



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.

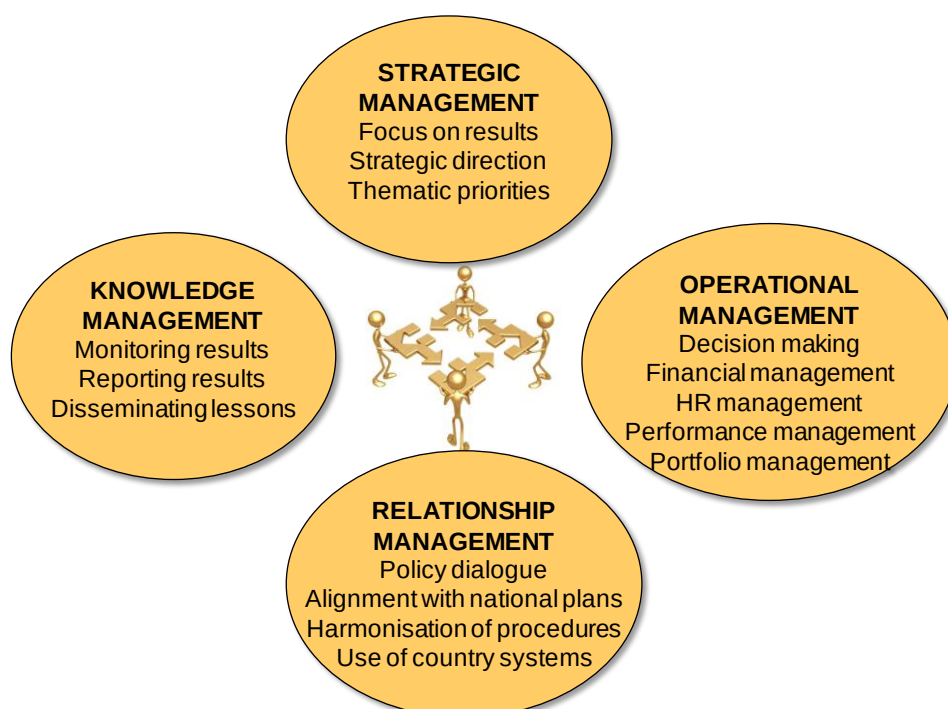
1.1 The MOPAN Common Approach Assessment Framework

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 staff who share 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 who have 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

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.

cases. However, MOPAN was satisfied with the respondents' 'self-reported' level of familiarity with respect to each organisation. In Section 1.2 of the organisational report, Figure 1.2 provides response rates and quotas by respondent group.

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

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.

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.

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

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 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)

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

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.

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).
- 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

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).

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

ADB:	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.

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.

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 asked 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.

- 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
 - 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).

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

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.”

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

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.

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

- 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.

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.

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.

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.
- 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 UNFPA's programming.
- Similarly, the selection of countries also determined the universe of country programming documents reviewed. A sample of five countries, representing different geographic regions, was selected. As the review of documents was based on the five-country sample, it may not reflect the approach used in all UNFPA country offices.

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.

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.

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.

Appendix II MOPAN Common Approach Survey for UNFPA, 2010

Note: This is the survey used to assess the UNFPA 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

[UNFPA]

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

In responding to the survey, feel free to base your answers on your perceptions of the United Nations Population Fund (UNFPA), as well as your knowledge. Your perceptions may be shaped by anything you have seen, heard about or read, and on 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.

[197 - single]

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

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

[Screener question]

[198 - single]

You have been identified to assess the organisational practices, systems and behaviours of the United Nations Population Fund (UNFPA). However, before answering the questionnaire we would like to know how familiar you are with UNFPA 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 the UNFPA, its strengths and its areas for improvement.

[199 - single]

Thinking about UNFPA, and the way it

operates, what do you consider to be its greatest strength?

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

[200 - single]

And still thinking about UNFPA 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.

[201 - single]

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

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 UNFPA. In thinking about these questions, please consider all you know about UNFPA.

[Performance areas]

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation (MO). Please rate how you think the UNFPA 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 UNFPA's practice, behaviour or system is "best practice" in this area.

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

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

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

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

Very weak = The UNFPA 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 UNFPA's governance, how do you think UNFPA 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]

[202 - single]

UNFPA'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

[203 - single]

UNFPA's institutional culture is **direct-partner** 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

[204 - single]

UNFPA'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

[205 - single]

UNFPA 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: Direct partner = 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

[206 - single]

Do you have any additional comments on

UNFPA'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 UNFPA 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.

[207 - single]

UNFPA 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

[208 - single]

UNFPA'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

[209 - single]

UNFPA 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

[210 - single]

UNFPA'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.

[211 - single]

UNFPA's **results frameworks** in organisation-wide 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

[212 - single]

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

[213 - single]

UNFPA sufficiently mainstreams gender equality in its programmatic work

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

[214 - single]

UNFPA sufficiently mainstreams environment in its programmatic work

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

[215 - single]

UNFPA sufficiently promotes the principles of good governance in its work.

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

[216 - single]

UNFPA sufficiently applies human rights-based approaches to development in its programmatic work

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

[217 - single]

UNFPA sufficiently mainstreams HIV/AIDS in its programmatic work

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

[218 - single]

Do you have any additional comments on UNFPA'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 UNFPA's strategies, how do you think UNFPA 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.

[219 - single]

UNFPA has results frameworks that link results across project, program, 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

[220 - single]

UNFPA'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

[221 - single]

UNFPA 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

[222 - single]

UNFPA 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

[223 - single]

UNFPA'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** = 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

[224 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[225 - single]

Which of the following areas do you consider to be the most important for the strategic management of the UNFPA? 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

[226 - single]

Which of the following areas do you consider to be the most important for the strategic management of the UNFPA? 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

[227 - single]

Is there anything further you would like to say about UNFPA 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 UNFPA, how do you think UNFPA 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

[228 - single]

UNFPA publishes its criteria for allocating **core budget** resources (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

[229 - single]

UNFPA allocates **core budget** resources according to the published criteria. 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: **Core budget** = The focus is on the global system for resource allocation

[Financial Resources 1]

Financial Resources and Risk Management

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

[230 - single]

UNFPA links core budget allocations 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

[231 - single]

When UNFPA 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 UNFPA, how do you think UNFPA 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.

[232 - single]

UNFPA 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

[233 - single]

UNFPA performs appropriate audits on programs 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

[234 - single]

UNFPA 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

[235 - single]

UNFPA 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

[236 - single]

UNFPA 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

[237 - single]

UNFPA 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

[238 - single]

UNFPA 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.

[239 - single]

Do you have any additional comments on UNFPA'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 UNFPA manages the performance of its operations. According to what you know about UNFPA how do you think UNFPA performs in relation to the practices, systems or behaviours described in each of the following statements?

[240 - single]

UNFPA uses project/program, sector and country information on performance to revise corporate policies

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

[241 - single]

UNFPA uses information on country performance to plan new areas of cooperation 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

[242 - single]

UNFPA actively manages less effective activities from the previous programming cycle

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

[243 - single]

UNFPA 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

[244 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Human Resources Management]

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

[245 - single]

UNFPA 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

[246 - single]

UNFPA 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

[247 - single]

UNFPA 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

[248 - single]

UNFPA 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

[249 - single]

Do you have any additional comments on UNFPA'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 UNFPA, how do you think UNFPA 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.

[250 - single]

UNFPA subjects new initiatives 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

[251 - single]

UNFPA sets targets to enable monitoring of progress in project/program 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

[252 - single]

UNFPA's project/program 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

[253 - single]

UNFPA can approve funding for new areas of cooperation 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

[254 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[255 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the UNFPA? 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

[256 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the

UNFPA? 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

[257 - single]

Before moving on to the next section, is there anything further you would like to say about UNFPA'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, UNFPA'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 UNFPA, how do you think UNFPA performs in relation to the practices, systems or behaviours described in each of the following statements?

[258 - single]

UNFPA supports funding proposals designed and developed by the national government or direct partners

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

[259 - single]

UNFPA 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

[260 - single]

UNFPA uses procedures that can be easily understood and followed by direct partners

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

[261 - single]

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

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

[262 - single]

UNFPA 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

[263 - single]

UNFPA flexibly adjusts its implementation of individual projects/programs 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

[264 - single]

Do you have any additional comments on UNFPA'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 UNFPA, how do you think UNFPA performs in relation to the practices, systems or behaviours described in each of the following statements?

[265 - single]

UNFPA'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

[266 - single]

UNFPA uses national budget execution procedures in its projects/programs 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

[267 - single]

UNFPA uses national procurement systems in its projects/programs 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

[268 - single]

UNFPA uses national financial reporting procedures in its projects/programs 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

[269 - single]

UNFPA uses national auditing procedures in its projects/programs 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

[270 - single]

UNFPA 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

[271 - single]

UNFPA 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

[272 - single]

UNFPA 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

[273 - single]

UNFPA 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

[274 - single]

UNFPA respects the views of direct partners 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

[275 - single]

Do you have any additional comments on UNFPA'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 UNFPA, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[276 - single]

UNFPA 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

[277 - single]

UNFPA's technical assistance is provided through coordinated programs 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

[278 - single]

UNFPA participates in program-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

[279 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[280 - single]

Which of the following areas do you consider to be the most important in the effective relationship management of the UNFPA? 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

[281 - single]

Before moving on to the next section, is there anything further you would like to say about UNFPA'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 UNFPA. 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 UNFPA, how do you think UNFPA performs in relation to the practices, systems or behaviours described in the following statement(s)?

