

2020 Assessment Cycle

**MOPAN**

Methodology



# **MOPAN 3.1**

## Methodology

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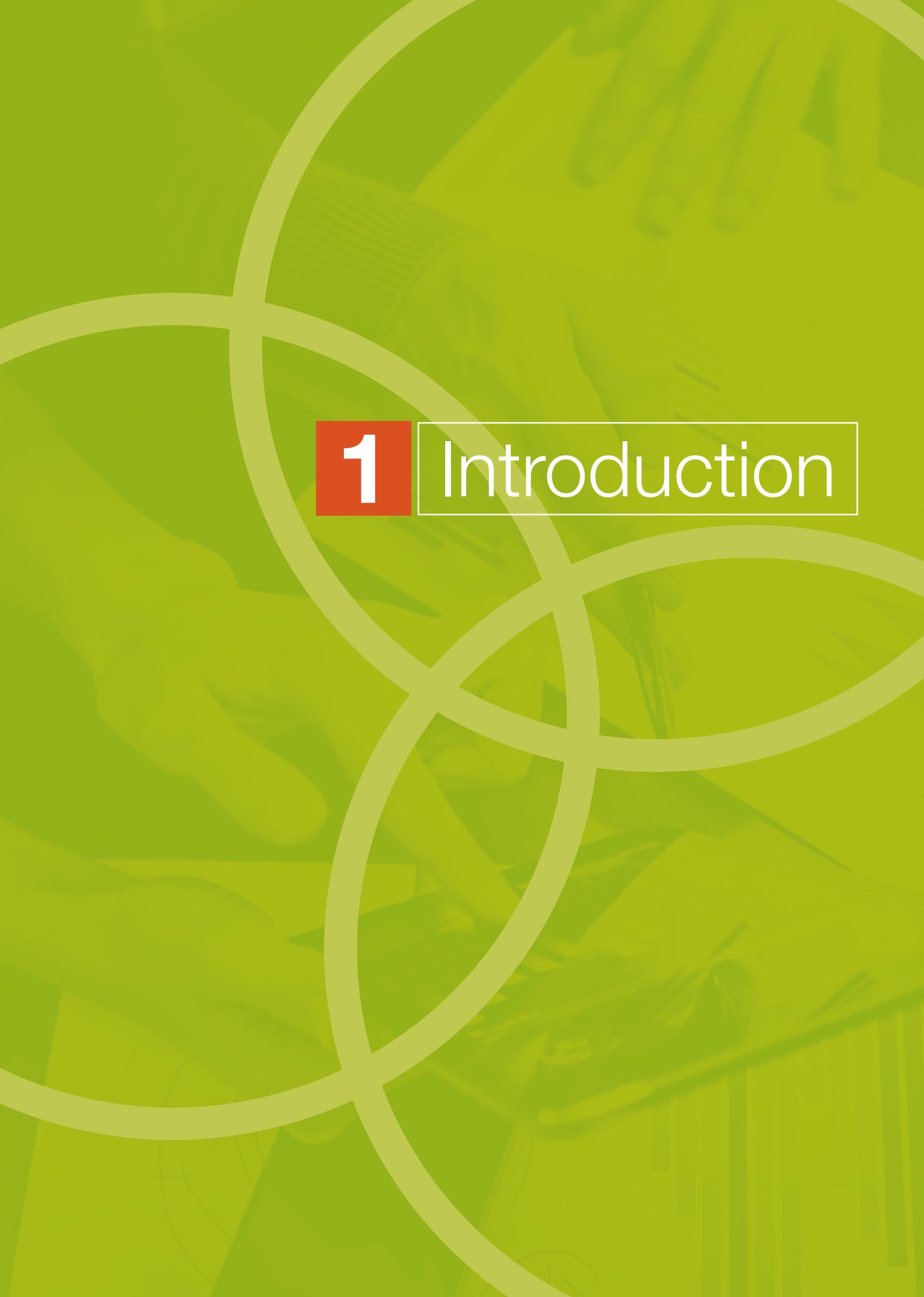
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# Abbreviations and acronyms

<b>ECG</b>	Evaluation Cooperation Group
<b>GDI</b>	Gender-related Development Index
<b>GEF</b>	Global Environmental Facility
<b>HQ</b>	Headquarters
<b>HR</b>	Human Resources
<b>IFI</b>	International Financial Institution
<b>IL</b>	Institutional Lead
<b>KPI</b>	Key Performance Indicator
<b>MI</b>	Micro-indicator
<b>MO</b>	Multilateral Organisation
<b>MOPAN</b>	Multilateral Organisation Performance Assessment Network
<b>MS</b>	Member State
<b>NGO</b>	Non-governmental Organisation
<b>ODA</b>	Official Development Aid
<b>OECD-DAC</b>	Organisation for Economic Co-operation and Development-Development Assistance Committee
<b>OIOS</b>	Office of Internal Oversight Services
<b>QCPR</b>	Quadrennial Comprehensive Policy Review
<b>RBM</b>	Results-based management
<b>SDG</b>	Sustainable Development Goal
<b>SEA</b>	Sexual Exploitation and Abuse
<b>SH</b>	Sexual Harassment
<b>ToC</b>	Theory of Change
<b>ToR</b>	Terms of Reference
<b>UN</b>	United Nations
<b>UNEG</b>	United Nations Evaluation Group

The background features a vibrant green color palette with a pattern of overlapping circles and faint, stylized leaf motifs. The circles are light green and overlap each other, creating a sense of depth and movement. The leaf patterns are subtle and integrated into the overall design.

**1**

# Introduction

# Introduction

## **MOPAN and its approach**

The Multilateral Organisation Performance Assessment Network (MOPAN) brings together member countries that fund the multilateral system and have a common interest in enhancing its performance. Members use MOPAN assessments to meet their standards of accountability and due diligence, to inform strategic dialogue with assessed multilateral organisations (MOs), and to contribute to broader learning to improve the workings of the multilateral system.

## **MOPAN assessments**

MOPAN assessments are rigorous, collaborative, and designed to ensure that findings resonate with the MO and its stakeholders. Assessments draw upon several streams of evidence (documents, survey, interviews) from internal and external sources to validate and triangulate findings against a standard indicator framework developed on the basis of international good practice.

The MOPAN approach assumes that if a multilateral organisation has effective systems, practices and behaviours, it can effectively deliver its interventions and efficiently make relevant, inclusive and sustainable contributions to results. Organisational effectiveness is assessed in strategic, operational, relationship and performance management. This is complemented by an assessment of results achieved to provide a complete picture of performance.

All MOPAN assessments adhere to operating principles intended to ensure their credibility, fairness and accuracy (*Box 1.1*).

### **Box 1. Operating Principles**

A MOPAN assessment takes **a systematic, rigorous, impartial and transparent approach** using **structured tools for enquiry/analysis**.

A MOPAN assessment gives priority to the **quality** rather than to the quantity **of information**, and **balances its breadth and depth**.

The MOPAN assessment process **efficiently builds layers of data** by using different streams, which reduces the burden on the MO being assessed.

MOPAN assessment reports are **concise**. Adopting a focused methodology, they tell the story of the multilateral organisation's current performance.

MOPAN assessments seek to be **useful** by building organisational learning in an iterative process that makes reporting accessible, and leave an 'audit trail' of findings.

## **Assessment report parameters**

A MOPAN assessment report is a diagnostic of a multilateral organisation's performance at a specific moment in light of its history and mission. To serve MOPAN's mission, assessments seek to provide a holistic picture of institutional performance by building on and going beyond the appreciation of performance against the indicator framework. MOPAN's reports provide a robust analytical justification for ratings, insights into the interplay between different aspects of organisational performance reflected in the indicator framework, the organisation's context, and an understanding of how the organisation has performed over time and with respect to its mission. This multi-layered approach helps to position the report to inform strategic dialogue and thinking.

A MOPAN assessment is neither an external institutional audit nor an evaluation; it cannot comprehensively examine all organisational operations or processes, provide a definitive picture of achievements and performance during the period of the assessment (typically provided by an annual report or similar), or comprehensively document or analyse on-going organisational reform processes.

MOPAN assessment reports are stand-alone products. They neither compare MOs nor are they meant to be used for that purpose. MOPAN does not assess organisational governance arrangements, although organisational governance is part of the assessment context.

## **Evolution of the MOPAN methodology**

MOPAN conducted annual surveys from 2003-08 and from 2009-14, using the MOPAN Common Approach. For the 2015-16 cycle of assessments, a MOPAN 3.0 Approach was adopted, which in 2019 became MOPAN 3.0\* to indicate a change in the alignment of ratings (and their corresponding colours) with the scores defined for indicators. The new ratings threshold was raised to reflect growing demands for organisational performance in the multilateral system. Underlying scores and the approach to scoring remained unchanged.

The new MOPAN 3.1 version of the assessment methodology is being used for assessments beginning in 2020. The major change is the introduction of integrated measures related to important new agendas in the multilateral system: the 2030 Agenda for Sustainable Development, preventing and responding to sexual exploitation, abuse, and harassment, and the reform of the United Nations Development System. In addition, MOPAN 3.1 includes a streamlined indicator framework and improved processes and tools that build on lessons from past assessments. Lastly, MOPAN 3.1 assessments include a bolstered inception phase to optimise the preparation for efficient, effective implementation.

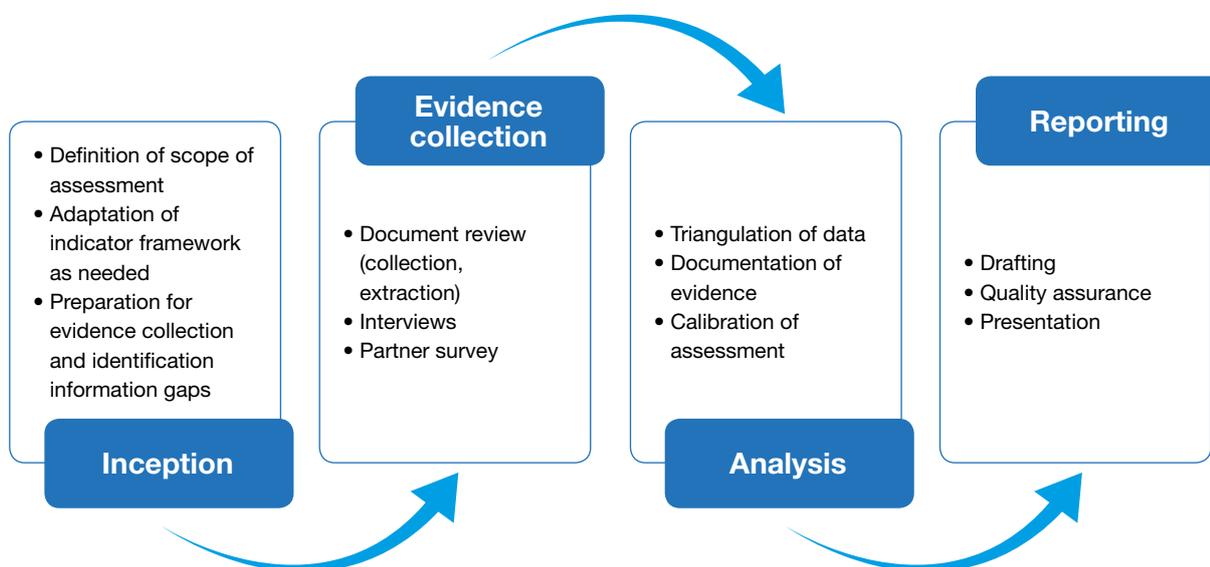
## **Purpose of the MOPAN 3.1 Methodology Document**

This document is intended for those interested in the design of a MOPAN assessment and particularly in the methods of individual components of the assessment process. MOPAN assessments generally follow the approach laid out here, but any given assessment may vary somewhat within the limits set by the approach. Each assessment's parameters are defined during an inception phase. A separate document lays out standard operating procedures. This document does not, therefore, give a detailed description of the assessment process.

## Process of MOPAN assessments

A MOPAN assessment goes through four stages: inception, evidence collection, analysis, and reporting (Figure 1.1).

Figure 1. MOPAN Assessment Process



**Stage 1: Inception.** MOPAN seeks to understand the specific mandate of each MO, its operating model and infrastructure, and especially how it addresses cross-cutting issues and interprets and tracks results and performance. This lens on the state-of-play of the MO from the outset of the assessment process is an opportunity to define how the MOPAN framework applies to its specificities, structures, and available evidence.

**Stage 2: Evidence collection** focuses on collecting robust, relevant evidence against the assessment framework from three streams to minimise information gaps and ensure that assessment findings are credible.

**Stage 3: Analysis** of the data gathered synthesises findings and backs them with a solid trail of information. Complementary data may be collected as needed.

**Stage 4: Reporting.** As the assessment report is being drafted, the MO verifies the facts and comments on it together with the institutional lead (IL). The MOPAN Secretariat and an external expert, where possible, carry out quality assurance. Key findings are presented to the MO and Member States (MS). A written response from MO management concludes this stage.

## Assessment actors

Four groups play a key role in MOPAN assessments. This document does not include the detailed terms of reference or other documents describing their roles.

- 1. The MOPAN Secretariat**, the key interface for all parties involved in the assessment process, is responsible for overseeing and coordinating the assessment. The Secretariat ensures that assessments are objective and impartial. It is responsible for their quality, including their analytical rigour and the diligence of the process. The Secretariat provides facilities for administering the survey, which it implements as part of the MOPAN assessment. Lastly, it facilitates the dissemination of findings.
- 2. MOPAN Institutional Leads.** One or two countries typically represent network members by championing and supporting the assessment process. These representatives provide contextual input into the assessment, represent MOPAN at formal events with the MO, especially when the process is being kicked-off, present the final report, and promote the uptake of its conclusions.
- 3. The Service Provider.** MOPAN has selected several independent consulting firms to implement assessments and work under the oversight of the MOPAN Secretariat.
- 4. The organisation** being assessed selects focal points to coordinate the assessment process, to ensure that it is collaborative and includes all relevant stakeholders who provide essential inputs and evidence.



**2**

MOPAN 3.1

Design

# MOPAN 3.1 Design

Set out in light of the dynamic context of the multilateral organisations, specific questions have framed the development of MOPAN 3.1 (Box 2).

## **Box 2. MOPAN 3.1 Framing questions**

- Does the multilateral organisation sufficiently understand current and future needs and demands, particularly with respect to the 2030 Agenda?
- Is the organisation currently using its assets and comparative advantages to maximum effect and leveraging them as part of effective partnerships. Is it prepared for the future?
- Are the organisation's systems, planning and operations fit for purpose? Are its operations geared to deliver on its mandate? Is it able to chart and manage internal change at the required pace?
- Is the organisation delivering and demonstrating relevant, sustainable results in a cost-efficient way?

