

According to what you know about IFAD, how do you think IFAD 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.

Financial Resources and Risk Management

[131 - single]

IFAD publishes its criteria for allocating **concessional aid funding** (SEE DEFINITION BELOW)

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

☐ 7. Don't Know

DEFINITION: Concessional aid funding:

Focus is on the concessional loans and grants resources

[132 - single]

IFAD allocates concessional aid funding according to its published criteria

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

DEFINITION: Focus is on the concessional loans and grants resources

[Financial Resources 1] Financial Resources and Risk Management

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

[133 - single]

IFAD links loans and credits to expected results

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

[134 - single]

When IFAD reports on results they include the amounts disbursed to achieve those results

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

[Financial Resources 2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management:

According to what you know about IFAD, how do you think IFAD 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.

[135 - single]

IFAD external audits are meeting the needs of donors

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

[136 - single]

IFAD performs appropriate audits on programmes and projects at country level

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

[137 - single]

IFAD has appropriate policies or guidelines in place to follow up on financial irregularities and corruption

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

[138 - single]

IFAD conducts internal financial audits to provide objective information to its governing body

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

- ☐ 7. Don't Know

[139 - single]

IFAD follows up on policies or guidelines on financial management and anti-corruption

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

[140 - single]

IFAD has procurement and contract management processes for the provision of services or goods that are usually timely, efficient and effective

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

[141 - single]

IFAD implements strategies and plans for **risk management** (SEE DEFINITION BELOW)

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

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

[142 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Management]

Now we'd like you to think about Performance Management - the way IFAD manages the performance of its operations. According to what you know about IFAD how do you think IFAD performs in relation to the practices, systems or behaviours described in each of the following statements?

[143 - single]

IFAD uses project, sector and country information on performance to revise corporate strategies

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

[144 - single]

IFAD uses information on country performance to plan new interventions country level

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

[145 - single]

IFAD actively manages "unsatisfactory" projects from the previous fiscal year

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

[146 - single]

IFAD appropriately tracks the implementation of evaluation recommendations reported to the Board

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

- ☐ 7. Don't Know

[147 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Human Resources management]

Now we'd like you to think about the way IFAD handles Human Resources. According to what you know about IFAD, how do you think IFAD performs in relation to the practices, systems or behaviours described in the following statement(s)?

[148 - single]

IFAD uses results-focused performance assessment systems for senior staff

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

[149 - single]

IFAD uses a transparent system to manage staff performance

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

[150 - single]

IFAD transparently recruits and promotes staff based upon merit

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

[151 - single]

IFAD keeps deployed international staff in country offices for a sufficient time to maintain effective partnerships at country

level

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

[152 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Portfolio Management]

Now we'd like you to think about Portfolio Management. According to what you know about IFAD, how do you think IFAD 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.

[153 - single]

IFAD subjects new loans and credits to **impact analysis** prior to approval (SEE DEFINITION BELOW)

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

[154 - single]

IFAD sets targets to enable monitoring of progress in project implementation at country level

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

[155 - single]

IFAD's project tasks are managed at country level

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

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

[156 - single]

IFAD can approve new loans/credits activities locally, within a budget cap

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

DEFINITION: **impact analysis**= including environmental, social and economic impacts

[157 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[158 - single]

Which of the following areas do you consider to be the most important in the effective operational management of IFAD? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Link between the allocation and disbursement of resources and expected results
- ☐ 3. Policies and processes for financial accountability
- ☐ 4. Use of performance information on results
- ☐ 5. Transparent human resource management system
- ☐ 6. Performance oriented programming at country and regional level

[159 - single]

Which of the following areas do you consider to be the most important in the effective operational management of IFAD? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Policies and processes for financial accountability
- ☐ 3. Use of performance information on results
- ☐ 4. Transparent human resource management system

- ☐ 5. Performance oriented programming at country and regional level
- ☐ 6. Delegation of decision making authority to country or other levels

[160 - single]

Before moving on to the next section, is there anything further you would like to say about IFAD'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]

Now we would like to ask you about some aspects of Relationship Management - that is, IFAD's relationship with its clients and other stakeholders.

[Ownership]

To start with, some questions related to the principle of country ownership. According to what you know about IFAD, how do you think IFAD performs in relation to the practices, systems or behaviours described in each of the following statements?

[161 - single]

IFAD supports funding proposals designed and developed by the national government or clients

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

[162 - single]

IFAD applies conditionality that corresponds with the national government's goals and benchmarks

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

[163 - single]

IFAD uses procedures that can be easily understood and followed by clients

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

[164 - single]

The length of time it takes to complete IFAD procedures does not affect implementation of projects

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

[165 - single]

IFAD adjusts overall portfolio in country quickly, to respond to changing circumstances

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

[166 - single]

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

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

[167 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Alignment]

Now some questions about the principle of alignment. According to what you know about IFAD, how do you think IFAD performs in relation to the practices, systems or behaviours described in each of the following statements?

[168 - single]

IFAD's expected disbursements are recorded in governments' national budgets where appropriate

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

[169 - single]

IFAD uses national budget execution procedures in its projects/programmes where appropriate

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

[170 - single]

IFAD uses national procurement systems in its projects where appropriate

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

[171 - single]

IFAD uses national financial reporting procedures in its projects where appropriate

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

[172 - single]

IFAD uses national auditing procedures in its projects where appropriate

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

[173 - single]

IFAD avoids the use of parallel project implementation units

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

[174 - single]

IFAD encourages mutual accountability assessment of Paris Declaration and ACCRA Agenda for Action commitments

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

[175 - single]

IFAD uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc.)

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

[176 - single]

IFAD provides valuable inputs to policy dialogue

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

[177 - single]

IFAD respects the views of clients when it undertakes policy dialogue

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

[178 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Harmonisation]

Thinking now about issues related to harmonisation, according to what you know about IFAD, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[179 - single]

IFAD participates in joint missions

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

[180 - single]

IFAD's technical assistance is provided through coordinated programmes in support of capacity development

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

[181 - single]

IFAD participates in programme-based approaches (other than through budget support)

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

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

[182 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[183 - single]

Which of the following areas do you consider to be the most important in the effective relationship management of IFAD? Choose the one that you find most important:

- ☐ 1. Coordination of aid programming in support of agreed national plans
- ☐ 2. Procedures that take into account local conditions and capacities
- ☐ 3. Use of country systems for disbursement and operations
- ☐ 4. Value added to policy dialogue
- ☐ 5. Harmonisation of arrangements and procedures with other programming partners

[184 - single]

Before moving on to the next section, is there anything further you would like to say about IFAD'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 IFAD. In this area, we would first of all like to ask you about Performance Monitoring and Evaluation.

[Performance Monitoring]

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

[185 - single]

IFAD has an independent evaluation unit that reports directly to the Board or Governing

Council

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

[186 - single]

IFAD ensures that a sufficient proportion of completed programmes/projects are subject to independent evaluation

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

[187 - single]

IFAD requires the involvement of clients and beneficiaries in monitoring and evaluation functions

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

[188 - single]

Do you have any additional comments on IFAD's performance monitoring and evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Reporting]

Please think now about Performance Reporting. According to what you know about IFAD, how do you think IFAD performs in relation to the practices, systems or behaviours described in each of the following statements?

[189 - single]

IFAD reports to the governing body on performance, including progress against targets set in its corporate strategies

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

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

[190 - single]

IFAD reports to its governing body on performance in relation to its Paris Declaration commitments

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

[191 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Dissemination]

And finally, thinking about the way IFAD disseminates lessons learned from its performance.

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

[192 - single]

IFAD identifies and disseminates lessons learned from performance information

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

[193 - single]

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

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

[194 - single]

Do you have any additional comments on how IFAD's disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[195 - single]

Which of the following areas do you consider to be the most important in the effective knowledge management of IFAD? Choose the one that you find most important:

- ☐ 1. Consistent monitoring and evaluation of its programming/operational activities
- ☐ 2. Reporting on effectiveness
- ☐ 3. Identification, documentation and dissemination of lessons learned

[196 - single]

Is there anything further you would like to say about IFAD's Knowledge Management? This could be anything related to the statement(s) 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]

[391 - 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

[392 - 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 capital
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the MO

- ☐ 3. Other

[393 - single]

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

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

[394 - single]

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

- ☐ 1. National parliament or legislature
- ☐ 2. Government - line ministry
- ☐ 3. Government - ministry of finance/statistics/planning/economics
- ☐ 4. Government - other
- ☐ 5. NGO or other civil society organisation
- ☐ 6. Academic institution
- ☐ 7. Parastatal
- ☐ 8. Other

[395 - 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 staff member

[ALMOST DONE]

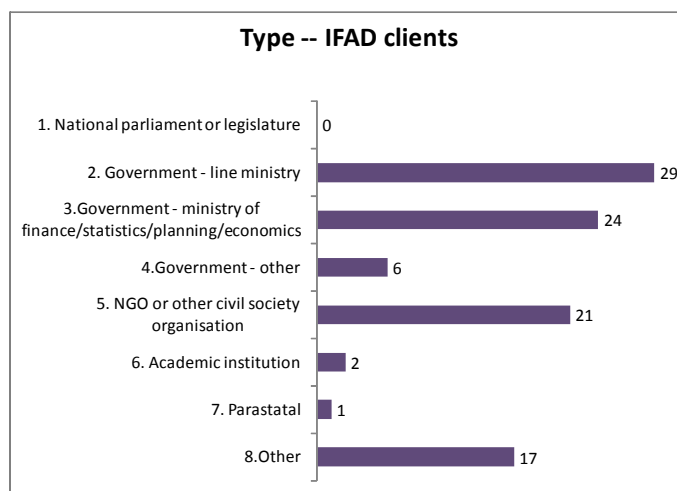
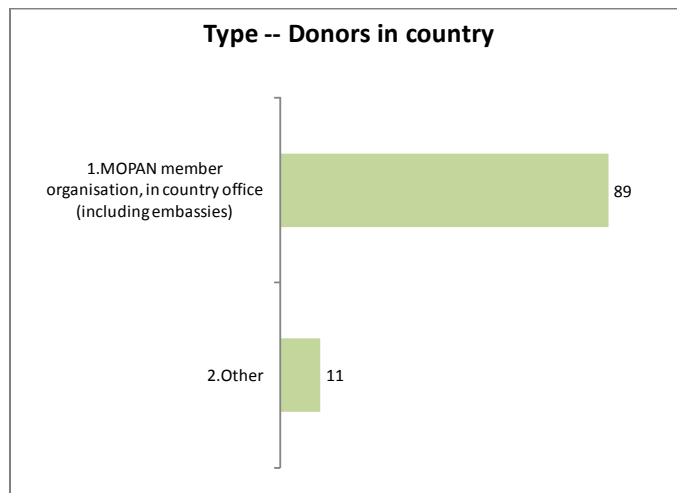
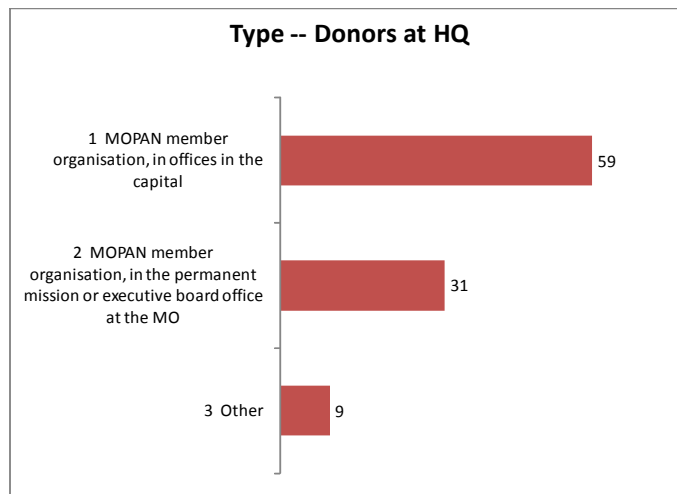
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[End of Interview]