[282 - single]

UNFPA 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

[283 - single]

UNFPA ensures that a sufficient proportion of completed programs/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

[284 - single]

UNFPA requires the involvement of key direct partners 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

[285 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Reporting]

Please think now about Performance Reporting. According to what you know about UNFPA, how do you think UNFPA performs in relation to the practices,

systems or behaviours described in each of the following statements?

[286 - single]

UNFPA 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

[287 - single]

UNFPA 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

[288 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[Dissemination]

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

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

[289 - single]

UNFPA 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

[290 - single]

UNFPA 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

[291 - single]

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

- ☐ 1. Yes, note:
- ☐ 2. No

[292 - single]

Which of the following areas do you consider to be the most important in the effective knowledge management of the UNFPA? 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

[293 - single]

Is there anything further you would like to say about UNFPA'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

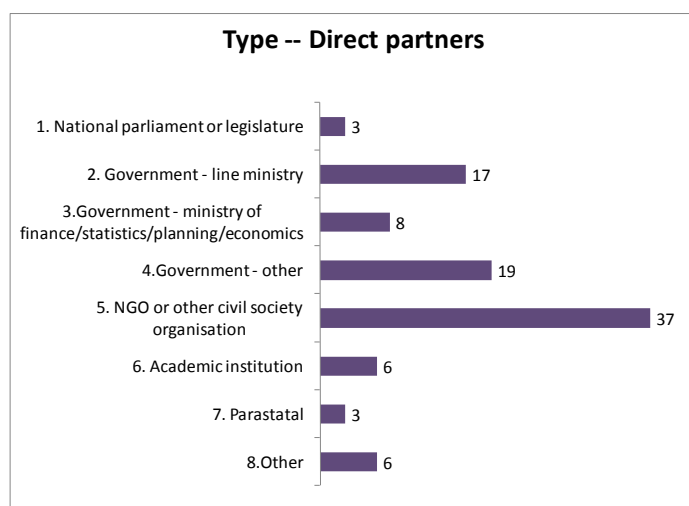
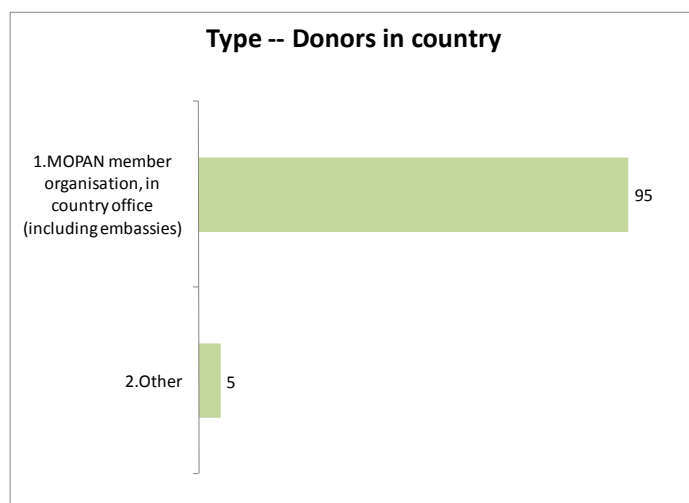
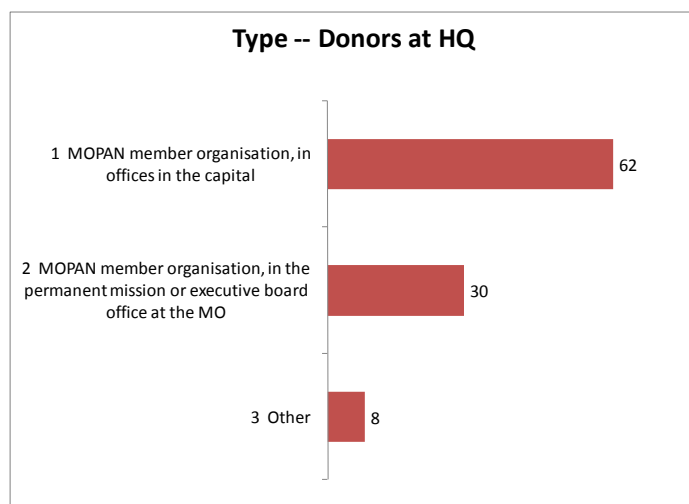
[ALMOST DONE]

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

[End of Interview]

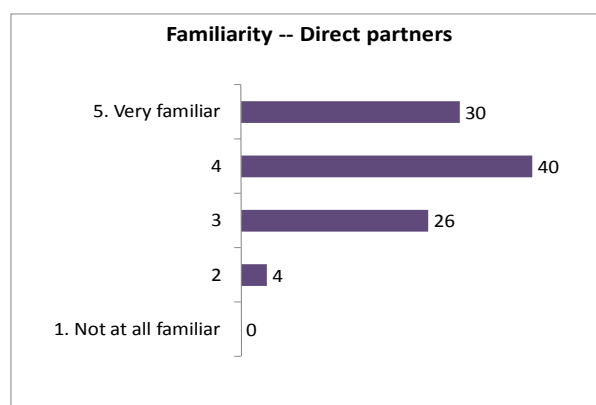
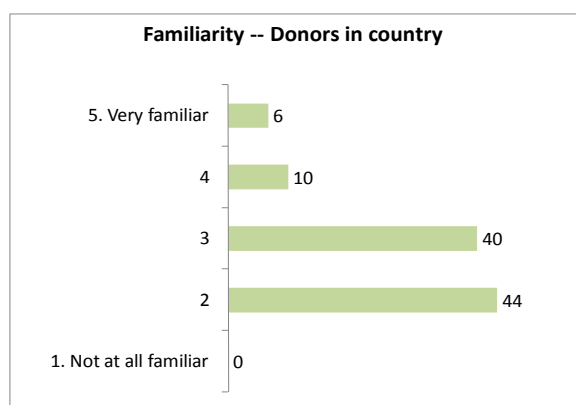
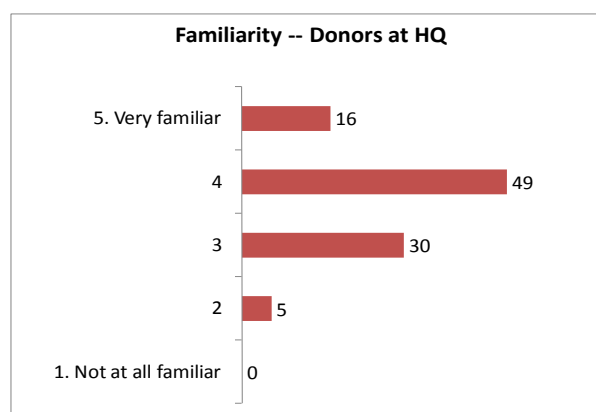
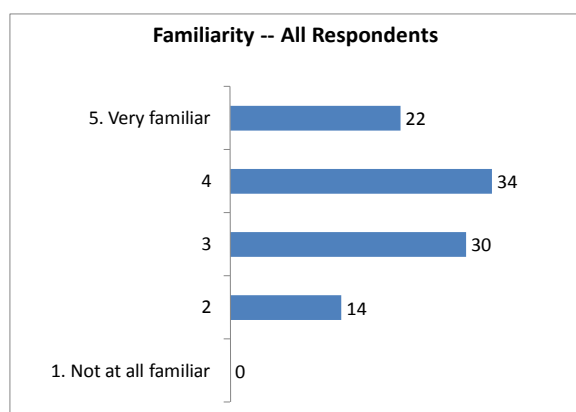
Appendix III Respondent Profile²⁴