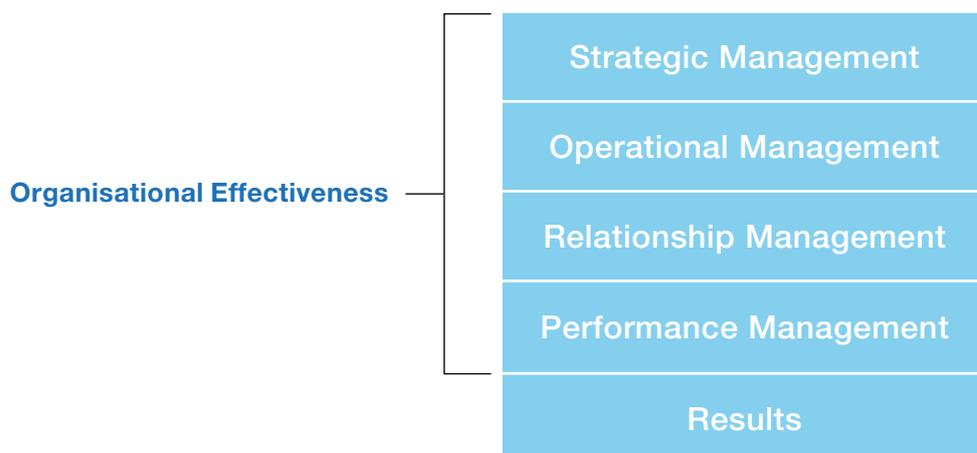
A **theory of change** (See 3. Theory of change) developed in response to these questions, provides a conceptual framework for the empirical approach of MOPAN 3.1 assessments that is based on an 'if-then' hypothesis: If a MO has effective systems, behaviours and practices in place, then it will effectively deliver interventions that efficiently achieve inclusive, sustainable contributions to humanitarian and development results.

The hypothesis underlying the theory of change can be described as an effectiveness loop (Figure 2).

**Figure 2. Effectiveness loop**



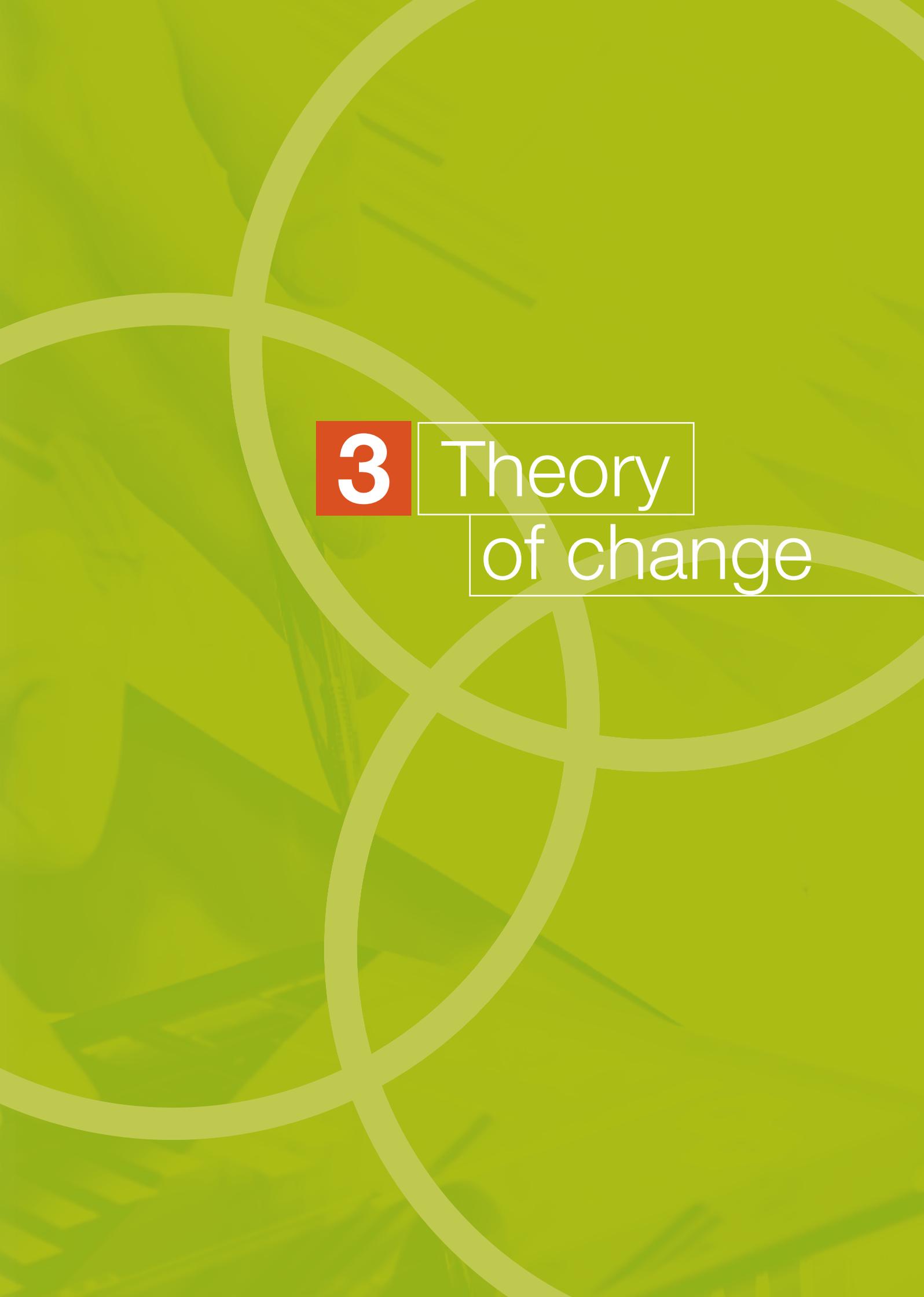
MOPAN 3.1 considers the effectiveness of a MO's systems, policies, and practices to be inherently linked to the results and impact of its work and assesses its organisational **performance** in **five areas**. Four of these -- **Strategic, Operational, Relationship** and **Performance Management** -- relate to organisational effectiveness. The fifth area covers **the results achieved** with respect to the MO's mandate (Figure 3).

**Figure 3. Performance areas**

Grounded in the theoretical approach and shaped to the performance areas, the MOPAN 3.1 design comprises the following:

- A **theory of change** that provides the theoretical basis of the assessments (See 3. Theory of change).
- An **indicator framework** with twelve key performance indicators (KPIs), micro-indicators (MIs), and related elements against which evidence-based judgments are made (See 4. Indicator framework; Annex A. Indicator framework).
- A **Scoring and Rating System** for individual micro-indicators and ratings against key KPIs (See 6. Analysis and scoring/rating).
- **Three streams of evidence** (methods): **document review**, **survey**, individual and group **interviews** (See 5. Evidence streams and data collection).





**3**

Theory

of change

# Theory of change

The theory of change for MOPAN 3.1 reflects the **role of context** in shaping the policy, strategic and operational needs and priorities confronting multilateral co-operation. Guided by conceptual, theoretical and empirical literature, the theory of change integrates key international principles, commitments and criteria for humanitarian and development practice:

- United Nation's Sustainable Development Group 2030 Agenda for Sustainable Development and its commitment to leaving no one behind
- International Humanitarian Principles
- Interagency Standing Committee's The Grand Bargain 2016
- The OECD-DAC revised development evaluation criteria (2019) and those for international humanitarian evaluation (ALNAP 2006) evaluating Humanitarian Action using OECD DAC criteria

The logic, or theorised pathways of progression of the theory of change reflects an understanding of organisational and development effectiveness as a **continuum** on which all pathways are connected such that achieving results is always linked to organisational performance (*Figure 4*).

## Assumptions

Every theory of change is built on assumptions about the connections between early, intermediate and long-term changes and about how and why particular interventions are expected to bring them about. Often, these assumptions are built on empirical evidence that strengthens the plausibility of the theory and the likelihood that the stated goals - here, contributions to the 2030 Agenda for Sustainable Development - will be realised.

The assessment framework design reflects several assumptions that are tested and reported on throughout the assessment process.

### General assumptions

- A MO's effectiveness influences its ability to deliver on its mandate in effective ways, achieve its strategic objectives, and contribute to its proposed development, normative and/or humanitarian results.
- Improving strategic and operational, relationship and performance management of a MO will contribute to its organisational effectiveness.

### From context to organisational effectiveness

- That a MO's organisational reform/change strategy and action plan are aligned to and in synch with the relevant performance areas and overall MOPAN vision of an effective MO.

### ***From aspects of organisational effectiveness to expected characteristics of activity***

That the MO has the following:

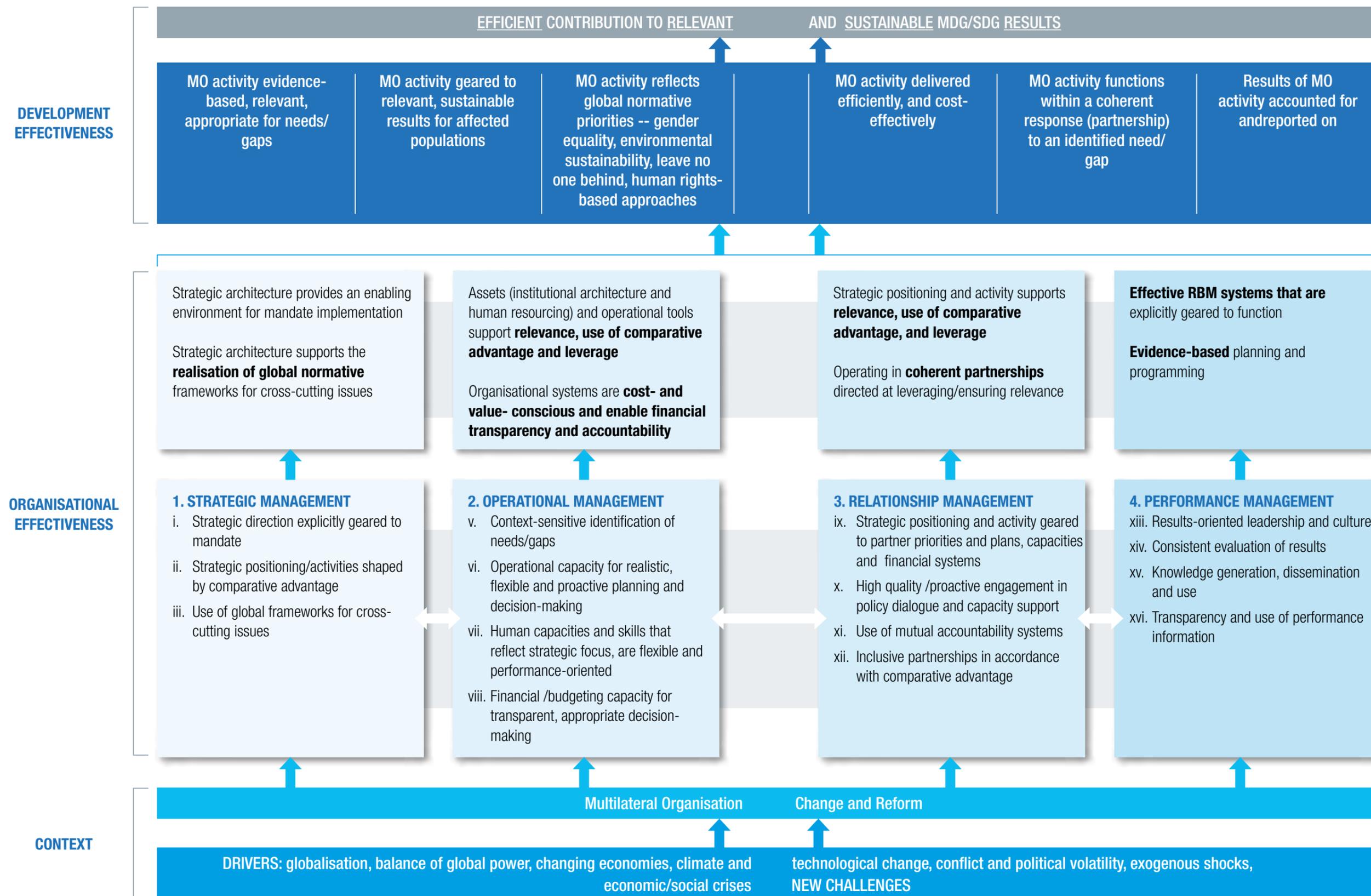
- a clearly articulated, consistently held view of its comparative advantage [strategic management].
- a sufficiently stable governance and financial environment in which to run its operational management systems [operational management].
- a clear understanding of its rationale/approach to partnerships and distinguishes between the different types of partnerships in which it participates [relationship management].
- a clear and consistent position, reflected in its different strategy/programming levels about the nature of its targeted and tracked results (outputs, outcomes, impact) [performance management].

### ***From organisational effectiveness to results***

That the MO does the following:

- operates in a cycle of strategy-setting to programming/work planning such that its results make its intended organisational effectiveness visible.
- balances its responsiveness to new agendas and opportunities with its current programming against its core mandate.
- has an established, consistent view of the parameters by which it judges cost effectiveness.

Figure 4. MOPAN Theory of change







4

Indicator

framework

# Indicator framework

MOPAN 3.1 uses a generic indicator framework that it adapts to different types of MOs and activity/interventions as needed. The framework is aligned to all five performance areas (See 2. MOPAN 3.1 Design): Strategic, operational, relationship and organisational effectiveness performance areas are aligned to KPIs 1-8 and KPIs 9-12 are aligned with the performance area on results. These 12 KPIs all include micro-indicators (MIs) that are sub-divided into elements that constitute the scoring criteria (See 6. Analysis and scoring/rating). The definitions of and guidance on MIs and elements are regularly updated on the basis of lessons from implementation. **Geared to the theory of change**, reflecting the most current concepts and a continuum of organisational and development effectiveness, many or most of MIs refer to a common set of references.<sup>1</sup>

The indicator framework gives precedence to **function over form**: evidence of effectiveness equates to the application of a system, behaviour or practice rather than to its mere, formal existence (*Table 1*).