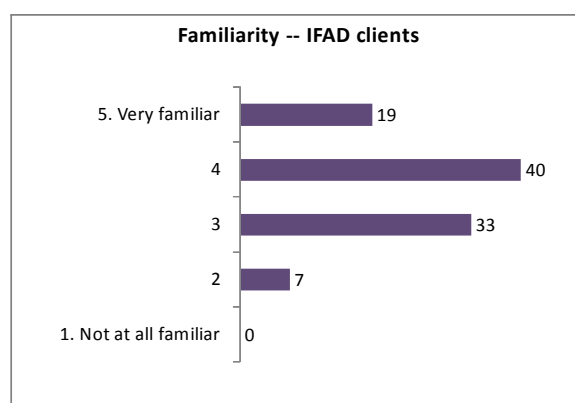
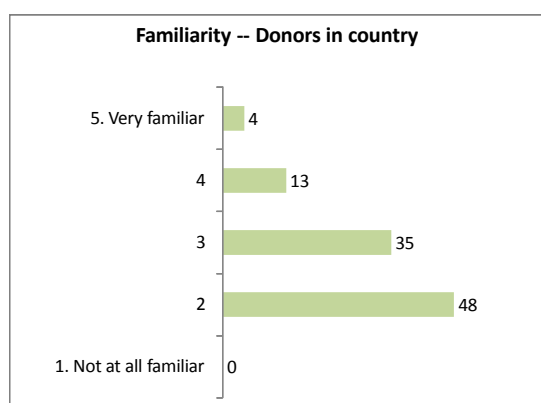
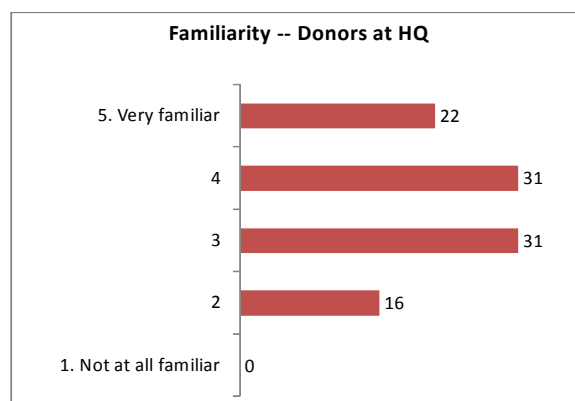
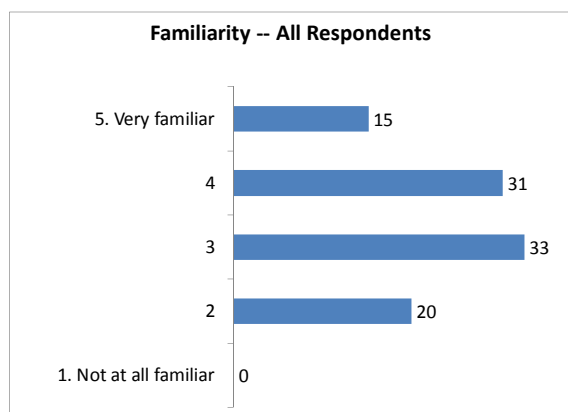
Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

Appendix II Respondent Profile

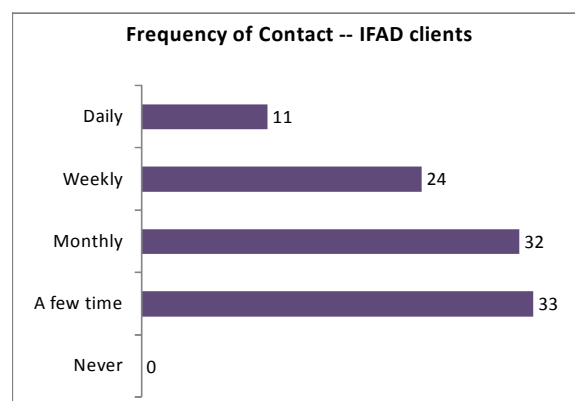
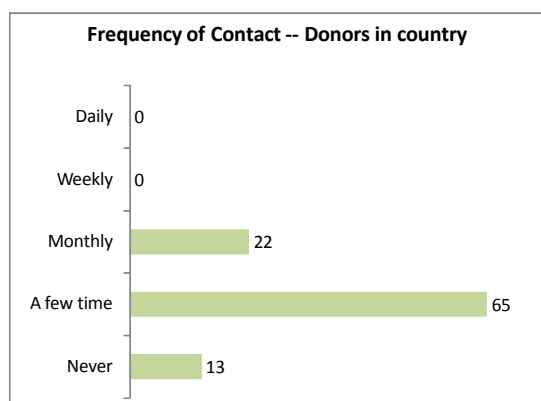
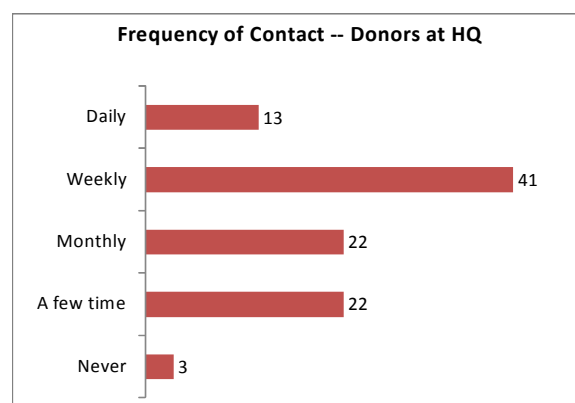
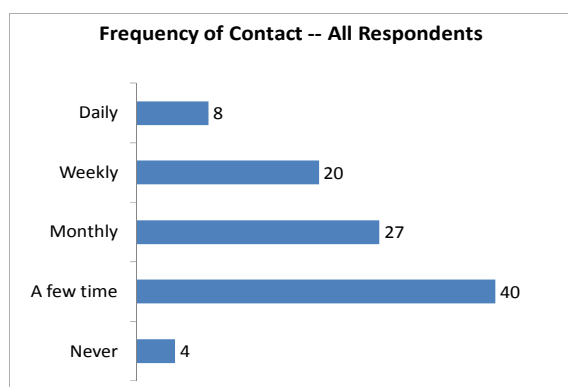
Types of Respondents



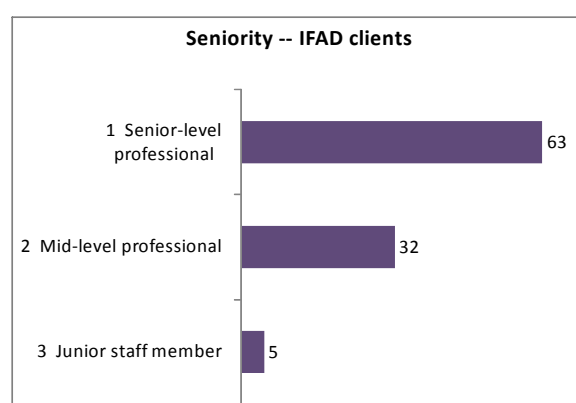
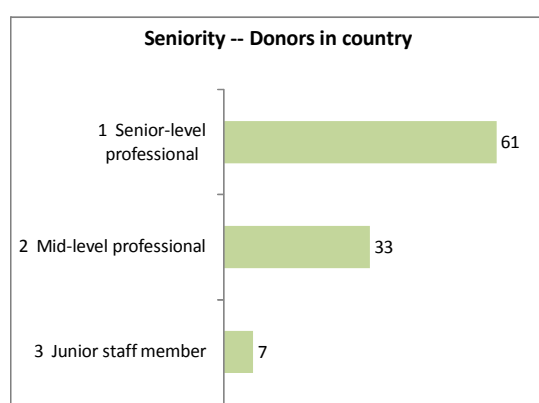
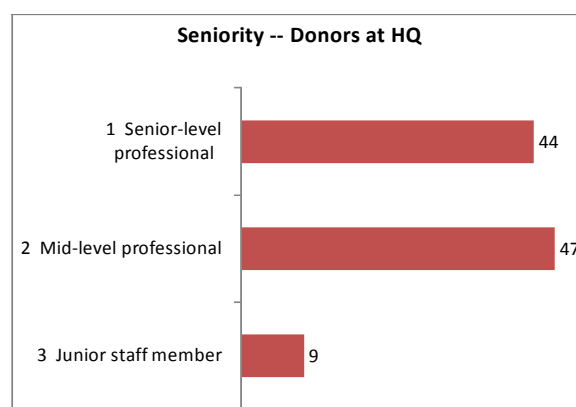
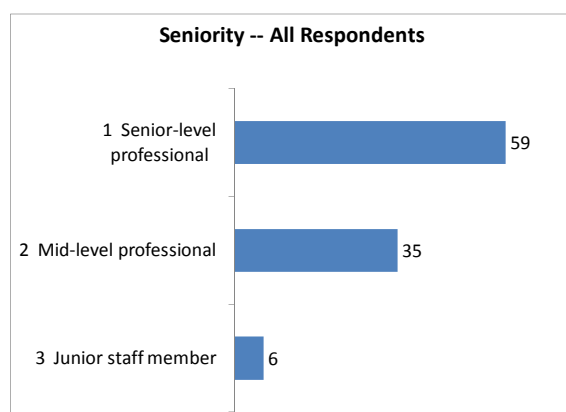
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



Respondent Level of Seniority



Appendix III Base Size and Rate of ‘Don’t Know’ Responses

N (#) = number of respondents who are asked the question (unweighted data).

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

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

I- Strategic Management

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO’s Executive Management provides direction for the achievement of external / beneficiary focused results	162	10	32	2	46	23	84	6
A. MO has a value system that supports a results-orientation and a direct partner focus	162	10	32	3	46	23	84	4
B. MO Executive Management shows leadership on results management	32	3	32	3	--	--	--	--
C. Key MO documents are available to the public.	162	10	32	0	46	23	84	7
2. The MO’s corporate strategies and plans are focused on the achievement of results	32	6	32	6	--	--	--	--
A. The MOs organisation wide strategy is based on a clear definition of mandate	32	0	32	0	--	--	--	--
B. MO has an organisation wide policy on results management	32	6	32	6	--	--	--	--
C. Organisation wide plans and strategies contain frameworks of expected management and development results	32	3	32	3	--	--	--	--
D. Results frameworks have casual links from outputs through to impacts / final outcomes	32	9	32	9	--	--	--	--
E. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	32	9	32	9	--	--	--	--
3. The MO has adopted a strategic focus on the cross-cutting thematic priorities identified in its strategic framework, based on its mandate and international commitments	162	19	32	16	46	28	84	13
A. Gender equality	162	12	32	9	46	21	84	5
B. Environmental policy, environmental assessment practices and overall environmental management system	162	13	32	13	46	20	84	6
C. Good Governance	162	16	32	16	46	30	84	3
D. HIV/AIDS	162	35	32	25	46	43	84	37

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
4. MO's country strategy is results-focused	130	14	--	--	46	24	84	5
A. Results frameworks that link results at project, program, sector, and country levels	130	11	--	--	46	18	84	5
B. Frameworks include indicators at project, program, sector, and country levels	130	16	--	--	46	28	84	5
C. Statements of expected results consistent with those in the PRSP, national plan, or UNDAF.	130	12	--	--	46	21	84	4
D. Statements of expected results are developed through consultation with direct partners and beneficiaries	130	14	--	--	46	21	84	8
E. Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate).	130	18	--	--	46	31	84	4

II- Operational Management

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO makes transparent and predictable aid allocation decisions	162	17	32	16	46	24	84	13
A. The MO publishes its criteria for allocating funding	162	28	32	22	46	41	84	22
B. The MO's allocations follow the criteria	162	6	32	9	46	6	84	3
C. Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
2. MOs aid financial management is linked to aid performance management	32	16	32	16	--	--	--	--
A. Aid budget allocations (or lending) are linked to expected development results	32	13	32	13	--	--	--	--
B. Aid or lending disbursements are linked to reported results (variances explained)	32	19	32	19	--	--	--	--
3. MOs have policies and processes for financial accountability (financial accountability, risk management, anti-corruption)	162	23	32	20	46	35	84	16
A. Are external audits (meeting recognised international standards) performed across the organisation.	32	16	32	16	--	--	--	--
B. Are external audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	130	25	--	--	46	31	84	19
C. Are there guidelines in place for immediate measures against irregularities identified at the country (or other) level	130	26	--	--	46	41	84	12
D. Internal financial audit processes are used to provide management / governing bodies with neutral information	32	16	32	16	--	--	--	--
E. Does the MO have a policy on anti-corruption	162	26	32	19	46	41	84	17
F. Are the MO's procurement and contract management processes for the provision of services or goods timely, efficient and effective	130	21	--	--	46	28	84	15
G. MO has strategies in place for risk identification, mitigation, monitoring and reporting	32	28	32	28	--	--	--	--
4. Performance information on results is used by the MO for:	162	22	32	16	46	31	84	20
A. Revising and adjusting policies	32	16	32	16	--	--	--	--
B. Planning new interventions	130	10	--	--	46	16	84	4
(IFI) C. "unsatisfactory" investments, programs or projects from the previous fiscal year are subject to proactive management	130	40	--	--	46	46	84	35
D. Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	32	16	32	16	--	--	--	--