Types of Respondents

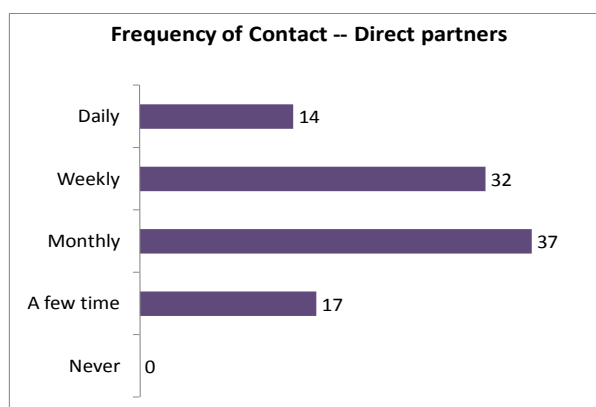
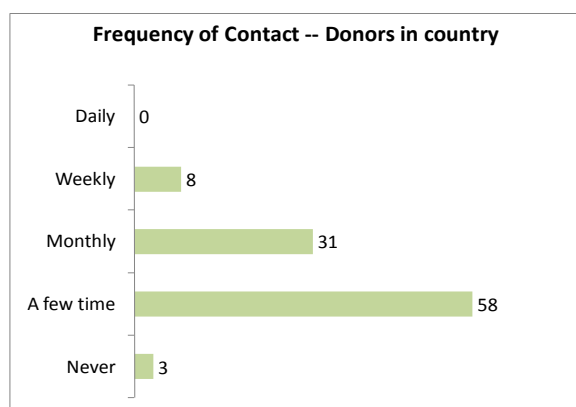
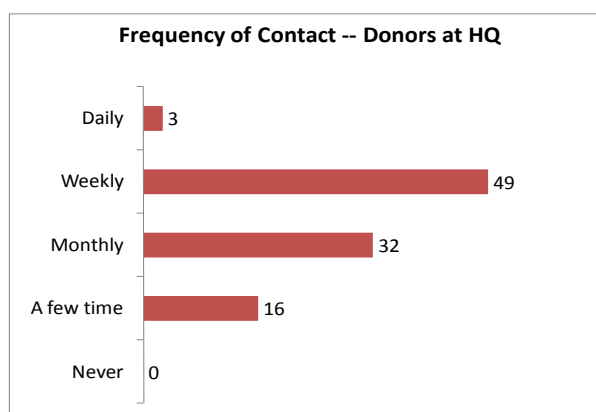
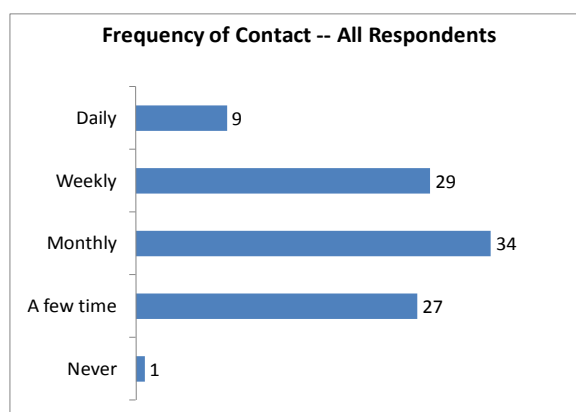


²⁴ All the charts in this appendix show un-weighted frequencies in percentage.

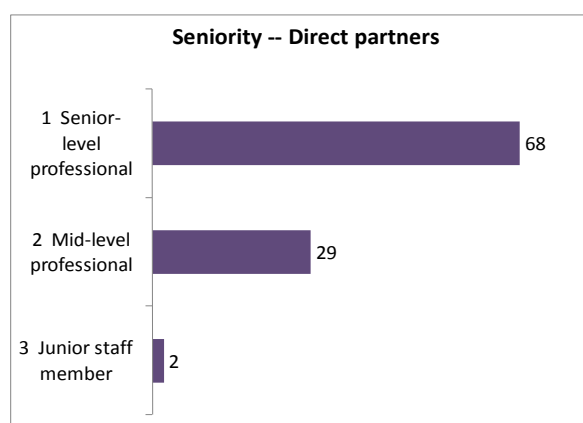
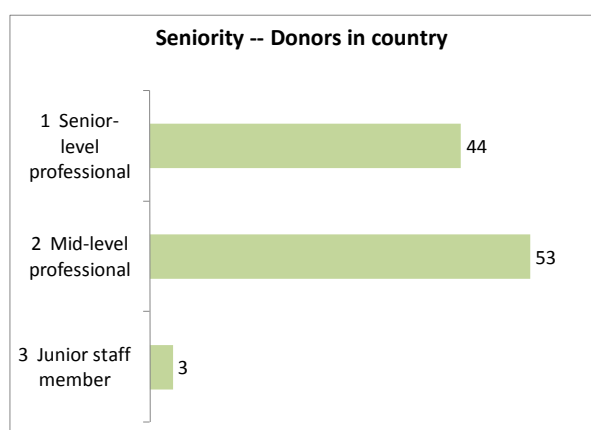
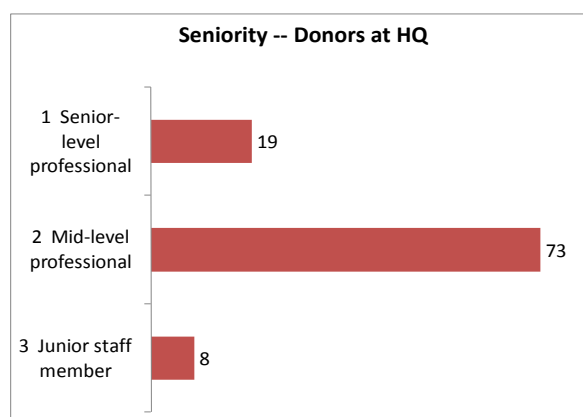
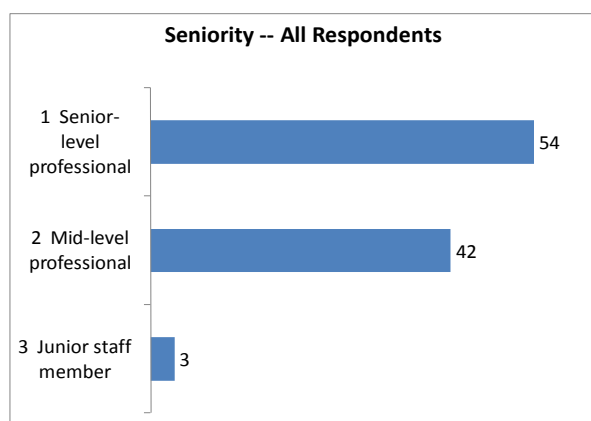
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



Respondent Level of Seniority



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

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

Strategic Management

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO’s Executive Management provides direction for the achievement of external / beneficiary focused results	238	13	37	11	62	26	139	3
A. MO has a value system that supports a results-orientation and a direct partner focus	238	17	37	14	62	37	139	2
B. MO Executive Management shows leadership on results management	37	5	37	5	--	--	--	--
C. Key MO documents are available to the public.	238	9	37	5	62	18	139	3
2. The MO’s corporate strategies and plans are focused on the achievement of results	37	8	37	8	--	--	--	--
A. The MOs organisation wide strategy is based on a clear definition of mandate	37	0	37	0	--	--	--	--
B. MO has an organisation wide policy on results management	37	11	37	11	--	--	--	--
C. Organisation wide plans and strategies contain frameworks of expected management and development results	37	8	37	8	--	--	--	--
D. Results frameworks have casual links from outputs through to impacts / final outcomes	37	11	37	11	--	--	--	--
E. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	37	8	37	8	--	--	--	--
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	238	18	37	14	62	33	139	8
A. Gender equality	238	12	37	8	62	24	139	3

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
B. Environmental policy, environmental assessment practices and overall environmental management system	238	34	37	30	62	56	139	17
C. Good Governance	238	18	37	14	62	33	139	7
D. Human Rights based approaches	238	10	37	5	62	20	139	5
E. Other priorities as identified (ex HIV and AIDS); example follows on HIV/AIDS	238	17	37	11	62	31	139	8
4. MO's country strategy is results-focused	201	25	--	--	62	43	139	7
A. Results frameworks that link results at project, program, sector, and country levels	201	26	--	--	62	42	139	9
B. Frameworks include indicators at project, program, sector, and country levels	201	28	--	--	62	47	139	8
C. Statements of expected results consistent with those in the PRSP, national plan, or UNDAF.	201	22	--	--	62	39	139	5
D. Statements of expected results are developed through consultation with direct partners and beneficiaries	201	25	--	--	62	45	139	6
E. Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate).	201	23	--	--	62	40	139	6

Operational Management

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO makes transparent and predictable aid allocation decisions	238	23	37	14	62	39	139	15
A. The MO publishes its criteria for allocating core budget resources	238	40	37	27	62	65	139	26
B. The MO allocates core budget resources according to the published criteria.	238	5	37	0	62	12	139	4
C. Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
2. MO's aid financial management is linked to aid performance management	37	26	37	26	--	--	--	--
A. Aid budget allocations (or lending) are linked to expected development results	37	22	37	22	--	--	--	--
B. Aid or lending disbursements are linked to reported results (variances explained)	37	30	37	30	--	--	--	--
3. MOs have policies and processes for financial accountability (financial accountability, risk management, anti-corruption)	841	36	37	26	248	63	556	19
A. Are external audits (meeting recognised international standards) performed across the organisation.	37	24	37	24	--	--	--	--
B. Are external audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	201	38	--	--	62	58	139	19
C. Are there guidelines in place for immediate measures against irregularities identified at the country (or other) level	201	41	--	--	62	63	139	18
D. Internal financial audit processes are used to provide management / governing bodies with neutral information	37	22	37	22	--	--	--	--
E. Does the MO have a policy on anti-corruption	238	35	37	16	62	68	139	21
F. Are the MO's procurement and contract management processes for the provision of services or goods timely, efficient and effective	201	39	--	--	62	61	139	17
G. MO has strategies in place for risk identification, mitigation, monitoring and reporting	37	41	37	41	--	--	--	--
4. Performance information on results is used by the MO for:	238	32	37	22	62	57	139	17
A. Revising and adjusting policies	37	24	37	24	--	--	--	--
B. Planning new interventions	201	26	--	--	62	42	139	10