**Table 1. Indicator framework**

## Performance Area: Strategic Management

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

### KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results

**1.1** Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage in the context of the 2030 Sustainable Development Agenda

**1.2** Organisational architecture congruent with a clear long-term vision and associated operating model

**1.3** Strategic plan supports the implementation of global commitments and associated results

**1.4** Financial framework supports mandate implementation

### KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels in line with the 2030 Sustainable Development Agenda principles

**2.1** Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for gender equality and women's empowerment

**2.2** Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for environmental sustainability and climate change

**2.3** Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for human rights including the protection of vulnerable people (those at risk of being "left behind")

**2.4** Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for other cross-cutting issues (e.g. good governance, protection, nutrition, innovation)<sup>2</sup>

**1.** The UN resolution on the Quadrennial Comprehensive Policy Review (A/RES/67/226), 2006; UNDG Results Based Management Handbook, 2011; ECG Big Book on Good Practice Standards, 2012; OIOS Inspection and Evaluation Manual, 2014; UNEG Norms and Standards for Evaluation, 2016, OECD-DAC Revised Evaluation Criteria, 2019

**2.** Any customisation to MI 2.4 should be matched with a corresponding adjustment of MI 5.5 and MI 9.5.

## Performance Area: Operational Management

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

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

**3.1** Organisational structures and staffing ensure that human and financial resources are constantly aligned and adjusted to key functions

**3.2** Resource mobilisation efforts consistent with the core mandate and strategic priorities

**3.3** Resource reallocation/programming decisions responsive to need can be made at a decentralised level

**3.4** HR systems and policies performance-based and geared to the achievement of results

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

**4.1** Transparent decision-making for resource allocation, consistent with strategic priorities over time (adaptability)

**4.2** Allocated resources disbursed as planned

**4.3** Principles of results-based budgeting applied

**4.4** External audits or other external reviews certify that international standards are met at all levels, including with respect to internal audit

**4.5** Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed

**4.6** Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities

**4.7** Prevention of and response to sexual exploitation and abuse

**4.8** Prevention of and response to sexual harassment

## Performance Area: Relationship Management

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

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

**5.1** Interventions/strategies aligned with needs of beneficiaries and regional/ country priorities and intended national/regional results

**5.2** Contextual/ situational analysis (shared where possible) applied to shape intervention designs and implementation

**5.3** Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed

**5.4** Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks

**5.5** Intervention designs include an analysis of cross-cutting issues (as defined in KPI 2)

**5.6** Intervention designs include detailed, realistic measures to ensure sustainability (as defined in KPI 12)

**5.7** Institutional procedures (including systems for hiring staff, procuring project inputs, disbursing payments, logistical arrangements etc.) positively support speed of implementation and adaptability in line with local contexts and needs

#### **KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of resources**

**6.1** Planning, programming and approval procedures make partnerships more agile when conditions change

**6.2** Partnerships are based on an explicit statement of comparative or collaborative advantage i.e. technical knowledge, convening power/partnerships, policy dialogue/advocacy

**6.3** Demonstrated commitment to furthering development partnerships for countries (i.e. support for South-South collaboration, triangular arrangements, and use of country systems)

**6.4** Strategies or designs identify synergies with development partners to encourage leverage/catalytic use of resources and avoid fragmentation in relation to the 2030 Sustainable Development Agenda implementation

**6.5** Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners

**6.6** Key information (analysis, budgeting, management, results, etc.) shared with strategic/implementation partners on an on-going basis

**6.7** Clear standards and procedures for accountability to beneficiaries implemented

**6.8** Participation with national and other partners in mutual assessments of progress in implementing agreed commitments

**6.9** Use of knowledge base to support policy dialogue and/or advocacy

### **Performance Area: Performance Management**

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

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

**7.1** Leadership ensures application of an organisation-wide RBM approach

**7.2** Corporate strategies, including country strategies, based on a sound RBM focus and logic

**7.3** Results targets set on a foundation of sound evidence base and logic

**7.4** Monitoring systems generate high quality, useful performance data in response to strategic priorities

**7.5** Performance data transparently applied in planning and decision-making.

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

**8.1** A corporate independent evaluation function exists

**8.2** Consistent, independent evaluation of results (coverage)

**8.3** Systems applied to ensure the quality of evaluations

8.4 Mandatory demonstration of the evidence base to design new interventions

8.5 Poorly performing interventions proactively identified, tracked and addressed

8.6 Clear accountability system ensures responses and follow-up to and use of evaluation recommendations

8.7 Uptake of lessons learned and best practices from evaluations

### Performance Area: Results

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

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

9.1 Interventions assessed as having achieved their objectives and results (analysing differential results across target groups, and changes in national development policies and programmes or system reforms)

9.2 Interventions assessed as having helped improve gender equality and women's empowerment

9.3 Interventions assessed as having helped improve environmental sustainability/tackle the effects of climate change

9.4 Interventions assessed as having helped improve human rights, including the protection of vulnerable people (those at risk of being "left behind")

9.5 Interventions assessed as having helped improve any other cross-cutting issue

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

10.1 Intervention objectives and design assessed as responding to beneficiaries', global, country, and partner/institution needs, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change

#### KPI 11: Results are delivered efficiently

11.1 Interventions/activities assessed as resource/cost-efficient

11.2 Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

#### KPI 12: Results are sustainable

12.1 Benefits assessed as continuing, or likely to continue after intervention completion (Where applicable, reference to building institutional or community capacity and/or strengthening enabling environment for development, in support of 2030 Sustainable Development Agenda)

## Adapting indicators

The five performance areas broadly apply to the range of MOs assessed by MOPAN, but the dimensions can be adapted to reflect each MO's mandate and maturity. All or most of the generic indicators of the assessment framework should apply to the MO being assessed. They are applied as relevant to the MO's mandate and operating practice, unless a clear evidence-based case shows that they are not. In that event, the MO and MOPAN may customise them on a case-by-case basis.

The areas to be customised must be identified during the inception stage. Indicators that do not apply to a MO's mandate can be identified at this time and their applicability to its specific context and objectives determined. Subject to mutual agreement, a maximum of five amended (possibly at element level only) or additional/not applicable MO-specific micro-indicators can be considered.

The assessment of cross-cutting issues must be nuanced. While many MOs work on universal development and humanitarian aims that have been legitimised and mandated by global frameworks such as the 2030 Sustainable Development Agenda, these aims may not be an explicit part of their mandate. Cross-cutting issues are assessed **when the MO clearly states its intention to take them into account in its work** (i.e. at strategy level). The assessment will interpret them as they are **applied in the operating model, business practice and results**, except if they are part of a MO's system-wide goals,<sup>3</sup> and an externalised 'benchmark' or 'standard' for assessing performance can be used.

For those agencies whose mandates explicitly target specific cross-cutting issues such as gender, the assessment applies the standard process to their treatment by the MOs systems, practices and behaviours for organisational effectiveness and their results. They will not be part of cross-cutting issues. Table 2 describes the steps in this process.

**Table 2. Steps for adapting indicators**

<b>Step 1</b>	Indicators are applied as formulated unless a clear, evidence-based case shows that they do not apply.
<b>Step 2</b>	An indicator shown to be inapplicable – i.e. is not in the MO's mandate or operating model – is omitted and shown as Not Applicable (N/A). For example, for MI 3.3: 'Aid reallocation/programming decisions can be made at a decentralised level under delegated authority within an appropriate budget cap' will not apply to an agency with no decentralised structure, and that does not conduct programming (i.e. the Global Fund, which has specific operating structures).
<b>Step 3</b>	The formulation of applicable indicators that must be adapted to the MO remains unchanged. A specific interpretation is agreed upon and made explicit.

<sup>3</sup> Reflected in some cases in system-wide instruments and internal assessments such as the UN System-wide Action Plan for Gender Equality and Women's Empowerment

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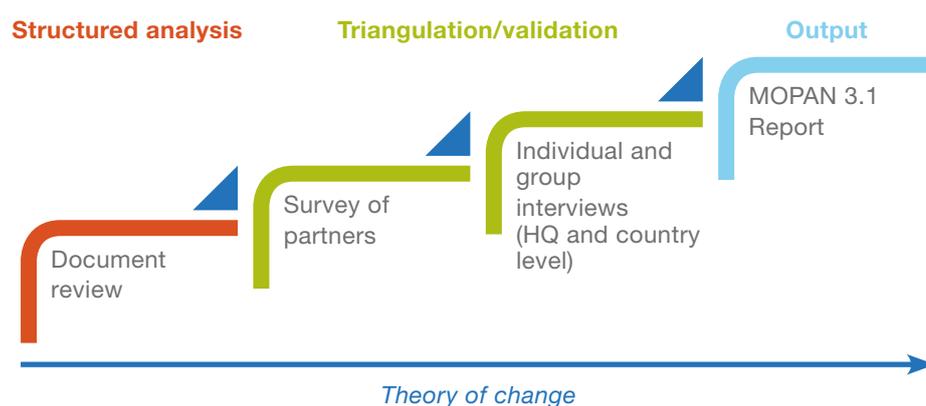
Evidence  
streams  
and data  
collection

# Evidence streams and data collection

The MOPAN 3.1 methodology is holistic, systematic, and includes country/regional level information.

- 1. Holistic** by applying **multiple streams of evidence** to as many indicators as possible, particularly in the performance areas (Strategic, Operational, Relationship and Performance Management). The Evidence Density Matrix (Annex B) provides a generic map of intentions that vary by MO. This approach supports triangulation.
- 2. Systematic** by collecting and analysing information using structured frameworks for each evidence stream -- document review, partner survey, individual and group interviews and making a structured analysis of the aggregate, applying the different streams of evidence in a composite analytical framework and using specific techniques to validate and triangulate them (See 7. Evidence management).
- 3. Country/regional level** evidence is applied against all relevant indicators generated by the document review and partner survey in particular. The analysed information is incorporated in aggregate form throughout the assessment, providing relevant examples where appropriate. A MO's country level performance is neither scored nor rated; assessments have no individual country chapters (Figure 5).

**Figure 5. Streams of evidence and analysis strategies**



Each of the three streams of evidence stream contributes to a collection of the most relevant information about a MO for a holistic picture of its performance against the assessment framework. Sampling for each stream is purposive to ensure relevant, credible, and feasible data collection. Those gaps that are identified in any one stream inform the evidence collection for the other streams as much as possible to reduce the gaps to the greatest extent possible.

## Sampling for country- and regional-level evidence

Depending on an assessment's organisation and scope, global and national information can be drawn from many countries. MOPAN assessments use a limited sample of countries that is generally representative of a MO's operations. Their selection is defined at the inception stage and used as a parameter for informing document collection and the definition of partners to survey.

The methodology states explicitly that countries are not selected for external generalisability. Even if the selection forecloses on statistical or theory-based generalisations, country-level evidence remains valid and important for several reasons:

1. Triangulating and verifying information generated at corporate level
2. Moving beyond form to assess whether the corporate policies, strategies and systems in place are actually taken up and applied at country level
3. Deepening enquiry on i.e. dimensions of comparative advantage for MOs, particularly where they come to the fore, as in 'contexts of interest': countries conflict-affected or in fragile situations or where governance is challenging or that are experiencing or have recently experienced a significant humanitarian crisis (*Table 3*).

**Table 3. Indicative country selection criteria**

<b>1. MO presence in-country</b>	Interpreted in the sense of scale and type of programming and operations, and variety of relevant partners in the country
<b>2. Geographic spread</b>	As appropriate for each MO
<b>3. Mix of operating contexts</b>	<p>Defined to reflect several parameters for diversity (income status being only one axis along which a MO's comparative advantage can be seen):</p> <ul style="list-style-type: none"> <li>• Gross National Income per Capita (World Bank data)</li> <li>• Aid flows (OECD DAC data)</li> <li>• Human Development Index score (UNDP data)</li> <li>• Inequality - Gini coefficient (World Bank data)</li> <li>• Gender and Development Index scores (UNDP data)</li> <li>• Harmonised List of Fragile Situations (World Bank data)</li> <li>• Political Stability and Absence of Violence/Terrorism (World Bank Governance Indicator)</li> <li>• Rule of Law (World Bank Governance Indicator)</li> <li>• Control of Corruption (World Bank Governance Indicator)</li> <li>• Role as ODA donor and/or recipient (OECD DAC AidStats)</li> </ul>

## Document review

The document review provides evidence that a MO has key systems, practices, or behaviours in place and that they function. It constitutes a basis for taking stock of factors that MOPAN uses to assess a MO's effectiveness and the evidence of its contributions to development, normative, and/or humanitarian results. It provides a foundation for other evidence streams and, as much as possible, as the initial block of evidence, informs a more focused enquiry in the partner survey and interviews. The document review is the sole and primary source of evidence for the results performance area.

## Approach and process

The document review seeks evidence against the individual elements and micro-indicators of the indicator framework to provide an analytical basis for scoring, along with other evidence streams (See Annex A. Indicator framework). It combines management information and independent evidence and informs the development of the narrative against the KPIs and globally. The steps of the document review can be more iterative than sequential.

### Step 1: Document selection and collation

Given the wide range of MOs that MOPAN assesses, no approach to designing an appropriate selection of documents to review can be used for all of them. MOPAN operating principles stipulates that assessed MOs should bear a minimal burden in supplying documents (efficiency) and that similar types of documentation be analysed for every MO (fairness). Given the volume of documents reviewed under MOPAN 3.1, the process must be **feasible**.

A broad set of documents is screened and up to approximately 150 documents are selected including 20-30 evaluations as available. The documentation must cover all relevant indicators but *more* documentation does not necessarily mean a more robust assessment. The priority is on obtaining the key documents that give broad, deep insight. Document reviews use **purposive selection** to cover all relevant indicators, guided by a clear and consistent typology (*Box 3*).

### **Box 3. Indicative typology for document review**

#### **1. Management information such as:**

- Corporate strategic plans, results framework and reporting processes
- Regional strategic plans, results frameworks and reporting processes
- Selection of policies, their results frameworks and reporting processes
- Selection of sector strategies/plans, results frameworks and reporting processes
- Selection of country strategic plans (sample countries), results frameworks and country reporting
- Selection of programme/project level documents (i.e. designs, monitoring reports, completion reports)
- Institutional architecture information (i.e. roles and responsibilities, org chart, governing body authorities)
- Key corporate financial and budget information (medium-term financial framework, biennial budgets and reports, annual financial report, etc.)
- External and internal audits, management responses, and tracking systems
- Key business process documentation (performance management systems, human resource management strategy, resource mobilization strategy, financial control mechanisms, internal audit strategy, risk management strategy, anti-corruption strategy, programme design and approval documentation, social safeguard systems, evaluation quality assurance processes, standard operating procedures, etc.)
- Organisation-wide function or strategic reviews
- Governing bodies' minutes and decisions and governing documents (i.e. mandate)

#### **2. Evaluations, including:**

- Independent evaluations
- Internal evaluations
- Joint evaluations

**3. External assessments, such as:**

- UN Joint Inspection Unit reports
- Previous MOPAN Assessments
- Quality of ODA conducted by the Brookings Institution and the Center for Global Development
- Major institutional evaluations
- Organisation-wide strategic reviews
- Peer reviews of evaluation functions
- Other independent or externally conducted reviews or studies of performance (on key organisational functions)

In accordance with the operating principles of prioritising quality, providing transparency, and ensuring utility, document selection respects a basic set of parameters (*Table 4*).