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
5. The MO manages human resources using methods to improve organisational performance	162	26	32	33	46	31	84	14
A. Results focused performance agreement systems are in place for senior staff (Including Country Directors)	32	41	32	41	--	--	--	--
B. There is a transparent incentive and reward system for staff performance	32	38	32	38	--	--	--	--
C. Staff recruitment and promotion is meritocratic and transparent	32	22	32	22	--	--	--	--
D. The speed of staff rotation in post is adequate for the development of effective country level partnerships	130	22	--	--	46	31	84	14
6. Country / regional programming processes are performance oriented.	162	15	32	6	46	23	84	15
A. Prior to approval new initiatives are subject to independent benefits analysis (economic, social, etc)	32	6	32	6	--	--	--	--
B. Milestones / targets are set to rate the progress of (project) implementation	130	19	--	--	46	23	84	15
7. The MO delegates decision-making authority (to the country or other levels)	130	31	--	--	46	35	84	26
A. Aid reallocation decisions can be made locally	130	14	--	--	46	16	84	12
B. New aid programs / projects can be approved locally within a budget cap	130	47	--	--	46	55	84	40

III- Relationship Management

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans	130	18	--	--	46	24	84	13
A. Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself	130	12	--	--	46	19	84	6
B. MO conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results	130	24	--	--	46	29	84	19
2. The MO's procedures take into account local conditions and capacities	130	18	--	--	46	30	84	6
A. The procedures of the MO can be easily understood and completed by partners	130	18	--	--	46	34	84	3
B. The length of time for completing MO procedures does not have a negative effect on implementation	130	19	--	--	46	33	84	4
C. The MO has the operational agility to respond quickly to changing circumstances on the ground	130	20	--	--	46	27	84	13
D. The MO has operational flexibility in the way it implements programs / project and deals with budget issues (during implementation) [The MO has the ability to adjust to changing circumstances as it implements programs / projects]	130	15	--	--	46	24	84	5
3. The MO uses country systems for disbursement and operations	130	27	--	--	46	30	84	24
A % of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	130	23	--	--	46	26	84	20
B. % of the MOs overall ODA disbursements / support using national systems and procedures	130	29	--	--	46	38	84	19
C. % of all MOs project implementation units that operated in parallel with those of government structures	130	23	--	--	46	22	84	24
D. The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	130	35	--	--	46	34	84	35
E. The MO uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc)	130	26	--	--	46	29	84	22
4. The MO adds value to policy dialogue with its direct partners	162	16	32	13	46	24	84	12
A. MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	162	12	32	9	46	17	84	10
B. The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	162	20	32	16	46	31	84	13

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
5. The MOs harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate	130	17	--	--	46	21	84	14
A. The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	130	21	--	--	46	24	84	17
B. The extent to which MO technical cooperation is disbursed through coordinated programs	130	15	--	--	46	21	84	9
D. % of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	130	16	--	--	46	18	84	15

IV- Knowledge Management

	Total		Donors at HQ		Donors in Country		IFAD Clients	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO consistently monitors and evaluates its delivery and external results	162	13	32	9	46	23	84	6
A. The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	32	6	32	6	--	--	--	--
B. # of completed programs and projects subject to independent ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years.	32	13	32	13	--	--	--	--
C. Have direct beneficiaries and stakeholder groups been involved with monitoring and evaluation processes	130	14	--	--	46	23	84	6
2. The MO presents performance information on its effectiveness	32	11	32	11	--	--	--	--
A. Reports on the achievement of outcomes, not just inputs, activities and outputs	32	3	32	3	--	--	--	--
B. Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
C. Reports against its Corporate Strategy, including expected management and development results	--	--	--	--	--	--	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	32	19	32	19	--	--	--	--
E. Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--
F. Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--
3. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	32	14	32	14	--	--	--	--
A. Reports on lessons learned based on performance information	32	9	32	9	--	--	--	--
B. Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	32	19	32	19	--	--	--	--

Appendix IV 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 three respondent groups;
- b) equal weight is given to each of the countries where the survey took place;
- c) equal weight is given to donors in country and direct partners within each country where the survey took place

However, the base is unweighted.

For all the tables in the appendix:

HQ = Donors at headquarter, CD = Donors in country, CL = IFAD clients

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)
Inadequate (2.5-3.49)

I- Strategic Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	162	32	46	84
1. Providing direction for results	4.29	4.35	3.95	4.51
A.i) Institutional culture reinforces a focus on results	4.23	4.23	3.81	4.58
A.ii) Institutional culture is client focused	4.44	4.52	4.23	4.52
B. Leadership on results management	4.26	4.26	--	--
C. Key documents available to the public	4.28	4.41	3.88	4.47
2. Corporate focus on results	4.23	4.23	--	--
A.i) Has a clear mandate	4.94	4.94	--	--
A. ii) Organisation-wide strategies aligned with mandate	4.59	4.59	--	--
B. Organisational policy on results management	4.13	4.13	--	--
C. Plans and strategies contain results frameworks	4.19	4.19	--	--
D. Results frameworks link outputs to final outcomes/impacts	3.96	3.96	--	--
E. Plans and strategies contain performance indicators	4.12	4.12	--	--
3. Focus on thematic priorities	3.98	3.71	3.58	4.56
A. Gender equality	4.04	3.59	3.66	4.78
B. Environment	4.10	3.82	3.87	4.56
C. Good Governance	4.04	3.81	3.33	4.74
D. HIV/AIDS	3.75	3.63	3.46	4.17
4. Country focus on results	4.31	--	3.94	4.61
A. Frameworks link results at project, program, sector, and country levels	4.30	--	4.04	4.52
B. Frameworks include indicators at project, program, sector, and country levels	4.28	--	3.95	4.54

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	162	32	46	84
C. Expected results consistent with national development strategies	4.44	--	4.08	4.73
D. Results developed in consultation with clients and beneficiaries	4.26	--	3.81	4.64
E. Results for thematic priorities included in country level frameworks	4.29	--	3.82	4.62

II- Operational Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	162	32	46	84
1. Aid allocation decisions	4.42	4.47	4.09	4.61
A. Publishes criteria for allocating concessional funding	4.30	4.36	3.86	4.58
B. Allocations for concessional funding follow the criteria	4.53	4.57	4.31	4.64
2. Linking aid management to performance	3.77	3.77	--	--
A. Allocations linked to expected results	4.00	4.00	--	--
B. Disbursements linked to reported results (variances explained)	3.54	3.54	--	--
3. Financial accountability	4.16	3.94	3.67	4.96
A. External audits performed across the organisation	3.93	3.93	--	--
B. External audits performed at regional, country, and project level	4.49	--	3.91	4.98
C. Guidelines for immediate measures against irregularities	4.52	--	3.69	5.07
D. Internal financial audit processes provide neutral information	3.78	3.78	--	--
E. Policy on anti-corruption	4.35	4.04	3.68	5.14
F. Procurement /contract management timely, efficient and effective	4.07	--	3.40	4.64
G. Strategies for risk management	4.00	4.00	--	--
4. Using performance information	4.17	4.28	3.58	4.47
A. Using information for revising and adjusting policies	4.19	4.19	--	--
B. Using information for planning new interventions	4.31	--	3.82	4.75
C. Subjecting "unsatisfactory" investments to proactive management	3.80	--	3.34	4.18
D. Evaluation recommendations are acted upon	4.37	4.37	--	--
5. Managing human resources	3.56	3.64	2.63	3.83
A. Performance agreement systems for senior staff	3.84	3.84	--	--
B. Transparent incentive/reward system for staff performance	3.45	3.45	--	--
C. Staff recruitment and promotion is meritocratic and transparent	3.64	3.64	--	--

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	162	32	46	84
D. Staff rotation is adequate for development of effective partnerships	3.30	--	2.63	3.83
6. Performance oriented programming	4.11	3.87	3.89	4.78
A. New initiatives subject to benefits analysis	3.87	3.87	--	--
B. Milestones / targets to rate progress of implementation	4.36	--	3.89	4.78
7. Delegating decision making	3.72	--	2.99	4.32
A. Aid reallocation decisions can be made locally	4.02	--	3.45	4.56
B. New programs / projects can be approved locally within a budget cap	3.42	--	2.53	4.09

III- Relationship Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	162	32	46	84
1. Supporting national plans	4.08	--	3.68	4.43
A. Proposals developed with the national government or direct partners	4.12	--	3.67	4.50
B. Conditionality draws on national government's benchmarks / indicators / results	4.04	--	3.69	4.35
2. Adjusting procedures	3.67	--	3.09	4.10
A. Procedures easily understood and completed by clients	4.03	--	3.34	4.50
B. Length of time for procedures does not affect implementation	3.36	--	2.88	3.69
C. Ability to respond quickly to changing circumstances	3.52	--	3.04	3.92
D. Flexibility in implementation of projects/programs	3.77	--	3.11	4.29
3. Using country systems	3.87	--	3.24	4.47
A. ODA disbursements/support recorded in annual budget	4.30	--	3.70	4.85
B. i) ODA disbursements / support use national budget execution procedures	4.20	--	3.42	4.77
B. ii) ODA disbursements / support use national procurement systems	4.00	--	3.45	4.46
B. iii) ODA disbursements / support use national financial reporting procedures	3.91	--	3.34	4.36
B. iv) ODA disbursements / support use national auditing procedures	3.96	--	3.30	4.43
C. Avoids project implementation units that operate in parallel with government structures	3.54	--	2.99	4.09
D. Promotes mutual assessment of partnership commitments (mutual accountability)	3.68	--	2.82	4.56

	Mean scores			
	Total	HQ	CD	CL
	162	32	46	84
Base (unweighted):				
E. Uses country systems (non-financial) for operations (ie monitoring, etc)	3.83	--	3.29	4.32
4. Contributing to policy dialogue	4.20	4.22	3.58	4.71
A. Reputation for high quality, valued policy dialogue inputs	3.95	3.93	3.27	4.59
B. Policy dialogue respects client views and perspectives	4.45	4.52	3.89	4.84
5- Harmonising procedures	3.92	--	3.03	4.73
A. Participates in joint missions	4.02	--	2.99	4.96
B. Technical cooperation disbursed through coordinated programs	3.80	--	2.96	4.53
C. ODA disbursements / support for government-led PBAs	3.93	--	3.15	4.69

IV- Knowledge Management

	Mean scores			
	Total	HQ	CD	CL
	162	32	46	84
Base (unweighted):				
1. Monitoring external results	4.62	4.77	3.71	4.83
A. Independent evaluation unit	4.97	4.97	--	--
B. Completed programs and projects subject to independent evaluations	4.57	4.57	--	--
C. Direct beneficiaries and stakeholders involved in monitoring and evaluation	4.33	--	3.71	4.83
2. Presenting performance information	4.17	4.17	--	--
A. Reports on results, including outcomes	4.48	4.48	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	3.85	3.85	--	--
3. Disseminating lessons learned	3.83	3.83	--	--
A. Reports on lessons learned based on performance information	3.93	3.93	--	--
B. Shares lessons at all levels of the organisation	3.73	3.73	--	--

Appendix V Document Review Ratings, Criteria and Evidence by KPI and MI – IFAD

The following table provides the list of criteria used for assessing each of the micro-indicators that were covered by the document review. For further explanation of the approach to rating, which is based on the number of criteria met, please see Appendix I on Methodology.