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
(IFI) C. "unsatisfactory" investments, programs or projects from the previous fiscal year are subject to proactive management	201	48	--	--	62	72	139	24
D. Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	37	19	37	19	--	--	--	--
5. The MO manages human resources using methods to improve organisational performance	238	39	37	59	62	39	139	20
A. Results focused performance agreement systems are in place for senior staff (Including Country Directors)	37	59	37	59	--	--	--	--
B. There is a transparent incentive and reward system for staff performance	37	59	37	59	--	--	--	--
C. Staff recruitment and promotion is meritocratic and transparent	37	59	37	59	--	--	--	--
D. The speed of staff rotation in post is adequate for the development of effective country level partnerships	201	29	--	--	62	39	139	20
6. Country / regional programming processes are performance oriented.	201	24	--	--	62	39	139	9
A. Prior to approval new initiatives are subject to independent benefits analysis (economic, social, etc)	--	--	--	--	--	--	--	--
B. Milestones / targets are set to rate the progress of (project) implementation	201	24	--	--	62	39	139	9
7. The MO delegates decision-making authority (to the country or other levels)	201	40	--	--	62	56	139	24
A. Aid reallocation decisions can be made locally	201	26	--	--	62	44	139	9
B. New aid programs / projects can be approved locally within a budget cap	201	54	--	--	62	68	139	39

Relationship Management

	Total		Donors at HQ		Donors in country		Direct Partners	
	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	201	17	--	--	62	27	139	7
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	201	17	--	--	62	27	139	7
B. MO conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results	--	--	--	--	--	--	--	--
2. The MO's procedures take into account local conditions and capacities	201	28	--	--	62	48	139	9
A. The procedures of the MO can be easily understood and completed by partners	201	23	--	--	62	42	139	3
B. The length of time for completing MO procedures does not have a negative effect on implementation	201	29	--	--	62	54	139	3
C. The MO has the operational agility to respond quickly to changing circumstances on the ground	201	35	--	--	62	49	139	21
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]	201	27	--	--	62	46	139	8
3. The MO uses country systems for disbursement and operations	201	42	--	--	62	52	139	32
A % of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	201	43	--	--	62	56	139	31
B. % of the MOs overall ODA disbursements / support using national systems and procedures	201	40	--	--	62	57	139	23
C. % of all MOs project implementation units that operated in parallel with those of government structures	201	42	--	--	62	52	139	32
D. The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	201	42	--	--	62	38	139	46
E. The MO uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc)	201	43	--	--	62	58	139	27

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
4. The MO adds value to policy dialogue with its direct partners	201	13	37	0	62	34	139	6
A. MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	238	13	37	0	62	31	139	7
B. The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	238	14	37	0	62	37	139	4
5. The MOs harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate	201	21	--	--	62	34	139	8
A. The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	201	22	--	--	62	32	139	11
B. The extent to which MO technical cooperation is disbursed through coordinated programs	201	18	--	--	62	33	139	3
C. % of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	201	24	--	--	62	38	139	10

Knowledge Management

	Total		Donors at HQ		Donors in country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO consistently monitors and evaluates its delivery and external results	238	23	37	27	62	37	139	6
A. The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	37	30	37	30	--	--	--	--
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.	37	24	37	24	--	--	--	--
C. Have direct beneficiaries and stakeholder groups been involved with monitoring and evaluation processes	201	22	--	--	62	37	139	6
2. The MO presents performance information on its effectiveness	37	23	37	23	--	--	--	--
A. Reports on the achievement of outcomes, not just inputs, activities and outputs	37	11	37	11	--	--	--	--
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	37	35	37	35	--	--	--	--
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	37	32	37	32	--	--	--	--
A. Reports on lessons learned based on performance information	37	24	37	24	--	--	--	--
B. Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	37	41	37	41	--	--	--	--

Appendix V KPI and MI Data – by Quadrant

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

- a) equal weight is given to the views of each of the 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 un-weighted.

For all the tables in the appendix:

HQ = Donors at headquarter, CD = Donors in country, DP = Direct partners

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	DP
Base (unweighted):	238	37	62	139
1. Providing direction for results	4.48	4.52	3.99	4.74
A.i) Institutional culture reinforces a focus on results	4.30	4.09	3.86	4.76
A.ii) Institutional culture is direct-partner focused	4.60	4.81	4.10	4.80
B. Leadership on results management	4.54	4.54	--	--
C. Key documents available to the public	4.44	4.57	4.00	4.69
2. Corporate focus on results	4.44	4.44	--	--
A.i) Has a clear mandate	5.41	5.41	--	--
A. ii) Organisation-wide strategies aligned with mandate	5.11	5.11	--	--
B. Organisational policy on results management	4.12	4.12	--	--
C. Plans and strategies contain results frameworks	4.44	4.44	--	--
D. Results frameworks link outputs to final outcomes/impacts	4.17	4.17	--	--
E. Plans and strategies contain performance indicators	4.23	4.23	--	--
3. Focus on thematic priorities	4.69	4.83	4.26	4.86
A. Gender equality	5.06	5.26	4.72	5.12
B. Environment	4.07	4.23	3.47	4.25
C. Good Governance	4.46	4.38	4.00	4.88
D. Human Rights based approach	4.89	5.14	4.41	5.03
E. HIV/AIDS	4.98	5.15	4.68	5.04
4. Country focus on results	4.71	--	4.26	4.99
A. Frameworks link results at project, program, sector, and country levels	4.67	--	4.27	4.92
B. Frameworks include indicators at project, program, sector, and country levels	4.67	--	4.17	4.96
C. Expected results consistent with national development strategies	4.84	--	4.33	5.16
D. Results developed in consultation with clients and beneficiaries	4.58	--	4.05	4.90
E. Results for thematic priorities included in country level frameworks	4.80	--	4.46	5.02

II- Operational Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	238	37	62	139
1. Aid allocation decisions	4.30	4.44	3.71	4.39
A. Publishes criteria for allocating core budget resources	4.05	4.33	3.28	4.13
B. Allocations for core budget resources follow the criteria	4.54	4.54	4.13	4.65
2. Linking aid management to performance	3.61	3.61	--	--
A. Allocations linked to expected results	3.72	3.72	--	--
B. Disbursements linked to reported results (variances explained)	3.50	3.50	--	--
3. Financial accountability	4.57	4.47	4.07	4.97
A. External audits performed across the organisation	4.36	4.36	--	--
B. External audits performed at regional, country, and project level	4.82	--	4.16	5.15
C. Guidelines for immediate measures against irregularities	4.71	--	4.09	4.99
D. Internal financial audit processes provide neutral information	4.45	4.45	--	--
E. Policy on anti-corruption	4.67	4.58	4.07	5.02
F. Procurement /contract management timely, efficient and effective	4.47	--	3.95	4.71
G. Strategies for risk management	4.50	4.50	--	--
4. Using performance information	4.34	4.24	3.75	4.78
A. Using information for revising and adjusting policies	4.25	4.25	--	--
B. Using information for planning new interventions	4.56	--	3.99	4.92
C. Subjecting "unsatisfactory" investments to proactive management	4.33	--	3.50	4.64
D. Evaluation recommendations are acted upon	4.23	4.23	--	--
5. Managing human resources	4.16	4.13	3.80	4.55
A. Performance agreement systems for senior staff	4.20	4.20	--	--
B. Transparent incentive/reward system for staff performance	4.07	4.07	--	--
C. Staff recruitment and promotion is meritocratic and transparent	4.13	4.13	--	--
D. Staff rotation is adequate for development of effective partnerships	4.23	--	3.80	4.55
6. Performance oriented programming	4.71	--	4.25	5.01
A. New initiatives subject to benefits analysis	--	--	--	--
B. Milestones / targets to rate progress of implementation	4.71	--	4.25	5.01
7. Delegating decision making	4.61	--	4.19	4.85
A. Aid reallocation decisions can be made locally	4.72	--	4.25	5.01
B. New programs / projects can be approved locally within a budget cap	4.49	--	4.12	4.68

III- Relationship Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	238	37	62	139
1. Supporting national plans	4.54	--	4.02	4.95
A. Proposals developed with the national government or direct partners	4.54	--	4.02	4.95
B. Conditionality draws on national government's benchmarks / indicators / results	--	--	--	--
2. Adjusting procedures	4.05	--	3.42	4.42

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	238	37	62	139
A. Procedures easily understood and completed by direct partners	4.31	--	3.63	4.71
B. Length of time for procedures does not affect implementation	3.84	--	3.34	4.07
C. Ability to respond quickly to changing circumstances	3.96	--	3.30	4.38
D. Flexibility in implementation of projects/programs	4.10	--	3.41	4.50
3. Using country systems	4.28	--	3.48	4.82
A. ODA disbursements/support recorded in annual budget	4.32	--	3.66	4.74
B. i) ODA disbursements / support use national budget execution procedures	4.23	--	3.42	4.69
B. ii) ODA disbursements / support use national procurement systems	4.18	--	2.99	4.80
B. iii) ODA disbursements / support use national financial reporting procedures	4.15	--	3.18	4.68
B. iv) ODA disbursements / support use national auditing procedures	4.16	--	2.94	4.85
C. Avoids project implementation units that operate in parallel with government structures	4.30	--	3.45	4.91
D. Promotes mutual assessment of partnership commitments (mutual accountability)	4.33	--	3.79	4.94
E. Uses country systems (non-financial) for operations (ie monitoring, etc)	4.25	--	3.38	4.75
4. Contributing to policy dialogue	4.79	4.93	4.15	5.09
A. Reputation for high quality, valued policy dialogue inputs	4.76	5.00	3.92	5.11
B. Policy dialogue respects the views and perspectives of direct partners	4.82	4.86	4.37	5.06
5- Harmonising procedures	4.54	--	3.94	4.98
A. Participates in joint missions	4.53	--	3.92	4.99
B. Technical cooperation disbursed through coordinated programs	4.54	--	3.96	4.95
C. ODA disbursements / support for government-led PBAs	4.56	--	3.93	4.99