**Table 4. Document parameters**

<b>Legitimacy</b>	<ul style="list-style-type: none"> <li>• All documents must be in final form to be included in the assessment.</li> <li>• All documents must be recognised by the MO's management.</li> </ul>
<b>Accessibility</b>	<ul style="list-style-type: none"> <li>• Publicly available documentation is used (information sourced from webpages).</li> <li>• Where this is not directly available, MOs will be approached to provide relevant documentation.</li> </ul>
<b>Timing</b>	<ul style="list-style-type: none"> <li>• Policies or guidelines at any level in the MO are selected only if they are in force at the time of the MOPAN assessment.</li> <li>• Strategies, regardless of level within the MO, are selected only if they are being implemented during the period covered by the MOPAN assessment.</li> <li>• Any information presented on the MO website will be retrieved within the period covered by the assessment.</li> <li>• All documents (except policies, guidelines and strategies) should be published within three years prior to the start of the assessment process,<sup>2</sup> unless a strong rationale exists for reviewing older documents:             <ul style="list-style-type: none"> <li>- Project/programme level documents</li> <li>- Country, regional or organisation-wide documents</li> <li>- Evaluations</li> </ul> </li> </ul>
<b>Sub-category selection</b>	To select sector, regional, country or project level documentation, a specific approach should be developed and adapted for each MO in line with MOPAN 3.1 Operating Principles.

### **Selection of results documentation**

Evidence of results is taken from evaluations and management information and used primarily in analysis against the results performance area (KPIs 9-12), although evaluative evidence may also elucidate the other performance areas. The selection and consideration of documentation speaking to results achieved must be very carefully considered. Box 4 provides a more detailed indicative typology of results sources.

#### **Box 4. Indicative typology of results documentation**

**Annual Report on Development Results** at the organisational level. For International Financial Institutions (IFIs) this is often based on a review of project completion reports that may or may not have been audited for accuracy by a central evaluation group. For UN organisations, this report may track SDG results across partner countries and be supplemented by highlights from evaluations. For UN agencies, an annual report is usually among the documents submitted to the governing body at its main annual meeting.

**Annual Summary/Synthesis of Evaluation Results.** This is a common document in IFIs and some UN organisations that typically presents extracted highlights and some statistical data on the coverage and results of evaluations published in a given year.

**Report on Progress towards the Objectives of the Strategic Plan.** This is not necessarily an annual report. It can relate either to the MO's biennial budget or to an IFI's three-to-five-year strategic plan and may be presented as a Scorecard or Results Framework report.

**Independent evaluations** commissioned by the organisation, including a selection of thematic, strategic, programme, country/regional and any other relevant evaluations.

**Evaluations or reviews of the MO** that include a summary of results, in particular from the DAC Evaluation Resource Centre.

**The validity and credibility** of the results evidence is one of the key issues that the assessment teams manage. For example, the level of credibility of evidence from independently conducted evaluations that have undergone rigorous quality assurance differs from internally generated management results that are not triangulated or independently verified. An early review of how a MO's results evidence is constituted allows for greater clarity in the analysis stage and is transparently presented in assessment reports (along with clear sourcing).

The selection of evaluations for evidence on results does not **aim to be representative in terms of coverage** (i.e. of MO's financial expenditure per year). Rather, a purposive selection is made according to agreed parameters. Where evaluation coverage is limited and/or narrowly focused, it is particularly important to complement and balance this results information with the MO's 'real-time' results information.

#### *Step 2: Data extraction*

Data extraction is the first step in ensuring a clear evidence trail from data to findings. It entails identifying and extracting evidence against the indicator framework without any analysis.

Systematic data extraction occurs by applying a **structured analytical tool**. Data against the relevant indicator is plotted into the tool as it appears in the source document; the document name and page number are clearly indicated for reference. Data gaps must be explicitly flagged so that they can be mitigated with additional documentation or other evidence streams. Full bibliographical data is provided as per the OECD Referencing System.<sup>5</sup>

**It is important to refrain from forming any judgment at this stage.** To enhance substantive findings and in addition to the relevant demands of the indicator framework element, additional information against four parameters is also sought:

5. OECD Style Guide: <https://www.oecd.org/about/publishing/OECD-Style-Guide-Third-Edition.pdf>

1. Quality of the system, policy, programme or asset (i.e. human resources)
3. Consistency/improvement over time, whether a policy or initiative has been developed and implemented, and whether and how it has led to changes in practice/improvements in results
4. Evidence of implementation to ensure that policies and strategies do not merely exist but are being implemented in practice
5. Context and key features of the MO's operating environment to provide explanatory factors

### *Step 3: Analysis*

Once evidence has been extracted and plotted into the analytical template, the assessment team makes an initial, partial analysis as part of the document review.

The document review is not scored because it is only one evidence stream that contributes to the overall analysis but some analysis provides a substantive foundation upon which the successive evidence streams (survey, interviews) can build and that they can complement. The analysis can be described as follows:

- Triangulation maps data sources per indicator against each other in the analytical matrix and any apparent tensions or contradictions are flagged.
- Analysis identifies emerging themes, observations, and the density of evidence against individual indicators.
- At this stage, the analysis is thematic, describing the frequency, intensity, and significance of findings, and it is explicit about the strength of evidence in particular areas.
- For each MI, key points are generated summarising the evidence against it, presenting key observations, and highlighting gaps in the available evidence.

### *Step 4: Drafting and updating the document review*

The assessment process includes producing an interim document review for each MO covering each MI and element, which is linked and clearly traceable to the relevant sources. The MO and IL have an opportunity to fact check and comment on this interim document review and the MO will have an opportunity to address and fill in key evidence gaps.

After comments have been made on the interim document review, further data extraction and analysis will ensure that the assessment captures all relevant documentation up to an agreed cut-off point.

## **Partner survey**

The partner survey seeks to gather data about perception and an understanding of practice from a diverse set of partners of the MO being assessed; for example, whether respondents consider the MO to have a clear strategic vision in place or whether a specific policy, strategy or business practice has permeated to country-level. The partner survey therefore not only provides a substantive dataset in itself but is also a key element for triangulating and verifying the other data collection methods.

To ensure that information remains confidential and that respondents' identities remain anonymous, survey management and deployment and other contingency methods of data collection for the survey are hosted on secure servers with restricted access as per MOPAN's data management policies. The

partner survey respects international ethical norms and standards such as those of UNEG<sup>6</sup> and the OECD DAC (Box 5).

#### **Box 5. Ethical standards for partner survey**

- Confidentiality as protected by restricted access to raw data.
- Survey respondent data is made anonymous and themed at the aggregate level.
- Respondents are informed about these commitments to confidentiality and anonymity, the purpose of the survey and how their feedback will be used.
- Respondents' time consideration by the length of surveys and the frequency of communications.

## **Approach and process**

The partner survey is designed to gather insights from individuals external to the MO being assessed who know it well. It seeks to *ask the right questions to the right people*.

The partner survey, like the other evidence streams, seeks to be holistic by including a diverse range of partners from various levels of the MO's operations, from headquarters to the field. It does not cover all partners or all operations nor does it seek a statistically representative sample. The survey comprises four steps.

### *Step 1: Partner and respondent identification*

The survey targets partners that fulfil different roles vis-à-vis the MO. Additional partner categories may be included in the partner survey if they are deemed important (Table 5).

**Table 5. Indicative partner typology for survey**

Type	Description
<b>Direct Partner</b>	<p>The exact definition of direct partner varies by MO and its programming.</p> <p>Broad categories include:</p> <ul style="list-style-type: none"> <li>• Country governments and regional/local government structures, if appropriate: this group is often considered one of the main clients for the work of multilaterals at country level.</li> <li>• In-country direct partners (i.e. programme implementers – these may be other MOs, NGOs, bilateral partners, the private sector or government bodies)</li> <li>• Civil society/NGOs: NGO forums exist in many developing countries and their membership is a good source of information about the delivery of particular partners and could be a proxy for beneficiary feedback.</li> <li>• Other types of partners to consider may include knowledge partners, procurement partners, operational partners, financing partners, peer organisations, coordinating bodies, co-sponsoring agencies, technical partners and host governments.*</li> </ul>

6. UNEG Ethical Guidelines for Evaluation (2008); UNEG Code of Conduct for Evaluation in the UN system

<b>Donor</b>	Professional staff, working for a donor government who share responsibility for overseeing/observing a MO such as: <ul style="list-style-type: none"> <li>• Staff overseeing the MO at the institution level based at its permanent mission or in the donor capital. IL focal points are included in this list</li> <li>• Field office staff who share responsibility for overseeing/observing the MO at country level</li> </ul>
<b>Governing Body</b>	Individuals representing the broader membership/shareholding in the MO's governing bodies, including MOPAN and non-MOPAN governments.

\* Direct beneficiaries of the MO's work are not included in this group of direct partners as the survey is designed to capture organisational performance information and not results information.

Once the categories of partners have been finalised, MOPAN members and the MO being assessed select potential respondents. The list of respondents is housed only at the MOPAN Secretariat.

The goal of the selection process of potential respondents is a broad, balanced sampling of different types of partners in different contexts with an emphasis on people who know the MO well. The number varies significantly for each MO depending on the size of field presence among other factors. Selecting a pool is the first *filter* and is recognised as subjective, given the limited means of determining whether individuals who know the MO being assessed best are in fact selected. The survey tool includes additional filters to bolster the process.

### *Step 2: Survey design*

The survey tool contains a streamlined set of questions to elicit respondent ratings and qualitative responses against relevant areas of the MOPAN 3.1 indicator framework. This includes a core set of questions that all respondents are asked to ensure consistency within and across assessments. Some survey questions in the core set may be customised for specific respondent groups to reflect their functional responsibility or relationship with the MO.

During the inception phase the assessment team explores the scope for customising survey questions for each MO being assessed in consultation with it to reflect its mandate, operational challenges and reform agendas. In addition, depending on feasibility, initial indications from other evidence streams (i.e. the document review) may indicate useful areas for further enquiry using the partner survey and therefore call for customisation.

The survey is designed to take approximately 30 minutes so as to minimise the burden on respondents and maximise the value of the output. Questions are worded in simple, clear language and arranged in a logical, coherent order. Together with the selection of partners and respondents, these measures help mitigate response and non-response bias.<sup>7</sup>

The survey tool is also designed to screen respondents for appropriate levels of knowledge with questions such as:

- **Length of engagement:** How long has the respondent been working/interacting with [the MO being assessed]?
- **Frequency of engagement:** How often does the respondent have contact with [the MO being assessed]?

<sup>7</sup> Non-response bias occurs when some respondents included in the sample do not respond; the error comes from an absence of respondents rather than from the collection of erroneous data (response bias).

- **Level of familiarity:** How familiar is the respondent with [the MO being assessed]?

### *Step 3: Survey administration*

The partner survey is conducted online; off-line methods may be used as a contingency. The pool of potential respondents is invited to participate over a period of several weeks, which can be extended to encourage additional responses. The user-friendly interface allows survey respondents to pause and resume the survey with clear instructions.

The survey is administered, where possible and feasible, in a contextually sensitive manner. MOPAN considers potentially difficult periods in particular contexts (i.e. holidays) to give respondents adequate time. Response rates are further increased by reminders from the survey administrator and potentially with the support of the MO.

### *Step 4: Cleaning and analysis of survey data*

Survey data is collected and cleaned to ensure and improve the quality of responses. The multi-step process varies by survey, but generally aims to produce a dataset that is ready for analysis to be used alongside the other evidence streams.

At this stage, the number and types of actual respondents are considered in light of the diversity and coverage of partners sought in the selection process. Some discretion is used to determine whether the number of responses by partner-type, country, or in total, is sufficient and how to use survey information accordingly.

Analysis also necessarily varies by MO, survey design, and responses in the dataset. Any skew towards particular respondent types, including screens on levels of knowledge, may be compensated to strengthen survey findings. Analysis initially includes frequency statistics and distributions for questions, including by respondent type. Qualitative data is also analysed and collated to better understand partners' perspectives in the broader analysis phase (See 6. Analysis and scoring/rating). Additional analysis is undertaken as appropriate and guided by insights from the initial analysis or from other evidence streams.

## **Interviews**

Individual and group interviews with MO staff constitute the third stream of evidence for MOPAN 3.1. Given the complementarities, individual and group interviews are addressed collectively as interviews.

### ***Approach and process***

Interviews serve several purposes, and need to be conducted systematically for the data gathered to have maximum validity and for its contribution to the assessments to be maximised.

- Deepen and interrogate the evidence from the document review
- Provide contextual insight to clarify, refute and/or validate observations emerging from other lines of evidence/data sources (i.e. document review, survey data)
- Generate new evidence in areas where documentary and survey evidence is lacking

- Seek explanations and factors (asking *why and how*)
- Update on the MO's on-going reform agenda and any key changes since the documentation was analysed, and to inform subsequent iterations of the document review.

The interview process broadly follows 3 steps.

### *Step 1: Identification and sampling of interviewees*

As with other evidence streams, interviews are designed to capture a holistic picture using diverse information sources but are not exhaustive. Interviewees are selected from multiple levels in the MO headquarters, country, and regional levels and staff. Sampling is purposive based on discussions primarily during the inception phase of the assessment process, seeking to identify roles and areas of responsibility that apply to the MOPAN 3.1 indicator framework and to identify key individuals with overall contextual, cultural and institutional knowledge. Sampling may also be iterative and use snowball methods on the basis of lines of enquiry emerging from other interviews (i.e. following up with an individual after a group interview) or from other streams of evidence (*Box 6*).

#### **Box 6. Indicative interview typology**

**Headquarters interviews** at senior levels offer insights into strategy, policy, and organisational culture. The perspectives and insights of operational staff are also important as they often reveal valuable insights into whether and to what extent policy and strategic commitments are being implemented in practice. Interviews with technical and administrative staff provide an opportunity to explore contextual factors, to verify 'practice' (i.e. policy, strategy or business process implementation, etc.) and organisational culture, and to clarify how systems and processes work. Interviewees can therefore include:

- Senior management members
- Heads of key policy areas/units/divisions
- Heads of regional divisions
- Leads on internal reform processes
- Heads of key relevant business processes (financial management, evaluation, performance management, human resources, programme design and approval, etc.)
- Donor liaison staff
- Programme and technical staff
- Ombudsman/Ethics /Staff wellbeing/Staff union president

**Country/regional interviews** focus particularly on confirming whether MO commitments or reform processes are being implemented and whether they respond to country-level needs. Interviewees at country and regional levels may therefore include:

- Head of Office (Director, Representative or similar)
- Deputy Head of Office
- Senior Management
- Heads of programme/policy areas
- Heads of key business processes (HR, finance, etc.)