QUADRANT I – STRATEGIC MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence
DIRECTION FOR RESULTS			
1C	Key MO documents are available to the public.	1. <i>More than half</i> of the documents in the sample are available on the website	Met • IFAD Policy on the Disclosure of Documents and IFAD Strategy for Knowledge Management http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-INF-6.pdf • IFAD's Disclosure Policy (2005) http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf • Agreement Establishing the International Fund for Agricultural Development http://www.ifad.org/pub/basic/agree/e/!01agree.pdf • IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf • IFAD annual reports (IFAD has available the annual reports since 1997 to 2008) http://www.ifad.org/pub/ar.htm • Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf • REPORT OF THE AUDIT COMMITTEE 1999 http://www.ifad.org/gbdocs/eb/67/e/EB-99-67-R-9.pdf • Audited financial statements of IFAD as at 31 December 2008 http://www.ifad.org/gbdocs/gc/33/e/GC-33-L-3.pdf • Report of the Audit Committee on the IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-3.pdf • 2010 Revised IFAD Policy on the Disclosure of Documents http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-3.pdf – not yet approved • About IFAD http://www.ifad.org/governance/index.htm • Internal Structure http://www.ifad.org/governance/internal/index.htm

Quad. / KPI	Micro-Indicator	Criteria	Evidence
			• <i>Evaluation</i> http://www.ifad.org/evaluation/index.htm • Thematic publications http://www.ifad.org/pub/thematic/index.htm • Rural Poverty Knowledgebase http://www.ifad.org/rural/index.htm • Audit and Accounting http://www.ifad.org/operations/pf/finance/supervision/audit.htm • IFAD Governing Body Documents – Governing <i>Council</i> http://www.ifad.org/gbdocs/gc.htm • IFAD Governing Body Documents - Executive Board http://www.ifad.org/gbdocs/eb/index.htm
		2. (If first criterion met) <i>all</i> of the documents in the sample 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 • All governing body documents are available on IFAD’s web site in the Fund’s four official languages: Arabic, English, French and Spanish. • Many reports, documents and publications in IFAD website are in 3 languages: English, French and Spanish. • Many others are available in 4 languages: Arabic, English, French and Spanish. For example the last 6 IFAD Annual Reports. • Since 2002, the “Disclosed Governing Council documents” are available also in 4 languages: Arabic, English, French and Spanish.
		4. A disclosure / privacy policy exists and is available on the MO website	Met • <i>IFAD Policy on the Disclosure of Documents and IFAD Strategy for Knowledge Management</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-INF-6.pdf • <i>IFAD’s Disclosure Policy (2005)</i> http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf
		5. Clear procedures exist to contact the MO	Met • Contact details on Headquarters, Country Program Offices, addresses, e-mails and telephones are easily available on the web site: http://www.ifad.org/contacts.htm
OVERALL SCORE MI 1.1C: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence
CORPORATE STRATEGY			
1.2A	The MOs organisation wide strategy is based on a clear definition of mandate.	1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists.	Met Agreement Establishing the International Fund for Agricultural Development http://www.ifad.org/pub/basic/agree/e/!01agree.pdf
		2. The organisational strategic plan articulates goals & focus priorities.	Met IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf
		3. The organisational strategic plan mentions the MO's mandate/articles of agreement.	Met IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf
		4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf
		5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf
OVERALL SCORE MI 1.2A: VERY STRONG		OVERALL COMMENTS:	-
1.2B	MO has an organisation wide policy on results management	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) in the organisation exists and is corporately approved. (alternatively, the approach to RBM may be described in the context of a strategic plan and further operationalized through other documents)	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		2. (If first criterion is met) this document defines what RBM is within the MO.	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		3. (If first criterion is met) this document identifies the purpose & benefits of RBM (accountability and learning).	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		4. (If first criterion is met) this document describes RBM processes: i.e., how results and indicators are to be identified/developed, and how performance information is to be used.	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		5. (If first criterion is met) this document identifies roles, responsibilities and accountabilities for results management.	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		OVERALL SCORE MI 1.2B: VERY STRONG	
1.2C	Organisation wide plans and strategies contain frameworks of expected management and development results.	1. A current management results framework (MRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007-2010 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf - Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		2. A current development results framework (DRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007-2010 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf - Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		3. (If either first or second criterion met) at least one results framework (MRF or DRF) contains both statements of outputs and expected outcomes.	Met - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007-2010 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf - Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		4. (If third criterion met) in at least one 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).	Met - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007-2010 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf - Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		5. (If all above criteria met) all above criteria are met for both MRF and DRF.	Met - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007-2010 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf - Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
OVERALL SCORE MI 1.2C: VERY STRONG		OVERALL COMMENTS:	-
1.2D	Results frameworks have causal links from outputs through to impacts / final outcomes.	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF)	Met Results Measurement Framework for the Eighth Replenishment period (2010-2012) http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		2. (If all above criteria are met) it is clear, either implicitly or explicitly, how the outputs in the results framework(s) are linked to the expected outcomes.	Met As above
		3. (If all above criteria are met) there is an explicit description, in the strategic plan or in the framework(s), of how the outputs in the results framework(s) are linked to the expected outcomes.	Met As above

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		4. There is a plausible link between outcomes and impacts.	Met • As above
		5. (If all above criteria are met) all above criteria met for both MRF and DRF.	Met As above
OVERALL SCORE MI 1.2D: VERY STRONG		OVERALL COMMENTS:	IFAD's thematic evaluations have challenged the logic of its results frameworks, in areas such as rural financial services in Central and Eastern Europe (September 2005) or the promotion of local knowledge and innovations in Asia and the Pacific (July 2004). See for example : http://www.ifad.org/evaluation/public_html/eksyst/doc/prj/region/cen/financial.htm and http://www.ifad.org/evaluation/public_html/eksyst/doc/thematic/innovations/pi.htm
1.2E	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level.	1. At least one result framework exists at the organisation-wide level (MRF and/or DRF), and contains a reasonable number of performance indicators at both the output and outcome levels.	Met • <i>Results Measurement Framework for the Eighth Replenishment period (2010-2012)</i> http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the framework(s).	Met • <i>Results Measurement Framework for the Eighth Replenishment period (2010-2012)</i> http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured.	Met • <i>Results Measurement Framework for the Eighth Replenishment period (2010-2012)</i> http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		4. (If first criterion is met) at least some of the indicators are based on or make use of accepted international indices and data elements, as possible.	Met • <i>Results Measurement Framework for the Eighth Replenishment period (2010-2012)</i> http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear.	Met • <i>Results Measurement Framework for the Eighth Replenishment period (2010-2012)</i> http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-2.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
OVERALL SCORE MI 1.2E: VERY STRONG		OVERALL COMMENTS:	-
1.3A	Gender equality	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies gender equality as a cross-cutting priority or a focus area	Met • <i>Framework for gender mainstreaming in IFAD's operations</i> http://www.ifad.org/gender/framework/framework.pdf • <i>A Gender Plan of Action 2003.-2006</i> http://www.ifad.org/gender/policy/action.pdf • <i>IFAD's Efforts and Achievements in Gender Equality and Women's Empowerment, Corporate-level Evaluation, Approach Paper</i> http://www.ifad.org/evaluation/gender/doc/paper.pdf • Corporate level evaluation of IFAD's contribution to gender equality and women's empowerment http://www.ifad.org/evaluation/gender/index.htm • 2007 Gender Workshop http://www.ifad.org/gender/workshop/docs/index.htm • 2007 Final Report of Gender mainstreaming and women's empowerment - "Looking for new directions" workshop http://www.ifad.org/gender/workshop/index.htm • IFAD contribution to MDG 3 – Gender equality and women's empowerment http://www.ifad.org/gender/index.htm • <i>Gender and rural microfinance: Reaching and empowering women. Guide for practitioners</i> http://www.ifad.org/gender/pub/gender_finance.pdf
		2. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>operational management</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its MRF.	Met • <i>Framework for gender mainstreaming in IFAD's operations</i> http://www.ifad.org/gender/framework/framework.pdf • 2007 Final Report of Gender mainstreaming and women's empowerment - "Looking for new directions" workshop http://www.ifad.org/gender/workshop/index.htm

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its DRF.	Met • <i>Framework for gender mainstreaming in IFAD's operations</i> http://www.ifad.org/gender/framework/framework.pdf • 2007 Final Report of Gender mainstreaming and women's empowerment - "Looking for new directions" workshop http://www.ifad.org/gender/workshop/index.htm • <i>A Gender Plan of Action 2003.-2006</i> http://www.ifad.org/gender/policy/action.pdf
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy. There also must be evidence of this commitment in its financial resource allocation, i.e., budgets must indicate that money is being allocated to evaluate this area.	Met • <i>A Gender Plan of Action 2003.-2006</i> http://www.ifad.org/gender/policy/action.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met
OVERALL SCORE MI 1.3A: STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence
1.3B	Environmental policy, environmental assessment practices and overall environmental management system	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies environment/climate change as a cross-cutting priority	Met • <i>Climate Change Strategy</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-2.pdf • <i>Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>Environmental Management and sustainable development – IFAD's Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>Strategic Environmental Assessment (SEA)</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf
		2. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>operational management</i> activities, either in the organisation-wide strategic plan or in a separate policy document	Met • <i>Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>Environmental Management and sustainable development – IFAD's Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>Strategic Environmental Assessment (SEA)</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf
		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 • <i>Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>Environmental Management and sustainable development – IFAD's Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf • <i>Strategic Environmental Assessment (SEA)</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf
		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>Climate Change Strategy</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-2.pdf • <i>Environmental and Social Assessment Procedures</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-7.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to environment. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met Climate Change Strategy http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-2.pdf
OVERALL SCORE MI 1.3B: STRONG		OVERALL COMMENTS:	
1.3C	Good Governance	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies good governance as a cross-cutting priority	Met - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf - Good Governance: An Overview (1999) http://www.ifad.org/gbdocs/eb/67/e/EB-99-67-INF-4.pdf
		2. (If the first criterion is met) the organisation commits to good governance principles in its programming, either in the organisation-wide strategic plan or in a separate policy document	Met - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf - Good Governance: An Overview (1999) http://www.ifad.org/gbdocs/eb/67/e/EB-99-67-INF-4.pdf
		3. (If the second criterion is met) the organisation-wide strategic plan or governance policy commits the organisation to evaluate the implementation of its work in promoting good governance	Not met

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		4. (If the second criterion is met) the organisation-wide strategic plan or governance policy includes at least three of the following six dimensions of governance: Voice and Accountability; Political Stability and Absence of Violence; Government Effectiveness; Regulatory Quality; Rule of Law; and Control of Corruption	Met • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>Good Governance: An Overview (1999)</i> http://www.ifad.org/gbdocs/eb/67/e/EB-99-67-INF-4.pdf • <i>Policy On Preventing Fraud And Corruption In Its Activities And Operations.</i> http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting good governance. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met
OVERALL SCORE MI 1.3C: ADEQUATE		OVERALL COMMENTS:	-
1.3D	HIV/AIDS	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies HIV/AIDS prevention and/or treatment as a cross-cutting priority	Met • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>HIV/AIDS for East and Southern Africa 2001</i> http://www.ifad.org/operations/regional/pf/aids_6.htm

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		2. (If the first criterion is met) the organisation commits to integrating HIV/AIDs prevention/treatment in its <i>operational management activities</i> , either in the organisation-wide strategic plan or in a separate policy document	Met • <i>HIV/AIDS for East and Southern Africa 2001</i> http://www.ifad.org/operations/regional/pf/aids_6.htm • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/qbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/qbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • IFAD, <i>Republic of Kenya Programme for Rural Outreach of Financing Innovations and Technologies, Programme Design Report</i>
		3. (If the first criterion is met) the organisation commits to integrating HIV/AIDs prevention/treatment in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document	Met • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • IFAD, <i>Food Security, Health, and Nutrition Learning Note Series 2.2</i> • <i>HIV/AIDS for East and Southern Africa 2001</i> http://www.ifad.org/operations/regional/pf/aids_6.htm • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/qbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/qbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • IFAD, <i>Republic of Kenya Programme for Rural Outreach of Financing Innovations and Technologies, Programme Design Report</i>
		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	Not met • <i>IFAD Strategic Framework 2007-2010</i> http://www.ifad.org/sf/strategic_e.pdf • <i>HIV/AIDS FOR EAST AND SOUTHERN AFRICA 2001</i> HTTP://WWW.IFAD.ORG/OPERATIONS/REGIONAL/PF/AIDS_6.HTM