IV- Knowledge Management

	Mean scores			
	Total	HQ	CD	CL
Base (unweighted):	238	37	62	139
1. Monitoring external results	4.13	3.94	3.79	5.01
A. Independent evaluation unit	3.88	3.88	--	--
B. Completed programs and projects subject to independent evaluations	4.00	4.00	--	--
C. Direct beneficiaries and stakeholders involved in monitoring and evaluation	4.52	--	3.79	5.01
2. Presenting performance information	4.20	4.20	--	--
A. Reports on results, including outcomes	4.36	4.36	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	4.04	4.04	--	--
3. Disseminating lessons learned	4.16	4.16	--	--
A. Reports on lessons learned based on performance information	4.14	4.14	--	--
B. Shares lessons at all levels of the organisation	4.18	4.18	--	--

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

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 / DISCUSSION
DIRECTION FOR RESULTS			
1.1C	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 Sample: • Governance Meeting minutes & Decisions • Performance information (Annual Reports or other) • Organisation mandate & structure • Organisation-wide strategic plan • Key financial information (or found in Annual Report including donor funding information) • Thematic Reports • Audits and Evaluations • Disclosure / privacy policy	Met Governance Meeting Minutes and Decisions • UNFPA Website “UNFPA Executive Board Documents” (English only) http://www.unfpa.org/exbrd Performance Information (Annual Reports or other) • <u>Annual Report of the Executive Director, 2009 (available in 6 languages)</u> http://www.unfpa.org/exbrd/2010/2010_annual.html Organisation Mandate and Structure • Review of the Organisational Structure of UNFPA (English only) http://www.unfpa.org/public/about/pid/4631 • UNFPA Website “What is UNFPA’s Mandate?” (English only) http://www.unfpa.org/public/about/faqs#mandate Organisation-wide Strategic Plan • <u>UNFPA Strategic Plan 2008-2011 (available in 6 languages)</u> http://www.unfpa.org/exbrd/2007/2007_second.htm#strategicplan Key Financial Information • <u>Statistical and Financial Review, 2009 (available in 6 languages)</u> http://www.unfpa.org/exbrd/2010/2010_annual.html • <u>Review of the System for the Allocation of UNFPA Resources to Country Programmes (English only)</u>

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
			http://www.unfpa.org/public/about/pid/4631 - UNFPA Results-Based Biennial Support Budget (English only) http://www.unfpa.org/public/about/pid/4631 Thematic Reports - Thematic evaluation reports http://www.unfpa.org/public/cache/offonce/about/oversight/pid/4866 - State of the World Population (English, French, and Spanish) http://www.unfpa.org/swp/2009/es/index.shtml Audits and Evaluations - Periodic Report on Evaluation (available in 6 languages) http://www.unfpa.org/monitoring/reports.htm - UNFPA Internal Audit and Oversight Activities in 2009 (available in 6 languages) http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 (available in 6 languages) http://www.unfpa.org/exbrd/2010/2010_annual.html Disclosure/Privacy Policy - Information Disclosure Policy - From the UNFPA Policies and Procedures Manual (This is not available on UNFPA's website)
		2. (If first criterion met) <i>all</i> of the documents in the sample are available on the website	Not Met The UNFPA Disclosure/Privacy Policy is not available on the website.
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i>	Met Over half of the sampled documents are available in multiple languages, as can be seen in the evidence for criterion 1.
		4. A disclosure / privacy policy exists and is available on the MO website	Not Met UNFPA has an Information Disclosure Policy, but it is not available on the UNFPA website.

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		5. Clear procedures exist to contact the MO	Met The contact page provides the address, telephone, and fax numbers for the general public and specific information for Media inquiries, publications, employment opportunities, and procurement opportunities, as well as online communications. Contact information is available for all regional, country, and liaison offices. http://www.unfpa.org/exbrd/2008/2008_annual.htm
OVERALL SCORE MI 1.1C: ADEQUATE		OVERALL COMMENTS:	
CORPORATE STRATEGY			
1.2A	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.	Met UNFPA website "What is the UNFPA Mandate?" http://www.unfpa.org/public/about/faqs#mandate
		2. The organisational strategic plan articulates goals & focus priorities.	Met Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		3. The organisational strategic plan mentions the MO's mandate/articles of agreement.	Met Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.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 Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.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 Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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)	Not Met UNFPA Results-Based Management Policy 2010 Draft
		2. (If first criterion is met) this document defines what RBM is within the MO.	Not Met - The first criterion was not met. - UNFPA Results-Based Management Policy 2010 Draft
		3. (If first criterion is met) this document identifies the purpose & benefits of RBM (accountability and learning).	Not Met UNFPA Results-Based Management Policy 2010 Draft
		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.	Not Met UNFPA Results-Based Management Policy 2010 Draft
		5. (If first criterion is met) this document identifies roles, responsibilities and accountabilities for results management.	Not Met UNFPA Results-Based Management Policy 2010 Draft
OVERALL SCORE MI 1.2B: VERY WEAK		OVERALL COMMENTS:	The 2010 Draft RBM Policy has not yet been corporately approved.
1.2C	Organisation wide plans and strategies	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 Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
	contain frameworks of expected management and development results.	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 Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		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 Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.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).	Not Met Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		5. (If all above criteria met) all above criteria are met for both MRF and DRF.	Not Met Not all above criteria are met for both MRF and DRF.
		OVERALL SCORE MI 1.2C: ADEQUATE	
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 Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.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.	Not Met Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		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.	Not Met All above criteria are not met

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		4. There is a plausible link between outcomes and impacts.	Not Met Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		5. (If all above criteria are met) all above criteria met for both MRF and DRF.	Not Met All above criteria are not met.
OVERALL SCORE MI 1.2D: WEAK		OVERALL COMMENTS:	In the results frameworks, not all outputs and outcomes are properly defined, according to OECD/DAC criteria. Therefore, it is difficult to link outputs to outcomes.
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.	Not Met - Strategic plan, 2008-2011: Accelerating progress and national ownership of the ICPD Programme of Action http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf - UNFPA Strategic Plan 2008-2011: Development and Management Results Frameworks Indicators, Baselines and Targets http://www.unfpa.org/public/about/pid/4631_development_and_management_results_frameworks
		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).	Not Met UNFPA Strategic Plan 2008-2011: Development and Management Results Frameworks Indicators, Baselines and Targets http://www.unfpa.org/public/about/pid/4631_development_and_management_results_frameworks
		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 UNFPA Strategic Plan 2008-2011: Development and Management Results Frameworks Indicators, Baselines and Targets http://www.unfpa.org/public/about/pid/4631_development_and_management_results_frameworks
		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 UNFPA Strategic Plan 2008-2011: Development and Management Results Frameworks Indicators, Baselines and Targets http://www.unfpa.org/public/about/pid/4631_development_and_management_results_frameworks

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 UNFPA Strategic Plan 2008-2011: Development and Management Results Frameworks Indicators, Baselines and Targets http://www.unfpa.org/public/about/pid/4631/development_and_management_results_frameworks
OVERALL SCORE MI 1.2E: ADEQUATE		OVERALL COMMENTS:	- Due to the fact that many of the results are large in scope, the indicators are not always relevant to the results. - For criterion 1, results frameworks do not contain a reasonable number of indicators; there are more indicators than can be properly managed. - Targets are specific enough that it is clear what is to be measured. - Baseline data and targets with specified dates are presented for each outcome indicator in the document on Development and Management Results, Frameworks, Indicators, Baselines, and Targets.
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 Delivering on the promise of equality: UNFPA's strategic framework on gender mainstreaming & women's empowerment 2008-2011 http://www.undp.org/execbrd/word/UNFPA%20document%20on%20gender%20mainstreaming.doc
		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 Delivering on the promise of equality: UNFPA's strategic framework on gender mainstreaming & women's empowerment 2008-2011 http://www.undp.org/execbrd/word/UNFPA%20document%20on%20gender%20mainstreaming.doc
		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 - Delivering on the promise of equality: UNFPA's strategic framework on gender mainstreaming & women's empowerment 2008-2011 http://www.undp.org/execbrd/word/UNFPA%20document%20on%20gender%20mainstreaming.doc - UNFPA Strategic Plan Results Framework 2008-2011 www.unfpa.org/exbrd/2008/.../strategic_plan_indicators.doc