In addition to indicative interviewees at the various levels of a MO, staff from partner organisations can also be interviewed, exceptionally. These interviews can be particularly relevant for organisations working primarily with and through other MOs to implement their programmes, such as the GEF Implementing Agencies. The case for undertaking interviews with partner organisations and a sampling approach are discussed and formalised during the inception phase based on the definition of the scope of the assessment.

### *Step 2: Methods*

All interviews follow a semi-structured framework that covers the main assessment areas relevant to the interviewee, with appropriate customisation per MO, and builds on observations from the document review and, if feasible, the survey. This framework should be flexible and allow for raising new questions during an interview in response to interviewee statements.

Interviews at headquarters are typically conducted in person during a week-long visit; country and regional interviews are conducted by phone or by video-conferencing. Interviews are adapted to interviewee availability and the feasibility of approaches, but the general preference is for in-person interviews within a relatively limited time frame.

Standard ethical protocols<sup>8</sup> are respected during interviews and interviewees are assured that their identity will be protected and their responses will remain confidential. No attributions are made in the data or annexes. Group interview participants (i.e. technical staff) are offered an opportunity for a follow up conversation should they wish to share information individually.

### *Step 3: Data analysis and use*

The information collected during interviews provides an independent stream of evidence, particularly as a source of insight, triangulation and verification, and key source of evidence for the overall analysis and assessment team's reflection on the internal and external factors affecting the MO's performance. Interviews are not transcribed in full; data is plotted into the composite analytical framework against relevant indicators to be included in the analysis and triangulation process.

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8. For example, the UNEG Ethical Guidelines for Evaluation (2008).

**6**

Analysis

and scoring/  
rating

# Analysis and scoring/rating

Findings from the assessment and ratings are supported by a strong analytical phase to clarify the underlying evidence base in applying the assessment framework and describing it transparently in the report. Robust analytical strategies must underpin MOPAN indicator ratings especially to ensure that they are valid and reliable and that the evidence base is credible.

Scoring is a critical dimension of the MOPAN 3.1 assessment process and draws upon the 2008 OECD Handbook on Constructing Composite Indicators: Methodology and User Guide. The scoring and rating system is reviewed on an on-going basis to ensure that it remains fit-for-purpose for MOPAN assessments.

This section describes the specific framework for analysis and scoring/rating, the strategies used for the analysis, and the detailed approach to them.

## Framework principles

The MOPAN 3.1 framework of analysis and scoring comprises the following:

1. Evidence from all three data streams (document review, survey, interviews) brought together to constitute an aggregate evidence base per MI.
2. Triangulation and validation to ensure a strong evidence-base.
3. MI scoring and rating system comprising a set number of **elements present**, which, taken together, demonstrate the presence or absence of **international good practice**.
4. The top end of the scoring and ratings scale reflects the implementation of the **full set of elements** that, combined, represent **international good practice** against that MI (with explicit reference points identified for this where available). To embed the MOPAN 3.1 commitment to **'function over form'**, a MO must have **implemented** the elements of good practice to score higher.
5. The lower end of the scale (1) reflects that these elements are less present and that performance is therefore weaker. This may mean that a MO has **fewer** of the elements of international good practice in place or that they are formally in place but are not comprehensively implemented.
6. The MIs form the basis for a consolidated rating for each KPI, thus enabling a high-level indication of performance across the 12 KPI areas. It is important, however, that the scoring be considered in light of the MO's broader context and status at the current moment. The wider assessment report, therefore, seeks to more fully illustrate what numerical values provide.
7. This approach makes it possible to situate MOs along the continuum of their **performance journey** and contextualise this in terms of organisational maturity.

## Analytical strategies for applying the framework

### Triangulation

Triangulation is the use of multiple data sources and collection methods and/or theories to validate research findings<sup>9</sup> and to reduce the risk of bias and the chances of making errors or increasing anomalies.<sup>10</sup>

MOPAN 3.1 uses triangulation in three areas.

- **Methods triangulation** involves checking the consistency of findings generated by different data collection methods using different data sources sequentially (i.e. exploring findings from the document review using survey/interview and consultation data). Second, by interrogating data where results are divergent (i.e. the document review shows evidence that a particular policy is in place and being used whereas survey data indicates little knowledge or use of the policy).
- **Triangulation of sources** examines the consistency of different data sources within the same method. For example, by comparing the application of corporate policies at country or regional level through the document review.
- **Analyst triangulation** involves having multiple analysts review findings for the document review and composite analytical phases to allow for a consistent approach to interpretive analysis.

The Evidence Density Matrix (Annex B) sets out the anticipated evidence sources per MI that will be adapted for each assessment. The approach allocates at least one primary source of evidence per MI. Where documents are not the primary source, at least two other forms of primary evidence must be available, (i.e. survey/interview).

### Validation

Findings are validated at several points in the process:

- A MO's external evaluations and assessments are used to help validate or question the findings on performance areas.
- Assessed MOs/ILs are debriefed at relevant points for the resonance of findings and judgements with insider knowledge of the MO and to test the accuracy of findings.

Reports are shared with MOs and take comments and feedback into account in the final draft.

### Standardisation/consistency

Evidence must be standardised and consistent across the assessment. All assessment team members must fully understand the indicator framework and scoring and rating system and have an opportunity to calibrate their scoring with the entire team. While each assessment team and service provider can come up with specific solutions, the following generic steps are proposed:

<sup>9</sup>. Using three or more theories, sources, or types of information, or types of analysis to verify and substantiate an assessment. By combining multiple data-sources, methods, analyses or theories, evaluators hope to overcome the bias from having a single informant, method, observer or theoretical studies. OECD DAC (2002) Glossary of Terms on Results Based Management.

<sup>10</sup>. See Morra-Imas, L and Rist, R (2009), *The Road to Results: Designing and Conducting Effective Development Evaluations* Washington DC: World Bank; International Program for Development Evaluation Training Building Skills to Evaluate Development Interventions (undated) The World Bank Group, Carleton University and IOB/Ministry of Foreign Affairs, The Netherlands.

- Team members are trained to understand the assessment framework
- For each document review, a designated team member conducts the initial data extraction. A senior team member or quality expert then peer reviews one key document and the relevant data extraction to feed lessons back into the extraction process.
- For analysis, a senior team member or quality expert reviews the data extraction against a sample set of MI and amends it as appropriate.
- To ensure consistency, the MOPAN Secretariat organises sharing sessions with assessment teams for a common interpretation of the indicators, to discuss data sources, and to standardise the data analysis process as far as possible.
- As standard practice, the quality expert designated to oversee the assessment assures all analytical deliverables (i.e. the draft document review).

Proposed during the data collection and analysis phase, these steps are internal to the assessment team (service provider). The Secretariat makes additional consistency checks as part of quality assurance.

## Detailed scoring

### Scoring KPIs 1-8

**KPIs 1-8** are scored on the basis of an averaging of MI scores, each of which have different numbers of elements representative of international good practice. Each element is scored 0-4 depending on the extent to which a MO implements it (*Table 6*). An average of the constituent scores for each element is calculated to score each MI.

**Table 6. Scoring elements**

Score		Description
4	Exceeds conditions/ Good practice	Element is fully implemented/implemented in all cases. This is representative of international good practice.
3	Meets conditions	Element is substantially implemented/implemented in the majority of cases
2	Approaches conditions	Element is partially implemented/implemented in some cases
1	Partially meets conditions	Element is present but not implemented/implemented in zero cases.
0	Does not meet conditions	The element is relevant but not present
N/A	Not applicable	Element does not apply to the MO's mandate and context
N/E	No evidence	Not possible to assess the element as no evidence is available.

To ensure consistency the KPI level is calculated in the same way. The average of the constituent scores per MI gives a score per KPI. Calibrating mid-level element scores between 2 and 3 requires that the evidence base be appraised to determine what constitutes **partially** and **substantially**. A score of 3 means that the element is consistently in place and implemented while a score of 2 means that the evidence shows variable implementation.

Scores of 0 (poor performance), N/A (not-applicable), N/E (no evidence) need to be distinguished. A score of 0 lowers the overall average whereas neither N/A nor N/E scores affect the overall score.

When an element is relevant to the MO's mandate but is not in place, a score of 0 is given. In the 2017-18 WFP report, for example, element 8.5.4 is rated 0 as the MO, which has mature systems that are generally mature, has no process for clearly delineating the responsibility to take action for addressing interventions that perform poorly.

Where an element is not applicable to the MO's mandate, processes, and objectives and it is therefore not appropriate to assess performance against it, a rating of N/A is given. For example, the 2017-18 ADB report states, "No assessment was undertaken of human rights as a cross-cutting issue as this does not form part of ADB's mandate", making all MI2.1d not applicable. Inapplicable MIs or elements are identified during the inception stage when MOPAN and the MO agree on which MIs/elements are relevant to the assessment.

A rating of N/E is given where the element is applicable to the MO but where no evidence or inconclusive evidence about performance is available. This rating is rarely given based on a lack of evidence and is clearly unrelated to performance issues.

## Scoring KPIs 9-12

**Scoring KPIs 9-12** is based on a meta-analysis of evaluations and performance information at the MI level and aggregated to the KPI level. KPIs 9-12 assess results achieved as assessed in evaluations and annual performance reporting from the MO.

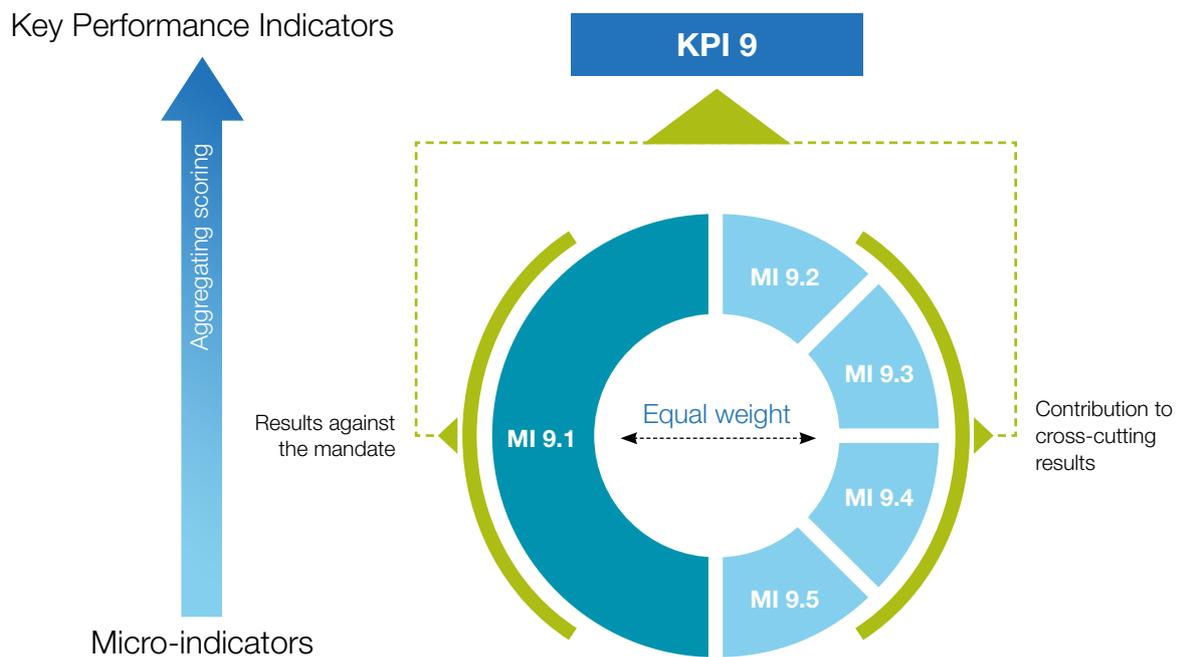
MIs are scored 1-4 with specific descriptors for each (See Annex A. Indicator Framework). There is no score of '0' for MIs under KPI 9-12. Not applicable means that all actors agreed during inception that a specific MI would not be assessed for a MO (*Table 7*). The rationale for these decisions is recorded in the inception report.

**Table 7. MI scoring**

Score	Descriptors
4	Highly satisfactory
3	Satisfactory
2	Unsatisfactory
1	Highly unsatisfactory
N/A	Not applicable

KPI 9 includes two categories of MIs: one that reports on the achievement of results against the MO's objectives with respect to its mandate and the other that reports the contribution to cross-cutting results. These are equally weighted to calculate an overall score (*Figure 6*).

Figure 6. Scoring for KPI 9



## Rating scales

All aggregated scores are translated into ratings that summarise the assessment across KPIs and MIs (Table 8).

Table 8. KPI and MI scores and ratings

Score Range	Rating
3.51-4.00	Highly Satisfactory
2.51-3.50	Satisfactory
1.51-2.50	Unsatisfactory
0-1.50	Highly Unsatisfactory

**7**

Evidence

management

# Evidence management

The MOPAN 3.1 methodology aims to contribute to the credibility of assessments by making the evidence base on which judgements are made explicit and transparent and by indicating all gaps. The report presents evidence generated through a MOPAN assessment as follows:

- A bibliography of all source documents from which evidence has been extracted
- A completed evidence box for each MI in a composite analytical annex with individual evidence boxes and a narrative of evidence per KPI (*Box 7*).

Confidence in evidence requires coverage, quality, validation, and triangulation across evidence sources and a final assessment report should contain evidence with predominantly high confidence. For purposes of transparency, MIs in the different evidence streams receive an assessment of the degree of confidence in the evidence, graded high to low according to its strength.

- **High confidence:** Independent evidence is available and/or a key corporate document responding to the indicator and/or multiple sources is available with strongly coherent, consistent evidence. For evaluative evidence, confidence relies strongly on the quality of the evidence available that is assessed, to some degree, in KPI 8.
- **Medium confidence:** Some evidence from different sources that is neither definitive nor comprehensive and/or statements of corporate intent that lack firm evidence of implementation and/or partial evidence and/or contradictions in the evidence
- **Low confidence:** Limited evidence is available or of poor quality.

This is particularly useful when, during the assessment process, areas where confidence in the evidence is low can be targeted for enquiry.

**Box 7. Sample evidence box**

<b>KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results</b>	<b>KPI score</b>
<b>Highly satisfactory</b>	<b>3.85</b>
<b>MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage in the context of the 2030 Sustainable Development Agenda.</b>	<b>Score</b>
<b>Overall MI rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: A publicly available strategic plan (or its equivalent) contains a long-term vision	4
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	2
Element 3: A strategic plan operationalises the vision and defines intended results	4
Element 4: The strategic plan is reviewed regularly to ensure that it remains relevant and is attentive to risks	3
<b>MI 1.1 Analysis</b>	<b>Source document</b>
<ol style="list-style-type: none"> <li>1. The 2030 Strategy contains a long-term vision outlining 5 strategic priorities. Its replenishment documents – notably the Programming Directions – reflect, adapt and operationalise the vision in the 2020 Strategy. These documents are all publicly available.</li> <li>2. The 2030 Strategy and replenishment documents identify the MO's unique mandate in the changing landscape for environment finance and take account of the MO's capabilities and strengths. Replenishment discussions adapted resource allocation to reflect changing comparative advantage with respect to climate. The analysis backing up the adaptation remains fragmented however. In addition, questions raised about comparative advantage in recent independent evaluations were not addressed.</li> <li>3. The replenishment documents operationalise the 2030 Strategy for the period July 2019 to June 2023 and include details of intended results with 11 core indicators spanning 5 focal areas. Document 2 included detailed results frameworks for 3 funds.</li> <li>4. Programming directions and resource allocations are reviewed every 4 years as part of the replenishment process. Strategy is discussed annually. However, on occasion, the discussion proceedings do not cover all results areas.</li> </ol>	1, 2, 3, 4, 5
<b>MI 1.1 Evidence confidence</b>	<b>High confidence</b>



8

Strengths

and

weaknesses

of the

methodology

# Strengths and weaknesses of the methodology

All assessments reflect the general strengths and limitations of the MOPAN 3.1 methodology. Each assessment report includes a transparent description of its particular limitations.

## **Overall strengths**

- Applies clear, explicit operating principles for credible, fair, and accurate assessments and clear strategies to achieve them.
- Attuned to the current context -- strategic discourse, policy emphases, reform processes, global sustainable development and normative priorities.
- Embeds key principles, criteria and commitment in terms of development effectiveness including the commitments of the Busan Partnership and the International Humanitarian Principles and international criteria for humanitarian and development assistance.
- Emphasises engagement and learning through collaboration with and ownership by the MO throughout the assessment process.
- Underpins a systematic, consistent and fully transparent implementation of assessments.
- Emphasises transparency through robust evidence management and transparent reporting on the strength and limitations of evidence.
- Applies multiple sources of data (partner survey, document review, staff interviews) against a single indicator to ensure more robust analysis and ratings.
- Has sound triangulation and validation strategies including engaging with the MO and MOPAN members to confirm the resonance and accuracy of findings.

## **Overall limitations**

- MOPAN 3.1 is designed to be used for a wide range of MOs generically. Its indicators must be carefully verified to ensure that they suitably encompass MOs with different mandates and operating models.
- While based on international good practice, MOPAN 3.1 cannot cover organisational performance exhaustively, such as alignment with national priorities in member-specific areas.
- A selection of sample countries is based on established MOPAN criteria and discussed with each MO to allow for flexibility. As the sample is only a small proportion of each MO's operations, broad generalisations cannot be made. Each assessment report explicitly states limitations of this nature.

- The level of resources available for a MOPAN 3.1 assessment limits the scale of streams of evidence (i.e. document review), which are smaller than would be feasible in, for example, a comprehensive institutional evaluation. This is mitigated as far as possible by a systematic design and use of broad teams of assessors to cover as much ground as possible within the time frame.
- The results assessment is based solely on secondary data and excludes field data from beneficiaries.

## Specific limitations for evidence streams

### Document review

- The document review component works within the confines of a MO's disclosure policy. Where organisational documents are not available and gaps exist as a result, the gaps are explicitly reported.
- Evaluations that are included have been generated (i.e. approved/published) in the two years prior to the assessment to use information that is as current as possible. However, given finalisation and approval processes, a time lag is inevitable between the results information available from evaluations and those generated by the MO in the recent period. To mitigate this, management performance information is applied to the development/normative/humanitarian effectiveness component of the indicator framework (KPIs 9-12), explicitly flagged, and treated as such, including the use of hierarchy/triangulation strategies and incorporating external reviews and evaluations where they are available.
- Documentary evidence may not capture reform processes currently underway or how they filter down to country/regional level. Other evidence streams such as the survey and interviews/consultations are used to address this gap.

### Partner survey

- MOPAN members and the assessed MOs must identify respondents to carry out the partner survey. Whilst efforts are made to identify and secure responses from the most informed and knowledgeable individuals, a sufficient population of respondents with reasonably expected knowledge' of the MO cannot be guaranteed.
- All perception surveys inevitably carry the risk that respondents interpret questions and ratings scales differently, especially when they are cross-national.<sup>11</sup> To mitigate this, the language used to formulate questions and define the rating scale is clear and concise with minimal jargon. Where necessary, survey tools are translated and piloted with a test group to ensure that the translation is accurate.
- To mitigate the risk of any central tendency bias where respondents gravitate towards a middle ground score, survey response scales are built on a symmetrical 1-6 'forced choice' basis and provide an additional option for 'do not know/no opinion'.

**11.** See for example Harzing, A.W.; Reiche B.S.; Pudelko, M. (2013). "Challenges in International Survey Research: A review with illustrations and suggested solutions for best practice", *European Journal of International Management*, vol. 7, no. 1.





# 9 Annexes

# Annex A.

## Indicator framework: Key performance indicators, micro-indicators and elements for scoring and rating

KPI	
Micro-indicator	Elements (KPI 1-8) / Score descriptors (KPI 9-12)
<b>Performance Area: Strategic Management</b> <i>Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities</i>	
<b>KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results</b>	
<b>1.1</b> Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage in the context of the 2030 Sustainable Development Agenda	1. A publicly available strategic plan (or equivalent) contains a long-term vision
	2. The vision is based on a clear analysis and articulation of comparative advantage
	3. The strategic plan operationalises the vision and defines intended results
	4. The strategic plan is reviewed regularly to ensure continued relevance and attention to risks
<b>1.2</b> Organisational architecture congruent with a clear long-term vision and associated operating model	1. The organisational architecture is congruent with the strategic plan
	2. The operating model supports implementation of the strategic plan
	3. The operating model is reviewed regularly to ensure continued relevance
	4. The operating model allows for strong cooperation across the organisation
	5. The operating model clearly delineates responsibilities for results
<b>1.3</b> Strategic plan supports the implementation of global commitments and associated results	1. The strategic plan is aligned to the 2030 Sustainable Development Agenda, wider normative frameworks and their results (including, for example, the Grand Bargain and the QCPR)
	2. A system is being applied to track normative results for the 2030 Sustainable Development Agenda and other relevant global commitments (for example, the QCPR and the Grand Bargain, where applicable)
	3. Progress on implementation and aggregated results against global commitments are published at least annually

<b>1.4</b> Financial framework supports mandate implementation	1. Financial and budgetary planning ensure that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited
	2. A single integrated budgetary framework ensures transparency
	3. The financial framework is reviewed regularly by the governing bodies
	4. Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels
	5. Policies/measures are in place to ensure that earmarked funds target priority areas
	6. [UN] Funding modalities with UN reform: 15% of total resources are from pooled funding

**KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels, in line with the 2030 Sustainable Development Agenda principles**

<b>2.1</b> Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for gender equality and women's empowerment	1. Dedicated policy statement on gender equality available and showing evidence of application
	2. Gender equality indicators and targets fully integrated into the MO's strategic plan and corporate objectives
	3. Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets
	4. Gender equality screening checklists or similar tools inform the design for all new interventions
	5. Human and financial resources are available to address gender equality issues
	6. Staff capacity development on gender is being or has been conducted
<b>2.2</b> Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for environmental sustainability and climate change	1. Dedicated policy statement on environmental sustainability and climate change available and showing evidence of application
	2. Environmental sustainability and climate change indicators and targets fully integrated into the MO's strategic plan and corporate objectives
	3. Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets
	4. Environmental screening checklists or similar tools inform design for all new interventions
	5. Human and financial resources are available to address environmental sustainability and climate change issues
	6. Staff capacity development on environmental sustainability and climate change is being or has been conducted

<p><b>2.3</b> Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for human rights, including the protection of vulnerable people (those at risk of being “left behind”)</p>	<ol style="list-style-type: none"> <li>1. Dedicated policy statement on human rights available and showing evidence of application</li> <li>2. Human rights indicators and targets fully integrated into the MO’s strategic plan and corporate objectives</li> <li>3. Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets</li> <li>4. Human rights screening checklists or similar tools inform design for all new interventions</li> <li>5. Human and financial resources are available to address human rights issues</li> <li>6. Staff capacity development on human rights is being or has been conducted</li> </ol>
<p><b>2.4</b> Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for other cross-cutting issues (e.g. good governance, protection, nutrition, innovation)</p>	<ol style="list-style-type: none"> <li>1. Dedicated policy statement on any other <i>cross-cutting issue</i> available and showing evidence of application</li> <li>2. Cross-cutting issue indicators and targets fully integrated into the MO’s strategic plan and corporate objectives</li> <li>3. Accountability systems (including corporate reporting and evaluation) reflect <i>cross-cutting issue</i> indicators and targets</li> <li>4. Cross-cutting issue screening checklists or similar tools inform design for all new interventions</li> <li>5. Human and financial resources (exceeding benchmarks) are available to address <i>cross-cutting issues</i></li> <li>6. Staff capacity development on <i>cross-cutting issue</i> is being or has been conducted</li> </ol>

## Performance Area: Operational Management

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

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

<p><b>3.1</b> Organisational structures and staffing ensure that human and financial resources are constantly aligned and adjusted to key functions</p>	<ol style="list-style-type: none"> <li>1. Organisational structure is aligned with, or being reorganised to, requirements set out in the current strategic plan</li> <li>2. Staffing is aligned with, or being reorganised to, requirements set out in the current strategic plan</li> <li>3. Resource allocations across functions are aligned to current organisational priorities and goals as set out in the current strategic plan</li> <li>4. Internal restructuring exercises have a clear purpose and intent aligned to the priorities of the current strategic plan</li> <li>5. [UN] Engagement in supporting the resident coordinator systems through cost-sharing and resident coordinator nominations</li> <li>6. [UN] Application of mutual recognition principles in key functional areas</li> </ol>
<p><b>3.2</b> Resource mobilisation efforts consistent with the core mandate and strategic priorities</p>	<ol style="list-style-type: none"> <li>1. Resource mobilisation strategy/case for support, with clear targets and monitoring and reporting, explicitly aligned to current strategic plan</li> <li>2. Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector</li> <li>3. Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities</li> <li>4. Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the strategic plan/relevant country plan</li> <li>5. [UN] 1% levy systematically collected and passed on to the UN Secretariat</li> </ol>
<p><b>3.3</b> Resource reallocation/ programming decisions responsive to need can be made at a decentralised level</p>	<ol style="list-style-type: none"> <li>1. An organisation-wide policy or guidelines exist that describe the delegation of decision-making authorities at different levels of the organisation</li> <li>2. Policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding resource reallocation/ programming</li> <li>3. Evaluations or other reports contain evidence that reallocation/ programming decisions have been made to positive effect at country or other local level as appropriate</li> <li>4. The MO has made efforts to improve or sustain the delegation of decision-making on resource allocation/programming to the country or other relevant levels</li> </ol>

<b>3.4</b> HR systems and policies performance-based and geared to the achievement of results	1. A system is in place that requires all staff, including senior staff, to undergo performance assessment
	2. There is evidence that the performance assessment system is systematically implemented by the organisation for all staff and to the required frequency
	3. The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate the ability to work with other entities
	4. Staff performance assessment is applied in decision-making on promotion, incentives, rewards, sanctions, etc.
	5. A clear process is in place to manage disagreement and complaints regarding staff performance assessments

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

<b>4.1</b> Transparent decision-making for resource allocation, consistent with strategic priorities over time (adaptability)	1. An explicit organisational statement or policy is available that clearly defines criteria for allocating resources to partners
	2. The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current strategic plan
	3. Resource allocation mechanisms allow for adaptation in different contexts
	4. The organisational policy or statement is regularly reviewed and updated
<b>4.2</b> Allocated resources disbursed as planned	1. The institution sets clear targets for disbursement to partners
	2. Financial information indicates that planned disbursements were met within institutionally agreed margins
	3. Clear explanations, including changes in context, are available for any variances against plans
	4. Variances relate to external factors rather than to internal procedural blockages
<b>4.3</b> Principles of results-based budgeting applied	1. The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current strategic plan
	2. A budget document is available that provides clear costs for the achievement of each management result
	3. Systems are available and used to track costs from activity to result (outcome)
	4. There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)

<p><b>4.4</b> External audit or other external reviews certify that international standards are met at all levels, including with respect to internal audit</p>	<ol style="list-style-type: none"> <li>1. External audit conducted that complies with international standards</li> <li>2. Most recent external audit confirms compliance with international standards across functions</li> <li>3. Management response is available to external audit</li> <li>4. Internal audit functions meet international standards, including for independence and transparency</li> </ol>
<p><b>4.5</b> Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed</p>	<ol style="list-style-type: none"> <li>1. A clear policy or organisational statement exists on how issues identified through internal control mechanisms/reporting channels (including misconduct such as fraud, sexual misconduct) will be addressed</li> <li>2. Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues and include timelines</li> <li>3. Clear guidelines are available for staff on reporting any issues identified</li> <li>4. A tracking system is available that records responses and actions taken to address any identified issues</li> <li>5. Governing body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external) with clear timelines for action</li> </ol>
<p><b>4.6</b> Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities</p>	<ol style="list-style-type: none"> <li>1. A clear policy/guidelines on fraud, corruption and any other financial irregularities is/are available and made public</li> <li>2. The policy/guidelines clearly define/s the management and staff roles in implementing/complying with them</li> <li>3. Staff training/awareness-raising has been conducted on policy/guidelines</li> <li>4. There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the governing body</li> <li>5. There are channels/mechanisms in place for reporting any suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy)</li> <li>6. Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, and ensures that they are made public</li> </ol>

<p><b>4.7</b> Prevention and response to sexual exploitation and abuse (SEA)</p>	<p>1. Organisation-specific dedicated policy statement(s), action plan and/or code of conduct that address SEA are available, aligned to international standards, and applicable to all categories of personnel</p>
	<p>2. Mechanisms are in place to regularly track the status of implementation of the SEA policy at HQ and at field levels</p>
	<p>3. Dedicated resources and structures are in place to support implementation of policy and/or action plan at HQ and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services)</p>
	<p>4. Quality training of personnel / awareness-raising on SEA policies is conducted with adequate frequency</p>
	<p>5. The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA</p>
	<p>6. The organisation can demonstrate its contribution to interagency efforts to prevent and respond to SEA at field level, and SEA policy/best practice coordination fora at HQ</p>
	<p>7. Actions taken on SEA allegations are timely and their number related to basic information and actions taken / reported publicly</p>
	<p>8. The MO adopts a victim-centred approach to SEA and has a victim support function in place (stand-alone or part of existing structures) in line with its exposure/risk of SEA</p>
<p><b>4.8</b> Prevention of and response to sexual harassment (SH)</p>	<p>1. Organisation-specific dedicated policy statements and/or codes of conduct that address SH available, aligned to international standards and applicable to all categories of personnel</p>
	<p>2. Mechanisms are in place to regularly track the status of implementation of the policy on SH at HQ and at field levels</p>
	<p>3. The MO has clearly identifiable roles, structures and resources in place for implementing its policy/guidelines on SH at HQ and in the field: support channel for victims, a body coordinating the response, and clear responsibilities for following up with victims</p>
	<p>4. All managers have undergone training on preventing and responding to SH, and all staff have been trained to set behavioural expectations (including with respect to SH)</p>
	<p>5. Multiple mechanisms can be accessed to seek advice, pursue informal resolution or formally report SH allegations</p>
	<p>6. The organisation ensures that it acts in a timely manner on formal complaints of SH allegations</p>
	<p>7. The organisation transparently reports the number and nature of actions taken in response to SH in annual reporting and feeds into inter-agency HR mechanisms</p>

## Performance Area: Relationship Management

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

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

<p><b>5.1</b> Interventions/strategies aligned with needs of beneficiaries and regional/ country priorities and intended national/regional results</p>	1. The organisation's country or regional strategies refer to national/regional body strategies or objectives
	2. Reviewed interventions/strategies refer to the needs of beneficiaries, including vulnerable populations
	3. The organisation's country strategies or regional strategies link targeted results to national or regional goals
	4. Structures and incentives in place for technical staff that allow them to invest time and effort in alignment process
<p><b>5.2</b> Contextual/ situational analysis (shared where possible) applied to shape intervention designs and implementation</p>	1. Intervention designs contain a clear statement positioning the intervention within the operating context
	2. Reflection points with partners take note of any significant changes in context
<p><b>5.3</b> Capacity analysis informing intervention design and implementation, and strategies to address any weakness found are employed</p>	1. Intervention designs contain a clear statement of capacities of key country partners
	2. Capacity analysis, from the perspective of using and building country systems, considers resourcing, staffing, monitoring and operating structure.
	3. Capacity analysis statement has been jointly developed with country partners and shared with development partners
	4. Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability, where applicable developed jointly with development partners
	5. Reflection points with partners take note of any significant changes in capacity
<p><b>5.4</b> Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks</p>	1. Intervention designs include a detailed analysis of and mitigation strategies for operational risk
	2. Intervention designs include a detailed analysis of and mitigation strategies for strategic risk
	3. Intervention designs include a detailed analysis of and mitigation strategies for political risk
	4. Intervention designs include a detailed analysis of and mitigation strategies for reputational risk
	5. Intervention design is based on contextual analysis including of potential risks of sexual abuse and other misconduct with respect to host populations

<p><b>5.5</b> Intervention designs include an analysis of cross-cutting issues (as defined in KPI 2)</p>	<ol style="list-style-type: none"> <li>1. Approval procedures require an assessment of the extent to which cross-cutting issues have been integrated in the design</li> <li>2. Plans for intervention monitoring and evaluation include attention to cross-cutting issues</li> </ol>
<p><b>5.6</b> Intervention designs include detailed, realistic measures to ensure sustainability (as defined in KPI 12)</p>	<ol style="list-style-type: none"> <li>1. Intervention designs include statement of critical aspects of sustainability, including institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate</li> <li>2. Intervention design defines key elements of the enabling policy and legal environment required to sustain the expected benefits of successful implementation</li> <li>3. The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan</li> <li>4. Where shifts in policy and legislation will be required for sustainability, the intervention plan directly addresses these reforms and processes in a time-sensitive manner</li> </ol>
<p><b>5.7</b> Institutional procedures (including systems for hiring staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation and adaptability in line with local contexts and needs</p>	<ol style="list-style-type: none"> <li>1. The organisation has internal standards set to track implementation speed</li> <li>2. Institutional procedures are adaptable to local contexts and needs</li> <li>3. The organisation's benchmarks (internally and externally) its performance on implementation speed across different operating contexts</li> <li>4. Evidence that procedural delays have not hindered speed of implementation across interventions reviewed</li> </ol>

**KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of resources**

<b>6.1</b> Planning, programming and approval procedures make partnerships more agile when conditions change	<ol style="list-style-type: none"> <li>1. Procedures in place to encourage joint planning and programming</li> <li>2. Mechanisms, including budgetary, in place to allow programmatic changes and adjustments when conditions change</li> <li>3. Institutional procedures for revisions permit changes to be made at the appropriate level to ensure efficiency</li> </ol>
<b>6.2</b> Partnerships are based on an explicit statement of comparative or collaborative advantage i.e. technical knowledge, convening power/partnerships, policy dialogue/advocacy	<ol style="list-style-type: none"> <li>1. Corporate documentation contains a clear and explicit statement on the collaborative advantage that the organisation intends to realise through a given partnership</li> <li>2. Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership</li> <li>3. Resources/competencies needed for intervention area(s) are aligned to the perceived comparative or collaborative advantage</li> <li>4. Comparative or collaborative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner commits (and is willing) to bring to the partnership</li> <li>5. [UN] Guidance on implementing the Management and Accountability Framework exist and is being applied</li> </ol>
<b>6.3</b> Demonstrated commitment to furthering development partnerships for countries (i.e. support for South-South collaboration, triangular arrangements, and use of country systems)	<ol style="list-style-type: none"> <li>1. Clear statement on how the organisation will support principles of collaboration with countries on their development agenda (Nairobi Principles, 2030 Sustainable Development Agenda)</li> <li>2. Clear statement/guidelines for how the organisation will support development partnerships between countries</li> <li>3. Clear statement/guidelines for how the organisation will use country systems</li> <li>4. Internal structures and incentives supportive of collaboration/cooperation with countries, and use of country systems where appropriate</li> </ol>
<b>6.4</b> Strategies or designs identify and address synergies with development partners, to encourage leverage/catalytic use of resources and avoid fragmentation in relation to 2030 Sustainable Development Agenda implementation	<ol style="list-style-type: none"> <li>1. Strategies or designs clearly identify possible synergies with development partners and leverage of resources/catalytic use of resources and results</li> <li>2. Strategies or designs clearly articulate responsibilities and scope of the partnership</li> <li>3. Strategies or designs are based on a clear assessment of external coherence</li> <li>4. Strategies or designs contain a clear statement of how leverage will be ensured</li> </ol>

<p><b>6.5</b> Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with relevant partners</p>	<ol style="list-style-type: none"> <li>1. Active engagement in joint exercises/mechanisms (planning, coordination, monitoring, evaluation) to support external coherence</li> <li>2. Participating in joint monitoring and reporting processes with key development partners</li> <li>3. Identifying shared information or efficiency gaps with development partners and developing strategies to address them</li> </ol>
<p><b>6.6</b> Key information (analysis, budgeting, management, results etc.) shared with strategic/ implementation partners on an on-going basis</p>	<ol style="list-style-type: none"> <li>1. Clear corporate statement on transparency of information is aligned to the International Aid Transparency Initiative</li> <li>2. Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative</li> <li>3. Responses to partner queries on analysis, budgeting, management and results are of good quality and responded to in a timely fashion</li> </ol>
<p><b>6.7</b> Clear standards and procedures for accountability to beneficiaries implemented</p>	<ol style="list-style-type: none"> <li>1. Explicit statement available on standards and procedures for accountability to beneficiary populations i.e. Accountability to Affected Populations</li> <li>2. Staff guidance is available on the implementation of the procedures for accountability to beneficiaries</li> <li>3. Training has been conducted on the implementation of procedures for accountability to beneficiaries</li> <li>4. Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries</li> <li>5. Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed in the intervention</li> </ol>
<p><b>6.8</b> Participation with national and other partners in mutual assessments of progress in implementing agreed commitments</p>	<ol style="list-style-type: none"> <li>1. Participation in joint performance reviews of interventions e.g. joint assessments</li> <li>2. Participation in multi-stakeholder dialogue around joint sectoral or normative commitments</li> <li>3. Use of surveys or other methods to understand how partners are experiencing working together on implementing mutually agreed commitments.</li> </ol>

<b>6.9</b> Use of knowledge base to support policy dialogue and/or advocacy	1. Statement in corporate documentation explicitly recognises the organisation's role in knowledge production
	2. Knowledge products produced and utilised by partners to inform action
	3. Knowledge products generated and applied to inform advocacy, where relevant, at country, regional, or global level
	4. Knowledge products generated are timely/perceived as timely by partners
	5. Knowledge products are perceived as high quality by partners
	6. Knowledge products are produced in a format that supports their utility to partners

### Performance Area: Performance Management

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

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

<b>7.1</b> Leadership ensures application of an organisation-wide RBM approach	1. Corporate commitment to a result culture is made clear in strategic planning documents
	2. Clear requirements/incentives in place for the use of an RBM approach in planning and programming
	3. Guidance for setting results targets and developing indicators is clear and accessible to all staff
	4. Tools and methods for measuring and managing results are available
	5. Adequate resources are allocated to the RBM system
	6. All relevant staff are trained in RBM approaches and method
<b>7.2</b> Corporate strategies, including country strategies, based on a sound RBM focus and logic	1. Organisation-wide plans and strategies include results frameworks
	2. Clear linkages exist between the different layers of the results framework, from project to country and corporate level
	3. An annual report on performance is discussed with the governing bodies
	4. Corporate strategies are updated regularly
	5. The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results

<p><b>7.3</b> Results targets set on a foundation of sound evidence base and logic</p>	<ol style="list-style-type: none"> <li>1. Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives</li> <li>2. Indicators are relevant to expected results to enable the measurement of the degree of goal achievement</li> <li>3. Development of baselines are mandatory for new Interventions</li> <li>4. Results targets are regularly reviewed and adjusted when needed</li> <li>5. Results targets are set through a process that includes consultation with beneficiaries</li> </ol>
<p><b>7.4</b> Monitoring systems generate high-quality, useful performance data in response to strategic priorities</p>	<ol style="list-style-type: none"> <li>1. The corporate monitoring system is adequately resourced</li> <li>2. Monitoring systems generate data at output and outcome levels of the results chain</li> <li>3. Reporting processes ensure data is available for key corporate reporting and planning, including for internal change processes</li> <li>4. A system for ensuring data quality exists</li> </ol>
<p><b>7.5</b> Performance data transparently applied in planning and decision-making</p>	<ol style="list-style-type: none"> <li>1. Planning documents are clearly based on performance data</li> <li>2. Proposed adjustments to interventions are clearly informed by performance data</li> <li>3. At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate</li> <li>4. Performance data support dialogue in partnerships at global, regional and country levels</li> </ol>

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

<p><b>8.1</b> A corporate independent evaluation function exists</p>	<ol style="list-style-type: none"> <li>1. The evaluation function is independent from other management functions (operational and financial independence)</li> <li>2. The head of evaluation reports directly to the governing body of the organisation (structural independence)</li> <li>3. The evaluation office has full discretion in deciding the evaluation programme</li> <li>4. The central evaluation programme is fully funded by core funds</li> <li>5. Evaluations are submitted directly for consideration at the appropriate level of decision-making for the subject of evaluation</li> <li>6. Evaluators are able to conduct their work during the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (behavioural independence)</li> </ol>
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<p><b>8.2</b> Consistent, independent evaluation of results (coverage)</p>	<ol style="list-style-type: none"> <li>1. An evaluation policy describes the principles to ensure the coverage, quality and use of findings, including in decentralised evaluations</li> <li>2. The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations</li> <li>3. A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available</li> <li>4. The annual evaluation plan presents a systematic and periodic coverage of the MO's interventions, reflecting key priorities</li> <li>5. Evidence demonstrates that the evaluation policy is being implemented at country-level</li> </ol>
<p><b>8.3</b> Systems applied to ensure the quality of evaluations</p>	<ol style="list-style-type: none"> <li>1. Evaluations are based on design, planning and implementation processes that are inherently quality oriented</li> <li>2. Evaluations use appropriate methodologies for data collection, analysis and interpretation</li> <li>3. Evaluation reports present the evidence, findings, conclusions, and where relevant, recommendations in a complete and balanced way</li> <li>4. The methodology presented includes the methodological limitations and concerns</li> <li>5. A process exists to ensure the quality of all evaluations, including decentralised evaluations</li> </ol>
<p><b>8.4</b> Mandatory demonstration of the evidence base to design new interventions</p>	<ol style="list-style-type: none"> <li>1. A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions</li> <li>2. Clear feedback loops exist to feed lessons into the design of new interventions</li> <li>3. Lessons from past interventions inform new interventions</li> <li>4. Incentives exist to apply lessons learned to new interventions</li> <li>5. The number/share of new operations designs that draw on lessons from evaluative approaches is made public</li> </ol>
<p><b>8.5</b> Poorly performing interventions proactively identified, tracked and addressed</p>	<ol style="list-style-type: none"> <li>1. A system exists to identify poorly performing interventions</li> <li>2. Regular reporting tracks the status and evolution of poorly performing interventions</li> <li>3. A process for addressing poor performance exists, with evidence of its use</li> <li>4. The process clearly delineates the responsibility to take action</li> </ol>

<p><b>8.6</b> Clear accountability system ensures responses and follow-up to and use of evaluation recommendations</p>	<ol style="list-style-type: none"> <li>1. Evaluation reports include a management response (or has one attached or associated with it)</li> <li>2. Management responses include an action plan and/ or agreement clearly stating responsibilities and accountabilities</li> <li>3. A timeline for implementation of key recommendations is proposed</li> <li>4. An annual report on the status of use and implementation of evaluation recommendations is made public</li> </ol>
<p><b>8.7</b> Uptake of lessons learned and best practices from evaluations</p>	<ol style="list-style-type: none"> <li>1. A complete and current repository of evaluations and their recommendations is available for use</li> <li>2. A mechanism for distilling and disseminating lessons learned internally exists</li> <li>3. A dissemination mechanism to partners, peers and other stakeholders is available and employed</li> <li>4. Evidence is available that lessons learned and best practices are being applied</li> </ol>

**Performance Area: Results**  
*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient manner*

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

<p><b>9.1</b> Interventions assessed as having achieved their objectives, and results (analysing differential results across target groups, and changes in national development policies and programs or system reforms)</p>	<ol style="list-style-type: none"> <li><b>4. Highly satisfactory:</b> The organisation achieves all or almost all intended significant development, normative and/or humanitarian objectives at the output and outcome level. Results are differentiated across target groups.</li> <li><b>3. Satisfactory:</b> The organisation either achieves at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives is achieved</li> <li><b>2. Unsatisfactory:</b> Half or less than half of stated output and outcome level objectives is achieved</li> <li><b>1. Highly unsatisfactory:</b> Less than half of stated output and outcome objectives has been achieved, including one or more very important output and/or outcome level objectives</li> </ol>
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<p><b>9.2</b> Interventions assessed as having helped improve gender equality and women's empowerment</p>	<p><b>4. Highly satisfactory:</b> Interventions achieve all or nearly all of their stated gender equality objectives</p> <p><b>3. Satisfactory:</b> Interventions achieve a majority (more than 50%) of their stated gender objectives</p> <p><b>2. Unsatisfactory:</b> Interventions either lack gender equality objectives or achieve less than half of their stated gender equality objectives. (Note: where a programme or activity is clearly gender-focused (maternal health programming for example) achievement of more than half its stated objectives warrants a rating of satisfactory)</p> <p><b>1. Highly unsatisfactory:</b> Interventions are unlikely to contribute to gender equality or may in fact lead to increases in gender inequalities</p>
<p><b>9.3</b> Interventions assessed as having helped improve environmental sustainability/ tackle the effects of climate change</p>	<p><b>4. Highly satisfactory:</b> Interventions include substantial planned activities and project design criteria to achieve environmental sustainability and contribute to tackle the effects of climate change. These plans are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change</p> <p><b>3. Satisfactory:</b> Interventions include some planned activities and project design criteria to ensure environmental sustainability and help tackle climate change. Activities are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change</p> <p><b>2. Unsatisfactory:</b> EITHER Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle the effects of climate change. There is, however, no direct indication that project or programme results are not environmentally sustainable. AND/OR The intervention includes planned activities or project design criteria intended to promote sustainability but these have not been implemented and/ or have not been successful</p> <p><b>1. Highly unsatisfactory:</b> Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle climate change. In addition changes resulting from interventions are not environmentally sustainable/do not contribute to tackling climate change.</p>

<p><b>9.4</b> Interventions assessed as having helped improve human rights, including the protection of vulnerable people (those at risk of being left behind)</p>	<p><b>4. Highly satisfactory:</b> Interventions include substantial planned activities and project design criteria to promote or ensure human rights and reach those most at risk of being left behind. These plans are implemented successfully and the results have helped promote or ensure human rights demonstrating results for the most vulnerable groups.</p> <p><b>3. Satisfactory:</b> Interventions include some planned activities and project design criteria to promote or ensure human rights. These activities are implemented successfully and the results have promoted or ensured human rights.</p> <p><b>2. Unsatisfactory:</b> EITHER Interventions do not include planned activities or project design criteria intended to promote or ensure human rights or demonstrate their reach to vulnerable groups. There is, however, no direct indication that project or programme results will not promote or ensure human rights, AND/OR The intervention includes planned activities or project design criteria intended to promote or ensure human rights but these have not been implemented and/or have not been successful</p> <p><b>1. Highly unsatisfactory:</b> Interventions do not include planned activities or project design criteria intended to promote or ensure human rights. In addition changes resulting from interventions do not promote or ensure human rights. Interventions do not focus on reaching vulnerable groups.</p>
<p><b>9.5</b> Interventions assessed as having helped improve any other cross-cutting issue</p>	<p><b>4. Highly satisfactory:</b> Interventions include substantial planned activities and project design criteria to promote or ensure any other cross-cutting issue. These plans are implemented successfully and the results have helped promote or ensure any other cross-cutting issue.</p> <p><b>3. Satisfactory:</b> Interventions include some planned activities and project design criteria to promote or ensure any other cross-cutting issue. These activities are implemented successfully and the results have promoted or ensured any other cross-cutting issue.</p> <p><b>2. Unsatisfactory:</b> EITHER Interventions do not include planned activities or project design criteria intended to promote or ensure any other cross-cutting issue. There is, however, no direct indication that project or programme results will not promote or ensure any other cross-cutting issue, AND/OR Intervention include planned activities or project design criteria intended to promote or ensure any other cross-cutting issue but these have not been implemented and/or been successful</p> <p><b>1. Highly unsatisfactory:</b> Interventions do not include planned activities or project design criteria intended to promote or ensure any other cross-cutting issue. In addition changes resulting from interventions do not promote or ensure any other cross-cutting issue.</p>

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

**10.1** Intervention objectives and design assessed as responding to beneficiaries', global, country, and partner/institution needs, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change

**4. Highly satisfactory:** Systematic methods are applied in intervention design (including needs assessment for humanitarian relief operations) to identify target group needs and priorities, including consultation with target groups, and intervention design explicitly responds to the identified needs and priorities

**3. Satisfactory:** Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group

**2. Unsatisfactory:** No systematic analysis of target group needs and priorities took place during intervention design or some evident mismatch exists between the intervention's activities and outputs and the needs and priorities of the target groups

**1. Highly unsatisfactory:** Substantial elements of the intervention's activities and outputs were unsuited to the needs and priorities of the target group

### KPI 11: Results are delivered efficiently

**11.1** Interventions/activities assessed as resource-/cost-efficient

**4. Highly satisfactory:** Interventions are designed to include activities and inputs that produce outputs in the most cost/resource efficient manner available at the time

**3. Satisfactory:** Results delivered when compared to the cost of activities and inputs are appropriate even when the programme design process did not directly consider alternative delivery methods and associated costs

**2. Unsatisfactory:** Interventions have no credible, reliable information on the costs of activities and inputs and therefore no data is available on cost/resource efficiency

**1. Highly unsatisfactory:** Credible information is provided which indicates that interventions are not cost/resource efficient

**11.2** Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

**4. Highly satisfactory:** All or nearly all the objectives of interventions are achieved on time or, in the case of humanitarian programming, a legitimate explanation exists for delays in achieving some outputs/outcomes

**3. Satisfactory:** More than half of the intended objectives of interventions are achieved on time, and this level is appropriate to the context that existed during implementation, particularly for humanitarian interventions.

**2. Unsatisfactory:** Less than half of the intended objectives are achieved on time but interventions have been adjusted to take account of the difficulties encountered and can be expected to improve the pace of achievement in the future. In the case of humanitarian programming, a legitimate explanation exists for delays

**1. Highly unsatisfactory:** Less than half of stated objectives of interventions are achieved on time, and no credible plan or legitimate explanation is identified that would suggest significant improvement in achieving objectives on time

### KPI 12: Results are sustainable

**12.1** Benefits assessed as continuing, or likely to continue after intervention completion (Where applicable, reference to building institutional or community capacity and/or strengthening enabling environment for development, in support of the 2030 Sustainable Development Agenda)

**4. Highly satisfactory:** Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, the strategic and operational measures to link relief to rehabilitation, reconstruction and, eventually, development are credible. Moreover, they are likely to succeed in securing continuing benefits for the target group. Sustainability may be supported by building institutional capacity and/or strengthening the enabling environment for development.

**3. Satisfactory:** Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, strategic and operational measures link relief to rehabilitation, reconstruction

**2. Unsatisfactory:** Evaluations assess as a low probability that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, efforts to link the relief phase to rehabilitation, reconstruction and, eventually, to development are inadequate. (In some circumstances such linkage may not be possible due to the context of the emergency. If this is stated in the evaluation, a rating of satisfactory is appropriate)

**1. Highly unsatisfactory:** Evaluations find a very low probability that the programme programme/project will result in continued intended benefits for the target group after project completion. For humanitarian relief operations, evaluations find no strategic or operational measures to link relief, to rehabilitation, reconstruction and, eventually, to development

# Annex B.

## Evidence density matrix

<b>KPIs and MIs</b> P = primary source of evidence S = secondary	<b>Document review</b>	<b>Survey</b>	<b>Interviews</b>
<b>Performance Area: Strategic Management</b> <i>Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities</i>			
<b>KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results</b>			
1.1 Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage in the context of the 2030 Sustainable Development Agenda	P	S	S
1.2 Organisational architecture congruent with a clear long-term vision and associated operating model	P	S	S
1.3 Strategic plan supports the implementation of global commitments and associated results	P		
1.4 Financial framework supports mandate implementation	P	S	S
<b>KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels in line with the 2030 Sustainable Development Agenda principles</b>			
2.1 Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for gender equality and women's empowerment	P	S	P
2.2 Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for environmental sustainability and climate change	P	S	P
2.3 Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for human rights including the protection of vulnerable people (those at risk of being "left behind")	P	S	P
2.4 Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for other cross-cutting issues (e.g. good governance, protection, nutrition, innovation)	P	S	P

<b>KPIs and MIs</b> P = primary source of evidence S = secondary	<b>Document review</b>	<b>Survey</b>	<b>Interviews</b>
<b>Performance Area: Operational Management</b> <i>Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability</i>			
<b>KPI 3: The operating model and human and financial resources support relevance and agility</b>			
3.1 Organisational structures and staffing ensure that human and financial resources are constantly aligned and adjusted to key functions	P	P	P
3.2 Resource mobilisation efforts consistent with the core mandate and strategic priorities	P		S
3.3 Resource reallocation/programming decisions responsive to need can be made at a decentralised level	S	P	P
3.4 HR systems and policies performance-based and geared to the achievement of results	P		
<b>KPI 4: Organisational systems are cost- and value-conscious and enable transparency and accountability</b>			
4.1 Transparent decision-making for resource allocation, consistent with strategic priorities over time (adaptability)	P	P	P
4.2 Allocated resources disbursed as planned	P	S	S
4.3 Principles of results-based budgeting applied	P	S	S
4.4 External audits or other external reviews certify that international standards are met at all levels, including with respect to internal audit	P		
4.5 Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed	P	S	S
4.6 Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial Irregularities	P		S
4.7 Prevention of and response to sexual exploitation and abuse	P	S	P
4.8 Prevention of and response to sexual harassment	P		P

<b>KPIs and MIs</b> P = primary source of evidence S = secondary	<b>Document review</b>	<b>Survey</b>	<b>Interviews</b>
<b>Performance Area: Relationship Management</b> <i>Engaging in inclusive partnerships to support relevance, leverage effective solutions and maximise results</i>			
<b>KPI 5: Operational planning and intervention design tools support relevance and agility in partnerships</b>			
5.1 Interventions/strategies aligned with needs of beneficiaries and regional/ country priorities and intended national/regional results	P	S	S
5.2 Contextual/ situational analysis (shared where possible) applied to shape intervention designs and implementation	P	S	S
5.3 Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	P	S	S
5.4 Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	P	S	S
5.5 Intervention designs include an analysis of cross-cutting issues (as defined in KPI 2)	P		S
5.6 Intervention designs include detailed, realistic measures to ensure sustainability (as defined in KPI 12)	P	S	S
5.7 Institutional procedures (including systems for hiring staff, procuring project inputs, disbursing payments, logistical arrangements etc.) positively support speed of implementation and adaptability in line with local contexts and needs	P	P	S
<b>KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of esources</b>			
6.1 Planning, programming and approval procedures make partnerships more agile when conditions change	P	P	S
6.2 Partnerships are based on an explicit statement of comparative or collaborative advantage i.e. technical knowledge, convening power/ partnerships, policy dialogue/advocacy	P	P	P
6.3 Demonstrated commitment to furthering development partnerships for countries (i.e. support for South-South collaboration, triangular arrangements, and use of country systems)	P	P	S
6.4 Strategies or designs identify synergies with development partners to encourage leverage/catalytic use of resources and avoid fragmentation in relation to 2030 Sustainable Development Agenda implementation	P	P	S
6.5 Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners	S	P	P
6.6 Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an on-going basis	P	P	S

6.7 Clear standards and procedures for accountability to beneficiaries implemented	P		P
6.8 Participation with national and other partners in mutual assessments of progress in implementing agreed commitments	P	P	S
6.9 Use of knowledge base to support policy dialogue and/or advocacy	P	P	S

<b>KPIs and MIs</b> P = primary source of evidence S = secondary	<b>Document review</b>	<b>Survey</b>	<b>Interviews</b>
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### Performance Area: Performance Management

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

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

7.1 Leadership ensures application of an organisation-wide RBM approach	P	S	S
7.2 Corporate strategies, including country strategies, based on a sound RBM focus and logic	P		S
7.3 Results targets set on a foundation of sound evidence base and logic	P	S	S
7.4 Monitoring systems generate high quality, useful performance data in response to strategic priorities	P	S	S
7.5 Performance data transparently applied in planning and decision-making	P		S

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

8.1 A corporate independent evaluation function exists	P		
8.2 Consistent, independent evaluation of results (coverage)	P	S	S
8.3 Systems applied to ensure the quality of evaluations	P		S
8.4 Mandatory demonstration of the evidence base to design new interventions	P		S
8.5 Poorly performing interventions proactively identified, tracked and addressed	P	S	S
8.6 Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	P		S
8.7 Uptake of lessons learned and best practices from evaluations	P	S	S

<b>KPIs and MIs</b> P = primary source of evidence S = secondary	<b>Document review</b>
<b>Performance Area: Results</b> <i>Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient manner</i>	
<b>KPI 9: Development and humanitarian objectives are achieved and results contribute to normative and cross-cutting goals</b>	
9.1 Interventions assessed as having achieved their objectives and results (analysing differential results across target groups, and changes in national development policies and programmes or system reforms)	P
9.2 Interventions assessed as having helped improve gender equality and women's empowerment	P
9.3 Interventions assessed as having helped improve environmental sustainability/tackle the effects of climate change	P
9.4 Interventions assessed as having helped improve human rights, including the protection of vulnerable people (those at risk of being "left behind")	P
9.5 Interventions assessed as having helped improve any other cross-cutting issue	P
<b>KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, as the organisation works towards results in areas within its mandate</b>	
10.1 Intervention objectives and design assessed as responding to beneficiaries', global, country, and partner/institution needs, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change	P
<b>KPI 11: Results are delivered efficiently</b>	
11.1 Interventions/activities assessed as resource/cost-efficient	P
11.2 Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)	P
<b>KPI 12: Results are sustainable</b>	
12.1 Benefits assessed as continuing, or likely to continue after intervention completion (Where applicable, reference to building institutional or community capacity and/or strengthening enabling environment for development, in support of 2030 Sustainable Development Agenda)	P

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For any questions or comments, please contact:

**The MOPAN Secretariat**  
**[secretariat@mopanonline.org](mailto:secretariat@mopanonline.org)**  
**[www.mopanonline.org](http://www.mopanonline.org)**