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to HIV/AIDS prevention and/or treatment. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met
OVERALL SCORE MI 1.3D: ADEQUATE		OVERALL COMMENTS:	Although IFAD does not include HIV/AIDS in its strategic framework as a priority area, it is part of the COSOPs in affected countries and, subsequently, a project focus. The COSOPs reviewed had HIV/AIDS identified. One of the project related documents reviewed, for these countries, also included efforts to address HIV/AIDS issues in the context of rural finance (Kenya Programme Design Report for the Programme for Rural Outreach of Financial Innovations and Technologies). Therefore, the first criterion is considered Met.
STRATEGIES – COUNTRY, REGIONAL, THEMATIC			
1.4A	Results frameworks that link results at project, programme, sector, and country levels	1. The MO has strategies at the country level, at least two of which contain statements of expected results articulated at output and outcome levels	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		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)	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		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 expected results at country level	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		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	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled	Not met
OVERALL SCORE MI 1.4A: STRONG		OVERALL COMMENTS:	
1.4B	Frameworks include indicators at project, programme, sector, and country levels	1. Country strategies exist, at least two of which include a reasonable number of performance indicators	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the country strategies	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		4. (If first criterion is met) data sources and data collection methods are clear for more than half of the performance indicators	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
OVERALL SCORE MI 1.4B: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence
1.4C	Statements of expected results consistent with those in the national development strategy, PRSP or UNDAF	1. At least two of the country strategies sampled contain statements of expected results	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		2. At least two country strategies contain reference to the country's national development strategy, PRSP or UNDAF as applicable	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		3. (If first two criteria are met) in at least two cases, the link between the MO's expected results and those identified in the national development strategy, PRSP or UNDAF is clear, <i>either explicitly or implicitly</i>	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		4. (If all above criteria are met) at least two country strategies <i>explicitly</i> demonstrate how the MO's expected results are consistent with those in the national development strategy, PRSP or UNDAF	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		5. (If all above criteria are met) all above criteria are met for all country strategies sampled	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
OVERALL SCORE MI 1.4C: VERY STRONG		OVERALL COMMENTS:	-
1.4E	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate)	1. At least two of the country strategies sampled identify at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 3) in the results frameworks	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		2. (If first criterion is met) more than half of country strategies sampled describe results which integrate at least two of the issues / themes, as relevant	Not met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		3. More than half of the country strategies sampled describe all of the key cross-cutting themes for the organization being assessed	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence
		4. (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)	Met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		5. (If first criterion is met) more than half of country strategies sampled contain reference to international agreements, treaties & conventions governing the theme / issue	Not met • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
OVERALL SCORE MI 1.4E: STRONG		OVERALL COMMENTS:	-

QUADRANT II – OPERATIONAL MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
FINANCIAL RESOURCES AND RISK MANAGEMENT			
2.1A	The MO publishes its criteria for allocating funding.	1. A model/formula for allocating concessional funds in the case of IFIs, or core budget resources in the case of UN agencies, exists (often referred to as resource allocation systems)	Met - Lending policies and criteria http://www.ifad.org/pub/basic/lending/e/02polcri.pdf - Performance Based Allocation System http://www.ifad.org/operations/pbas/index.htm - Progress report on implementation of the performance-based allocation system http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56.pdf - Progress report on implementation of the performance-based allocation system, Addendum http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56-Add-1.pdf - Proposed Modifications to the IFAD performance-based allocation system (PBAS) http://www.ifad.org/gbdocs/eb/87/e/EB-2006-87-R-8.pdf
		2. (If first criterion is met) this model/formula is up to date (applies to 2010)	Met - Lending policies and criteria http://www.ifad.org/pub/basic/lending/e/02polcri.pdf - Performance Based Allocation System http://www.ifad.org/operations/pbas/index.htm - Progress report on implementation of the performance-based allocation system http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56.pdf - Progress report on implementation of the performance-based allocation system, Addendum http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56-Add-1.pdf - Proposed Modifications to the IFAD performance-based allocation system (PBAS) http://www.ifad.org/gbdocs/eb/87/e/EB-2006-87-R-8.pdf
		3. (If first criterion is met) this model/formula is published on the MO web site	Met - Lending policies and criteria http://www.ifad.org/pub/basic/lending/e/02polcri.pdf - Performance Based Allocation System http://www.ifad.org/operations/pbas/index.htm - Progress report on implementation of the performance-based allocation system http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56.pdf - Progress report on implementation of the performance-based allocation system, Addendum http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-56-Add-1.pdf - Proposed Modifications to the IFAD performance-based allocation system (PBAS) http://www.ifad.org/gbdocs/eb/87/e/EB-2006-87-R-8.pdf
OVERALL SCORE MI 2.1A: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.1C	Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Very weak = Less than 20% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
		Weak = Between 20% and 30% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
		Inadequate = Between 31% and 50% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
		Adequate = Between 51% and 70% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
		Strong = Between 71% and 80% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
		Very strong = More than 80% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
OVERALL SCORE MI 2.1C: INADEQUATE		OVERALL COMMENTS:	-As noted in the narrative report, the rating is based on the data from the 2008 Survey on Monitoring the Paris Declaration, according to the methodology agreed by MOPAN. However, additional documents were reviewed in order to contrast this data with other sources. Specifically, 2009 workplans and budgets for a sample of IFAD projects in Bangladesh, Bhutan, China, Rwanda, and Uganda were reviewed. The results of this review are noted in the narrative.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.2A	Aid budget allocations (or lending) are linked to expected development 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 - IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-2.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and its Office of Evaluation for 2009 http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-2-Rev-1.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and of its Office of Evaluation for 2008
		2. Some outputs and/or outcomes from the DRF and MRF are costed in the budget document	Met - IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-2.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and its Office of Evaluation for 2009 http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-2-Rev-1.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and of its Office of Evaluation for 2008
		3. Most outputs and/or outcomes in the DRF and MRF are costed in the budget document	Not met - IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-2.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and its Office of Evaluation for 2009 http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-2-Rev-1.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and of its Office of Evaluation for 2008

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is evidence of improvement over time in budget documents reviewed (evidence of building a better system)	Met - IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-2.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and its Office of Evaluation for 2009 http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-2-Rev-1.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and of its Office of Evaluation for 2008
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organization to track costs from activity through to impact	Not met - IFAD's 2010 results-based programme of work and administrative and capital budgets, and the Office of Evaluation's three-year (2010-2012) rolling work programme and 2010 resource issues http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-2.pdf - Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and its Office of Evaluation for 2009 http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-2-Rev-1.pdf Programme of work, Programme Development Financing Facility and administrative and capital budgets of IFAD and of its Office of Evaluation for 2008
OVERALL SCORE MI 2.2A: ADEQUATE		OVERALL COMMENTS:	The results-based programme of work allocates IFAD's administrative budget according to clusters of processes that support the achievement of its Corporate Management Results (Level 4 and 5 of its Results Measurement Framework). In this document, the management results are clearly costed. The allocations to support Level 2 and 3 of its Results Measurement Framework are made through Executive Board approval of programmes at the country level. Therefore, the costing of outputs and outcomes encompassed by the development results framework (Levels 1 to 3) are not included in an organisational budget.
2.2B	Aid or lending disbursements are linked to reported results (variances explained).	1. The most recent annual financial report clearly shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result)	Not met - ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf - Report on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Annual Report 2009 http://www.ifad.org/pub/ar/2009/e/report_e.pdf - IFAD STRATEGIC FRAMEWORK 2007-2010 HTTP://WWW.IFAD.ORG/SF/STRATEGIC_E.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan	Met - Annual Report 2009 http://www.ifad.org/pub/ar/2009/e/report_e.pdf - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported	Not met - Annual Report 2009 http://www.ifad.org/pub/ar/2009/e/report_e.pdf - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf - ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		4. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported AND justified.	Not met - Annual Report 2009 http://www.ifad.org/pub/ar/2009/e/report_e.pdf - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf - ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		5. There is evidence of improvement over time in financial reports reviewed.	Met - Annual Report 2009 http://www.ifad.org/pub/ar/2009/e/report_e.pdf - IFAD Strategic Framework 2007-2010 http://www.ifad.org/sf/strategic_e.pdf - ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Report on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-8-Rev-1.pdf
OVERALL SCORE MI 2.2B: INADEQUATE		OVERALL COMMENTS:	In addition to the Annual Report, the ARRI and RIDE were considered in assessing this micro-indicator. These two reports describe the way in which programmes at the country level are contributing to the outputs and, ultimately, the outcomes agreed in the RMF. However, they do not directly link the funds invested with the results achieved.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.3A	Are external financial audits (meeting recognized international standards) performed across the organisation.	1. Annual organisation-wide reports on financial performance exist (In the case of UN organisations, the schedule for external audit may be determined by the Board of Auditors, therefore the requirement of "annual" may not apply.)	Met - Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf - Annual Reports 2005, 2006, 2007, 2008, 2009 http://www.ifad.org/pub/ar.htm
		2. (If first criterion is met) the most recent annual financial report reviewed contains 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 the UN agencies)	Met - Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf - Annual Reports 2005, 2006, 2007, 2008, 2009 http://www.ifad.org/pub/ar.htm
		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, all BOA audits are carried out using international standards.)	Met - Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf - Annual Reports 2005, 2006, 2007, 2008, 2009 http://www.ifad.org/pub/ar.htm
		4. (If first criterion is met) <i>all</i> annual financial reports reviewed contain 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 - Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf - Annual Reports 2005, 2006, 2007, 2008, 2009 http://www.ifad.org/pub/ar.htm

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) in <i>all</i> financial 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 - Annual Report 2008 http://www.ifad.org/pub/ar/2008/e/ar_e.pdf - Annual Reports 2005, 2006, 2007, 2008, 2009 http://www.ifad.org/pub/ar.htm
OVERALL SCORE MI 2.3A: VERY STRONG		OVERALL COMMENTS:	-
2.3B	External financial audits (meeting recognized international standards) are performed at the regional, country or project level (as appropriate).	1. The suite of documents available provide sufficient evidence that the organization requires external financial audits to be performed at the regional, country and/or project levels	Met - IFAD Guidelines on Project Audits (for Borrowers' Use). http://www.ifad.org/pub/basic/audit/borrower_e.pdf - IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions) http://www.ifad.org/pub/basic/audit/operational_e.pdf - IFAD's Disclosure Policy (2005) http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf
		2. 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 - IFAD Guidelines on Project Audits (for Borrowers' Use). http://www.ifad.org/pub/basic/audit/borrower_e.pdf - IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions) http://www.ifad.org/pub/basic/audit/operational_e.pdf - IFAD's Disclosure Policy (2005) http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf
		3. (If first criterion is met) the suite of documents available provide sufficient evidence that the external financial audits are taking place at regional, country and/or project levels	Met - IFAD Guidelines on Project Audits (for Borrowers' Use). http://www.ifad.org/pub/basic/audit/borrower_e.pdf - IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions) http://www.ifad.org/pub/basic/audit/operational_e.pdf - IFAD's Disclosure Policy (2005) http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. The suite of documents available provide extensive evidence that the external financial audits are taking place at regional, country and/or project levels	Not met - IFAD Guidelines on Project Audits (for Borrowers' Use). http://www.ifad.org/pub/basic/audit/borrower_e.pdf - IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions http://www.ifad.org/pub/basic/audit/operational_e.pdf - IFAD's Disclosure Policy (2005) http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-6.pdf
		5. External financial audit reports at country/project/regional level are made available to the public by the MO	Not met No external financial audit reports available
OVERALL SCORE MI 2.3B: ADEQUATE		OVERALL COMMENTS:	-
2.3C	Are there guidelines in place for immediate measures against irregularities identified in external financial audits at the country (or other) level.	1. Guidelines, a policy or strategy exists <i>at any organisational level</i> , that describes the procedure for a response to irregularities identified during an external financial audit	Met IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions http://www.ifad.org/pub/basic/audit/operational_e.pdf
		2. Guidelines, a policy or strategy exists and is corporately approved <i>at the organisation-wide level</i> that describes the procedure for a response to irregularities identified during an external financial audit	Met IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions http://www.ifad.org/pub/basic/audit/operational_e.pdf
		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)	Met IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions http://www.ifad.org/pub/basic/audit/operational_e.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is sufficient evidence (in the suite of documents about audit) that there is a process for following up on audits	Met <i>IFAD Operational Procedures for Project Audits (for use by IFAD and Cooperating Institutions</i> http://www.ifad.org/pub/basic/audit/operational_e.pdf
		5. There is extensive evidence (in the suite of documents about audit) that there is a process for following up on audits.	Met IFAD, Terms of Reference and Rules of Procedure of the Audit Committee of the Executive Board, http://www.ifad.org/gbdocs/eb/97/e/EB-2009-97-R-50-REV-1.pdf
OVERALL SCORE MI 2.3C: VERY STRONG		OVERALL COMMENTS:	-
2.3D	Internal financial audit processes are used to provide management / governing bodies with neutral information.	1. There is evidence (in a suite of documents) of practice of internal financial audits in the organization	Met <i>Financial Regulations of IFAD 2009</i> http://www.ifad.org/pub/basic/fin/e/!03finre.pdf <i>Revised Charter of the IFAD Office of Audit and Oversight</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-49-Rev-1.pdf - Reports from Audit Committee - restricted access http://www.ifad.org/offdoc/index.htm
		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 <i>Financial Regulations of IFAD 2009</i> http://www.ifad.org/pub/basic/fin/e/!03finre.pdf <i>Revised Charter of the IFAD Office of Audit and Oversight</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-49-Rev-1.pdf - Reports from Audit Committee - restricted access http://www.ifad.org/offdoc/index.htm
		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. <i>Financial Regulations of IFAD 2009</i> http://www.ifad.org/pub/basic/fin/e/!03finre.pdf <i>Revised Charter of the IFAD Office of Audit and Oversight</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-49-Rev-1.pdf - Reports from Audit Committee - restricted access http://www.ifad.org/offdoc/index.htm

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		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	Met <i>Financial Regulations of IFAD 2009</i> http://www.ifad.org/pub/basic/fin/e/!03finre.pdf <i>Revised Charter of the IFAD Office of Audit and Oversight</i> http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-49-Rev-1.pdf - Reports from Audit Committee - restricted access http://www.ifad.org/offdoc/index.htm
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information	Not met No documents are available
OVERALL SCORE MI 2.3D: STRONG		OVERALL COMMENTS:	-
2.3E	Does the MO have a policy on anti-corruption	1. Guidelines, policy or a framework on anti-corruption exists and is and are corporately approved (in other words, not in draft form)	Met <i>Policy On Preventing Fraud And Corruption In Its Activities And Operations.</i> http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf
		2. (If first criterion is met) these documents indicates that the MO is committed to the principles and norms established in the international framework on anti corruption	Met <i>Policy On Preventing Fraud And Corruption In Its Activities And Operations.</i> http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf
		3. (If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption	Met <i>Policy On Preventing Fraud And Corruption In Its Activities And Operations.</i> http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf
		4. (If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy	Met <i>Policy On Preventing Fraud And Corruption In Its Activities And Operations.</i> http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Met Policy On Preventing Fraud And Corruption In Its Activities And Operations. http://www.ifad.org/gbdocs/eb/86/e/eb-2005-86-inf-8.pdf 2009 ANNUAL REPORT ON INVESTIGATION AND ANTICORRUPTION ACTIVITIES. http://www.ifad.org/governance/anticorruption/report/2010/e.pdf
OVERALL SCORE MI 2.3E: VERY STRONG		OVERALL COMMENTS:	-
2.3G	MO has strategies in place for risk identification, mitigation, 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 (if is not in draft form; if it has been in draft form for more than 6 months that is of concern)	Met IFAD Policy on Enterprise Risk Management http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-4.pdf
		2. (If first criterion is met) this document contains a reference to international standards on managing risk, and describes roles and responsibilities of key actors	Met IFAD Policy on Enterprise Risk Management http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-4.pdf
		3. (If first criterion is met) this document commits the MO to risk management in its operational management practices	Met IFAD Policy on Enterprise Risk Management http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-4.pdf
		4. (If first criterion is met) this document commits the MO to risk management in its project/programme delivery	Met IFAD Policy on Enterprise Risk Management http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-4.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) this document describes the approaches and methods of risk management, including how to identify risk, how to assess risk, how to develop risk mitigation strategies, how to monitor and report on risk, and how to respond to adverse events	Met IFAD Policy on Enterprise Risk Management http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-4.pdf
		OR, if the first criterion is not met	
		6. At least one policy, strategy, framework or guidelines on risk management exists at the country, regional or other level	n/a
		7. (If the sixth criterion met) at least one such policy, strategy, framework or guidelines meets criteria 2 through 5, above	n/a
OVERALL SCORE MI 2.3G: VERY STRONG		OVERALL COMMENTS:	NOTE: If the organisation does not have an all-encompassing risk management policy, but rather has a suite of documents dealing with risk in specific sectoral areas, and important gaps remain, the organisation can only receive a maximum rating of "adequate" on this MI
PERFORMANCE MANAGEMENT			

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.4A	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., outcomes achieved) is available, for instance in annual performance reports, or from an organisation-wide evaluation	Met: • <i>Report on IFAD's Development Effectiveness (RIDE)</i> (http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-8-Rev-1.pdf) • ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf • An Independent External Evaluation of the International Fund for Agricultural Development Office of Evaluation 2005 http://www.ifad.org/evaluation/iee/report/e.pdf • IFAD's Action Plan for Improving its Development Effectiveness December 2005 • http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-2-REV-2.pdf • Knowledge Management Strategy 2007 • http://www.ifad.org/pub/policy/km/e.pdf • Revised IFAD Policy for Grant Financing • http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-9-REV-1.pdf • IFAD Rural Finance Policy http://www.ifad.org/pub/basic/finance/ENG.pdf • Supervision and Implementation Support Policy http://www.ifad.org/pub/policy/supervision/e.pdf
		2. (If first criterion is met) there is a description, in some available document, of the implications of this performance information or other sources of information on organizational performance on the MO's policies (i.e., what policies need to be changed, removed, or added as a result about what has been learned from collecting performance information through monitoring systems or evaluations that address results achievement and other organizational performance issues)	Met: • <i>Report on IFAD's Development Effectiveness (RIDE)</i> (http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-8-Rev-1.pdf) • ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf • An Independent External Evaluation of the International Fund for Agricultural Development Office of Evaluation 2005 http://www.ifad.org/evaluation/iee/report/e.pdf • IFAD's Action Plan for Improving its Development Effectiveness December 2005 • http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-2-REV-2.pdf • Knowledge Management Strategy 2007 • http://www.ifad.org/pub/policy/km/e.pdf • Revised IFAD Policy for Grant Financing • http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-9-REV-1.pdf • IFAD Rural Finance Policy http://www.ifad.org/pub/basic/finance/ENG.pdf • Supervision and Implementation Support Policy http://www.ifad.org/pub/policy/supervision/e.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) changes to <i>at least one</i> policy (addressing either internal organizational functions or programming) have been made subsequent to this performance information, that are in line with what has been learned	Met: - Report on IFAD's Development Effectiveness (RIDE) (http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-8-Rev-1.pdf) - ARRI 2009 Annual Report http://www.ifad.org/evaluation/arri/2008/2009.pdf - An Independent External Evaluation of the International Fund for Agricultural Development Office of Evaluation 2005 http://www.ifad.org/evaluation/iee/report/e.pdf - IFAD's Action Plan for Improving its Development Effectiveness December 2005 http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-2-REV-2.pdf - Knowledge Management Strategy 2007 http://www.ifad.org/pub/policy/km/e.pdf - Revised IFAD Policy for Grant Financing http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-9-REV-1.pdf - IFAD Rural Finance Policy http://www.ifad.org/pub/basic/finance/ENG.pdf - Supervision and Implementation Support Policy http://www.ifad.org/pub/policy/supervision/e.pdf
		4. (If all above criteria are met) programmatic changes to <i>more than one</i> policy have been made subsequent to this performance information, that are in line with what has been learned	Met: - Knowledge Management Strategy 2007 http://www.ifad.org/pub/policy/km/e.pdf - Revised IFAD Policy for Grant Financing http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-9-REV-1.pdf - IFAD Rural Finance Policy http://www.ifad.org/pub/basic/finance/ENG.pdf - Supervision and Implementation Support Policy
		5. (If the first three criteria are met) there is documentary evidence, in the policy document itself, in board meeting minutes or in some other place, that policy changes resulted at least in part from performance information	Met: - Knowledge Management Strategy 2007 http://www.ifad.org/pub/policy/km/e.pdf - Revised IFAD Policy for Grant Financing http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-9-REV-1.pdf - IFAD Rural Finance Policy http://www.ifad.org/pub/basic/finance/ENG.pdf - Supervision and Implementation Support Policy
		OR, if the first criterion is NOT met:	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		6. Changes to <i>at least one</i> policy document have been made in the last three years, and this document mentions that the changes were influenced by performance information	N/a
		7. (If the sixth criterion is met) changes to <i>more than one</i> policy document have been made in the last three years, and these documents mention that the changes were influenced by performance information	N/a
OVERALL SCORE MI 2.4A: VERY STRONG		OVERALL COMMENTS:	-
2.4B	Planning new interventions	1. Information on country performance (i.e., outcomes achieved) is available, for instance in annual country performance reports or in country planning documents (describing results from the previous cycle)	Met: • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf • 2009 ARRI Annual Report

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) for at least two countries, there is a description, in the annual performance reports or elsewhere, 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 reaction to the performance information)	Met: • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf • <i>2009 ARRI Annual Report</i>
		3. (If first two criteria are met) for at least two countries, there is evidence from project/programme level planning documents, such as PIPs, PADs or similar documents, that the changes required to the planning of new interventions have been made	Met: • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • <i>2007 Republic of Kenya, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • <i>2008 Republic of Indonesia, Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • <i>2007 Republic of Rwanda, Country strategic opportunities programme</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • <i>2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme</i> http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • <i>2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER</i> http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf • <i>2009 ARRI Annual Report</i>

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If all above criteria are met) for at least two countries, there is evidence from country reports that new interventions have been implemented according to the required changes	Met: • COSOPs of Kenya, Indonesia, Rwanda, Viet Nam and Nicaragua • 2007 Republic of Kenya, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf • 2008 Republic of Indonesia, Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf • 2007 Republic of Rwanda, Country strategic opportunities programme http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf • 2008 Socialist Republic of Viet Nam. Country strategic opportunities Programme http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf • 2005 REPUBLIC OF NICARAGUA COUNTRY STRATEGIC OPPORTUNITIES PAPER http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf • 2009 ARRI Annual Report
		5. (If all above criteria are met) all criteria met for all countries	Not met: Does not apply
OVERALL SCORE MI 2.4B: STRONG		OVERALL COMMENTS:	
2.4C	“unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	Very weak = Less than 40% of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	
		Weak = 40 - 55 % of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	
		Inadequate = 56 – 70% of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	Met • 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Adequate = 71 - 80% of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	
		Strong = 81-90% of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	
		Very strong = 91 - 100% of “unsatisfactory” investments, programmes or projects from the previous fiscal year are subject to proactive management	
OVERALL SCORE MI 2.4B: INADEQUATE		OVERALL COMMENTS:	-
2.4D	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	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: 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - President’s Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) 2009 http://www.ifad.org/gbdocs/eb/ec/e/57/EC-2009-57-W-P-5.pdf
		2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations)	Met: 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - President’s Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) 2009 http://www.ifad.org/gbdocs/eb/ec/e/57/EC-2009-57-W-P-5.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organization) and/or Governing Bodies (Executive Boards).	Met: 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) 2009 http://www.ifad.org/gbdocs/eb/ec/e/57/EC-2009-57-W-P-5.pdf
		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: 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) 2009 http://www.ifad.org/gbdocs/eb/ec/e/57/EC-2009-57-W-P-5.pdf
		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: 2008 COMPAS Report http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) 2009 http://www.ifad.org/gbdocs/eb/ec/e/57/EC-2009-57-W-P-5.pdf
OVERALL SCORE MI 2.4D: ADEQUATE		OVERALL COMMENTS:	-
2.4E	MO resources allocated to countries and projects are based on performance	Very weak = Less than 40%	
		Weak = 40 - 55 %	
		Inadequate = 56 – 70%	
		Adequate = 71 - 80%	
		Strong = 81-90%	
		Very strong = 91 - 100%	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
OVERALL SCORE MI 2.4D:		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
VERY STRONG			
HUMAN RESOURCES MANAGEMENT			
2.5A	Results focused performance agreement systems are in place for senior staff (Including Country Directors)	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance agreements for at least some staff	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		2. The evidence suggests that this applies to all staff or that it explicitly includes senior staff (e.g., president/CEO, vice presidents, sector/programme/division directors, country representatives, country directors)	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		3. The system is fairly well described in the suite of documents provided, giving an understanding of the approach to creating performance agreements and the content of those agreements	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		4. There is an explicit policy (HR or other wise) that summarizes all the aims and content of the performance management system for staff	Not met: No explicit policy identified that summarises the aims and content of the performance management system for staff.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If the first two criteria are met) There is evidence of compliance with the performance management system. In other words, there are management indicators that pay attention to the application of the performance management system, or there are other sources – newsletters, reports etc—that comment on how many staff (or % of all staff) that go through this system every year	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
OVERALL SCORE MI 2.5A: STRONG		OVERALL COMMENTS:	-
2.5B	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 Q II KPI 5 A)	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		2. There is evidence that the system for managing staff performance is operational	Met: - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated. - IFAD's Annual report 2009: http://www.ifad.org/pub/ar/2009/e/report_e.pdf
		3. 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 other UN agencies, etc)	Met: - Human Resources Management Reform Time Frame (2005), REPL.VII/4/R.10 - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next)	Not met: - COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf - Information Circular: IC/PE/10/05 describing the automated performance evaluation system (e-PES) through which the performance of all professional staff is evaluated.
		5. There is an explicit mention of the relationship between staff performance and rewards	Met COMPAS Report 2008: http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		6. If 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 this should be noted; if the review is a recent one and comments quite negatively on its HR systems, particularly in relation to: performance management system, transparency of the system, etc then the organization should not be rated higher than adequate on this indicator	Not met No new review/evaluation available
OVERALL SCORE MI 2.5B: ADEQUATE		OVERALL COMMENTS:	-
PORTFOLIO MANAGEMENT			