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 - Delivering on the promise of equality: UNFPA's strategic framework on gender mainstreaming & women's empowerment 2008-2011 http://www.unfpa.org/webdav/site/global/shared/documents/publications/2007/gender_report_2007.pdf - Estimates for the biennial support budget, 2008-2009 www.unfpa.org/exbrd/2008/firstsession/dpfpa_2008_1.doc
		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.	Met Focusing on Gender: An Assessment of Gender Integration in UNFPA Materials Produced Between 1997 and Early 2005 http://www.unfpa.org/public/site/global/lang/en/pid/372
OVERALL SCORE MI 1.3A: VERY STRONG		OVERALL COMMENTS:	- Gender is a core component of UNFPA's mandate. - As a core component of the organisation's mandate, resources are allocated to the evaluation of gender initiatives, as specified in the Biennial Support Budget.
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 UNFPA Statement: Population and Climate Change Framework of UNFPA's Agenda http://www.unfpa.org/pds/climate/docs/climate_change_unfpa.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	Not Met UNFPA Statement: Population and Climate Change Framework of UNFPA's Agenda http://www.unfpa.org/pds/climate/docs/climate_change_unfpa.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 UNFPA Statement: Population and Climate Change Framework of UNFPA's Agenda http://www.unfpa.org/pds/climate/docs/climate_change_unfpa.pdf

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or environment policy commits the organisation to evaluate the implementation of the environmental policy/strategy.	Not Met UNFPA Statement: Population and Climate Change Framework of UNFPA's Agenda http://www.unfpa.org/pds/climate/docs/climate_change_unfpa.pdf
		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 Criterion 4 is not met
OVERALL SCORE MI 1.3B: INADEQUATE		OVERALL COMMENTS:	The Environment does not form part of UNFPA's core mandate.
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	Not Met No evidence found.
		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	Not Met Previous criterion not met
		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 Previous criteria not met
		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	Not Met Previous criteria not met

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 Previous criteria not met
OVERALL SCORE MI 1.3C: VERY WEAK		OVERALL COMMENTS:	Good governance does not form part of UNFPA's core mandate.
1.3D	Human Rights based approaches	1. An organisation-wide strategic plan exists and is corporately approved, and it commits the organisation to adopt a human rights based approach to programming.	Met Rights into Action: UNFPA Implements Human Rights-Based Approach http://www.unfpa.org/publications/detail.cfm?ID=264&filterListType=
		2. (If the first criterion is met) the organisation commits to adopt human rights based approaches in its <i>operational management activities</i> , either in the organisation-wide strategic plan or in a separate policy document (This refers to organisational efforts to improve staff capacity, system capacity, to be able to implement HRB approaches).	Met Towards a Common Understanding Among the UN Agencies http://www.hreoc.gov.au/social_justice/conference/engaging_communities/un_common_understanding_rba.pdf
		3. (If the first criterion is met) the organisation commits to adopt human rights based approaches in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. (While there are UN system wide policy and guidelines, we do believe that it is important for an organisation to outline how it will take on the HRB approach and what it means for their specific areas and ways of working.)	Met Rights into Action: UNFPA Implements Human Rights-Based Approach http://www.unfpa.org/publications/detail.cfm?ID=264&filterListType=

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or human rights policy commits the organisation to evaluate the implementation of the human rights policy/strategy (Or is their evidence that the organisation has integrated a review of HRB in the evaluations they have recently conducted?)	Met Strengthening Evaluation for Improved Programming: UNFPA Evaluation Quality Assessment http://www.unfpa.org/upload/lib_pub_file/714_filename_eva_assessment.pdf
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to human rights based approaches. 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.	Met Strengthening Evaluation for Improved Programming: UNFPA Evaluation Quality Assessment http://www.unfpa.org/upload/lib_pub_file/714_filename_eva_assessment.pdf
OVERALL SCORE MI 1.3D: VERY STRONG		OVERALL COMMENTS:	- The UNFPA Rights into Action document does not explicitly mention how it will incorporate a human rights-based approach into its operational management activities. However, the Common Understanding (which the UNFPA signed) commits the UNFPA to adopt the rights-based approach in its operational activities. - The UNFPA strategy on implementing a Human Rights-Based Approach does not commit the organisation to evaluate the implementation of the strategy. However, the UNFPA Evaluation Quality Assessment (2007-2008) assesses to what extent evaluations are looking at UNFPA's incorporation of a Human Rights-Based Approach.
1.3E	Other priorities as identified (ex HIV and AIDS); example follows on 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 Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		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	Not Met Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HIV/AIDS policy commits the organisation to evaluate the implementation of the HIV/AIDS policy/strategy	Met Strategic Plan 2008-2011: Accelerating Progress and National Ownership on the ICPD Programme of Action. http://www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_17_eng.pdf
		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.	Met An Evaluation of UNFPA's Support for Preventing the Spread of HIV/AIDS (dated 2001) http://data.unaids.org/pub/BaseDocument/2010/20100317_sie_implementation_plan_en.pdf
OVERALL SCORE MI 1.3E: STRONG		OVERALL COMMENTS:	The Strategic plan does not commit the organization to integrate HIV/AIDS in its operational management activities. However, the UNFPA is a part of the UN system, which requires all UN agencies to follow the U.N. Cares programme
STRATEGIES – COUNTRY, REGIONAL, THEMATIC			

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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 - Country strategies (Country Programme Documents) exist for all five sampled countries (Afghanistan, Indonesia, Kenya, Nicaragua and Zambia) and contain statements of expected results articulated at output and outcome levels. Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 Afghanistan Country Program Action Plan Indonesia Country Program Action Plan Kenya Country Program Action Plan Nicaragua Annual Work Plan Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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)	Not Met • In more than half of the country strategies, not all results statements are appropriate to their results level. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Not Met • The country strategies sampled do not explicitly link expected results of projects and/or programmes to expected results at country level. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 - All country programmes sampled provide explicit links between expected results of sector (programme component) strategies to expected results at country level. The sector strategies are Reproductive Health and Rights, Population and Development and Gender Equality. Each of these sectors is linked to specific country level outcomes and outputs. Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 Afghanistan Country Program Action Plan Indonesia Country Program Action Plan Kenya Country Program Action Plan Nicaragua Annual Work Plan Zambia Country Program Action Plan
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled	Not Met Not all above criteria are met.
		OVERALL SCORE MI 1.4A: INADEQUATE	OVERALL COMMENTS:

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Not Met • Results are large in scope, making it difficult to assign relevant performance indicators. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan
		4. (If first criterion is met) data sources and data collection methods are clear for more than half of the performance indicators	Not Met • There is no indication on the data sources and data collection methods in the results frameworks of the country strategies sampled.

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan
OVERALL SCORE MI 1.4B: ADEQUATE		OVERALL COMMENTS:	

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		2. At least two country strategies contain reference to the country's national development strategy, PRSP or UNDAF as applicable	Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		5. (If all above criteria are met) all above criteria are met for all country strategies sampled	Not Met • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. • <u>Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3</u> • <u>Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7</u> • <u>Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7</u> • <u>Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7</u> • <u>Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6</u> • <u>Afghanistan Country Program Action Plan</u> • <u>Indonesia Country Program Action Plan</u> • <u>Kenya Country Program Action Plan</u> • <u>Nicaragua Annual Work Plan</u> • <u>Zambia Country Program Action Plan</u>
OVERALL SCORE MI 1.4C: STRONG		OVERALL COMMENTS:	

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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 • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Met • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. • <u>Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3</u> <u>www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc</u> • <u>Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7</u> <u>www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc</u> • <u>Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7</u> <u>www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc</u> • <u>Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7</u> <u>http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf</u> • <u>Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6</u> <u>www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc</u> • <u>Afghanistan Country Program Action Plan</u> • <u>Indonesia Country Program Action Plan</u> • <u>Kenya Country Program Action Plan</u> • <u>Nicaragua Annual Work Plan</u> • <u>Zambia Country Program Action Plan</u>

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		3. More than half of the country strategies sampled describe all of the key cross-cutting themes for the organization being assessed	Met • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

QUAD. / KPI	MICRO- INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		5. (If first criterion is met) more than half of country strategies sampled contain reference to international agreements, treaties & conventions governing the theme / issue	Met • The Afghanistan Country Program Action Plan does not explicitly mention UNDAF. However, all others do. • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan
OVERALL SCORE MI 1.4E: VERY STRONG		OVERALL COMMENTS:	• All of the country strategies sampled identify at least two of the organisationally relevant cross-cutting themes – gender equality; human rights based approaches; or HIV/AIDS.

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 The Review of the System for the Allocation of UNFPA Resources to Country Programmes ((DP/FPA/2007/18). http://67.205.103.77/about/direction.htm
		2. (If first criterion is met) this model/formula is up to date (applies to 2010)	Met The Review of the System for the Allocation of UNFPA Resources to Country Programmes ((DP/FPA/2007/18). http://67.205.103.77/about/direction.htm
		3. (If first criterion is met) this model/formula is published on the MO web site	Met - The model/formula for aid allocation is published on the UNFPA website. - UNFPA website “New Directions”: http://67.205.103.77/about/direction.htm
OVERALL SCORE MI 2.1A: VERY STRONG		OVERALL COMMENTS:	
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.	N/A UNFPA was not assessed for this indicator
		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.	
		Adequate = Between 51% and 70% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		Strong = Between 71% and 80% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	
OVERALL SCORE MI 2.1C: N/A		OVERALL COMMENTS:	N/A • UNFPA was not assessed for this indicator
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	N/A • UNFPA was not assessed for this indicator
		2. Some outputs and/or outcomes from the DRF and MRF are costed in the budget document	
		3. Most outputs and/or outcomes in the DRF and MRF are costed in the budget document	
		4. There is evidence of improvement over time in budget documents reviewed (evidence of building a better system)	
		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	
OVERALL SCORE MI 2.2A: N/A		OVERALL COMMENTS:	N/A • UNFPA was not assessed for this indicator
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)	N/A • UNFPA was not assessed for this indicator
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan	

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported	
		4. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported AND justified.	
		5. There is evidence of improvement over time in financial reports reviewed.	
OVERALL SCORE MI 2.2B: N/A		OVERALL COMMENTS:	N/A • UNFPA was not assessed for this indicator
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 • UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors Error! Hyperlink reference not valid.
		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 • UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement
		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 • UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 - UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement - UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2005 from the Board of Auditors http://www.unfpa.org/exbrd/2007/firstsession/a_61_5_add7_eng.pdf
		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 - UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement - UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2005 from the Board of Auditors http://www.unfpa.org/exbrd/2007/firstsession/a_61_5_add7_eng.pdf
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 - United Nations Population Fund Financial Report and Audited Financial Statements for the Biennium Ended 31 December 2007 http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement - Terms of Reference for Audit of UNFPA Funds Implemented by Partners (NEX) 2009
		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	Not Met United Nations Population Fund Financial Report and Audited Financial Statements for the Biennium Ended 31 December 2007 http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 United Nations Population Fund Financial Report and Audited Financial Statements for the Biennium Ended 31 December 2007 http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement
		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 United Nations Population Fund Financial Report and Audited Financial Statements for the Biennium Ended 31 December 2007 http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement
		5. External financial audit reports at country/project/regional level are made available to the public by the MO	Met External audits are not published on the UNFPA website, but can be made available to member countries upon request.
OVERALL SCORE MI 2.3B: ADEQUATE		OVERALL COMMENTS:	Adherence to international standards is required, as outlined in the <u>Terms of Reference for Audit of UNFPA Funds Implemented by Partners (NEX) 2009</u> . However, the Board of Auditors criticizes the quality of the NEX audits in the <u>UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors</u> .
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 UNFPA Oversight Policy www.unfpa.org/monitoring/documents/oversight_policy.doc
		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 UNFPA Oversight Policy www.unfpa.org/monitoring/documents/oversight_policy.doc

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time)	Met - All recommendations should be implemented within 24 months of acceptance. The target completion date for each recommendation is contained in the audit recommendation table available on the Executive Board web page. - Follow-Up to the Report of the United Nations Board of Auditors for 2006-2007: Status of Implementation of Recommendations www.unfpa.org/exbrd/2010/first.../report_board_auditors.doc - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html
		4. There is sufficient evidence (in the suite of documents about audit) that there is a process for following up on audits	Met Follow-Up to the Report of the United Nations Board of Auditors for 2006-2007: Status of Implementation of Recommendations www.unfpa.org/exbrd/2010/first.../report_board_auditors.doc
		5. There is extensive evidence (in the suite of documents about audit) that there is a process for following up on audits.	Met Follow-Up to the Report of the United Nations Board of Auditors for 2006-2007: Status of Implementation of Recommendations www.unfpa.org/exbrd/2010/first.../report_board_auditors.doc
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 UNFPA Internal Audit and Oversight Activities in 2008 http://www.unfpa.org/public/site/global/lang/en/pid/4866
		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 UNFPA Oversight Policy www.unfpa.org/monitoring/documents/oversight_policy.doc

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separated enough from the programming areas to be able to provide an “independent” audit opinion (it reports to the CEO of the MO or to Finance VP.) The key is that internal auditors are not influenced by the programs they are auditing.	Met UNFPA Internal Audit and Oversight Activities in 2008 http://www.unfpa.org/public/site/global/lang/en/pid/4866
		4. There is evidence in these documents that the internal audit function reports directly to the Board, thus providing maximum assurance of its independence from programming	Not Met - Internal Audit activities are reported to the UNFPA’s Executive Board through its Executive Director in the <u>UNFPA Report on Internal Audit and Oversight Activities</u>. - UNFPA Internal Audit and Oversight Activities in 2008 http://www.unfpa.org/public/site/global/lang/en/pid/4866
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information	Met UNFPA Internal Audit and Oversight Activities in 2008 http://www.unfpa.org/public/site/global/lang/en/pid/4866
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 UNFPA Fraud Policy 2009
		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 UNFPA Fraud Policy 2009
		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	Not Met UNFPA Fraud Policy 2009

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 • UNFPA Fraud Policy 2009
		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.	Not Met • UNFPA Fraud Policy 2009
OVERALL SCORE MI 2.3E: ADEQUATE		OVERALL COMMENTS:	• The Fraud Policy only discusses Fraud and not other types of corruption, as outlined in the international framework on anti-corruption. • The policy does not commit the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption.
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)	Not Met • UNFPA Internal Audit and Oversight Activities in 2008
		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	Not Met • UNFPA Internal Audit and Oversight Activities in 2008
		3. (If first criterion is met) this document commits the MO to risk management in its operational management practices	Not Met • UNFPA Internal Audit and Oversight Activities in 2008
		4. (If first criterion is met) this document commits the MO to risk management in its project/programme delivery	Not Met • UNFPA Internal Audit and Oversight Activities in 2008

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	Not Met UNFPA Internal Audit and Oversight Activities in 2008 http://www.unfpa.org/public/site/global/lang/en/pid/4866
		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	
		7. (If the sixth criterion met) at least one such policy, strategy, framework or guidelines meets criteria 2 through 5, above	
		8. The suite of documents on risk managements addresses most components of a risk framework	
OVERALL SCORE MI 2.3G: VERY WEAK		OVERALL COMMENTS:	Although risk is discussed within the DOS, UNFPA does not have a risk management strategy.
PERFORMANCE MANAGEMENT			
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 - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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)	Not Met - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		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 - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		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	Not Met - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Not Met - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
OVERALL SCORE MI 2.4A: INADEQUATE		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 UNFPA website: Country Programme Performance Summaries http://www.unfpa.org/exbrd/2009/2009_second_countrydata.html
		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 - Kenya Final Evaluation Report (Country Brief) 2004-2008 - Evaluation of the UNFPA Country Programme and the Tsunami Response and Regional Projects for Sri Lanka (2007)

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Not Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

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	Not Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan
		5. (If all above criteria are met) all criteria met for all countries	Not Met • Not all above criteria are met.
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 • The 2009 UNFPA Evaluation Policy www.unfpa.org/exbrd/2009/annual_session/eval_policy.doc
		2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations)	Not Met • The 2009 UNFPA Evaluation Policy www.unfpa.org/exbrd/2009/annual_session/eval_policy.doc

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 Organisation) and/or Governing Bodies (Executive Boards).	Not Met No evidence found.
		4. There is evidence of <u>periodic reports</u> on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Met 2008 Periodic Report on Evaluation http://www.unfpa.org/public/site/global/lang/en/pid/4866
		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.	Met 2008 Periodic Report on Evaluation http://www.unfpa.org/public/site/global/lang/en/pid/4866
OVERALL SCORE MI 2.4D: ADEQUATE		OVERALL COMMENTS:	
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 UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc
		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 UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc
		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 UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		4. (If the first two criteria are met) There is an explicit policy (HR or otherwise) that summarizes all the aims and content of the performance management system for staff	Not Met UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc
		5. 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.	Not Met No evidence found.
OVERALL SCORE MI 2.5A: ADEQUATE		OVERALL COMMENTS:	The Accountability Framework presents information on the PAD system, but the information is incomplete. It does not discuss the approach to creating performance agreements and the content of these agreements.
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 UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc
		2. There is evidence that the system for managing staff performance is operational	Met UNFPA Recognition and Rewards Policy
		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 UNFPA Recognition and Rewards Policy
		4. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next), sanctions or rewards	Not Met UNFPA Recognition and Rewards Policy

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		5. There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards. 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 evidence found.
OVERALL SCORE MI 2.5B: ADEQUATE		OVERALL COMMENTS:	
PORTFOLIO MANAGEMENT			
2.6B	Milestones / targets are set to rate the progress of (project) implementation	1. <i>At least two of the PIPs or country workplans</i> sampled contain a description of milestones and/or targets for project/programme implementation	Met Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 Afghanistan Country Program Action Plan Indonesia Country Program Action Plan Kenya Country Program Action Plan Nicaragua Annual Work Plan Zambia Country Program Action Plan

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		2. (If first criterion is met) <i>all of the PIPs</i> or country workplans sampled contain a description of milestones and/or targets for project/programme implementation	Not Met • The CPAP for Afghanistan does not include any targets. • <u>Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3</u> • <u>Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7</u> • <u>Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7</u> • <u>Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7</u> • <u>Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6</u> • <u>Afghanistan Country Program Action Plan</u> • <u>Indonesia Country Program Action Plan</u> • <u>Kenya Country Program Action Plan</u> • <u>Nicaragua Annual Work Plan</u> • <u>Zambia Country Program Action Plan</u>