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.6A	Prior to approval new initiatives are subject to benefits analysis (economic, social, etc)	1. A policy, framework or guidelines exists at country, regional or organisation-wide level that requires benefits analysis for new initiatives	Met • IFAD Learning Notes 2008 http://www.ifad.org/rural/learningnotes/ALL_LN.pdf • President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) • President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) • President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" • President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project • President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project (2008)
		2. (If first criterion is met) a policy, framework or guidelines exists at organisation-wide level and is corporately approved that requires benefits analysis for new initiatives	Met • IFAD Learning Notes 2008 http://www.ifad.org/rural/learningnotes/ALL_LN.pdf • President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) • President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) • President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" • President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project • President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project (2008)

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. At least one project/programme appraisal document (e.g., PAD) sampled shows that a benefits analysis was undertaken	Met • <i>IFAD Learning Notes</i> 2008 http://www.ifad.org/rural/learningnotes/ALL_LN.pdf • President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) • President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) • President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" • President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project • President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project (2008)
		4. (If third criterion met) all project/programme appraisal documents (e.g., PAD) sampled show that a benefits analysis was undertaken	Met • <i>IFAD Learning Notes</i> 2008 http://www.ifad.org/rural/learningnotes/ALL_LN.pdf • President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) • President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) • President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" • President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project • President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project (2008)
		5. Any evidence of an initiative's design being altered in response to findings from a benefits analysis	Not met No evidence
OVERALL SCORE MI 2.5B: STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.6B	Milestones / targets are set to rate the progress of (project) implementation	1. <i>At least two of the PIPs or country workplans sampled contain a description of milestones and/or targets for project/programme implementation</i>	Met: • IFAD, Ministry of Agriculture and Animal Resources (Rwanada), Kirehe Community-Based Watershed Management (KWAMP) Annual Workplan and Budget, July 2009-June 2010, • The Republic of Uganda, Vegetable Oil Development Project, Workplan and Budget, July 2009-June 2010 • DfID, IFAD, Ministry of Agriculture and Animal Resources (Rwanda), Support Project for the Strategic Plan for the Transformation of Agriculture (PAPSTA) • Additional workplans for CBRMP-LGED, Bangladesh; AMEPP, Bhutan; and a project in China • President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) • President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) • President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" • President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project • President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for Agroforestry Development Project (2008)

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) <i>all of the P/Ps</i> or country workplans sampled contain a description of milestones and/or targets for project/programme implementation	Met: - IFAD, Ministry of Agriculture and Animal Resources (Rwanada), Kirehe Community-Based Watershed Management (KWAMP) Annual Workplan and Budget, July 2009-June 2010, - The Republic of Uganda, Vegetable Oil Development Project, Workplan and Budget, July 2009-June 2010 - DfID, IFAD, Ministry of Agriculture and Animal Resources (Rwanda), Support Project for the Strategic Plan for the Transformation of Agriculture (PAPSTA) - Additional workplans for CBRMP-LGED, Bangladesh; AMEPP, Bhutan; and a project in China - President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) - President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) - President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" - President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project - President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for
		3. (If first criterion is met) in most cases, the milestones/target provided align with activities described in the project/programme implementation	Met - IFAD, Ministry of Agriculture and Animal Resources (Rwanada), Kirehe Community-Based Watershed Management (KWAMP) Annual Workplan and Budget, July 2009-June 2010, - The Republic of Uganda, Vegetable Oil Development Project, Workplan and Budget, July 2009-June 2010 - DfID, IFAD, Ministry of Agriculture and Animal Resources (Rwanda), Support Project for the Strategic Plan for the Transformation of Agriculture (PAPSTA) - Additional workplans for CBRMP-LGED, Bangladesh; AMEPP, Bhutan; and a project in China

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) dates are established for the milestones/targets, <i>in more than half of the PIPs or country workplans sampled</i>	Not met: - President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) - President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) - President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" - President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project - President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for
		5. (If all above criteria met) all above criteria met for all PIPs/country workplans sampled	Not met: - President's report Proposed loan and grant to the Republic of Kenya for the Smallholder Horticulture Marketing Programme (2007) - President's report Proposed loan and grant to the Republic of Indonesia for the National Programme for Community Empowerment in Rural Areas Project (2008) - President's report: Proposed loan and grant to the Republic of Nicaragua for the Inclusion of Small-scale Producers in Value Chains and Market Access Project (2007) explains "Benefits and economic and financial justification" - President's memorandum Proposed supplementary grant to the Republic of Rwanda for the Kirehe Community-based Watershed Management Project - President's report Proposed loan to the Socialist Republic of Viet Nam for the Pro-Poor Partnerships for
OVERALL SCORE MI 2.6B: ADEQUATE		OVERALL COMMENTS:	-
2.7A	Aid reallocation decisions can be made locally	1. An organisation-wide policy or guidelines exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of aid reallocation decisions that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can make decisions about reallocating funds	
		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 aid reallocation	
		4. 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)	
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of aid reallocation decisions to the country or other relevant level	
OVERALL SCORE MI 2.7A:		OVERALL COMMENTS:	This MI was not rated through the review of documents because IFAD is in the midst of rolling out its country presence initiative. However, the following documents were reviewed in order to add context to the survey findings. • IFAD, Progress report and activity plan for IFAD's country presence, EB 2009/98/R.11 • IFAD Loan and Grant Administration: Operational manual • Role of the Executive Board of IFAD http://www.ifad.org/gbdocs/repl/7/iv/e/REPL-VII-4-R-4.pdf • Agreement Establishing the International Fund for Agricultural Development

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
			http://www.ifad.org/pub/basic/agree/e/!01agree.pdf
2.7B	New aid programmes / projects can be approved locally within a budget cap	1. An organisation-wide policy or guidelines exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of decisions about funding new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can approve funding	
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts (budget ceilings or allocations) or parameters within which the local level does not require central level approval prior to making decisions on new initiatives	
		4. 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)	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of authority to approve new aid programmes/projects to the country or other relevant level (Note: it there is a review/evaluation that comments negatively on this point, the findings should be noted and the rating should probably not be higher than adequate)	
	OVERALL SCORE MI 2.7B:	OVERALL COMMENTS:	This MI was not rated through the review of documents because IFAD is in the midst of rolling out its country presence initiative. However, the following documents were reviewed in order to add context to the survey findings. • IFAD, Progress report and activity plan for IFAD's country presence, EB 2009/98/R.11 • <i>IFAD Loan and Grant Administration: Operational manual</i> • <i>Role of the Executive Board of IFAD</i> http://www.ifad.org/qbdocs/repl/7/iv/e/REPL-VII-4-R-4.pdf <i>Agreement Establishing the International Fund for Agricultural Development</i> http://www.ifad.org/pub/basic/agree/e/!01agree.pdf

QUADRANT III – RELATIONSHIP MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
ALIGNMENT			
3.1B	MO conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results	If the MO finances investment (project) loans and program (policy) lending, then:	Met <i>General Conditions for Agricultural Development Financing:</i> http://www.ifad.org/pub/basic/general/e/gencone.pdf <i>Revisions to the General Conditions for Agricultural Development Financing:</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-3-Rev-1.pdf
		1. (If applicable) MO has a policy that aligns its conditions for lending – especially policy or program lending-- with the principles of country ownership	
		2. (If criterion 1), the MO policy also provides guidance to align the organization with other good practice principles for conditionality	Met <i>Revisions to the General Conditions for Agricultural Development Financing:</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-3-Rev-1.pdf
		3. There is evidence of MO intent/ or practice (depending on the timing of the policy) of reviewing its progress in implementing changes in its approach to conditionality	Met <i>Revisions to the General Conditions for Agricultural Development Financing:</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-3-Rev-1.pdf
		4. There is evidence of the MO reporting to the Board on progress/issues on implementation of the policy	Met <i>Revisions to the General Conditions for Agricultural Development Financing:</i> http://www.ifad.org/gbdocs/eb/96/e/EB-2009-96-R-3-Rev-1.pdf
		5. There is evidence of implementation of the policy either in special evaluation studies, or in the review of a sample of actual project documents/loan agreements	Not met No documents identified

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
	OVERALL SCORE MI 3.3A: ADEQUATE	OVERALL COMMENTS:	IFAD does not impose policy conditionality as part of its lending practices. The type of lending and grants provided by IFAD are mainly project-based and not directed towards policy support and the scale of financing is relatively small compared to e.g. the World Bank and other major banks. IFAD is therefore not in the position to impose policy conditionality on its loans and grants nor is it deemed necessary. Only when IFAD is co-financing projects or programmes with the World Bank it will impose conditionality on its loans but this will be based on the Bank's policies. For these reasons, it is rated as adequate on this micro-indicator.
3.3A	% of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	Very weak = Less than 30% of MO's aid flows are aligned on national procedures	
		Weak = Between 30% and 49% (inclusively) of MO's aid flows are aligned on national procedures.	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
		Inadequate = Between 50% and 69% (inclusively) of MO's aid flows are aligned on national procedures	
		Adequate = Between 70% and 84% (inclusively) of MO's aid flows are aligned on national procedures	
		Strong = Between 85% and 90% (inclusively) of MO's aid flows are aligned on national procedures	
		Very strong = More than 90% of MO's aid flows are aligned on national procedures	
	OVERALL SCORE MI 3.3A: WEAK	OVERALL COMMENTS:	-
3.3B	% of the MOs overall ODA disbursements / support using national systems and procedures	Very weak = Less than 20% of MO's aid flows use national financial management / procurement systems.	
		Weak = Between 20% and 39% (inclusively) of MO's aid flows use national financial management/ procurement systems	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Inadequate = Between 40% and 59% (inclusively) of MO's aid flows use national financial management/ procurement systems.	
		Adequate = Between 60% and 79% (inclusively) of MO's aid flows use national financial management/ procurement systems	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
		Strong = Between 80% and 90% (inclusively) of MO's aid flows use national financial management/ procurement systems	
		Very strong = More than 90% of MO's aid flows use national financial management/ procurement systems	
OVERALL SCORE MI 3.3B: ADEQUATE		OVERALL COMMENTS:	The rating on this MI is based on the data on IFAD from Indicators 5(a) and 5(b) in 2008 Survey on Monitoring the Paris Declaration. The PD target is 80% for both indicators. IFAD receives an inadequate rating on its percentage of aid flows using national public financial management systems (43%) and it receives a rating of adequate for its use of national procurement systems (76%). The composit rating is a rating of Adequate.
3.3C	Reduction in total stock of PIUs	Very weak = The number of parallel Project Implementation Units (PIUs) of the MO has not been reduced or has been increased	N/A
		Weak = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 1 and 24% (inclusively)	N/A
		Inadequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 25 and 49% (inclusively)	N/A

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Adequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 50 and 65% (inclusively)	N/A
		Strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 66% (two-thirds) and 75% (inclusively)	N/A
		Very strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced in more than 75%	N/A
OVERALL SCORE MI 3.3C: N/A		OVERALL COMMENTS:	For this indicator, we aim to compare the number of PIUs of 2007 against the number of PIUs in 2005 in order to obtain the percentage of reduction in PIUs during this time period. However, IFAD does not have 2005 information available in the PD monitoring survey and we were not able to establish this trend. Therefore, IFAD was not assessed on this particular indicator.
HARMONIZATION			
3.5A	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Very weak = Less than 10% of MO's missions to the field are joint	
		Weak = Between 10% and 19% (inclusively) of MO's missions to the field are joint	
		Inadequate = Between 20% and 29% (inclusively) of MO's missions to the field are joint	
		Adequate = Between 30% and 39%(inclusively) of MO's missions to the field are joint	
		Strong = Between 40% and 50% (inclusively) of MO's missions to the field are joint	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Very strong = More than 50% of MO's missions to the field are joint	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
OVERALL SCORE MI 3.5A: VERY STRONG		OVERALL COMMENTS:	-
3.5B	The extent to which MO technical cooperation is disbursed through coordinated programmes	Very weak = Less than 10% of MO's capacity-development support is provided through coordinated programmes	
		Weak = Between 10% and 20% (inclusively) of MO's capacity-development support is provided through coordinated programmes	
		Inadequate = Between 21% and 35% (inclusively) of MO's capacity-development support is provided through coordinated programmes	
		Adequate = Between 36% and 50% (inclusively) of MO's capacity-development support is provided through coordinated programmes	
		Strong = Between 50% and 60% (inclusively) of MO's capacity-development support is provided through coordinated programmes	
		Very strong = More than 60% of MO's capacity-development support is provided through coordinated programmes	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
OVERALL SCORE MI 3.5B: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
3.5C	% of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	Very weak = Less than 20% of MO's aid is provided as programme-based approaches	Met 2008 Survey on Monitoring the Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/58/41/41202121.pdf
		Weak = Between 20% and 35% (inclusively) of MO's aid is provided as programme-based approaches	
		Inadequate = Between 36% and 50% (inclusively) of MO's aid is provided as programme-based approaches	
		Adequate = Between 51% and 65% (inclusively) of MO's aid is provided as programme-based approaches	
		Strong = Between 66% and 80% (inclusively) of MO's aid is provided as programme-based approaches	
		Very strong = More than 80% of MO's aid is provided as programme-based approaches	
OVERALL SCORE MI 3.5C: VERY WEAK		OVERALL COMMENTS:	The rating is based on IFAD's data on indicator 9 from the Survey on Monitoring the Paris Declaration. The narrative of the report explains several of the limitations for IFAD in this area.

QUADRANT IV – KNOWLEDGE MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
ALIGNMENT			
4.1A		1. An organisation-wide (central) evaluation unit or function exists	Met IFAD has an Office of Evaluation http://www.ifad.org/evaluation/whatwedo/index.htm
		2. An organisation-wide evaluation policy exists and is corporately approved, which establishes that the evaluation unit has the independence to carry out evaluations without undue influence from other units of the MO	Met IFAD Evaluation Policy http://www.ifad.org/pub/policy/oe.pdf
		3. (If first three criterion is met) there is evidence of regular reports being provided by the evaluation unit or function to Executive Management (Head of Organization) or Board on evaluations and follow-up to evaluations	Met 2009 ARRI report: http://www.ifad.org/evaluation/arri/2009/arri.pdf - Periodic evaluations: http://www.ifad.org/evaluation/index.htm
		4. If a central evaluation unit exists, it is structurally independent (i.e., there is a structural separation between the evaluation unit and the line management responsible for planning and managing development assistance)	Met - IFAD Evaluation Policy http://www.ifad.org/pub/policy/oe.pdf - IFAD has an Office of Evaluation http://www.ifad.org/evaluation/whatwedo/index.htm
		5. The central evaluation unit reports directly to the MO's Executive Board	Met - IFAD Evaluation Policy http://www.ifad.org/pub/policy/oe.pdf - IFAD has an Office of Evaluation http://www.ifad.org/evaluation/whatwedo/index.htm
OVERALL SCORE MI 4.1A: VERY STRONG		OVERALL COMMENTS:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
4.1B	# of completed programmes and projects subject to independent ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years	1. 3% or more of projects/programmes are subject to independent ex-post evaluations	
		2. 7%or more of projects/programmes are subject to independent ex-post evaluations	Met COMPAS Report 2008 : http://www.mfdr.org/Compas/documents/2008COMPAS.pdf
		3. 15% or more of projects/programmes are subject to independent ex-post evaluations	
		4. 30% or more of projects/programmes are subject to independent ex-post evaluations	
		5. 60% or more of projects/programmes are subject to independent ex-post evaluations	
OVERALL SCORE MI 4.1A: INADEQUATE		OVERALL COMMENTS:	-
4.2A	Reports on the achievement of outcomes, not just inputs, activities and outputs	1. Annual performance reports exist at the organisation-wide level	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		2. (If first criterion is met) the most recent performance report sampled describes outcomes achieved in addition to outputs	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) the most recent performance report sampled discusses both expected and unexpected outcomes achieved	Not met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		4. (If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between outputs and outcomes)	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i>	Not met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
OVERALL SCORE MI 4.1A: ADEQUATE		OVERALL COMMENTS:	-
4.2B	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf <i>Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		2. (If first criterion is met) the most recent performance report sampled provides a clear identification of the indicators and associated measurement for the reporting period	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf <i>Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007</i> http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		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)	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		4. (If first two criteria are met) the most recent performance report sampled compares indicator measurement to baseline and/or target amounts (either in graph or narrative form)	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
OVERALL SCORE MI 4.1A: VERY STRONG		OVERALL COMMENTS:	-
4.2C	Reports against its Corporate Strategy, including expected management and development results	1. Annual performance reports exist at the organisation-wide level	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		3. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide MRF	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		4. (If criterion two and/or three are met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and/or MRF, along with an explanation of any variances	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - Results Measurement Framework for reporting on progress achieved against the IFAD Strategic Framework 2007 http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-2.pdf
		OVERALL SCORE MI 4.1A: VERY STRONG	OVERALL COMMENTS:

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
4.2D	Reports against its Paris Declaration commitments using indicators and country targets	1. An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists (this may not be a separate report, but part of a larger report, such as the annual performance report)	Met • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		2. (If the first criterion is met) the most recent report describes the extent of achievement to date of PD commitments, using indicators	Met • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		3. (If the first two criteria are met) the most recent report shows country targets for PD commitments	Not met • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		4. (If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country	Not met • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		5. (If all above criteria are met) all above criteria are met for all reports sampled	Not met • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf
		OVERALL SCORE MI 4.1A: INADEQUATE	
4.2E	Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	1. Information on organisation-wide performance (i.e., outcomes achieved) is available in annual (or multi-year) performance reports that are submitted to the Executive Board	Met • Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm • <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf • <i>An Independent External Evaluation of the International Fund for Agricultural Development"</i> 2005 http://www.ifad.org/evaluation/iee/report/e.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) one performance report reviewed describes the implications of this performance information or other sources of information on organisational performance on the MO's policies (i.e., what policies need to be changed, removed, or added as a result of what has been learned from collecting performance information in the form of monitoring information and/or evaluations that address results achievement and other organisational performance issues)	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf <i>An Independent External Evaluation of the International Fund for Agricultural Development</i> 2005 http://www.ifad.org/evaluation/iee/report/e.pdf
		3. (If first criterion is met) one performance report reviewed describes changes made to <i>at least one</i> policy (addressing either internal organisational functions or programming), resulting at least in part from what has been learned from performance information in the form of monitoring information and/or evaluations that address results achievement and other organisational performance issues)	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf <i>An Independent External Evaluation of the International Fund for Agricultural Development</i> 2005 http://www.ifad.org/evaluation/iee/report/e.pdf
		4. (If third criterion is met) one performance report reviewed describes programmatic changes made to <i>more than one</i> policy, resulting at least in part from what has been learned from performance information	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm <i>Reports on IFAD's Development Effectiveness (RIDE)</i> http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf <i>An Independent External Evaluation of the International Fund for Agricultural Development</i> 2005 http://www.ifad.org/evaluation/iee/report/e.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If all above criteria are met) all performance reports reviewed meet all above criteria	Met - Annual reports on results and impact of IFAD operations (ARRI) http://www.ifad.org/evaluation/arri/index.htm - Reports on IFAD's Development Effectiveness (RIDE) http://www.ifad.org/gbdocs/eb/98/e/EB-2009-98-R-10-REV-1.pdf - An Independent External Evaluation of the International Fund for Agricultural Development" 2005 http://www.ifad.org/evaluation/iee/report/e.pdf
OVERALL SCORE MI 4.1A: VERY STRONG		OVERALL COMMENTS:	-
4.2F	Reports on country (or other) level programming adjustments made or recommended based on performance information	1. MO reports submitted to the Executive Board, at the country and/or organisation-wide levels, contain information on country performance (i.e., outcomes achieved)	Met 2008 COSOP for Indonesia http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 COSOP for Kenya http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf
		2. (If first criterion is met) for at least two countries, there is a description, in one of the above-mentioned reports, 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 reaction to the performance information)	Met 2008 COSOP for Indonesia http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 COSOP for Kenya http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf
		3. (If first criterion is met) for at least two countries, one of the reports described above describe changes made to the planning of new interventions as a result of what was learned from performance information	Met 2008 COSOP for Indonesia http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 COSOP for Kenya http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If all above criteria are met) for at least two countries, the reports described above confirm that new interventions have been implemented according to the required changes	Not met 2008 COSOP for Indonesia http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 COSOP for Kenya http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf
		5. (If all above criteria are met) all criteria met for all countries	Not met 2008 COSOP for Indonesia http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 COSOP for Kenya http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf
OVERALL SCORE MI 4.1A: ADEQUATE		OVERALL COMMENTS:	-
4.3A	Reports on lessons learned based on performance information	1. There is some evidence that the organization is committed to the identification, documentation, and dissemination of lessons learned and/or best practices at multiple levels within the organisation	Met IFADs Evaluation Policy http://www.ifad.org/pub/policy/oe.pdf
		2. <i>At least two reports</i> are available at the organisation-wide level that contain lessons learned, based on performance information (including research papers, evaluations, etc)	Met 2007 Republic of Kenya COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf 2008 Republic of Indonesia, COSOP http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 Republic of Rwanda, COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf 2008 Socialist Republic of Viet Nam, COSOP http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf 2005 Republic of Nicaragua COSOP http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>significant</i> to the organisation and its programming	Met 2007 Republic of Kenya COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf 2008 Republic of Indonesia, COSOP http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 Republic of Rwanda, COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf 2008 Socialist Republic of Viet Nam, COSOP http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf 2005 Republic of Nicaragua COSOP http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		4. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>applicable</i> to the organisation and its programming	Met 2007 Republic of Kenya COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-12.pdf 2008 Republic of Indonesia, COSOP http://www.ifad.org/gbdocs/eb/95/e/EB-2008-95-R-14.pdf 2007 Republic of Rwanda, COSOP http://www.ifad.org/gbdocs/eb/91/e/EB-2007-91-R-13-Rev-1.pdf 2008 Socialist Republic of Viet Nam, COSOP http://www.ifad.org/gbdocs/eb/94/e/EB-2008-94-R-8-Rev-1.pdf 2005 Republic of Nicaragua COSOP http://www.ifad.org/gbdocs/eb/86/e/EB-2005-86-R-13.pdf
		5. The organization has a knowledge management or other such strategy that clearly identifies how it approaches the sharing of knowledge, learning, etc in the organization	Met - IFAD's Knowledge Management Strategy: http://www.ifad.org/pub/policy/km/e.pdf - IFADs Evaluation Policy http://www.ifad.org/pub/policy/oe.pdf
OVERALL SCORE MI 4.1A: VERY STRONG		OVERALL COMMENTS:	-