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		3. (If first criterion is met) in most cases, the milestones/target provided align with activities described in the project/programme implementation	Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • Afghanistan Country Program Action Plan • Indonesia Country Program Action Plan • Kenya Country Program Action Plan • Nicaragua Annual Work Plan • Zambia Country Program Action Plan

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 - Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc - Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc - Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc - Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf - Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc - Afghanistan Country Program Action Plan - Indonesia Country Program Action Plan - Kenya Country Program Action Plan - Nicaragua Annual Work Plan - Zambia Country Program Action Plan
		5. (If all above criteria met) all above criteria met for all PIPs or country workplans sampled	Not Met Not all above criteria are met.
		OVERALL SCORE MI 2.6B: INADEQUATE	
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	Met UNFPA Financial Regulations and Rules http://www.undp.org/procurement/documents/UNDP%20FRR.pdf
		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 (in other words, MO staff in the country office can make decisions about reallocating funds)	Met UNFPA Programme Document 2008

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Met UNFPA Programme Document 2008
		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)	Met - The UNFPA has recently undergone an extensive decentralization process. - UNFPA Programme Document 2008
		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	Not Met No evidence found.
OVERALL SCORE MI 2.7A: STRONG		OVERALL COMMENTS:	The UNFPA Programme Document 2008 specifies that aid reallocation decisions can be made locally within the program's budget envelope.
2.7B	New aid programmes / projects can be approved locally within a budget cap	1. An organisation-wide policy or other document exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	Met UNFPA Financial Regulations and Rules http://www.undp.org/procurement/documents/UNDP%20FRR.pdf
		2. (If first criterion is met) this policy or other document 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.	Met UNFPA Programme Document 2008

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Met • UNFPA Programme Document 2008
		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)	Met • The UNFPA has recently undergone an extensive decentralization process. • UNFPA Programme Document 2008
		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)	Not Met • No evidence found.
OVERALL SCORE MI 2.7B: STRONG		OVERALL COMMENTS:	

QUADRANT III – RELATIONSHIP MANAGEMENT

This Quadrant was not assessed for the UNFPA by the Document Review.

QUADRANT IV – KNOWLEDGE MANAGEMENT

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
PERFORMANCE MONITORING AND EVALUATION			
4.1A	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	1. An organisation-wide (central) evaluation unit or function exists	Met UNFPA Evaluation Policy http://www.unfpa.org/exbrd/2009/2009_annual.html
		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 - UNFPA Evaluation Policy http://www.unfpa.org/exbrd/2009/2009_annual.html - Report of the Executive Board on its work during 2009 http://www.undp.org/execbrd/reports.shtml
		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 Organisation) or Board on evaluations and follow-up to evaluations	Met 2008 Periodic Report on Evaluation http://www.unfpa.org/public/site/global/lang/en/pid/4866
		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).	Not Met Report of the Executive Board on its work during 2009 http://www.undp.org/execbrd/reports.shtml
		5. The central evaluation unit reports directly to the MO's Executive Board	Not Met Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
OVERALL SCORE MI 4.1A: ADEQUATE		OVERALL COMMENTS:	The UNFPA Evaluation Policy was introduced in 2009. Although the UNEG Guidelines specify that UN agencies should have structurally independent evaluation units, UNFPA's Executive Board accepted the fact that the UNFPA Evaluation Unit would be located within the Division for Oversight Services and would therefore, not be structurally independent. In the <u>Report of the Executive Board on its work during 2009</u>, the Executive Board accepted the non-structurally independent nature of the UNFPA's evaluation unit for practical reasons.

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. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent, ex-post evaluations of projects and programmes	Met UNFPA Evaluation Policy http://www.unfpa.org/exbrd/2009/2009_annual.html
		2. (If first criterion met) this policy or plan defines the evaluation coverage of projects and programmes (i.e., the number or percent of projects/programmes requiring evaluations of <i>any type</i>) or it clearly explains how evaluations are planned and prioritized .	Not Met UNFPA Evaluation Policy http://www.unfpa.org/exbrd/2009/2009_annual.html
		3. (If first criterion met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an <i>independent ex-post</i> evaluation	Not Met UNFPA Evaluation Policy http://www.unfpa.org/exbrd/2009/2009_annual.html
		4. Reports of independent, ex-post evaluations are available for <i>at least two</i> countries sampled	Met - Kenya Final Evaluation Report (Country Brief) 2004-2008 - Mid Term Review of the UNFPA Basic Social Services Outcome in Zambia from 2007-2008.
		5. (If fourth criterion met) reports of independent, ex-post evaluations exist for <i>all</i> countries sampled	Not Met Not enough evidence found.
		OVERALL SCORE MI 4.1B: INADEQUATE	
PERFORMANCE REPORTING			
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 UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		2. (If first criterion is met) the most recent performance report sampled describes outcomes achieved in addition to outputs	Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html
		3. The most recent performance report sampled discusses both expected and unexpected outcomes achieved	Not Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html
		4. 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)	Not Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i>	Not Met Not all above criteria are met
		OVERALL SCORE MI 4.2A: INADEQUATE	
4.2B	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level	Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		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 UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		3. (If first two criteria are met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years)	Not Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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 UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Not Met Not all above criteria are met
OVERALL SCORE MI 4.2B: ADEQUATE		OVERALL COMMENTS:	The Annual Report provides a DRF and MRF in which the indicators are measured to 2007 baselines and 2011 targets and present achieved targets for 2009.
4.2C	Reports against its Corporate Strategy, including expected management and development results	1. Annual performance reports exist at the organisation-wide level	Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		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 UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		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 UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		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	Not Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. http://www.unfpa.org/exbrd/2010/2010_annual.html
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Not Met Not all above criteria are met
OVERALL SCORE MI 4.2C: ADEQUATE		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	Not Met - There is no evidence that an annual, organisation-wide report exists, which reports on UNFPA's performance against Paris Declaration commitments. UNFPA Annual Report of the Executive Director for 2009 http://www.unfpa.org/exbrd/2007/2007_annual.htm Guidance note on UNFPA's Role in a Changing Aid Environment: From Policy to Practice. 2010 UNFPA 2009 Performance Against Paris Indicators Assessing Commitment to the Paris Declaration http://www.undp.org/evaluation/documents/thematic/pd/ch3.pdf - The Evaluation of the UNDG Contribution to the Implementation of the Paris Declaration on Aid Effectiveness www.undp.org/evaluation/documents/thematic/pd/ch1.pdf
		2. (If the first criterion is met) the most recent report describes the extent of achievement to date of PD commitments, using indicators	Not Met First criterion is not met
		3. (If the first two criteria are met) the most recent report shows country targets for PD commitments	Not Met First criterion is not met
		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 First criterion is not met
		5. (If all above criteria are met) all above criteria are met for all reports sampled	Not Met First criterion is not met
OVERALL SCORE MI 4.2D: VERY WEAK		OVERALL COMMENTS:	

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
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 - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		2. (If first criterion is met) one performance report reviewed describes 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 of what has been learned from collecting performance information in the form of monitoring information and/or evaluations that address results achievement and other organizational performance issues)	Not Met - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		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	Met UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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	Not Met - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		5. (If all above criteria are met) all performance reports reviewed meet all above criteria.	Not Met Not all above criteria are met
OVERALL SCORE MI 4.2E: INADEQUATE		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 - Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc - Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc - Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc - Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf - Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc - UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html - Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html - Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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)	Not Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html • Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html • Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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.	Not Met • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html • Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html • Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html

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 • Afghanistan Final Country Programme – 2009 - DP/FPA/CPD/AFG/3 www.unfpa.org/exbrd/2009/second_session/afghanistan_final.doc • Indonesia Draft Country Programme – 2005 - DP/FPA/DCP/IDN/7 www.unfpa.org/exbrd/2005/secondsession/cpd-indonesia.doc • Kenya Final Country Programme – 2008 - DP/FPA/CPD/KEN/7 www.unfpa.org/exbrd/2009/firstsession/country_programme_kenya.doc • Nicaragua Draft Country Programme - 2007 - DP/FPA/DCP/NIC/7 http://www.unfpa.org/exbrd/2007/secondsession/draft/dpfpa_dcp_nic_7.pdf • Zambia Final Country Programme – 2006 - DP/FPA/CPD/ZMB/6 www.unfpa.org/exbrd/2007/firstsession/dpfpa_zmb_6_eng.doc • UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html • Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html • Management Response to the Biennial Report on Evaluation, 2010 http://www.unfpa.org/exbrd/2010/2010_annual.html
		5. (If all above criteria are met) all criteria met for all countries.	Not Met • Not all above criteria are met
OVERALL SCORE MI 4.2F:		OVERALL COMMENTS:	-
DISSEMINATION OF LESSONS LEARNED			
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 • UNFPA Evaluation Policy • http://www.unfpa.org/exbrd/2009/2009_annual.html

QUAD. / KPI	MICRO-INDICATOR	CRITERIA	EVIDENCE / DISCUSSION
		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)	Not Met • No evidence found • UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan • http://www.unfpa.org/exbrd/2010/2010_annual.html
		3. (If the second 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.	Not Met • Second criteria is not met
		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.	Not Met • Third criteria is not met
		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	Not Met • No evidence found
		OVERALL SCORE MI 4.3A: WEAK	OVERALL COMMENTS: