



## EVALUATION OF MOPAN

### Multilateral Organisation Performance Assessment Network

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### Volume 2: Methodology and major evidence

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# 1. Methodology

## 1.1 Overall methodology

Judging the Common Approach's success against the four overarching evaluation questions below was the main focus of this evaluation:

1. Are the MOPAN reports being used by donors and multilateral organisations to improve the performance of the organisations that were assessed?
2. Do the MOPAN reports meet the needs of the members in terms of their domestic accountability requirements?
3. How can MOPAN contribute to maximising harmonisation of donor approaches in assessment systems of multilateral organisations?
4. Is the methodology appropriate for the type of information that MOPAN members need? If not, how should it be modified?

The overall evaluation design was based on the use of a 'theory of change' (ToC) which meant that the evaluation systematically examined the context within which MOPAN operates, and how the context affects MOPAN's relevance, effectiveness and efficiency. A ToC approach also meant testing the assumptions that underpin how MOPAN is assumed to add value and operate effectively and efficiently.<sup>1</sup> Major questions identified from the ToC<sup>2</sup> and 32 evaluation sub-questions identified in the ToR were then organized in an evaluation framework, in which questions were grouped around the four over-arching evaluation questions. The framework was used by the evaluation team to identify which were the most appropriate sources of evidence, given the time and resources available, and to develop interview guides and three survey questionnaires. Drafts of these were discussed with the Steering Committee.

Good practice in evaluation is to be explicit on the standard (often an indicator) to be used in judging performance against evaluation questions. In many instances, these standards would be drawn from a results framework for the intervention, but MOPAN does not have such a framework<sup>3</sup> and, in fact, there has been no formal monitoring of its performance to date. When assessing MOPAN's methodology, we mainly judged it against research good practice. Elsewhere, we relied on the opinions of those consulted and the degree to which the evidence supports assumptions on the context in which MOPAN operates and how it should add value and meet its purposes. When using opinion based evidence, particular care was taken to check whether there were divergences in opinions between respondents.

Following the ToR, data were collected using a review of documentation, surveys, interviews with key informants, and case studies of the MOPAN assessments of four of the 16 organisations assessed since 2009. Overall:

- Sixteen senior level civil servants from twelve of the seventeen MOPAN member governments and responsible for strategic and policy decision making around work with the multilateral system were interviewed by telephone.
- Survey responses from 114 people working within the seventeen MOPAN member governments and self-identifying as having a significant role in either the analysis or use of evidence on

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<sup>1</sup> The initial ToC, based on review of documentation, was developed by the evaluation team during the inception phase and then discussed with the Evaluation Committee.

<sup>2</sup> The initial ToC used in the evaluation and the proposed ToC for the future can be found at Annex 4.

<sup>3</sup> A draft results framework was developed in 2012 but has not been used to date and does not include indicators of performance.

multilaterals' performance or the generation of evidence. This survey focused on the use of MOPAN evidence within the MOPAN member governments and their views on the usefulness of MOPAN assessments and how they might be improved.

- Survey responses from eight of the 12 multilateral organizations that have been assessed under the Common Approach since 2009 but which were not included as case studies. We received no response from all but one of the remaining four multilateral organizations invited to participate. One organization – WFP – pointed out that it could not credibly respond as it had not yet been fully assessed under the Common Approach.
- Survey responses from 16 out of the 17 MOPAN Focal Points and focusing on their views/experience with managing the Common Approach. Survey responses were then followed up with interviews with 13 of the 16 Focal Points that had responded.
- Case studies, including visits to the head-quarters, of four organizations that had been assessed under the Common Approach – AfDB, GAVI, UNHCR and UNDP.
- A documentary review, structured around the questions in the evaluation framework, and covering both internal documents produced by MOPAN itself and covering development and implementation of the Common Approach methodology and the wider body of relevant literature.
- Interviews with key consultants involved in delivering the assessment reports.

All interviews were written up. Evidence from all of the above sources was discussed and triangulated during a two day analytical workshop within the evaluation team to develop the initial major findings and conclusions which were then discussed with a small number of key informants. Following good practice, to allow external readers to assess the quality of the data used, compilations of key data from the surveys and evidence from the four case studies were made available. The exception was with the survey responses, which in the case of interviews with senior policy makers, were carried out on the basis of anonymity. There was insufficient time to thoroughly anonymise the interview write ups and therefore allow them to be shared more widely.

## **1.2 The Initial Theory of Change used and evaluation questions identified in the ToR**

### **What is a theory of change?**

Recent reviews<sup>4</sup> have shown that there is no single definition of what a ToC is or the methodology that should be used in its application for evaluation. Vogel<sup>5</sup> (2012) identifies the basic factors common to most ToC approaches. These include:

- i. Context for the initiative, including social, political and environmental conditions, the current state of the problem the project is seeking to influence and other actors able to influence change
- ii. Long-term change that the initiative seeks to support and for whose ultimate benefit
- iii. Process/sequence of change anticipated to lead to the desired long-term outcome
- iv. Assumptions//hypotheses about how these changes might happen, as a check on whether the activities and outputs are appropriate for influencing change in the desired direction in this context.
- v. Diagram and narrative summary that captures the outcomes of the discussion.

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<sup>4</sup> Funnell, Sue C., and Patricia J. Rogers. 2011. Purposeful Program Theory: Effective Use of Theories of Change and Logic Models. John Wiley & Sons.

<sup>5</sup> Vogel, Isabel. 2012. Review of the use of "Theory of Change" in international development. Review Report. DFID. [http://www.dfid.gov.uk/r4d/pdf/outputs/mis\\_spc/DFID\\_ToC\\_Review\\_VogelV7.pdf](http://www.dfid.gov.uk/r4d/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf).

However, how best to use a ToC while also responding to pre-defined evaluation questions identified in an evaluation's ToR, remains open to question. In this evaluation, we chose to respond to the requirement for a ToC in two ways. First, to focus on identifying the main contextual factors that might affect the value of MOPAN at a strategic level and the assumptions that under-pin the Common Assessment approach. As such, we took an approach to the use of a TOC similar to that identified in Stern et al (2012)<sup>6</sup> where the mapping of the logical sequence (in this evaluation reflected in the 2012 MOPAN log-frame annexed to the documentary review) is strengthened by critical thinking about the contextual conditions that influence the programme, the motivations and contributions of stakeholders and other actors, and the different interpretations (assumptions) about how and why that sequence of change might come about. Second, a major output of the evaluation was to be assessment of the degree to which these assumptions are valid. Validity encompasses the degree to which one looks at context as an explanatory factor of performance and the degree to which the assumptions people hold are both verified by the evidence and held in common. A more evidence-based ToC was therefore to be a product of the evaluation.

Review of the MOPAN documentation and the ToRs revealed very little about the overall context. Therefore we drew on the broader range of material focused on assessment of multilaterals' performance. The key assumptions on how MOPAN itself, in broad terms, was intended to add value were derived from the review of MOPAN documentation, including the MOPAN logframe developed in 2012 and the evaluation questions.

### **Diagram of the theory of change**

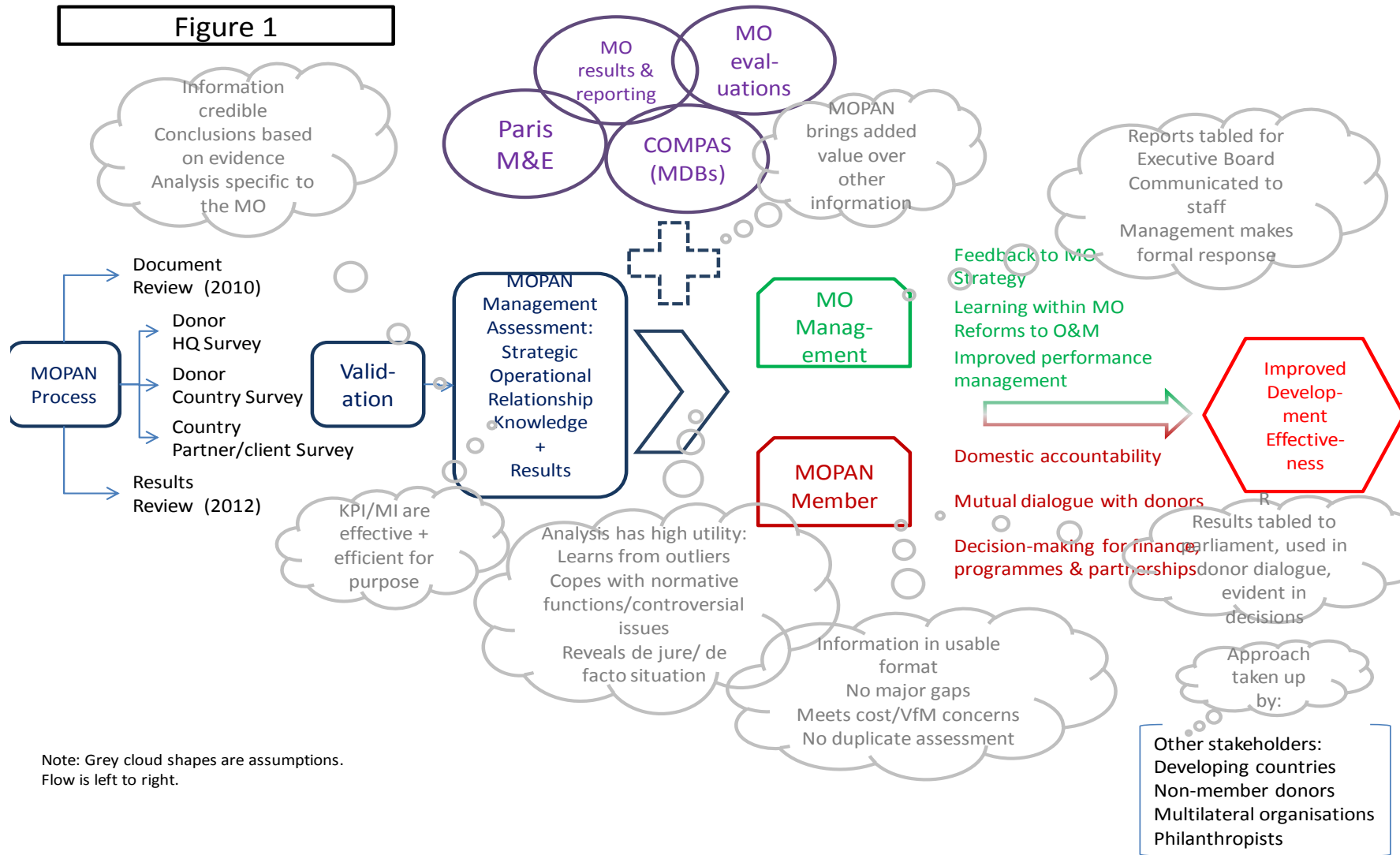
The overall ToC developed for how the MOPAN Common Assessment influences the set of processes and institutional relationships between the MOPAN members and others is shown below in Figure 1. For convenience, this illustrates the relationships from the point of view of a 'generic' MOPAN member. The logic is as follows. Information collected through the MOPAN surveys is first validated, and then used to form the evidence behind the MOPAN Management Assessment. That Assessment is then available to both the MOPAN Members and to the reviewed multilateral organisation as a source from which to draw in order to effect changes in policy, organisation, and management. The MOPAN Assessment is one among a number of assessment tools, of which internal reporting and evaluation, results from COMPAS and results from monitoring commitments under the Paris Declaration are cited as examples.

The extent to which MOPAN Members and the multilateral organisation make use of the Assessment will depend on a number of assumptions concerning use and usability of the Assessment which are indicated in the cloud-shaped figures in the diagram. Evidence from the document review suggests that in practice how these links work and the ways in which the Assessments are used varies significantly between the 17 members.

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<sup>6</sup> Stern, E., Stame, N., Mayne, J., Forss, K., Davies, R. and B. Befani (2012), "Broadening the range of designs and methods for impact evaluations. Report of a study commissioned by the Department for International Development", DFID Working Paper 38, April 2012, London

**Figure 1**



Note: Grey cloud shapes are assumptions. Flow is left to right.



## **The long term outcome sought**

Review of both internal MOPAN documentation (including the minutes of MOPAN meetings since 2008) and the 2012 log-frame developed by the MOPAN membership indicated a clear consensus on the major long-term outcome sought by the membership. In the log-frame this is stated to be '*Improved performance of multilateral organisations (organisational effectiveness and development results achieved)*'.

## **Contextual issues and assumptions that need to be considered**

According to the FAQs from MOPAN website the Common Approach was developed for several reasons:

- i. There are growing demands internationally to better understand how public funds are used for international aid purposes. This also applies to multilateral assistance, which is one reason that multilateral organisations are increasingly focusing on effectiveness and results.*
- ii. Currently, there is no widely accepted, coherent approach to assessing organisational effectiveness across multilateral organisations. Many international donor agencies have developed their own approaches to assess the effectiveness of the multilateral organisations they fund, but they have done so in isolation and without a 'common approach'. The Common Approach was developed to address the recognised need for a common comprehensive multilateral organisation assessment system.*
- iii. In line with the Paris Principles, MOPAN members recognised the need to harmonise their work to avoid duplication, increase the amount and scope of information on the effectiveness of their individual organisations, and reduce the transaction costs associated with running their own evaluations. The Common Approach is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of other assessment approaches.*
- iv. After a few years of conducting the MOPAN annual survey, members agreed that the initial approach of a 'perceptions-based' survey needed to be broadened and deepened (in particular, to include the views of direct partners) to provide them with more robust findings.*

For an initiative such as MOPAN, that aims to contribute to this long term outcome, there are a number of significant contextual factors (in terms of the range of evidence sources available on multilaterals' performance and the demand/use of evidence within the individual MOPAN member governments) that need to be taken into account. There are also assumptions that underpin the approach taken by MOPAN concerning: (i) identification of what evidence is required; (ii) the degree to which the approach can meet the needs of the individual members; (iii) what it is feasible (such as access and capacity to implement) to do; and (iv) the credibility of the assessments (the methodology used and how well implemented).

In the below, we identify the main context factors and assumptions that we have identified through the review of the documentation and the ToR. We have then cross-referenced from these to the specific sub-questions in the Evaluation Matrix set out in Section 3, so showing exactly how they have influenced what we propose to do.

### **Contextual factors**

The above alludes to three key contextual factors:

- i. **Increasing bilateral interest.** Since establishment of MOPAN in 2002, bilateral governments have become much more interested – individually and to some extent jointly (as evidenced from discussions in the DAC Senior Level contact group and the reports of the OECD DAC Secretariat<sup>7</sup>) - in assessment, including comparison, of multilateral organisations’ performance. This is understandable when it is reported that the *‘share of aid delivered by multilateral organisations has grown steadily over the past 20 years. In 2011, it reached almost USD 55 billion, equivalent to 40% of gross official development assistance (ODA) from OECD Development Assistance Committee member countries. This total includes USD 38 billion provided to multilaterals to fund core activities , as well as some USD 17 billion in non-core funding channelled through and implemented by the multilateral system’*.<sup>8</sup> [see Major Issue A in the Evaluation Matrix]
- ii. **A wish to respond to Paris.** MOPAN members wish to respond to the Paris principles; mostly recently articulated in the Busan Outcome document with the commitment “to improve the coherence of our policies on multilateral institutions, global funds and programmes” and a strengthened focus on results. They recognize the need to reduce the proliferation of assessments of multilateral organisations performance and assume that a common assessment tool will substitute for existing assessment tools within individual members and forestall development of new ones. [see Major Issue I in the Evaluation Matrix]
- iii. **Lack of consensus on assessment.** There isn’t a total consensus on what assessing organisational effectiveness across multilateral organisations entails. The MOPAN position is also that they assume that it is not possible to develop a tool that explicitly allows comparison of organisational effectiveness across agencies because of their differing mandates and business models. [see Major Issues A and D in the Evaluation Matrix]

Looking more broadly, there are a number of other contextual factors of importance that can be identified in the literature reviewed. Those most relevant include that:

- i. **Manageable number of relevant multilateral organisations.** Estimates of the number of existing multilateral organisations range from 200 to 240 but over 80 percent of funding from the OECD DAC members is channelled through nine multilaterals – The EDF administered by the European Commission (36%), the International Development Association of the World Bank (22%), the UN’s four Funds and Programmes<sup>9</sup> (9%), the African and Asian Development Banks (8%) and the Global Fund to fight AIDS, TB and Malaria (7%).<sup>10</sup> Meier (2007)<sup>11</sup> reports that at that at that point, it was estimated that there are no more than forty multilateral organisations of common interest to the then MOPAN members and approximately 15-20 would be considered to be of major importance. MOPAN has, in fact, assessed 16 multilateral organisations since 2009. [see Major Issue A in the Evaluation Matrix]
- ii. **Four main potential uses of MOPAN.** Bilateral governments engage in four highly relevant processes/medium term outcomes of which MOPAN has the potential to enhance the effectiveness or efficiency of their delivery. These are: (i) Accountability at national level within donor countries; (ii) mutual accountability under the Paris-Busan process to reduce

<sup>7</sup> See the 2010, 2011 and 2012 DAC Reports on Multilateral Aid found at <http://www.oecd.org/dac/aid-architecture/multilateralaid.htm>.

<sup>8</sup> DAC (2012) *What do we know about Multilateral Aid? The 55 billion dollar question. Highlights from the DAC’s work over the past 5 years.* October 2012 – Consultative Draft

<sup>9</sup> UNDP, UNICEF, UNFPA and WFP

<sup>10</sup> Ibid.

<sup>11</sup> Meier, W. (2007) *Assessing Multilateral Organisation Effectiveness: A Comparative Analysis of Assessment Tools and Development of a Common Approach*. Paper prepared for the Multilateral Organisation Performance Assessment Network (MOPAN) presented to the MOPAN Working Group in London on Dec 6<sup>th</sup>, 2007, by Werner Meier, October 2007

fragmentation of evaluations and so reduce the burden on multilateral organisations (iii) Improving the evidence base for allocation of bilateral funds between multilateral organisations; and (iv) Improving the evidence base for engagement in improving the effectiveness of multilateral institutions, particularly through participation, in their governance (e.g. through boards and replenishment groups). From both the evaluation ToR and the MOPAN documentation, the first, second and fourth of these are explicit purposes of MOPAN. In terms of improving the evidence base for allocation of bilateral funds between multilateral organisations, while MOPAN collectively state that it is not intended for this purpose, the initial evidence from a relevant DAC survey are that most MOPAN members do use the assessments as evidence in their internal processes for allocation between multilaterals.<sup>12</sup> [see Major Issue A in the Evaluation Matrix]

- iii. **Continuing development of other assessments.** There are a number of assessments of aspects of the multilaterals' performance carried out, including the Quality of Official Development Assistance (*QuODA*) assessment<sup>13</sup>, the Common Performance Assessment System (COMPAS)<sup>14</sup>, the Evalnet New Approach<sup>15</sup>, and the PARIS Monitoring Report<sup>16</sup>. All of these have been developed after establishment of MOPAN in 2002 and two of them, QuODA and the Evalnet New Approach since implementation of the MOPAN Common Approach. QuODA has been developed explicitly to allow transparent assessment of comparative performance of organisations. The Paris Monitoring Report also provides comparable evidence across multilateral organisations that can be used for this purpose. COMPAS does to a much more limited extent, as it is based on self-evaluation and, like MOPAN, intends to avoid comparison among multilaterals [see Major Issue I in the Evaluation Matrix]
- iv. **Significant variation in information needs.** What evidence individual bilateral governments require varies significantly, dependent on a wide range of factors. These include administrative practice; the legal system/tradition; the number of organisations within a government that interact with the multilaterals and allocate money to them; and the form of performance management culture within the government. [not covered in the evaluation matrix as not feasible within the time and resources available]
- iv. **Internal assessments still used.** The Common Approach was derived from, and meant to replace, seven existing bilateral assessment tools. However, many of the members from that time still continue to use internal assessment processes. It is difficult to determine the extent to which MOPAN: reduces the number of internal assessments; reduces the burden they place on MOs; or adds to the quality of information available for both those donors that carry out their own assessments and those that do not. [see Major Issue G in the Evaluation Framework].
- v. **Common Approach not replaced bilateral assessments.** The Common Approach was developed to address the recognised need for a common comprehensive multilateral organisation assessment system. The MOPAN Technical Working Group in 2012 concluded that *'The bilateral assessments of the multilateral organisations show a wide variety of methodology, scope and type of effectiveness covered. The assessments of multilateral organisations that are presented in this paper are not necessarily formal evaluations*

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<sup>12</sup> See Meier, W. (2007) Assessing Multilateral Organisation Effectiveness: Implementing the MOPAN Common Approach. An Options Paper prepared for the Multilateral Organisation Performance Assessment Network (MOPAN) presented to the MOPAN Working Group in London on Dec 6<sup>th</sup>, 2007 and Scott, A., S. Burall, N. Highton and K. Wong (2008) Assessing Multilateral Organisation Effectiveness. Danida Evaluation Study 2008/3. Section 5.2.1

<sup>13</sup> <http://international.cgdev.org/publication/quality-official-development-assistance-assessment-report>

<sup>14</sup> <http://www.mfdr.org/Compas/index.html>

<sup>15</sup> <http://www.oecd.org/dac/evaluation/evaluatingmultilateraleffectiveness.htm>

<sup>16</sup>

<http://www.oecd.org/dac/effectiveness/assessingprogressonimplementingtheparisdeclarationandtheaccraagendaforaction.htm>

*undertaken by the Evaluation departments of the different aid agencies or ministries. The bilateral assessments tend to involve officials from across a wide range of departments within bilateral governments. For some MOPAN members the existence of the MOPAN reports has proved sufficient to avoid undertaking any other major multilateral assessments'. Scott et al (2008)<sup>17</sup>, on the other hand, conclude that 'because of a lack of international consensus about minimum criteria for the assessment of effectiveness and good practice standards for assessment methodologies. As a result, bilaterals continue to carry-out their own assessments of multilateral effectiveness, in part because they themselves are unsure about what they require in this respect. They are therefore ineffective in pressing for improvements through their governance role and instead conduct separate bilateral assessments, thereby incurring substantial transactions costs. Bilaterals justify their separate assessments in terms of their use for internal decision-making. However, they need to be more self-critical of these internal purposes and specify the role of effectiveness information more precisely. Our analysis shows that although bilateral accountability is primarily rooted in justifying the decisions on financing the multilaterals, in practice the scope for using information on relative effectiveness for these decisions is limited. On the other hand, there is a case for using such information for influencing and governance objectives, although this use is weakly specified at present'. They then conclude that 'Common standards for assessing effectiveness will need to be developed through international networks such as the Multilateral Organisations Performance Assessment Network (MOPAN) group' and that 'Bilaterals should clarify the rationale for conducting separate assessments of multilateral effectiveness for their internal decision-making processes and conduct these assessments collectively with other donors through networks such as MOPAN rather than separately'. [see Major Issue H in the Evaluation Matrix]*

- vi. **Demands for evidence continue to increase.** Over the past decade, there is clear evidence, at least for the multilateral organisations receiving the bulk of bilateral funding, that they have invested significant resources in strengthening their internal 'management for development results' approaches and systems and in their capacity to report on performance. Despite this investment, their perception (based on initial discussion with a number of the assessed multilateral organisations) is that demands for evidence from individual bilateral governments have continued to increase. At the same time it remains unclear what minimum data set, and quality level would be required for bilaterals to rely on evidence reported from the multilaterals. Evalnet's New Approach and support to peer reviews of evaluation systems within the UN and the Comprehensive Evaluation Platform for Knowledge Exchange (CEPKE) can all be seen as initiatives working on this challenge. [see Major Issues F & H in the Evaluation Matrix]

#### Major assumptions on the Common Approach

Our review of the ToR and MOPAN documentation suggested a number of assumptions related to MOPAN itself, although these were not explicitly labelled as such in the documentation and it is unknown whether they are shared among the membership, including that:

- i. **More countries have joined MOPAN.** Being a member of MOPAN meets a need for a growing number of DAC member governments. For instance, six governments (Australia, Belgium, Germany, Korea, Spain and the USA) have joined MOPAN since 2009. However, as all assessments is publically available on the MOPAN website, including compilations of the

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<sup>17</sup> Scott, A., S. Burall, N. Highton and K. Wong (2008) Assessing Multilateral Organisation Effectiveness. Danida Evaluation Study 2008/3.

- basic under-pinning evidence, this need would appear to not be just in terms of access to evidence of performance. [not in the evaluation matrix but to be asked of the Directors of the six governments joining since 2009]
- ii. **Information from bilateral and multilateral sources is hard to reconcile.** Decision-makers in bilateral donor countries find it difficult to reconcile the fragmented and often conflicting information generated by bilateral and multilateral approaches for assessing multilateral effectiveness. The Common Assessment is a synthesis, increasingly drawing on, rather than replacing, existing (the Paris monitoring report, COMPAS and multilaterals' own performance reports) assessment approaches. As such it reduces the transaction costs of a single comprehensive approach which would be too great for any single organisation to bear. [see Major Issue A in the Evaluation Matrix]
  - iii. **The Common Assessment can create a consensus.** The MOPAN Common Assessment is therefore an opportunity to create a consensus over what exactly is required in order to assess effectiveness and agree common standards for assessing multilateral effectiveness and common advocacy and influencing objectives as regards effectiveness assessment. [see Major Issue H in the Evaluation Matrix]
  - iv. **Assessments continue to be consented.** Multilateral organisations will continue to give consent for assessments by sub-constituencies of their governing body; at least if their major funders agree. Issues of consent arose with MOPAN plans for assessing performance of both the EC's European Development Fund and International Development Association of the World Bank. [will not be explored]
  - v. **A coherent approach is possible.** For a synthetic product, across 16 member governments, it is possible to agree a coherent approach to assessing organisational effectiveness for multilateral organisations. During design of the Common Approach, Meier (2007)<sup>18</sup> concluded that there was significant overlap between the various bilateral approaches he assessed and therefore good scope for harmonisation around the proposed Balanced Scorecard methodology. [see Major Issue I in the Evaluation Matrix]
  - vi. **Debate about Balanced Scorecards.** Harmonisation and definition of the KPIs in the Balanced Scorecards for various types of multilateral organisation reflects wider good practice in development of a Balanced Scorecard. In this area, there is considerable debate on the theoretical under-pinning and credibility of Balanced Scorecards and how they should be developed and then used. [see Major Issue K in the Evaluation Matrix]
  - vii. **Judgment of relative performance.** The decision not to design the MOPAN assessments to allow judgment of relative performance because of the differing mandates and business models of the multilateral organisations is correct. [see Major Issue K in the Evaluation Matrix]
  - viii. **Resources limit the number of organisations assessed.** The decision to assess only a limited number of the potential multilateral organisations reflects limits in terms of the money available and capacity within individual members to participate.<sup>19</sup> The desire to ensure an equal financial contribution from each member imposes a constraint upon the growth of the overall budget. [see Major Issue P in the Evaluation Matrix]
  - ix. **Permanent secretariat.** The decision to locate the Secretariat within the OECD from 2013 reflects lessons suggesting that MOPAN now requires a permanent secretariat which will provide a much stronger institutional framework providing efficiency and continuity of institutional memory as well as closer links to other joint donor efforts on multilateral policy.[see Major Issue N, O, P and Q in the Evaluation Matrix]

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<sup>18</sup> Meier, W. (2007) Assessing Multilateral Organisation Effectiveness: A Comparative Analysis of Assessment Tools and Development of a Common Approach". Paper prepared for the Multilateral Organisation Performance Assessment Network (MOPAN) presented to the MOPAN Working Group in London on Dec 6<sup>th</sup>, 2007, by Werner Meier, October 2007

<sup>19</sup> See discussion in Meier of the alternative implementation modalities and the strengths and weaknesses of each..

- x. **Evolving methodology.** The methodology has been incrementally extended to reflect experience and is implemented as intended. To a degree, the document review component is intended to allow validation of the evidence in the main scorecard. [see Major Issue K in the Evaluation Matrix]
- xi. **The methodology works.** The methodology is good enough to reveal the key factors explaining an organisation’s effectiveness. [see Major Issue F in the Evaluation Matrix]

### 1.3 The Evaluation Matrix

The evaluation matrix is presented below. In developing the matrix, around the four overarching evaluation questions, we grouped a number of major issues and then identified evaluation sub-questions. The sub-questions from the ToR were assigned to the major issue considered most relevant. In developing the matrix and the data collection tools, it was the consensus of the team that the number of questions that could be asked was vast. The documentary review also showed that there was no current and comprehensive description of the actual demand for evidence from MOPAN members and they use the evidence against the multiple purposes. We also had to be realistic about how long and comprehensive a survey can be, if we were to get a reasonable response rate and how long interviews with individuals were likely to take. The matrix below, therefore shows our judgment on the most important issues that needed to be covered, and hence evaluation sub-questions, given the time available and the data collection tools we intended to use. Finally, we saw no point collecting more data than we had the capacity to analyse systematically in the time available and this was a significant factor in what we prioritised. To help you to see what we did, the original sub-questions and corresponding sub-questions in the evaluation matrix are set out below. Drawing on the contextual factors and assumptions set out above, we also added a number of additional sub-questions. To aid clarity, we cross-referenced between the contextual factors and assumptions to the relevant major issue in the evaluation matrix below.

**Table 1: How the original sub-questions in the evaluation ToR were addressed in the evaluation matrix**

Original evaluation question	Where found now in the Evaluation Matrix?
<b>Relevance</b>	
Do the MOPAN Assessments produce the kind of information that is required by the members?	See Major Issue A
Is the current mix of components of organisational effectiveness (strategic management, operational management, relationship management and knowledge management) still relevant for the members of MOPAN? Are some components (or parts of these components) considered to be more relevant than others?	Not explicitly covered. This question might be covered in interviews with MOPAN Focal Points, if they raise it.
Does the results component provide relevant information? Is this information considered to be more or less relevant than the information about the organisational effectiveness?	Sub-questions 17 & 18
Are all the Key Performance Indicators and Micro-Indicators in the methodology appropriate to measure the four components of organisational effectiveness and the results component? If not, how should they be changed?	Sub-question 24 & 47
Is the —Best Fit—approach a good way of addressing the diversity in multilateral organisations being assessed?	Sub-question 48
Are there gaps in what MOPAN produces? What kind of information is needed by MOPAN’s members, but not delivered by MOPAN?	See Major Issue A
Are MOPAN assessments relevant for different target constituencies, both within the MOPAN membership as well as the multilateral organisations (senior management, multilateral units, country desks, strategic planning units,	Major Issues A and F

<b>Original evaluation question</b>	<b>Where found now in the Evaluation Matrix?</b>
country offices, etc.)? Does the methodology allow to measure progress over time in the case of repeat assessments?	
Are the MOPAN reports considered relevant by other stakeholders than the members (non-member donor countries, multilateral organisations, developing countries where the assessments take place)?	Major Issue F Major Issue B
Has MOPAN assessed the right range of multilateral organisations? o Is any important multilateral organisation missing in MOPAN's past assessments? o Should MOPAN focus on more or less multilateral organisations?	Sub-question 10
<b>Effectiveness</b>	
Does MOPAN succeed in generating information that the members can use to meet their domestic accountability requirements? How do members use this information?	Sub-questions 1 and 2
What is the quality of the MOPAN reports? o is the information credible? o are the conclusions evidence-based? o are the reports written in a clear and understandable language? o are the reports specific enough?	Major Issue K
Were the consultants who were hired to do the assessments able to work in an independent and credible manner?	Sub-question 44
Are the MOPAN reports used by the members to engage in a dialogue with the multilateral organisations about their organisational effectiveness? o Is there a difference in the utilisation of MOPAN reports at developing country level and at the level of the headquarters of MOPAN members and multilateral organisations?	Sub-questions 6-8 Major Issue B
Do the MOPAN reports influence decision-making of the MOPAN members with respect to the multilateral organisations, e.g. strategy notes for multilateral departments or funding decisions?	Major Issue A
Do the reviewed multilateral organisations use the MOPAN reports, and for which purposes? o How do they respond to the findings in the reports? o Are the reports a source of learning? o Do multilateral organisations wish to adapt the Common Approach with a view to improving the effectiveness and utility of the reports?	Major Issue F
Is the timing of the MOPAN assessment cycle conducive to the actual use of the reports? o Is the choice of multilateral organisations to be reviewed well-timed? o Are the MOPAN reports timely issued in order to feed into strategic discussions between donors and multilateral organisations?	Sub-questions 11
To what extent has MOPAN led to a reduction of bilateral assessment systems? o What are the reasons that certain MOPAN members still conduct their own assessments? o What kind of information is lacking in the MOPAN reports according to members who conduct their own assessments?	Major Issue G
<b>Efficiency</b>	
Are the direct costs of producing the MOPAN reports perceived as reasonable by MOPAN members?	Major Issue Q
Are the indirect costs perceived as reasonable by the members and the multilateral organisations (e.g. in terms of person days spent on participating in the assessment cycle)?	Major Issue R
Do members find that MOPAN reports give good value for money?	Major Issue P & Q
Are MOPAN members satisfied with the number of multilateral organisations being assessed per year?	Not directly asked

Original evaluation question	Where found now in the Evaluation Matrix?
What is the minimum number of developing countries where the survey should be conducted in order to obtain credible information?	Not directly asked since really something for recommendations
Can the MOPAN methodology be simplified without losing any of its value?	Not directly asked since really something for recommendations
How can the results component be permanently integrated in the methodology without the survey and document study becoming too complex and unmanageable?	Not directly asked since really something for recommendations
Is the current cost/effectiveness of MOPAN acceptable for its members?	Major Issues Q and R
How do the members judge the added value of MOPAN in comparison with bilateral assessments, monitoring and evaluation of multilateral organisations, audits, peer reviews of evaluation functions of multilateral organisations, the Development Effectiveness Reviews under guidance of OECD-DAC, and other sources of information?	Major Issue G and I
What are the options for MOPAN to link with other efforts to assess multilateral performance thereby avoiding overlap?	Major Issue I
Is the governance structure of MOPAN efficient?	Major Issue O
Are members satisfied with the decision making process in MOPAN? o Is it too slow? or too fast? o Is it transparent?	Major Issue N
Is the preparation of MOPAN meetings by the secretariat adequate for decision making during the meetings?	Major Issue O
Are there lessons to be learnt of the management of MOPAN to date for the new secretariat at the OECD? What should the new secretariat do that was not done by the rotating secretariat before?	Major Issues N and O

Credible evaluation also requires being clear on the basis used in judging performance. In this case, there aren't a set of indicators of intended MOPAN performance that can be used, and as can be seen in the matrix, in many cases, we will be relying on the opinions of those interviewed and responding to the survey. In such cases, analysis will be focused on assessing the degree to which there are divergences in opinion between respondents and the implications on the relevance, effectiveness and efficiency of MOPAN. Otherwise, in terms of the methodological credibility of the MOPAN Common Approach and the quality of the reports, benchmarks for assessment have been identified in the matrix below. Finally, this evaluation's purpose is to make strategic evaluations for the future. In doing this, we acknowledge that these will need to recognise the work already carried out by the membership on the future directions and approach of MOPAN.

**Table 2: The evaluation matrix**

Major Issue	Sub-questions	What would we assess against?
<b>Over-arching evaluation question 1: Are the MOPAN reports being used by donors and multilateral organisations to improve the performance of the organisations that were assessed?</b>		
<b>Over-arching evaluation question 2: Do the MOPAN reports meet the needs of the members in terms of their domestic accountability requirements?</b>		
A. MOPAN Assessments produce the kind of information that is required by the	1. Do MOPAN Assessments produce the evidence used in meeting accountability demands related to multilateral expenditure within your country.	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members



Major Issue	Sub-questions	What would we assess against?
MOPAN members.	2. Do results tabled to your parliament directly, or indirectly, reference MOPAN assessments?	<b>Judgment criterion:</b> Factual <b>Source of evidence:</b> Survey within MOPAN members
	3. Do MOPAN Assessments produce evidence used in analysis supporting allocation of bilateral funds between multilateral organisations within your organisation.	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members
	4. How is evidence from MOPAN assessments used in analysis supporting allocation of bilateral funds between multilateral organisations within your organisation?	<b>Judgment criterion:</b> Factual <b>Source of evidence:</b> Survey within MOPAN members (open question)
	5. Is evidence from the MOPAN assessments either directly, or indirectly, cited in your assessments for resource allocation?	<b>Judgment criterion:</b> Factual <b>Source of evidence:</b> Survey within MOPAN members
	6. Do MOPAN Assessments, where available, provide evidence used when setting your county's agenda while participating in the governance of multilateral institutions (at board and governing body meetings).	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI
	7. Are the MOPAN network and its assessments an effective means of developing common positions between some or all of the members.	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI
	8. How is evidence from MOPAN assessments used by your organisation when setting your county's agenda while participating in the governance of multilateral institutions (at board and governing body meetings).	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members (open question) <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI
	9. Do you believe that the Common Assessment is a synthesis, increasingly drawing on, rather than replacing, existing assessment approaches (the Paris monitoring report, COMPAS and multilaterals' own performance reports).	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI
	10. Since 2009, given resource constraints and the need for cooperation by the assessed multilaterals, are there any multilateral organisations that should have been assessed, but were not?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	11. MOPAN assessments are timed to maximise opportunities to use the assessments.	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI

Major Issue	Sub-questions	What would we assess against?
<p>B. There is a demand at country level for evidence presented in the common assessments</p>	<p>12. Do you and your senior colleagues read MOPAN reports, or at least their summaries?</p> <p>13. How important is MOPAN to you in relation to other sources of information on the multilateral organisations' performance?</p> <p>14. Why did you join MOPAN, given that all of the evidence is published on the MOPAN website?</p> <p>15. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?</p> <p>16. Overall, is there a demand at country level for the type of evidence presented in the common assessments?</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Director level interview</p> <p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Director level interview</p> <p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Director level interview</p> <p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed  <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed  <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
<p>C. The greatest demand in the future will be for evidence of development results and the links between development and organisational effectiveness for the individual organisations.</p>	<p>17. Will there be greater demand in the future for evidence of development results and for cost-effectiveness, given needs for donor domestic accountability</p> <p>18. Do you think MOPAN should give increased attention to assessing development results and cost-effectiveness?</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Director level interviews</p> <p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Director level interview</p>
<p>D. The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible.</p>	<p>19. Do you think The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible?</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Director level interviews.</p>
<p>E. There is clear evidence that challenges and opportunities to improve organisational effectiveness identified in MOPAN assessments have been reflected in multilateral organisations'</p>	<p>20. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?</p> <p>21. Was the timing of the MOPAN assessment</p>	<p><b>Judgment criterion:</b> Factual  <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> Opinion</p>

Major Issue	Sub-questions	What would we assess against?
subsequent reform strategies.	cycle conducive to the actual use of the reports?	<p><b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
F. Multilateral organisations use the MOPAN reports to improve their performance	22. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?	<p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	23. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?	<p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey with multilaterals assessed</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	24. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation's effectiveness?	<p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey with multilaterals assessed</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	25. How did your organisation respond to the common assessment? <ul style="list-style-type: none"> <li>• Reports tabled at the Executive Board or Governing Council</li> <li>• Communicated to staff</li> <li>• Management makes formal response</li> <li>• Reports made back to governing body on management response (Yes/No)</li> </ul>	<p><b>Judgment criterion:</b> Fact</p> <p><b>Source of evidence:</b> Survey with multilaterals assessed</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	26. Has the assessment of your organisation been used for any of the following purposes? <ul style="list-style-type: none"> <li>• Refinement of your organisation or reform strategy</li> <li>• Learning within your organisation</li> <li>• Reforms to operations and management</li> <li>• Improving performance management</li> </ul>	<p><b>Judgment criterion:</b> Fact</p> <p><b>Source of evidence:</b> Survey with multilaterals assessed</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	27. Were the demands on time of your staff for the MOPAN assessment proportionate	<p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey with multilaterals assessed</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>

**Over-arching evaluation question 3: How can MOPAN contribute to maximising harmonisation of donor approaches in assessment systems of multilateral organisations?**

Major Issue	Sub-questions	What would we assess against?
<p>G. The MOPAN Common Approach has reduced the growth in bilateral assessment systems.</p>	<p>28. Has the MOPAN Common Assessment contributed within your organisation to reducing the need for your own assessments of multilateral performance?</p> <p>29. If your organisation still carries out its own assessments, why?</p> <p>30. If MOPAN's Common Approach were further refined, could it replace your internal assessments?</p> <p>31. How does the credibility of MOPAN assessments of an organisation's effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA).</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Source of evidence:</b> Director level interview  <b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Source of evidence:</b> Director level interview</p>
<p>H. The MOPAN Common Assessment is an opportunity to create a consensus over what exactly is required in order to assess effectiveness and agree common standards for assessing multilateral effectiveness and common advocacy and influencing objectives as regards effectiveness assessment.</p>	<p>32. Do you think that the MOPAN Common Assessment is an opportunity to create a consensus over what exactly is required in order to assess organisational and development effectiveness and agree common standards for assessing these?</p> <p>33. Do you think that MOPAN has used this opportunity effectively?</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Source of evidence:</b> Director level interview  <b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Survey within MOPAN members  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Source of evidence:</b> Director level interview</p>
<p>I. Opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used.</p>	<p>34. Do you think that opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used?</p> <p>35. If so, what evidence is there of this?</p>	<p><b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants  <b>Judgment criterion:</b> Opinion  <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p>

Major Issue	Sub-questions	What would we assess against?
	36. Should the Evalnet’s New Approach, which combines meta-analysis of evaluations with review of documents on results and evaluation, be merged into MOPAN?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	37. Do you think that MOPAN should become a knowledge platform for information and evaluations (and other assessments) of multilateral organisations?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
<b>Over-arching evaluation question 4: Is the methodology appropriate for the type of information that MOPAN members need? If not, how should it be modified?</b>		
J. Donors can predictably define future evidence needs.	38. Is it clear what evidence of performance you will need for the next two or three years for the most important multilateral organisations?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview
	39. Does the results component of the common assessment provide relevant information?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview
	40. Is the results component information considered to be more or less relevant than the information about the organisational effectiveness?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview
	41. Has the present approach of identifying questions to be asked in the MOPAN assessments by taking questions from those included in the bilateral assessment tools of individual members ensured that MOPAN asks the right questions to meet the internal demands of the individual members and build ownership?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
K. The assessments presented in MOPAN reports present credible assessments based on the transparent presentation of evidence.	42. Do you think that the quality/credibility of MOPAN assessments is high?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview <b>Source of evidence:</b> Case studies

Major Issue	Sub-questions	What would we assess against?
	<p>43. Can you list three ways in which MOPAN could improve its effectiveness?</p> <p>44. Have the consultants hired to do the assessments been able to work in an independent and credible manner?</p> <p>45. Do the reports present the right material in a transparent way?</p> <ul style="list-style-type: none"> <li>• Clarity and Representativeness of Summary</li> <li>• Context</li> <li>• Validity and Reliability of Information Sources described</li> <li>• Explanation of the Methodology Used</li> <li>• Clarity of Analysis</li> <li>• Questions Answered</li> <li>• Acknowledgement of Changes and Limitations</li> <li>• Acknowledgement of Disagreements within the Team</li> <li>• Incorporation of Stakeholders' Comments</li> </ul>	<p>of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Survey within MOPAN members and with multilaterals assessed</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> Opinion</p> <p><b>Source of evidence:</b> Interviews with Universalialia</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Judgment criterion:</b> There is no agreed set of standards for assessing such reports, so we will draw on the standards for evaluation reports (pages 26-28) in OECD (2012) Evaluating Development Co-Operation: Summary Of Key Norms And Standards. OECD DAC Network on Development Evaluation. Second Edition.<sup>20</sup> Note that we have added three others on utility.</p> <p><b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p>
	<p>Does the analysis have a high level of utility:</p> <ul style="list-style-type: none"> <li>• Enables learning from outliers</li> <li>• Copes with normative functions/ controversial issues</li> <li>• Reveals differences between the de jure/ de facto situation</li> </ul>	
	<p>46. Has development of the Common Approach since 2009 been driven by the need to address methodological weaknesses identified by MOPAN itself?</p>	<p><b>Judgment criterion:</b> Opinion/Fact</p> <p><b>Source of evidence:</b> Review of MOPAN documentation</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p>
	<p>47. Has the approach to development of the KPIs in the Balanced Scorecard reflected good practice?</p>	<p><b>Judgment criterion:</b> There is no single set of good practice in the development of Balanced Scorecards and approaches to what should be included and how</p>

<sup>20</sup> <http://www.oecd.org/dac/evaluation/dcdndep/41612905.pdf>

Major Issue	Sub-questions	What would we assess against?
	<p>48. Does the best fit approach to rating/calibrating performance against individual KPIs add credibility?</p>	<p>they may be used vary significantly. However, the literature on Balanced Scorecards is consistent that the KPIs should be developed with those within the organisation. We will therefore probe whether this has actually happened and also explore the extent to which those responsible for development of the KPIs drew on the broader literature on how to do this. Of course, this needs to be balanced with having a common approach, rather than one tailored to each multilateral.</p> <p><b>Source of evidence:</b> Review of MOPAN documentation</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Judgment criterion:</b> Given that countries surveyed are not selected to be statistically representative and other data sources are incomplete, a robust approach to generalization is vital. We will draw on the use of case studies for generalization in this case, using Robert Yin (2003) <i>Case Study Research: Design and Methods</i>. Applied Social Research Methods, Volume 5. Sage Publications and also Robert Yin (2011) <i>Applications of Case Study Research</i>. Applied Social Research Methods. Sage Publications</p> <p><b>Source of evidence:</b> Review of MOPAN documentation</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Judgment criterion:</b> For rating/calibrating performance there is extensive discussion in methodological literature. We will use the standards found in C. Schneider and C. Wagemann (2012) <i>Set-Theoretic Methods for the Social Sciences: A Guide to Qualitative Comparative Analysis (Strategies for Social Inquiry)</i>.</p>

Major Issue	Sub-questions	What would we assess against?
L. The methodology allows measurement of progress over time in the case of repeat assessments.	<p>49. What opportunities to simplify the methodology, without decreasing credibility, exist?</p> <p>50. Does the common approach allow measurement of progress over time in the case of repeat assessments?</p>	<p>Cambridge University Press (30 Aug 2012), Section 1.2</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants and Universalialia</p> <p><b>Judgment criterion:</b> Included in the evaluation matrix as obviously a concern to some, but strictly speaking an area in which you are asking for recommendations rather than for judgment of the past/present.</p> <p><b>Judgment criterion:</b> We will assess two factors. First, the degree to which the same KPIs are applied in successive assessments. Second, whether changes in data collection methods may have led to significant changes in the rating (see calibration assessment elsewhere). Third, the implication of changes in the countries surveyed in successive surveys.</p> <p><b>Source of evidence:</b> Review of MOPAN documentation Source of evidence: Case studies of AfDB, UNDP, UNHCR and GAVI</p>
M. The Common Approach has been efficiently implemented as planned	<p>51. Are annual timelines for implementation set out in the Implementation Guides met in practice?</p> <p>52. If timelines have not been met, what do you think have been the major factors causing delays?</p> <p>53. Do you think that further development and integration of the results component will make the overall approach unmanageable?</p>	<p><b>Judgment criterion:</b> Fact <b>Source of evidence:</b> Case studies of AfDB, UNDP, UNHCR and GAVI</p> <p><b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants</p> <p><b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants and Universalialia</p> <p><b>Judgment criterion:</b> Included in the evaluation matrix as obviously a concern to some, but strictly speaking an area in which you are asking for recommendations rather than for judgment of the past/present.</p>
N. The	54. Are you satisfied with the decision making	<b>Judgment criterion:</b> Opinion



Major Issue	Sub-questions	What would we assess against?	
governance structure of MOPAN operates effectively.	process in MOPAN?	<b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Judgment criterion:</b> Opinion	
	55. Do you think the senior-most officials in MOPAN countries dealing with multilateral organisations are sufficiently involved in decision-making on MOPAN?	<b>Source of evidence::</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview	
	56. Do you think that the decision making process within MOPAN is it too slow or too fast?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants	
	57. Do you think that decision making within MOPAN is it transparent?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants	
	58. Do you think that operation of the MOPAN meetings allows adequate voice to all members?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants	
	59. Do you think that the current system of rotating co-chairs of MOPAN every should be rethought? If so what do you think would work better?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants	
	60. What are the implications for MOPAN's evolution, including of governance and level of engagement by the MOPAN members, from being hosted by DCD? To what extent does it increase the margin for potential changes, if justified?	<b>Judgment criterion:</b> Opinion and paras 6 and 8-14 in the MOU on the hosting by the OECD of the Secretariat for the MOPAN <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview	
	61. Do you think that there should be more involvement or consultation of evaluators from developing countries or civil society in MOPAN decision making? If so how?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants	
	62. Should MOPAN be reaching out further to other stakeholders in its governance or its implementation?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview	
	O. The governance structure of MOPAN operates efficiently.	63. Do you think that preparation for MOPAN meetings by the secretariat has been adequate to support efficient and timely decision making during the meetings?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
		64. What lessons do you think should be reflected in the way the new secretariat at the OECD operates?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
		65. Do you think that the new secretariat's	<b>Judgment criterion:</b> Opinion

Major Issue	Sub-questions	What would we assess against?
P. The direct costs (annual financial contribution) are thought reasonable by MOPAN members.	roles should be different from those of the previous rotating secretariat? If so, what should change?	<b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	66. Do MOPAN members believe that MOPAN reports are good value for money?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants <b>Source of evidence:</b> Director level interview
	67. Do MOPAN members think that the direct costs of producing the MOPAN reports are reasonable?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
Q. The indirect costs (e.g. in terms of person days spent on participating in the assessment cycle) are thought reasonable by all participants.	68. Do MOPAN members think that in future all members should continue to provide the same level of financial contribution?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	69. Do MOPAN members believe that the indirect costs (e.g. in terms of person days spent on participating in the assessment cycle) are reasonable?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	70. Do MOPAN members believe that the overall approach, with MOPAN members playing a significant role in implementation of the assessments, should continue into the future?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants
	71. Do MOPAN members believe that their internal capacity to fulfill the country and institutional lead roles and act as HQ focal points is limited and this is the major factor constraining the number of organisations that can be assessed each year?	<b>Judgment criterion:</b> Opinion <b>Source of evidence:</b> Interviews with MOPAN focal points and other key informants

#### 1.4 The surveys and response rates

Three surveys were carried out.<sup>21</sup> The first focused on the people within the MOPAN membership (including the MOPAN Focal Points). The second was to the 17 MOPAN Focal Points and intended to allow us to gather a significant amount of information on their perceptions of the operation of MOPAN, in preparation for follow-up interviews. The third was a short survey for the 12 organisations that had been assessed under the Common Approach since 2009 and which were not be case studies. These were:

<sup>21</sup> The possibility of another survey, to other stakeholders, such as at country level or donor governments that are members of the DAC but not members of MOPAN, was considered but finally rejected on the grounds that compiling a listing of those able to comment knowledgeably would be a massive task and divert significant resources within the team that could be better used elsewhere.

**Table 3: Multilateral organisations to be surveyed**

Organisation	MOPAN assessment
1. AsDB – ADF	2010, 2013
2. FAO	2011
3. IADB	2011
4. IFAD	2010, 2013
5. UNAIDS	2012
6. UNEP	2011
7. UNFPA	2010
8. UNICEF	2009, 2012
9. UNRWA	2011
10. WB – IDA	2009, 2012
11. WFP	2010, 2013
12. WHO	2010, 2013

The main purpose of the surveys was, as suggested in the ToRs, to gain an overview of the perceptions of MOPAN members, and others, of the usefulness of the MOPAN ‘Common Approach’ assessments, how this could be enhanced, and its comparative advantage relative to other assessment exercises.

In terms of response rates, for the survey with 12 multilateral organisations, survey questionnaires were sent to eight organisations. We received no response to invitations to participate from three agencies – UNRWA, UNEP and FAO – while in the case of WFP it was inappropriate to administer the survey, as the 2010 assessment process was not completed. Full responses were received from all eight agencies invited to participate.

For the survey with MOPAN Focal Points, completed responses were received from 16 out of the 17 Focal Points. The one non response was from Korea.

For the survey to staff within the MOPAN membership, the initial listing of those to be invited to respond was compiled by each of the focal points. Within the MOPAN members, we asked the Focal Points to identify people who have fulfilled the roles outlined below.

Role	
<p><b>Within MOPAN:</b></p> <ul style="list-style-type: none"> <li>• MOPAN Focal Point</li> <li>• MOPAN Institutional Lead</li> <li>• MOPAN Country Lead</li> <li>• MOPAN Chair/Secretary</li> <li>• MOPAN quality assurance</li> <li>• MOPAN TWG</li> </ul>	<p><b>More broadly within MOPAN members</b></p> <ul style="list-style-type: none"> <li>• MO performance analysis in support of multilateral accountability to your national authorities</li> <li>• MO performance analysis in support of allocation of funds between multilateral organisations</li> <li>• MO performance analysis in support of engagement in steering of, and participation in, the governance of multilateral institutions</li> <li>• Using MO performance analysis in support of multilateral accountability to your national authorities</li> <li>• Using MO performance analysis in support of deciding the allocation of funds between multilateral organisations</li> <li>• Using MO performance analysis in support of engagement in steering of, and participation</li> </ul>

	<b>Role</b>	
<b>Within MOPAN:</b>		<b>More broadly within MOPAN members</b> in, the governance of multilateral institutions

The survey was open for five weeks, and in the case of non responses, reminders sent out and we also worked with relevant focal points to increase the response rates. The total numbers of those invited to complete the survey and actual numbers that did are shown below in table 4.

**Table 4: Possible and actual response rates to the survey of staff within MOPAN members**

MOPAN member government	No. of staff invited to respond	Actual response rate (in terms of completed survey)	Percentage response rate
Australia	35	13	37%
Austria	17	1	6%
Belgium	55	18	33%
Canada	30	12	40%
Denmark	20	11	55%
Finland	15	3	20%
France	27	5	19%
Germany	6	1	17%
Ireland	29	4	14%
Norway	51	11	22%
Republic of Korea	2	0	0
Spain	38	11	29%
Sweden	20	4	20%
Switzerland	36	5	14%
The Netherlands	15	1	7%
UK	28	13	46%
USA	1	1	100%
<b>Total</b>	<b>425</b>	<b>114</b>	<b>27%</b>

Questions asked can be seen in later sections of this volume, where responses by question have been tabulated.

### **1.5 The interview protocols and who was contacted**

Interviews were to be carried out, by phone, with three different groups – Directors within the MOPAN members, the MOPAN Focal Points and a number of key informants (from Universalia and staff from MOPAN members who have recently moved on but previously had a long and significant role in MOPAN). As such, while the survey would mainly include closed questions and aim to examine differences in perception/opinion between those having differing roles, the semi-structured interviews would focus on more open ended questions that are unsuited for inclusion in a survey and the detail of how MOPAN operates and the methodology used. These semi-structured interviews would also be the opportunity for interviewees to raise other issues, not identified by the evaluators, but important to consider. To ensure a solid evidence trail, a separate record was kept for each interview.

### **Director level interviews**

A summary of which director level interviews were held is below in Table 5. In total 17 interviews were held, covering 12 of the 17 members. Attempts to arrange interviews with the remaining five members – Austria, Denmark, Germany, Korea, and Spain – were made but proved impossible, normally due to the fact that the key staff were on holiday.

**Table 5: Summary of which director level interviews were held**

<b>MOPAN member government</b>	<b>Interview carried out</b>
1. Australia	Yes (x2)
2. Austria	No
3. Belgium	Yes
4. Canada	Yes (x2)
5. Denmark	No
6. Finland	Yes
7. France	Yes
8. Germany	No
9. Ireland	Yes
10. The Netherlands	Yes
11. Norway	Yes
12. Republic of Korea	No
13. Spain	No
14. Sweden	Yes
15. Switzerland	Yes
16. UK	Yes (x2)
17. USA	Yes (x2)
<b>Overall</b>	<b>17</b>

For the semi-structured interviews with director level staff and above (which normally lasted 45 minutes), the following questions were used to guide the interviews:

1. Do you and your senior colleagues read at least summaries of MOPAN reports?
2. How important is MOPAN to you in relation to other sources of information on the performance of multilateral organisations’?
3. To what extent do you see growing demand for evidence of development results and for cost-effectiveness of multilaterals,?
4. Do you think MOPAN should give increased attention to assessing development results and cost-effectiveness or that this is not necessary?
5. What is the main advantage to you of participating in MOPAN, given that all of the evidence is published on the MOPAN website?
6. Do you think that the MOPAN approach should be adjusted to allow benchmarking or other comparison of development and organisational performance among multilateral organisations.
7. Should MOPAN be a repository of information about assessments of MOs? Should it make use of credible external assessments in its own assessment reports?
8. Has your organisation carried out its own comparative assessment of multilateral organisations within the past three years and/or does it have plans to do so?
9. If MOPAN’s Common Approach were further refined, could it replace your internal assessments?

10. Do you think that the quality/credibility of MOPAN assessments is high? More specifically, how does the credibility of MOPAN assessments compare to that of your own or external ones (such as QuODA). (Do you think that MOPAN ratings on weaker performers are softer, in comparison with, say, the MAR?)
11. Now that the MOPAN Secretariat is hosted by the DAC Secretariat, do you think that opportunities should be actively explored for synergies between MOPAN and other joint donor work on coherence of multilateral policies?
12. Do you consider participation in MOPAN cost effective overall?
13. Do you consider perception surveys potentially useful in making comparisons of multilaterals, including those with widely differing mandates where objective comparable measures are not available?
14. Do you have any other suggestions on how MOPAN might be improved?

### ***Focal point interviews***

A summary of which focal points were interviewed is below in Table 6. In total 13 interviews were held. Attempts to arrange interviews with the remaining five members – Austria, Denmark, Germany, Korea, and Spain – were made but proved impossible, normally due to the fact that the key staff were on holiday.

**Table 6: Summary of which director level interviews were held**

<b>MOPAN member government</b>	<b>Interview carried out</b>
1. Australia	Yes
2. Austria	Yes
3. Belgium	Yes
4. Canada	Yes
5. Denmark	Yes
6. Finland	Yes
7. France	Yes
8. Germany	Yes
9. Ireland	Yes
10. The Netherlands	No
11. Norway	Yes
12. Republic of Korea	No
13. Spain	Yes
14. Sweden	Yes
15. Switzerland	No
16. UK	No
17. USA	Yes
<b>Overall</b>	<b>13</b>

Interview questions in the main focused on expansion of the questions asked in the survey to focal points.

### ***Other key informants***

The intent was that interviews would also be held with a number of other stakeholders. Interviews were held with two people from the new Secretariat and also with key informants within Universalia, which has the main contract for the assessments.

## 1.6 The case studies

### Rationale for selection of the case study organisations

The ToR requested that:

*‘Four case studies will be done taking into account the results of the document study and the survey. The focus will go to interesting findings from previous phases in order to gain a better understanding. The case studies also offer the opportunity to ‘zoom in’ on the specificities of certain multilateral organisations and on recent innovations in MOPAN. The number of case studies reflects the diversity in the types of multilateral organisations that are being assessed by MOPAN. A first distinction is to be made between development organisations and humanitarian organisations. A second distinction is to be made between International Financial Institutions (IFI’s) and non-IFIs. Thirdly there is a presence of vertical funds in the selection since 2012, which poses new methodological challenges, as GAVI (the first vertical fund assessed in 2012) does not have its own implementation structures in the field. Finally, at least one of the organisations in the case studies needs to have been assessed twice since 2009, in order to study the issue whether it is possible to measure progress through the MOPAN assessments.’*

For selection of the case study organisations, multilateral organisations assessed under the Common Approach were assigned according to these criteria, as shown in the table below.

**Table 7: Candidate case study organisation by criteria**

Type of organisation		Number of times assessed under Common Approach		
		Once	Twice	
Developmental	IFI	Asian Development Bank	World Bank	
		IFAD	African Development Bank	
		Inter-American Development Bank		
Humanitarian	UN	WHO	UNDP	
		UNFPA	UNICEF	
		UNEP		
		FAO		
		UNAIDS		
		Vertical Fund	GAVI	
			WFP	
UNHCR				
		UNRWA		

In addition to the criteria outlined above, we also suggested that only organisations assessed in either 2011 or 2012 be proposed, reflecting the likelihood that it would be easier to identify and access people involved in the assessments and their use. For older assessments it was thought likely that many of the key people would have moved position or organisation. Based on these criteria, our recommendations for selection of case study organisations were as follows:

- The only vertical fund assessed is **GAVI**. Therefore it needs to be included, particularly given the greatly increased importance of vertical funds in the aid landscape over the past decade.
- Of the humanitarian organisations, we would suggest that the case study organisation be **UNHCR**. This is a pragmatic choice, as the assessment logically should have informed discussion between member governments and the organisation as part of the 2012 Biennial

Budget and other planning processes. The alternatives would be UNRWA and WFP. In the case of the United Nations Relief and Works Agency for Palestine Refugees (2011), this is an organisation that none of us have any familiarity with. We checked their website, but it is not that helpful and we couldn't find an obvious process through which the assessment might have been used by MOPAN members. In addition, we thought it less appropriate as a case since it works in a limited number of countries and the assessment included opinions from all countries in which the organisation works. This doesn't allow examination of how the issue of generalising from a non-random sample of countries to a judgment of the overall organisational effectiveness of the organisation. In the case of WFP (2010), the assessment was conducted as a pilot and was not a complete assessment and is therefore considered unsuitable.

- We note that the ToR suggests that *at least one of the organisations in the case studies needs to have been assessed twice since 2009, in order to study the issue whether it is possible to measure progress through the MOPAN assessments*. As such, we think it a good idea to look at two such organisations, if possible. IFAD and ADB were rejected since the assessments were completed in 2010, so don't allow us to look at the evolution of the Common Approach and potentially will cause confusion, as assessments are scheduled for 2013. IADB is a possibility, but picking up on use would be more challenging, since there is no convenient replenishment process to examine and it would require strong Spanish (none of the team is comfortable working in Spanish) to examine the country level processes. This leaves the WB or AfDB. In both cases we have assessments that allow the examination of evolution of the approach over time and cover the three major methodological innovations in the Common Approach since 2009. We suggest that the **AfDB** be selected as the case study for three reasons. First, we believe that it is likely that the number of persons involved will be less. Second, the relationship between IDA and the World Bank would complicate any case study of the World Bank/IDA. Third, AfDB is currently being assessed under the Evalnet New Approach, so allowing comparison with the MOPAN assessment from 2012.
- In terms of the UN development organisations, there are seven potential candidates – United Nations Development Programme (2009, 2012), United Nations Children Fund (2009, 2012), World Health Organisation (2010), United Nations Population Fund (2010), United Nations Environment Programme (2011), Food and Agriculture Organisation (2011) and the United Nations Joint Programme on HIV/AIDS (2012). Among these, we eliminated World Health Organisation and the United Nations Population Fund because they were completed in 2010. Among the remaining five, we were looking for cases in which there was a well defined strategic process within which the MOPAN assessments could have been used by individual members. This suggested UNDP and UNICEF as in both cases the new strategic plans are currently being developed, so it should be comparatively easier to pick up evidence of use. UNDP and UNICEF also have the advantage that the development results component was trialled with both and under Evalnet, their development results were assessed as well and both have been assessed twice under the Common Approach. We propose that **UNDP** be selected. This is because the proposed case study consultant already has a good understanding of much of the material already.

The proposed case study organisations were discussed with and agreed to by the evaluation Steering Committee.

#### *Purpose of the case studies*

The case studies served two purposes within the evaluation design. First, they were the opportunity to look in detail at both the MOPAN process in action and the quality and use of the actual



assessment reports from both the MOPAN members and assessed organisations' perspectives. Second, they were to be used to carry out a systematic assessment of the actual methodology and its strengths and weaknesses.

### *Generalisation and potential bias*

The issue of case study selection is usually one of selecting what is feasible and accessible, rather than what is statistically representative of the population. As this is a non-random small 'n' sample, good practice is to generalise through the ToC and the degree to which the assumptions hold true. The case studies will therefore be used in this way, for strengthening the ToC, which will be a major product of the evaluation.

## **1.7 Analysis**

Preliminary analysis and synthesis, around the questions and benchmarks identified in the evaluation matrix, was carried out jointly by the team in a two day workshop. Good practice in evaluation is to be explicit on the standard (often an indicator) to be used in judging performance against evaluation questions. In many instances, these standards would be drawn from a results framework for the intervention, but MOPAN does not have such a framework<sup>22</sup> and, in fact, there has been no monitoring of its performance to date. When assessing MOPAN's methodology, we have mainly judged it against research good practice. Elsewhere, we have relied on the opinions of those consulted and the degree to which the evidence supports assumptions on the context in which MOPAN operates and how it should add value and meet its purposes. When using opinion based evidence, particular care was taken to check whether there were divergences in opinions between respondents and, to the extent possible, that analysis from different sources was carefully triangulated. At this point, full data collection had not been completed and therefore care was taken to ensure that subsequent data analysis supported the initial conclusions and recommendations.

## **1.8 Risks and limitations identified and their management**

The evaluation process and outputs do not diverge from those agreed with the Evaluation Steering Committee when agreeing the Inception Report. However, the sequential process in the ToR, with regular engagement with the Steering Committee, to discuss data collected and analysed was not followed. This was because the evaluation started later than envisaged, so the time available did not allow such an approach.

The quality of an evaluation can be judged on the degree to which it systematically answers all evaluation questions in the ToR or by the degree to which it is useful. In this evaluation, we have collected evidence against most of the evaluation questions in the ToR. However, to maximise readability of the report and keep it short, we do not systematically discuss findings and conclusions against the 32 questions. Instead the decision was made to draft the evaluation report to reflect the theory of change, with a focus on discussing the context and assumptions, under the four major evaluation questions.

Limitations and divergences of opinion within the evaluation team are flagged in the report.

One limitation was not pre-testing the survey questionnaires, which resulted in problems with analysis for some questions. This was because the late start for the evaluation meant that we did not have time to do this and also launch the survey before the summer holidays started and response

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<sup>22</sup> A draft results framework was developed in 2012 but has not been used to date and does not include indicators of performance.

rates could be expected to decline. We judge that this has not introduced unacceptable bias into the analysis and conclusions but acknowledge that we may not always reflect the full range of viewpoints.

As shown below, interviews were carried out with the majority of key informants identified in the plan for the evaluation. Response rates for the surveys with the MOPAN Focal Points and for the assessed multilaterals were almost complete. For the survey with staff in the MOPAN members, the overall response rate of 27 percent is much as would be expected in such surveys. Whether this has introduced a bias in terms of a preponderance of responses from those positive or negative about MOPAN relative to the overall population is unknown. Differential response rates between the MOPAN members means that the results need to be treated with care, as they are inevitably somewhat skewed. Therefore, we have ensured that responses by member were examined in all cases where we make generalised findings and unless there is convincing evidence from other sources against which to triangulate, have attempted to avoid making broad assertions based purely on responses from this survey.

**Table 8: Summary of response rates to survey of staff in MOPAN members and interviews**

MOPAN member government	Number of responses to survey with staff	Interview carried out at Director level or above	Interview carried out with Focal Point
18. Australia	13	Yes (x2)	Yes
19. Austria	1	No	Yes
20. Belgium	18	Yes	Yes
21. Canada	12	Yes (x2)	Yes
22. Denmark	11	No	Yes
23. Finland	3	Yes	Yes
24. France	5	Yes	Yes
25. Germany	1	No	Yes
26. Ireland	4	Yes	Yes
27. The Netherlands	1	Yes	No
28. Norway	11	Yes	Yes
29. Republic of Korea	0	No	No
30. Spain	11	No	Yes
31. Sweden	4	Yes	Yes
32. Switzerland	5	Yes	No
33. UK	13	Yes (x2)	No
34. USA	1	Yes (x2)	Yes
<b>Overall</b>	<b>114</b>	<b>17</b>	<b>13</b>

While the evaluation was tasked with examining the country dialogue process, we do not discuss this process as we found little evidence that would add to that already known to the MOPAN membership.<sup>23</sup> The evaluation has also not assessed the efficiency of operation of MOPAN in detail. This mainly reflects the decision that to do so, for a network that until 2013, has had a rotating secretariat and in which there has been no formal monitoring of performance, would have taken significant time and resources. The evaluators judged that this was not the best use of either the limited time or resources. Notwithstanding this, a number of issues related to the efficiency were

<sup>23</sup> See MOPAN (2013) Discussion Paper: Revisiting the Country Dialogue Process. SWG Discussion Paper - Revisiting the country dialogue process. Paper no. 9

included in the survey with Focal Points and also discussed in follow-up interviews with the Focal Points and Universalia (the main contractor for MOPAN). Where relevant, these are discussed.

## 2. Summary of responses to surveys

### 2.1 Summary of responses to the survey with multilateral organisations

Response	Frequency	Per cent	Cumulative Per cent
<b>Q1. If MOPAN didn't exist, would you advocate that something similar be established?</b>			
Yes	9	75	75
No	1	8.3	83.3
Don't know	2	16.7	100
Total	12	100	
<b>Q2. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?</b>			
Yes	2	16.7	16.7
No	7	58.3	75
Don't know	3	25	100
Total	12	100	
<b>Q3. Overall, did you see evidence that there was a demand at country level for the type of evidence presented in the common assessments of your organisation?</b>			
Most of the time	2	16.7	18.2
Only occasionally	8	66.7	90.9
Don't know	1	8.3	100
Total	11	91.7	
<b>Q4. For your organisation, was the timing of the MOPAN assessment cycle conducive to the actual use of the reports?</b>			
Yes	5	41.7	62.5
No	1	8.3	75
Don't know	2	16.7	100
Total	8	66.7	
<b>Q5. Can you identify an instance where a conclusion from the MOPAN assessment had what was in your view an important contributory or causal effect on your organisation's overall corporate or reform strategies?</b>			
Yes	7	58.3	58.3
No	3	25	83.3
Don't know	2	16.7	100
Total	12	100	
<b>Q6. For your organisation, were the MOPAN reports issued in time to feed into strategic discussions between the MOPAN members and your organisation?</b>			

Response	Frequency	Per cent	Cumulative Per cent
Yes	7	58.3	58.3
No	3	25	83.3
Don't know	2	16.7	100
Total	12	100	
<b>Q7. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?</b>			
No	11	91.7	91.7
Don't know	1	8.3	100
Total	12	100	
<b>Q8. Do you think that the MOPAN assessment of your organisation was a credible and useful assessment of your organisation's organisational effectiveness?</b>			
Yes	7	58.3	87.5
Don't know	1	8.3	100
Total	8	66.7	
<b>Q9. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation's effectiveness?</b>			
Mostly	1	8.3	8.3
To a significant degree	9	75	83.3
Not very	1	8.3	91.7
Don't know	1	8.3	100
Total	12	100	
1. Reports tabled at the Executive Board or Governing Council			
Yes	7	58.3	58.3
No	5	41.7	100
Total	12	100	
2. Communicated to staff			
Yes	8	66.7	66.7
No	4	33.3	100
Total	12	100	
3. Management makes formal response			
Yes	9	75	81.8
No	2	16.7	100
Total	11	91.7	
4. Reports made back to governing body on management response			
Yes	6	50	60
No	4	33.3	100
Total	10	83.3	
1. Refinement of your organisation or reform strategy			
Yes	8	66.7	66.7

Response	Frequency	Per cent	Cumulative Per cent
No	4	33.3	100
Total	12	100	
<b>2. Learning within your organisation</b>			
Yes	10	83.3	83.3
No	2	16.7	100
Total	12	100	
<b>3. Reforms to operations and management</b>			
Yes	7	58.3	58.3
No	5	41.7	100
Total	12	100	
<b>4. Improving performance management</b>			
Yes	7	58.3	58.3
No	5	41.7	100
Total	12	100	
<b>Q10. Do you think that the quality/credibility of MOPAN assessments is high?</b>			
Yes	7	58.3	63.6
No	2	16.7	81.8
Don't know	2	16.7	100
Total	11	91.7	
<b>Q11. Were the demands on time of your staff for the MOPAN assessment proportionate?</b>			
Yes	5	41.7	41.7
No	3	25	66.7
Don't know	4	33.3	100
Total	12	100	

<b>Q12. Can you list three ways in which MOPAN could improve its effectiveness and/or usefulness?</b>				
	Way 1	Way 2	Way 3	Total
Replace or use the bilateral assessments	3	1		4
Review the sampling method and selection of respondents		1	2	3
Revise/review the KPIs	1	1		2
Consider the MOs uniqueness		1	1	2
Review the methodology	2	1	3	6
Improve visibility	1			1
Other	3	4	2	9

## 2.2 Summary of responses to the survey with focal points

Response	Frequency	Per cent	Cumulative Per cent
<b>Q1. Do you think that opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used?</b>			
Yes	6	37.5	37.5
No	8	50	87.5
Don't know	2	12.5	100
Total	16	100	
<b>Q2. Should the Evalnet's New Approach, which combines meta-analysis of evaluations with review of documents on results and evaluation, be merged with that of MOPAN?</b>			
Yes	7	43.8	43.8
No	3	18.8	62.5
Don't know	6	37.5	100
Total	16	100	
<b>Q3. Do you think that MOPAN should become a knowledge platform for information and evaluations (and other assessments) of multilateral organisations?</b>			
Yes	11	68.8	68.8
No	4	25	93.8
Don't know	1	6.3	100
Total	16	100	
<b>Q4. Is it clear what evidence of performance we will need for the next two or three years for the most important multilateral organisations?</b>			
Yes	6	37.5	37.5
No	6	37.5	75
Don't know	4	25	100
Total	16	100	
<b>Q5. Does the results component provide relevant information?</b>			
Yes	14	87.5	87.5
No	1	6.3	93.8
Don't know	1	6.3	100
Total	16	100	
<b>Q6. Is the results component information considered to be more or less relevant than the information about the organisational effectiveness?</b>			
More relevant	7	43.8	43.8
Equally relevant	9	56.3	100
Total	16	100	
<b>Q7. Has the present approach of identifying questions to be asked in the MOPAN assessments by taking questions from those included in the bilateral assessment tools of individual members ensured that MOPAN asks the right questions to meet the internal demands?</b>			

Response	Frequency	Per cent	Cumulative Per cent
Yes	4	25	25
No	4	25	50
Don't know	8	50	100
Total	16	100	
<b>Q8. Do you think that the quality/credibility of MOPAN assessments is high?</b>			
Yes	13	81.3	81.3
No	2	12.5	93.8
Don't know	1	6.3	100
Total	16	100	
<b>Q9. Has development of the Common Approach since 2009 been driven by the need to address methodological weaknesses identified by MOPAN itself?</b>			
Yes	8	50	50
Don't know	8	50	100
Total	16	100	
<b>Q10. Are all four components of the MOPAN organisational effectiveness assessments (strategic management, operational management, relationship management and knowledge management) equally useful in judging an assessed organisation's performance?</b>			
Yes	9	56.3	56.3
No	3	18.8	75
Don't know	4	25	100
Total	16	100	
<b>Q11. Has the approach to development of the KPIs in the Balanced Scorecard reflected good practice?</b>			
Yes	5	31.3	31.3
Don't know	11	68.8	100
Total	16	100	
<b>Q12. Does the best fit approach to rating/calibrating performance against individual KPIs add credibility?</b>			
Yes	7	43.8	43.8
Don't know	9	56.3	100
Total	16	100	
<b>Q13. Are annual timelines for implementation set out in the Implementation Guides always/sometimes/never met in practice?</b>			
Always	1	6.3	6.3
Sometimes	11	68.8	75
Never	3	18.8	93.8
Don't know	1	6.3	100
Total	16	100	

Response	Frequency	Per cent	Cumulative Per cent
<b>Q14. Are you satisfied with the decision making process in MOPAN?</b>			
Yes	11	68.8	68.8
No	4	25	93.8
Don't know	1	6.3	100
Total	16	100	
<b>Q15. Do you think the senior-most officials in MOPAN countries dealing with multilateral organisations are sufficiently involved in decision-making on MOPAN?</b>			
Yes	3	18.8	18.8
No	9	56.3	75
Don't know	4	25	100
Total	16	100	
<b>Q16. Do you think that the decision making process is too slow or too fast?</b>			
Too slow	7	43.8	43.8
Just in time	7	43.8	87.5
Don't know	2	12.5	100
Total	16	100	
<b>Q17. Do you think that decision making is transparent?</b>			
Yes	15	93.8	93.8
No	1	6.3	100
Total	16	100	
<b>Q18. Do you think that operation of the MOPAN meetings allows adequate voice to all members?</b>			
Yes	15	93.8	93.8
No	1	6.3	100
Total	16	100	
<b>Q19. Do you think that the current system of rotating co-chairs of MOPAN should be rethought? If so, what do you think would work better?</b>			
Yes	3	18.8	18.8
No	11	68.8	87.5
Don't know	2	12.5	100
Total	16	100	
<b>Q20. Do you think that there should be more involvement or consultation of evaluators from developing countries or civil society in MOPAN decision making? If so, how?</b>			
Yes	4	25	25
No	7	43.8	68.8
Don't know	5	31.3	100
Total	16	100	



Response	Frequency	Per cent	Cumulative Per cent
<b>Q21. Should MOPAN be reaching out further to other stakeholders in its governance or its implementation?</b>			
Yes	9	56.3	56.3
No	2	12.5	58.8
Don't know	5	31.3	100
Total	16	100	
<b>Q22. Do you think that preparation for MOPAN meetings by the secretariat has been adequate to support efficient and timely decision making during the meetings?</b>			
Yes	12	75	75
No	1	6.3	81.3
Don't know	3	18.8	100
Total	16	100	
<b>Q23. Do you think that the new secretariat's roles should be different from those of the previous rotating secretariat? If so, what should change?</b>			
Yes	13	81.3	81.3
No	1	6.3	87.5
Don't know	2	12.5	100
Total	16	100	
<b>Q24. Do MOPAN members believe that MOPAN reports are good value for money?</b>			
Yes	10	62.5	62.5
No	2	12.5	75
Don't know	4	25	100
Total	16	100	
<b>Q25. Do you think that the direct costs of producing the MOPAN reports are reasonable?</b>			
Yes	11	68.8	68.8
No	2	12.5	81.3
Don't know	3	18.8	100
Total	16	100	
<b>Q26. Should all members provide the same level of financial contribution?</b>			
Yes	14	87.5	87.5
Don't know	2	12.5	100
Total	16	100	
<b>Q27. The indirect costs (e.g. in terms of person days spent on participating in the assessment cycle) are reasonable.</b>			
Yes	10	62.5	62.5
No	6	37.5	100
Total	16	100	

Response	Frequency	Per cent	Cumulative Per cent
<b>Q28. The overall approach, with MOPAN members playing a significant role in implementation of the assessments, should continue into the future.</b>			
Yes	8	50	50
No	2	12.5	62.5
Don't know	6	37.5	100
Total	16	100	
<b>Q29. MOPAN members' capacity to carry out the country and institutional lead roles and act as HQ focal points is limited, so constraining the number of organisations that can be included under MOPAN could be a way forward.</b>			
Yes	4	25	25
No	10	62.5	87.5
Don't know	2	12.5	100
Total	16	100	

<b>Q30. Can you list three ways in which MOPAN could improve its effectiveness?</b>				
	Way 1	Way 2	Way 3	Total
Create a knowledge database		2		2
Follow-up on recommendations		2		2
Improve coordination/communication	6	1	2	9
Increase the number of assessments per year		2		2
More user-friendly reports	5	2		7
Reduce time frames	2		1	3
Respond to donor needs			2	2
Revise survey		3		3
Revise/improve overall methodology	3	3	3	9

## 2.3 Summary of responses to the survey with members of staff within MOPAN members

### Q1. Which MOPAN member are you working for?

Country	Number invited to respond	Number completing the survey	Percentage of completed questionnaires
Australia	35	13	37%
Austria	17	1	6%
Belgium	55	18	33%
Canada	30	12	40%
Denmark	20	11	55%
Finland	15	3	20%
France	27	5	19%
Germany	6	1	17%
Ireland	29	4	14%
Norway	51	11	22%
Republic of Korea	2	0	0
Spain	38	11	29%
Sweden	20	4	20%
Switzerland	36	5	14%
The Netherlands	15	1	7%
UK	28	13	46%
USA	1	1	100%
<b>Total</b>	<b>425</b>	<b>114</b>	<b>27%</b>

### Q2. What has been your main role in the MOPAN process?

Country	Main role in MOPAN?			Other	None	Total
	MOPAN Focal Point	MOPAN Institutional Lead	MOPAN Country Lead			
Australia	1	-	2	0	10	13
Austria	-	-	-	-	1	1
Belgium	4	1	1	2	10	18
Canada	1	3	3	2	3	12
Denmark	2	3	1	1	4	11
Finland	1	1	-	-	1	3
France	-	1	2	-	2	5
Germany	-	-	1	-	-	1
Ireland	1	1	-	2	-	4
Norway	2	1	2	2	4	11
Republic of Korea	-	-	-	-	-	0
Spain	3	2	3	-	3	11
Sweden	3	-	-	1	-	4
Switzerland	1	1	2	1	-	5
The Netherlands	-	-	-	-	1	1
UK	2	3	1	3	4	13
USA	1	-	-	-	-	1

<b>Total</b>	<b>22</b>	<b>17</b>	<b>18</b>	<b>13</b>	<b>43</b>	<b>114</b>
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**Q3. What is/has been your main role in your organisation in terms of working with the multilateral organisations?**

Country	Role in terms of working with multilaterals						Other
	MO performance analysis in support of multilateral accountability to your national authorities	MO performance analysis in support of allocation of funds between multilateral organisations	MO performance analysis in support of engagement in steering of, and participation in, the governance of multilateral institutions	Using MO performance analysis in support of multilateral accountability to your national authorities	Using MO performance analysis in support of deciding the allocation of funds between multilateral organisations	Using MO performance analysis in engagement in steering of, and participation in, the governance of multilateral institutions	
Australia	8	5	7	5	4	5	3
Austria	0	0	0	1	1	1	0
Belgium	5	2	7	5	4	9	3
Canada	2	0	4	6	2	6	1
Denmark	7	5	6	5	5	5	3
Finland	1	1	1	0	1	2	1
France	4	1	2	1	0	1	1
Germany	0	0	0	1	0	0	0
Ireland	2	0	3	3	0	3	0
Norway	3	2	4	5	5	6	4
Republic of Korea	0	0	0	0	0	0	0
Spain	4	1	1	3	4	4	1
Sweden	4	1	3	1	1	2	0
Switzerland	2	1	2	2	1	3	2
The Netherlands	0	0	0	1	0	1	0
UK	5	5	6	4	2	3	3
USA	1	0	0	1	0	0	0
<b>Total</b>	<b>48</b>	<b>24</b>	<b>46</b>	<b>44</b>	<b>30</b>	<b>51</b>	<b>22</b>

**Q4. Do MOPAN Assessments produce the right evidence for meeting accountability demands related to multilateral expenditure within your country?**

	Number responses	Percentage of responses	Cumulative percentage of responses
All of the evidence used	5	4.4	4.4
Most of the evidence used	19	16.7	21.1
Some of the evidence used	67	58.8	79.8
Almost none of the evidence used	10	8.8	88.6
Don't know	13	11.4	100.0
Total	114	100.0	

**Q5. Do results tabled to your parliament directly, or indirectly, reference MOPAN assessments?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Always	3	2.6	2.6
Most of the time	20	17.5	20.2
Occasionally	46	40.4	60.5
Never	8	7.0	67.5
Don't know	37	32.5	100.0
Total	114	100.0	

**Q6. Do MOPAN Assessments produce the right evidence for analysis supporting allocation of bilateral funds between multilateral organisations within your organisation?**

	Number responses	Percentage of responses	Cumulative percentage of responses
All of the evidence used	1	.9	.9
Most of the evidence used	13	11.4	12.3
Some of the evidence used	62	54.4	66.7
Almost none of the evidence used	15	13.2	79.8
Don't know	23	20.2	100.0
Total	114	100.0	

**Q7. Is evidence from the MOPAN assessments either directly, or indirectly, cited in your assessments for resource allocation?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	68	59.6	59.6
No	25	21.9	81.6
Don't know	21	18.4	100.0
Total	114	100.0	

**Q8. Do MOPAN Assessments, where available, provide the right evidence for setting your county's agenda while participating in the governance of multilateral institutions?**

	Number responses	Percentage of responses	Cumulative percentage of responses
All of the evidence used	2	1.8	1.8
Most of the evidence used	15	13.2	14.9
Some of the evidence used	67	58.8	73.7
Almost none of the evidence used	19	16.7	90.4
Don't know	11	9.6	100.0
Total	114	100.0	

**Q9. Are MOPAN and its assessments effective means of developing common positions between some or all of the members?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	43	37.7	37.7
No	32	28.1	65.8
Don't know	39	34.2	100.0
Total	114	100.0	

**Q10. Since 2009, given resource constraints and the need for cooperation by the assessed multilaterals, are there any multilateral organisations that should have been assessed but were not?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	16	14.0	14.0
No	15	13.2	27.2
Don't know	83	72.8	100.0
Total	114	100.0	

**Q11. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	77	68.1	68.1
No	21	18.6	86.7
Don't know	15	13.3	100.0
Total	113	100.0	

**Q12. Overall have you seen evidence that there is a demand at country level for the type of evidence presented in the Common Assessments?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Always	3	2.7	2.7
Most of the time	22	19.5	22.1
Only occasionally	31	27.4	49.6
Never	10	8.8	58.4
Don't know	47	41.6	100.0
Total	113	100.0	

**Q13. Do you think MOPAN should give increased attention to assessing development results in the future?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	88	77.9	77.9
No	11	9.7	87.6
Don't know	14	12.4	100.0
Total	113	100.0	

**Q14. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	27	23.9	23.9
No	38	33.6	57.5
Don't know	48	42.5	100.0
Total	113	100.0	

**Q15. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?**



	Number responses	Percentage of responses	Cumulative percentage of responses
Always	3	2.7	2.7
Most of the time	49	43.4	46.0
Only occasionally	29	25.7	71.7
Never	3	2.7	74.3
Don't know	29	25.7	100.0
Total	113	100.0	

**Q16. Has the MOPAN Common Assessment contributed within your organisation to reducing the need for your own assessments of multilateral performance?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	49	43.4	43.4
No	44	38.9	82.3
Don't know	20	17.7	100.0
Total	113	100.0	

**Q17. Does your organisation carry out its own assessments of multilateral organisations?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	73	64.6	64.6
No	33	29.2	93.8
Don't know	7	6.2	100.0
Total	113	100.0	

**Q18. If MOPAN's Common Approach were further refined could it replace your internal assessments?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	17	24.3	24.3
No	30	42.9	67.1
Don't know	23	32.9	100.0
Total	70	100.0	

**Q19. How does the credibility of MOPAN assessments of an organisation's effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA)?**

	Number responses	Percentage of responses	Cumulative percentage of responses

Much better	6	5.4	5.4
Somewhat better	31	27.7	33.0
Not as good	16	14.3	47.3
Much worse	2	1.8	49.1
Don't know	57	50.9	100.0
Total	112	100.0	

**Q20. Do you think that MOPAN has used this opportunity effectively?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Very effectively	5	4.5	4.5
Somewhat effectively	46	41.1	45.5
Ineffectively	10	8.9	54.5
Not used	4	3.6	58.0
Don't know	47	42.0	100.0
Total	112	100.0	

**Q21. Do you think that the quality/credibility of MOPAN assessments is high?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	74	66.7	66.7
No	18	16.2	82.9
Don't know	19	17.1	100.0
Total	111	100.0	

**Q22. Do the reports present the right material in a transparent way?**

	Number responses	Percentage of responses	Cumulative percentage of responses
Yes	77	69.4	69.4
No	18	16.2	85.6
Don't know	16	14.4	100.0
Total	111	100.0	

### 3. Case Study of AfDB

#### List of acronyms

AfDB	African Development Bank
AMA	Australian Multilateral Assessment
GAVI	Global Alliance for Vaccines and Immunisation
KPI	Key Performance Indicator
MAR	Multilateral Aid Review (UK)
MDB	Multilateral development bank
MI	Micro Indicator
MO	Multilateral organisation
MOPAN	The Multilateral Organisation Performance Assessment Network
OECD DAC	Organisation for Economic Co-operation and Development – Development Assistance Committee
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
QuODA	Quality of Official Development Assistance (ODA)
WB	World Bank

#### 3.1 Introduction

This case study focuses on the experience of MOPAN assessments of AfDB in 2009 and 2012. As such, it is intended to feed into the overall evaluation of MOPAN, and is not designed as a single self-standing piece of work. Only major findings and conclusions are set out in Section 3, while the supporting evidence can be found in Section 4 and Annex 4 (which deals with the quality of the report and the under-lying methodology). To a significant extent, attention has focused on the 2012 assessment, reflecting the fact that the methodology has evolved significantly over time and therefore the lessons and experience are considered more relevant for the future.

#### 3.2 Evolution of the MOPAN assessment

In 2009 MOPAN introduced the “Common Approach” broadening and extending the methodology. The Common Approach continues to collect data through a survey but additionally includes a **review of the documents** published by the multilateral organisations under review. The Common Approach also **extends the survey to direct partners** with all respondents being required to demonstrate experience and expertise related to the multilateral organisations being assessed (i.e. “expert sampling”). These developments bring about a better balance of factual and perception-based findings.

In 2009, four multilateral organisations, including AfDB, in nine developing countries were assessed. In 2010, four multilateral organisations were reviewed in ten developing countries. Five multilateral

organisations in twelve developing countries were assessed in 2011 and MOPAN adapted the methodology to match the specific circumstances of **humanitarian organisations** (UNHCR). In 2012, MOPAN again adapted the methodology to examine the GAVI Alliance, the first time that a **Global Fund** type organisation has been assessed.

Before 2012, the Common Approach has not examined development effectiveness or the achievement of development results but rather focused on assessing whether the multilateral organisations had in place the necessary behaviours, systems and processes to help achieve those results. In 2012, MOPAN piloted an expanded methodological framework with four organisations, including AfDB, which provided an **assessment of organisational effectiveness as well as the results achieved** by multilateral organisations<sup>24</sup>. The assessment of results focused on the degree to which progress is being made towards the organisation's stated objectives and analysed the relevance of its programming. It was piloted with AfDB, UNDP, UNICEF and the World Bank, all previously assessed in 2009.

A key assumption in the new Common Approach assessment is that organisational effectiveness has an influence on an organisation's ability to achieve results. Feedback on the achievement of expected results can in turn provide insights for further improvements in organisational practices. By adding a component that analyses results, MOPAN members can use the existing dialogue process with the multilateral organisations to understand the way that organisational practices are facilitating or hindering the organisations' results on the ground. A second assumption is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for the discussions between donors and multilateral organisations on reporting.

### **3.3 Major Findings and Conclusions**

Major findings and conclusions are summarised below, structured under the headings i) use and usefulness, ii) reliability, iii) comparing performance over time and across organisations, iv) quality of the reports, v) replacing or complementing other assessments, and vi) improving the effectiveness of MOPAN.

#### *- Use and usefulness of the MOPAN assessments*

While there are a number of on-going initiatives for assessing Multilateral Organisations performance, MOPAN receives increasing attention. According to respondents to this case study it is,

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<sup>24</sup> The term "results" will be used in accordance with OECD/DAC's definition: "Results are the output, outcome, or impact (intended or unintended, positive and negative) of a development intervention."

however, uncertain to **what extent MOPAN assessments are used for setting a MOPAN member's agenda while participating in the governance of multilateral organisations** (at board and governing body meetings). Strategic and allocation decisions are rather based on political reasons. If the assessments are used, it is mainly as a support in negative decisions regarding the cutting of future funding.

Respondents could not identify **an instance where a conclusion from a MOPAN assessment has had an important contributory or causal effect on AfDB's overall corporate or reform strategies**. While the timing of the MOPAN assessment cycle was considered conducive to the actual use of the report to feed into strategic discussions between donors and the organisation, the 2012 assessment was not regarded as providing credible information. According to respondents, AfDB was assessed on several issues that are not relevant to its mandate and activities (see below). Therefore, using conclusions from the report in subsequent reform strategies has not been regarded as relevant. AfDB has not responded to the MOPAN assessment in terms of the reports being tabled at the Executive Board or Governing Council but a formal management response was prepared. According to respondents, the MOPAN reports have not been used for refinement of AfDB's organisation or reform strategy, for learning within the organisation, for reforms to operations and management, or for improving performance management.

The common opinion seems to be that **the information provided in the MOPAN assessments is more relevant to HQ staff than to country level staff**. While the **country dialogue** in the MOPAN assessment process provides an opportunity to discuss findings in relation to the explicit circumstances of the MO at the country level, this dialogue has not always taken place or has not been fully successful. The dialogue is sometimes only taking place among MOPAN members, with no representatives from the Multilateral Organisation or from the organisation's partners/clients. According to respondents, there is a "decentralisation bias" in the country level part of the MOPAN assessments – an organisation like AfDB has much less presence in the field than some of the other Multilateral Organisations and AfDB's capacities to be fully involved are therefore more limited.

- *Reliability in the MOPAN methodology*

The MOPAN approach with its reliance on key performance indicators has, according to respondents, **not produced a reliable assessment of AfDB's organisational effectiveness**. While the use of KPIs and MIs might give the impression to provide robust quantitative information, the vast number of questions in the survey and the level of detail in these are regarded as serious weaknesses – according to interviewees, most survey respondents are not sufficiently aware of the issues being asked and the risk that a level in the six-point answers scale is checked without much reflection is considerable.

AfDB does **not regard the results component of the MOPAN Common Approach as providing relevant information**. Several MIs under the KPIs in the assessment framework seek to capture issues that are not relevant to AfDB since not in its mandate (such as education and health). Low ratings on certain, by AfDB regarded as not relevant, MIs may result in low ratings of KPIs (“inadequate”) and lead to an assessment that does not provide a fair picture of the organisation’s performance.

- *Comparing performance over time and across organisations*

By reviewing the 2009 and 2012 assessments of AfDB (see **Annex 5**), it can be concluded that the KPIs and MIs have not remained stable over time in terms of i) number (as regards MIs), ii) wording, iii) distribution across the assessment framework and iv) means for assessment (survey questions and/or documentary review). **Comparing performance over time should therefore be made with caution.**

To adjust the MOPAN Common Approach to **allow comparison of development and organisational performance between Multilateral Organisations** is, according to respondents, not the way forward. The Multilateral Organisations have too different mandates and operational focus to make any relevant comparison. If organisations should be compared, they have to be measured against their individual yardsticks, taking into account the organisation’s specific mandate, clientele and resources.

- *Quality of the MOPAN assessment reports*

An independent assessment of the quality of the MOPAN AfDB assessment reports (2012) gives at hand that the reports **to a great extent meet the standards for evaluation reports** outlined in *OECD (2012) Evaluating Development Co-Operation: Summary of Key Norms and Standards*<sup>25</sup> (see **Annex 4**). Where these standards are not met, this can be explained by the fact that the particular standard is capturing an issue/area that is not part of the MOPAN methodology. As an example, the standard on “context” (“The report identifies and assesses the influence of the context on the performance of the agency.”) is not met, but this reflects the fact that assessing contextual factors in terms of the wider context in which AfDB is operating is not part of the methodology.

- *Replacing or complementing other assessments of multilateral organisations’ performance*

The MOPAN approach does **not seem to have reduced the number of bilateral assessments carried out of AfDB**. There is a window of opportunity for MOPAN to become a complementary tool to the bilateral donors’ own assessments, but this needs to be further explored. The possibility for MOPAN to, in a longer time perspective, replace bilateral assessments is not regarded as realistic – this since all bilateral donors have their own political agenda with specific issues that they need answers on.

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<sup>25</sup> <http://www.oecd.org/dac/evaluation/dcdndep/41612905.pdf>

**The credibility of MOPAN assessments is rated low when compared with assessments made within the organisation or under other external assessment processes:** according to respondents, the UK MAR provided an accurate assessment of AfDB – it was well-researched, fair and recognized areas where the organization is doing well and areas where there is a need for improvement. The Australian AMA and QuODA are also regarded as providing credible information and, therefore, to be useful for improving performance.

Respondents interviewed for this case study would **advocate replacing the MOPAN Common Approach by a peer review mechanism**, similar to that of bilateral donor’s aid management systems (Peer reviews of OECD Development Assistance Committee (DAC) members) . The fact that MOPAN is now hosted by OECD is regarded as an opportunity to draw on that approach. This would, however, never reduce the need for AfDB to conduct its own assessments, which are viewed as highly useful for improving performance.

- *Improving the effectiveness of MOPAN*

In the view of the interviewees at AfDB, improving the effectiveness of the MOPAN Common Approach (if not replaced by a peer review mechanism, as described above) would imply scrutinising the overall methodology: the survey approach needs to be revised in terms of selection of countries and respondents, and also in terms of the number and detail of questions asked. Further, the results component needs to be better tailored to measure results produced by the specific organisation.

### 3.4 Completed matrix of evidence, findings and conclusions

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
<p>A. MOPAN Assessments produce the kind of information that is required by the MOPAN members.</p>	<p>1. Do MOPAN Assessments, where available, provide the right evidence for setting a MOPAN member’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><i>According to respondents, funding is not based on results of different assessments but on political reasons. Might help for negative decisions, for cutting funding, but in balance it does not weight much. What matters are political reasons.</i></p>	<p>While there are a number of on-going initiatives for assessing Multilateral Organisations performance, MOPAN receives increasing attention. According to respondents to this case study it is, however, uncertain to what extent MOPAN assessments are used for setting a MOPAN member’s agenda while participating in the governance of multilateral organisations (at board and governing body meetings). Strategic and allocation decisions are rather based on political reasons. If the assessments are used, it is mainly as a support in negative decisions regarding the cutting of future funding. According to respondent, efforts are undertaken by the organisation to publish evidence that fulfills the information needs of bilateral donors.</p>
	<p>2. How is evidence from MOPAN assessments used by your organisation when setting your county’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><i>See above. Funding is not based on results of different assessments but on political reasons. Might help for negative decisions, for cutting funding, but in balance it does not weight much. What matters is political reasons.</i></p>	
	<p>3. How important is MOPAN to you in relation to other sources of information on the multilateral organisation’s performance?</p> <p><i>There is a lot of attention on MOPAN, that is perceived as a strictly donor-to-donor exercise – but there are several other MO assessments. Don’t know to what extent bilaterals are using the MOPAN report.</i></p>	
	<p>4. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?</p> <p><u><i>Response: No.</i></u></p> <p><i>Reporting from MOs has, according to interviewees, improved a lot in the last ten years. AfDB seeks to be transparent (it adopted the Disclosure and Access to Information Policy last year – with this, in principle everything is disclosed, obviously bearing in mind that the Bank’s clients need to be respected) in the reporting. The Bank is aware of the bilaterals’ need for more reporting on results – therefore, the reporting system should</i></p>	



Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
	<p><i>not only serve the organisation’s needs but also that of the bilaterals. There is a continued need for dialogue on this; how to best provide the information that the bilaterals are looking for. The issue of independence is obviously a matter for consideration if only relying on reports produced by the MO itself.</i></p>	
<p>B. There is a demand at country level for evidence presented in the common assessments</p>	<p>5. Overall, is there a demand at country level for the type of evidence presented in the common assessments?</p> <p><u><i>Response: Only occasionally.</i></u></p> <p><i>The common opinion seems to be that information provided is more relevant for HQ staff than for country level staff. The country dialogue process does not seem to have resulted in an improved dialogue between MOPAN members and AfDB in the country. Respondents say there is a “decentralisation bias” in the approach: organisations have different presence in different countries and an organisation like UNDP has often very strong presence while AfDB has not. This gets reflected in the responses, with higher rates of “don’t-know” answers.</i></p> <p><i>“There are two key moments for sharing and discussing findings from MOPAN assessments: at HQ level with the Senior Management of the Multilateral Organizations (MOs), and at country level with the MO’s country offices representatives as well as with representatives from the MO partners/clients (Government, civil society organizations, private sector) who have participated in the survey. While the HQ dialogue refers to the assessment of the overall organization, the dialogue at country level is specific to the explicit circumstances of the MO at country level. However, many country dialogues have not taken place or were not fully successful. Possible reasons for this are: i) it takes too much time (more than 12 months) from the period when the respondents have filled in the questionnaires until it is possible to have the country dialogue, ii) the discussion takes place, but sometimes only among MOPAN members, or only between MOPAN members and MO representatives, iii) the discussion takes place, but no action plan was agreed on how to address the areas for improvement and/or no follow-up/tracking of how the action plan is being implemented takes place, iv) MOPAN country leads and/or other MOPAN representatives at country level are not sufficiently familiar with MOPAN, with MOPAN assessments, and/or do not have sufficient time resources to invest thoroughly into a country dialogue, v) in contrast to the staff at HQ, representatives of a MO at country level feel less concerned about the findings of the MOPAN assessments, vi) the main documents the country dialogue refers to are the MOPAN country data summaries. However, if they are the only information material, and are not read/discussed jointly with the institutional reports, many misunderstandings may occur about MOPAN’s</i></p>	<p>The common opinion seems to be that the information provided in the MOPAN assessments is more relevant to HQ staff than to country level staff. While the country dialogue in the MOPAN assessment process provides an opportunity to discuss findings in relation to the explicit circumstances of the MO at the country level, this dialogue has not always taken place or has not been fully successful. The dialogue is sometimes only taking place among MOPAN members, with no representatives from the Multilateral Organisation or from the organisation’s partners/clients.</p> <p>A “decentralisation bias” appears to exist in the country level part of the MOPAN assessments – an organisation like AfDB has much less presence in the field than some of the other Multilateral</p>

Major Issue	Sub-questions with evidence and findings	Conclusions
	<p><i>methodology as well as assessment’s findings.” (Discussion paper: Revisiting the Country Dialogue Process (Paper No. 9 SWG Discussion paper – Revisiting the country dialogue process) 2013)</i></p> <p><i>“It was concluded that the Country Dialogue has been a valuable exercise in order to jointly share, and to discuss the information from the assessments. The dialogue has also highlighted issues for enhancing coordination and overall has proved valuable for institutional and cross-institutional learning to improve organizational effectiveness.” (MOPAN Zimbabwe assessment 2012, Report on the Country Dialogue Process Management and Reporting, 2013)</i></p>	<p>Organisations and AfDB’s capacities to be fully involved are therefore more limited. The country dialogue in Zimbabwe (MOPAN assessment 2012) has, however, been described as successful in terms of providing valuable information for institutional and cross-institutional learning to improve organisational effectiveness.</p>
<p>C. The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible.</p>	<p>6. Do you think the MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible?</p> <p><u>Response: No.</u></p> <p><i>See no value in comparing different organisations – they are too different in mandate and focus. It is difficult to find any other organisation with which AfDB could be fairly compared. AfDB is working in a very particular context and culture. If organisations should be compared, they must be measured against their individual yardstick – that should be tailored in accordance with that particular organisation’s mandate, clientele, resources etc. etc. Then it would be potentially possible to compare organisations against each other.</i></p> <p><i>(The context is also, according to respondent, partly the explanation why the rather strong criticism expressed in the interview was not brought forward to the MOPAN: “being too negative is not part of the context/culture where we operate”. Also, criticising an assessment that gives you less good scorings may easily be interpreted as being defensive..)</i></p> <p><i>According to respondents, a common approach seeking to measure the same things across all organisations can never be successful. Peer review is a much better approach, using a broad framework that can easily be adapted; this allows you to be selective in your focus and only look into issues that are relevant.</i></p>	<p>To adjust the MOPAN Common Approach to allow comparison of development and organisational performance between Multilateral Organisations is, according to respondents, not the way forward.</p> <p>The Multilateral Organisations have too different mandates and operational focus to make any relevant comparison. If organisations should be compared, they have to be measured against their individual yardsticks, taking into account the organisation’s specific mandate, clientele and resources.</p>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
<p>D. There is clear evidence that challenges and opportunities to improve organisational effectiveness identified in MOPAN assessments have been reflected in multilateral organisations' subsequent reform strategies.</p>	<p>7. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?</p> <p><u>Response: No</u></p> <p><i>"Our internal discussion about MOPAN is very critical." According to respondents, the organisation is not assessed on the right issues. Also, the wording in the MOPAN report is regarded as very negative, which is contra-productive. The fact that AfDB was assessed as delivering adequately, or even strong, in areas where there is an internal awareness that performance is rather weak (such as gender) and vice versa (e.g. being assessed as weak in areas where there is a "general recognition" of being strong) makes the credibility of the MOPAN reports highly questionable. In general, MOPAN is not expected to come with any news – at its best, it is confirming issues that are already known to the organisations.</i></p>	<p>Respondents could not identify an instance where a conclusion from a MOPAN assessment has had an important contributory or causal effect on AfDB's overall corporate or reform strategies.</p> <p>While the timing of the MOPAN assessment cycle was considered conducive to the actual use of the report to feed into strategic discussions between donors and the organisation, the 2012 assessment was not regarded as providing credible and relevant information. According to respondents, AfDB was assessed on several issues that are not relevant to its mandate and activities. Therefore, using conclusions from the report in subsequent reform strategies has not been regarded as relevant.</p>
	<p>8. Was the timing of the MOPAN assessment cycle conducive to the actual use of the reports?</p> <p><u>Response: Yes</u></p> <p><i>With regard to their general opinions about the MOPAN reports, respondent have no particular views upon the timing of the MOPAN assessment cycle.</i></p>	
	<p>9. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?</p> <p><u>Response: Yes</u></p> <p><i>With regard to their general opinions about the MOPAN reports, respondent have no particular views upon the timing of the MOPAN assessment cycle.</i></p>	
<p>E. Multilateral organisations use the MOPAN reports to improve their</p>	<p>10. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?</p> <p><u>Response: No</u></p>	<p>AfDB has not responded to the MOPAN assessment in terms of the reports being tabled at the Executive Board or Governing</p>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
performance	<p><i>MOPAN cannot evolve into replacing bilateral assessments. All have their own political agenda and specific issues that they need answers to. However, the window for being complementary should be better explored – are there certain areas that could be assessed through MOPAN and others that should not be assessed by MOPAN but by each individual bilateral?</i></p> <p><i>[As part of this case study, AfDB was asked to present a list of all assessments of performance of AfDB that have been conducted since 2010. No such list has, however, been provided.]</i></p> <p>11. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation’s effectiveness?</p> <p><i>Response: Not very</i></p> <p><i>The organisation was provided the opportunity to comment upon KPIs, but no documentation on this seems available. “When just reading a KPI it may appear reasonable but you have to go into the MIs to understand what it really intends to capture – this requires quite some time from the MO.” With all demands from different kind of assessments, the AfDB cannot put too much time into making comments on this level of details.</i></p> <p><i>Respondents find that MOPAN has defeated its own purposes: in 2009, when the report was only perception-based, it was broadly accurate. By large, it provided a good picture of the organisation. With the 2012 report, the number of questions ‘has become ridiculous’. Also, questions are so specific that only a few knows to answer. This is a serious problem in the methodology. As to the way questions are asked (with a 6-point response scale of i) very weak, ii) weak, iii) inadequate, iv) adequate, v) strong, vi) very strong, and vii) Don’t know): “everyone knows how to put a figure” – it is likely that a lot of respondents answer without knowing.</i></p> <p><i>In all, the 2012 report did not provide an accurate diagnosis of AfDB’s organisational effectiveness/development effectiveness strength and weaknesses. Regarding the results component, see below.</i></p> <p><i>Using more or less the same set of KPIs/MIs on all assessed organisations is the wrong way to go along. Also, while the use of KPIs/MIs gives the impression of providing a robust (quantitative) assessment, there are in fact several weaknesses in this. One concerns how reliable the survey results really are – are the “right” respondents (i.e. those sufficiently aware and knowledgeable of the issues) included into the survey? Another is</i></p>	<p>Council, nor have the reports been communicated to staff but a formal management response was prepared. The MOPAN reports do not appear to have been used for refinement of AfDB’s organisation or reform strategy, for learning within the organisation, for reforms to operations and management, or for improving performance management.</p> <p>The MOPAN approach with its reliance in key performance indicators has, according to respondents, not produced a reliable assessment of AfDB’s organisational effectiveness. While the use of KPIs and MIs might give the impression to provide robust quantitative information, the vast number of questions in the survey and the level of detail in these are regarded as serious weaknesses – according to interviewees, most survey respondents are not sufficiently aware of the issues being asked and the risk that a level in the six-point answers scale is checked</p>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
	<p><i>the little attention paid to contextual influences/implications.</i></p> <p>12. How did your organisation respond to the common assessment?</p> <ul style="list-style-type: none"> <li>• Reports tabled at the Executive Board or Governing Council</li> <li>• Communicated to staff</li> <li>• Management makes formal response</li> <li>• Reports made back to governing body on management response (Yes/No)</li> </ul> <p><u>Response: No</u></p> <p>13. Has the assessment of your organisation been used for any of the following purposes?</p> <ul style="list-style-type: none"> <li>• Refinement of your organisation or reform strategy</li> <li>• Learning within your organisation</li> <li>• Reforms to operations and management</li> <li>• Improving performance management</li> </ul> <p><u>Response: No</u></p> <p>14. Were the demands on time of your staff for the MOPAN assessment proportionate?</p> <p><u>Response: Yes</u></p> <p><i>Comparing with other assessments, the MOPAN assessment was seen as neither more nor less burdensome.</i></p>	<p>without much reflection is considerable.</p>
<p>F. The MOPAN Common Approach has reduced the growth in bilateral assessment systems.</p>	<p>15. If MOPAN didn't exist, would you advocate that something similar be established?</p> <p><u>Response: Yes</u></p> <p><i>Respondents would propose a peer review mechanism instead – which tries to achieve the same things but in a much simpler way, with a standard method but that focus on areas that need specific attention for that specific organisation. According to AfDB respondents, the MOPAN approach is not the right approach. The fact that it is now hosted by the OECD could provide opportunities to draw on the peer review approach used for assessing bilaterals.</i></p>	<p>The MOPAN approach does not seem to have reduced the number of bilateral assessments carried out on AfDB. There is a window of opportunity for MOPAN to become a complementary tool to the bilateral donors' own assessments, but this needs to</p>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
	<p><i>There is the opinion that there is a “social sector bias” in the MOPAN approach today. Focus should rather be put on the organisations’ comparative advantage. When all are assessed against more or less the same indicators, it is obvious that some come out better than others – just because the indicators were more appropriate/ relevant to some than to others..</i></p> <p><i>The idea that you can measure everyone against the same matrix has to be renounced – can’t compare apples and pears.</i></p>	<p>be further explored.</p> <p>Respondents would advocate replacing the MOPAN Common Assessments by a peer review mechanism, similar to that of bilateral donor’s aid management systems (Peer reviews of OECD Development Assistance Committee (DAC) members). This would, however, never reduce the need for AfDB to conduct its own assessments that are viewed as highly useful for improving performance.</p>
	<p>16. Has the MOPAN Common Assessment contributed within your organisation to reducing the need for your own assessments of multilateral performance?</p> <p><u>Response: No</u></p> <p><i>“Both internal and external evaluations of our activities are extremely important. MOPAN has not changed that.”</i></p>	
	<p>17. How does the credibility of MOPAN assessments of an organisation’s effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA).</p> <p><i>The MOPAN assessment was regarded as not very accurate.</i></p> <p><i>In the UK MAR, AfDB was assessed as “good” in terms of contribution to UK development objectives as well as in organizational strengths. According to respondents, the UK MAR provided an accurate assessment of AfDB – it was well-researched, fair and recognized areas where the organization is doing well and areas where there is a need for improvement. AfDB internal evaluations are reported to often provide good information: “we might have an overall sense that we are not doing very well in a certain area and the evaluation may help us to pinpoint exactly where, and why, we are not doing well. That is helpful. It helps us to address the right kind of issues.”</i></p> <p><i>The Australian AMA assessed AfDB to be <b>strong</b> in Delivering results on poverty and sustainable development in line with mandate, Alignment with Australia’s aid priorities and national interests, Contribution to the wider</i></p>	<p>The credibility of MOPAN assessments is rated low when compared with assessments made within the organization or under other external assessment processes: according to respondents, the UK MAR provided an accurate assessment of AfDB – it was well-researched, fair and recognized areas where the organization is doing well and areas where there is a need for improvement. The Australian AMA and QuODA are also regarded as providing credible</p>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
	<p><i>multilateral development system, Strategic management and performance, Transparency and accountability and as <b>satisfactory</b> in Cost and value consciousness and in Partnership behavior.</i></p> <p><i>In the QuODA, AfDB was assessed as above the average score for Reducing burden, Fostering Institutions and Transparency &amp; Learning, and well above the average for Maximising Efficiency.</i></p> <p><i>AfDB was not assessed by EvalNet.</i></p>	<p>information and, therefore, to be useful for improving performance.</p>
<p>G. Opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used.</p>	<p>18. Should the Evalnet’s New Approach, which combines meta-analysis of evaluations with review of documents on results and evaluation, be merged into MOPAN?</p> <p><i>No opinion. Respondent do not seem to be familiar with EvalNet’s approach. See Q19.</i></p>	<p>Respondents had no opinion on this issue.</p>
<p>H. Donors can predictably define future evidence needs.</p>	<p>19. Does the results component of the common assessment provide relevant information?</p> <p><u><i>Response: No</i></u></p> <p><i>AfDB was rated as “inadequate” in KPIs A, B and C and as “adequate” in KPI 4. AfDB finds this rating unfair and not credible, nor useful. In the following some reasons for this statement:</i></p> <ul style="list-style-type: none"> <li>- <i>As for KPI A; Evidence of the extent of progress towards organisation-wide outcomes, AfDB was assessed “adequate” or above in all areas where they consider themselves active (e.g. energy, transport, WSS, agriculture, governance, private sector and regional integration). However, other areas – where the Bank is not or little active (education, health, and micro-finance and social sector) were assessed “inadequate” which brought the total score of KPI 1 to “inadequate”. According to respondents, this was felt as unfair and giving the wrong picture of the organisation. Only a well-informed reader sees and understands why the organisation achieves an “inadequate” rating on this KPI. In general, it would be better to use different yardsticks when measuring performance – AfDB has an operational focus set out in its 10 years strategic plan. Social sectors are not a part of this. For a fair picture of performance, it would be better to assess performance as set out by the bank’s</i></li> </ul>	<p>AfDB does not regard the results component of the MOPAN Common Approach as providing relevant information. Several MIs under the KPIs in the assessment framework seek to capture issues that are not relevant to AfDB since not in its mandate (such as education and health). Low ratings on certain, by AfDB regarded as not relevant, MIs may result in low ratings of KPIs (“inadequate”) and leads to an assessment that does not provide a fair picture of the organisation’s performance.</p>

Major Issue	Sub-questions with evidence and findings	Conclusions
	<p>shareholders.</p> <ul style="list-style-type: none"> <li>- Also, the bank was criticised for “a significant gap between Level 2 results (outputs) and region-wide development results reported under Level 1 (outcomes). The Bank’s strategies and reports do not provide adequate explanations of the links between these levels, also known as part of the theory of change” (MOPAN Assessment Report 2012, p. 67). Since demonstrating a particular actor’s contribution to a development result remains a general challenge in international development cooperation, AfDB considered the statement as unfair. Also, when comparing with other MDBs, AfDB is (according to respondents) in the frontline when it comes to introducing and using tools for reporting on results, such as the Results Measurement Framework and thematic and country Development Effectiveness Reviews.</li> </ul> <p>Development effectiveness is defined by AfDB as “achieving the best possible impact with the means available”. There is not a sense that the very definition of ‘development effectiveness’ in the MOPAN assessment is the problem – rather how it is measured.</p> <p>20. Is the results component information considered to be more or less relevant than the information about the organisational effectiveness?</p> <p>See above. The results component did not provide relevant information.</p>	<p>The change of MIs over time leads to the conclusion that donors cannot predictably define future evidence needs.</p>
<p>I. The assessments presented in MOPAN reports present credible assessments based on the transparent presentation of evidence.</p>	<p>21. Do you think that the quality/credibility of MOPAN assessments is high?</p> <p><u>Response: No</u></p> <p>There are serious methodological issues – the MOPAN methodology would not stand up to any academic scrutinising. The country samples, and even the people sampled, are extremely biased. For a credible assessment, it is important to pick countries where the MO is active. The respondent is surprised that MOPAN has achieved this much attention with the weaknesses that it has. (“If we presented this kind of report with these serious methodology shortcomings to our board, we would be asked to leave immediately”)</p> <p>22. Were the consultants hired to do the assessments been able to work in an independent and credible</p>	<p>The assessments in the MOPAN reports are not regarded as credible assessments based on the transparent presentation of evidence. In the view of respondents, both country samples and respondents to the survey are biased.</p> <p>An independent assessment of the quality of the MOPAN</p>



Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
	<p>manner?</p> <p><i>Respondents have no opinion on this.</i></p> <hr/> <p><b>23.</b> Do the reports present the right material in a transparent way? – see <b>Annex 4.1.</b></p> <ul style="list-style-type: none"> <li>• Clarity and Representativeness of Summary</li> <li>• Context</li> <li>• Validity and Reliability of Information Sources described</li> <li>• Explanation of the Methodology Used</li> <li>• Clarity of Analysis</li> <li>• Questions Answered</li> <li>• Acknowledgement of Changes and Limitations</li> <li>• Acknowledgement of Disagreements within the Team</li> <li>• Incorporation of Stakeholders’ Comments</li> </ul> <p>- Does the analysis have a high level of utility:</p> <ul style="list-style-type: none"> <li>• Enables learning from outliers</li> <li>• Copes with normative functions/controversial issues</li> <li>• Reveals differences between the de jure/ de facto situation</li> </ul> <hr/> <p>24. Does the best fit approach to rating/calibrating performance against individual KPIs add credibility?</p> <p><i>Respondents are not aware of the approach.</i></p> <hr/> <p>25. What opportunities to simplify the methodology, without decreasing credibility, exist?</p> <p><i>See above, Q15.</i></p>	<p>assessment of AfDB in 2012 gives at hand that the report to a great extent meets the standards for evaluation reports outlined in <i>OECD (2012) Evaluating Development Co-Operation: Summary of Key Norms and Standards</i><sup>26</sup>. Where these standards are not met, this can be explained by the fact that the particular standard is capturing an issue/area that is not part of the MOPAN methodology. As an example, the standard on “context” (“The report identifies and assesses the influence of the context on the performance of the agency.”) is not met, but this reflects the fact that assessing contextual factors in terms of the wider context in which AfDB is operating is not part of the methodology.</p>
J. The methodology allows	26. Does the common approach allow measurement of progress over time in the case of repeat assessments?	Reviewing the 2009 and 2012 assessment of AfDB, it can be

<sup>26</sup> <http://www.oecd.org/dac/evaluation/dcdndep/41612905.pdf>

Major Issue	Sub-questions <i>with evidence and findings</i>	Conclusions
measurement of progress over time in the case of repeat assessments.	<i>Reviewing the 2009 and 2012 assessment of AfDB, it can be concluded that the KPIs and MIs have not remained stable over time (in terms of i) number (as regards MIs), ii) wording, iii) distribution across the assessment framework and iv) means for assessment (survey questions and/or documentary review)). Comparing performance over time should therefore be made with caution. See Annex 5.</i>	concluded that the KPIs and MIs have not remained stable over time. Comparing performance over time should therefore be made with caution.
K. The Common Approach has been efficiently implemented as planned	27. Are annual timelines for implementation set out in the Implementation Guides met in practice?  <i>As far as respondents are aware, yes.</i>	In the view of the interviewees at AfDB, improving the effectiveness of MOPAN would imply scrutinising the overall methodology: the survey needs to be revised in terms of the selection of countries and respondents, and also in terms of the number and detail of questions asked. The results component needs to be better tailored to measure results produced by the specific organisation.
	28. If timelines have not been met, what do you think have been the major factors causing delays?  ---	
	29. Can you list three ways in which MOPAN could improve its effectiveness?  <i>According to respondents, the methodology and approach is highly questionable as it is: the survey needs to be revised in terms of the selection of countries and respondents, and also in terms of the number and detail of questions asked. The results component needs to be better tailored to measure results produced by the specific organisation.</i>	

### 3.5 References

#### *List of those consulted*

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Title	Author/ Published by	Year
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Assessment of Organisational Effectiveness and Reporting on Development Results, African Development Bank, Volume II	Universalia	2012
AfDB comments on first draft MOPAN Assessment Report	AfDB	2012
Comments on Draft 2 report - AfDB	Universalia	2012
Country Data Summary for the AfDB in the Democratic Republic of Congo (DRC)	Universalia	2012
Country Data Summary for the AfDB in Ghana	Universalia	2012
Country Data Summary for the AfDB in Morocco	Universalia	2012
Country Data Summary for the AfDB in Niger	Universalia	2012
Country Data Summary for the AfDB in Nigeria	Universalia	2012
Country Data Summary for the AfDB in Zimbabwe	Universalia	2012
Lessons Learned from Development Results Pilot – MOPAN 2012	MOPAN	2013
Management Response	AfDB	2012

MOPAN, Paper No 8, Country Dialogue Process	MOPAN	2012
MOPAN, Paper No 9, Discussion Paper: Revisiting the Country Dialogue Process	MOPAN Strategic Working Group	2013
MOPAN Annual Report 2011	MOPAN	
MOPAN Annual Report 2012	MOPAN	2013
MOPAN Common Approach – African Development Bank (AfDB) 2009	Universalialia	2009
MOPAN Common Approach – A Synthesis of Experience to Date	MOPAN	2010
MOPAN Zimbabwe assessment 2012, Report on the Country Dialogue Process Management and Reporting	MOPAN	2013
Lessons Learned in Implementing the Common Approach in 2011, MOPAN Paper No 9	MOPAN	2011
Report on the country dialogue process management and reporting	MOPAN	2013
2012 MOPAN Common Approach Methodology - draft	Universalialia	2011
2013 MOPAN Common Approach Methodology	Universalialia	2013

### 3.6 Quality of the 2012 Assessment Report

Criteria for assessment	Standard for assessment, evidence, and conclusion
1. Clarity and Representativeness of Summary	<p><b>Standard assessed against:</b> <i>The written report contains an executive summary. The summary provides an overview of the report, highlighting the main findings, conclusions, recommendations and any overall lessons.</i></p> <p><b>Evidence:</b> The report includes an Executive Summary which includes an overview of the report and high-lights both the major findings and conclusions. MOPAN assessments differ from evaluations in that they don't include explicit recommendations for either the MOPAN members or the multilateral assessed. Areas where performance/systems are assessed as inadequate or weak are however flagged in the overall summary of MOPAN ratings included in the executive summary, so indicating areas for attention.</p> <p><b>Conclusion: Meets standard</b></p>
2. Context	<p><b>Standard assessed against:</b> <i>The report identifies and assesses the influence of the context on the performance of the agency.</i></p> <p><b>Evidence:</b> The methodology states that both the documentary review and interview process at the multilateral's HQ are used to gain an understanding of the context in which the agency is working, as well as how decisions are made. In the event that survey data present a picture that is very different from the document review, information from interviews can help clarify how the multilateral organisation approached a certain issue. Contextual evidence is used to provide a richer explanation of what AfDB has done and therefore how some ratings are to be understood. However, if context is understood to mean the wider environment within which AfDB operates, and which affects both what it can and can't do, and how well, neither Volume 1 or 2 of the report includes an explicit discussion of such issues. This simply reflects the fact that assessing such contextual factors is not part of the methodology.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
3. Intervention Logic	<p><b>Standard assessed against:</b> <i>The report describes and assesses the intervention logic or theory, including underlying assumptions and factors affecting the success of the organisation being assessed.</i></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><b>Evidence:</b> The Common Assessment methodology is not explicitly a theory based approach. The KPIs and MIs used for the organisational effectiveness assessment and the systems and approaches that are looked for as part of the development effectiveness component can be understood as reflecting a tacit theory of what should be in place. The major gap is that the tacit theory does not touch the linkage between organisational and developmental effectiveness.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
<p><b>4. Validity and Reliability of Information Sources described</b></p>	<p><b>Standard assessed against:</b> <i>The evaluation report describes the sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified. The assessment cross-validates the information sources and critically assesses the validity and reliability of the data. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</i></p> <p><b>Evidence:</b> Volumes 1 and 2 of the report meticulously set out details of the survey responses and which were the major documents used as part of the documentary review. In terms of the adequacy of the sample data, Volume 2 sets out the % rates for non-responses, although surprisingly, the actual number of responses by participating stakeholder group is not compiled in a single place. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</p> <p>Limitations of the sample are discussed under limitations (page 15, Volume 2), where it states:</p> <ul style="list-style-type: none"> <li>A. The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations.</li> <li>B. The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.</li> <li>C. The document review component works within the confines of an organisation's disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.</li> <li>D. Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g., survey questions referring to internal operations of the organisation, such as financial accountability and delegation of decision-making, seem difficult for many respondents, who frequently answer 'don't know.')</li> </ul> <p>Third, a large number of 'don't know' responses may imply that respondents did not understand certain questions.</p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>E. The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment.</p> <p>F. One potential limitation is ‘central tendency bias’ (i.e., a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.</p> <p>G. Because one of MOPAN’s intentions is to merge previously existing assessment tools into one, and to forestall the development of others, the survey instrument remains quite long.</p> <p><b>Conclusion: Meets standard</b></p>
<p><b>5. Explanation of the Methodology Used</b></p>	<p><b>Standard assessed against:</b> <i>The report describes and explains the methodology and its application. The report acknowledges any constraints encountered and how these have affected the assessment, including the independence and impartiality of the assessment. It details the techniques used for data collection and analysis. The choices are justified and limitations and shortcomings are explained.</i></p> <p><b>Evidence:</b> The methodology explained in detail in Annex 1 of Volume 2, where choices are justified and limitations and shortcomings are explained. Generic strengths and weaknesses of the approach are described both in Volumes 1 (Section 2.7) and Volume 2 (Annex 1, Section 8). However, no discussion in the report of whether any constraints particular to this assessment were encountered and how these might have affected the assessment, including the independence and impartiality of the assessment.</p> <p><b>Conclusion: Mostly meets the standard, but note that discussion of limitations and constraints is generic and not focused on this particular assessment.</b></p>
<p><b>6. Clarity of Analysis</b></p>	<p><b>Standard assessed against:</b> <i>The report presents findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. Recommendations and any lessons follow logically from the conclusions. Any assumptions underlying the analysis are made explicit.</i></p> <p><b>Evidence:</b> While the logic of the linkage between evidence and findings and conclusions is clear, in practice the clear line of evidence cannot always be easily seen. Difficulties lie in two places. First, for the surveys, weighted ratings are developed, because of the differing response rates from different stakeholder groups etc. It is difficult to check easily the degree to which the weighting of responses leads to a significant difference in the rating compared with the raw scores. Second, for the development effectiveness component, the methodology states that a best fit approach is used for rating. This is described as following in the methodology section: <i>The development results component’s Key Performance Indicators draw on a set of questions or criteria. The Assessment Team uses a “best fit approach,” which is a type of criteria-referenced basis for judgment that is more suitable when: criteria are multi-dimensional, there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points. This approach is highly consultative (with institutional advisors, a panel of experts and the MOPAN network) and relies on consensus in the determination of ratings.</i> The problem is that this best fit process is not systematically documented, and therefore the basis for getting from the individual ratings to the composite KPI rating is</p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>untransparent.</p> <p><b>AfDB raised a number of issues in their comments related to clarity of analysis and presentation:</b></p> <p><b>Comments on the first draft report (August 2012):</b> <i>Despite the inclusion of the Document Review, there still remain some doubts about the robustness of the results of the perception report: The size of the statistical population analysed is still somewhat limited and, in addition, quite a number of interviewees only have a limited understanding of the Bank's mandate and operations.</i></p> <p>Answer by Universalia: <i>Noted - MOPAN is aware of the challenges in getting quality and broad-based feedback from donors and clients about these organisations. To date, the survey has been the most practical solution, but it continues to have limitations because of the number and knowledge of respondents about these detailed questions. This is acknowledged as one of the limitations of the MOPAN methodology ( p.13 of the report - data collection instruments).</i></p> <p><b>AfDB Senior Management and Board Initial comments on the MOPAN 2012, 8th November 2012:</b></p> <ul style="list-style-type: none"> <li>• <b>Sample Methodology:</b> <i>both the management and the board had concerns about the methodology, especially on the relatively small size of country specific respondents. There is a large margin of error. They felt there is a risk for biases which could make the findings less representative and fair. Is the aim of 70% response from donors and 50% from clients/country level really the right one? What's the justification?</i></li> <li>• <b>Review too static, not showing improvements:</b> <i>The review does not give enough emphasis on the "direction of travel" It's too "static" and not enough "dynamic" in presenting the findings. Recognition is given to initiatives for improvement but no account taken in scoring. Perhaps the scores could be complemented by arrows pointing out where an organisation is making significant efforts to improve on the score.</i></li> <li>• <b>The evaluation scores were a bit perverse.</b> <i>In assessing quality too much focus was placed on the presence of a process without assessing the quality of the products – AfDB should score more highly. On the other hand, the bank was scored too generously on its range of products where it was not undertaking impact evaluation or cluster evaluation and only undertook one CPS review a year.</i></li> <li>• <b>The negative tone is counterproductive.</b> <i>The assessment comes across as unnecessarily negative; the same things could be said in a more constructive and, ultimately, more effective way. The glass is half full not half empty. The bank will suggest language in track-mode that tries to improve the tone without changing the findings.</i></li> <li>• <b>A prescriptive agenda that is taken for granted.</b> <i>As Board members noted, MOPAN's conceptual framework makes a number of (implicit) assumptions that are not always shared by MDBs or, at least, should be open to question on a range of issues including MDGs, Decentralisation and Paris Declaration, e.g. Should the African Development Bank be reporting progress against the MDGs? Rather than measuring its contribution to African countries' own development goals? How much decentralisation is too much decentralisation? Etc.</i></li> </ul> <p><b>Conclusion: Mostly meets the standard, but note that instances of a lack of</b></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<b>clarity at key stages in the analysis</b>
<p><b>7. Acknowledgement of Changes and Limitations</b></p>	<p><b>Standard assessed against:</b> <i>The report explains any limitations in process, methodology or data, and discusses validity and reliability. It indicates any obstruction of a free and open process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products are explained.</i></p> <p><b>Evidence:</b> Limitations of the methodology (assessing organisational effectiveness) are acknowledged in a special section in the report. Also, the report acknowledges the inherent limitation in the current approach for assessing development results: “The methodology was designed to draw on the evidence of results achieved, as presented in the reports of a multilateral organisation. However, there is a critical difference between assessing the actual results achieved on the ground and assessing the evidence of results in the organisation’s reports to its key stakeholders.” (page 15, Volume 1)</p> <p>For the documentary review, there appears to have been some difficulties in obtaining relevant documents: In <b>Comments on Draft 1 Report –AfDB</b>, Universalialia states that: “<i>Audit reports were requested from AfDB prior to and after HQ visits. Given their confidential nature, few such documents were disclosed to Universalialia. The only document provided by the Bank in this regard was an external evaluation of the Bank’s internal audit processes conducted by IAA. The information provided did not however present enough evidence to assess this MI (MI 7.2). It is our hope that the Bank will provide additional documents after the submission of the report.</i>” This difficulty is not, however, explicitly spelled out in the report.</p> <p>The report flags instances where the number of don’t know responses was particularly significant. There was no discussion of whether there was any obstruction to a free and open process which may have influenced the findings, although review of the background documentation suggests that this was not an issue. The report includes no discussion of whether implementation issues had any effect upon the assessment or what was produced.</p> <p><b>Conclusion: Mostly met. Some instances where not met may simply reflect fact that not required of the authors.</b></p>
<p><b>8. Acknowledgement of Disagreements within the Team</b></p>	<p><b>Standard assessed against:</b> <i>Team members have the opportunity to dissociate themselves from particular judgements and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.</i></p> <p><b>Evidence:</b> Those drafting the report were not explicitly asked to record this, if it happened.</p> <p><b>Conclusion: Not met, but may reflect fact that not required of authors.</b></p>
<p><b>9. Incorporation of Stakeholders’ Comments</b></p>	<p><b>Standard assessed against:</b> <i>Relevant stakeholders are given the opportunity to comment on the draft report. The final evaluation report reflects these comments and acknowledges any substantive disagreements. In disputes about facts that can be verified, the evaluators investigate and change the draft where necessary. In the case of opinion or interpretation, stakeholders’ comments are reproduced verbatim, in an annex or footnote, to the extent that this does not conflict with the rights and welfare of participants.</i></p> <p><b>Evidence:</b> AfDB was given opportunities to comment both on the methodology/</p>



Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>questionnaire and the draft report (twice).</p> <p>While factual errors were corrected and in some cases ratings adjusted through provision of further material, AfDB’s Management Response still expresses some concerns/disagreement:</p> <ul style="list-style-type: none"> <li>- “One of MOPAN’s goals is to encourage positive change across multilateral organisations. We find, however, that the methodology adopted is not as effective at achieving this as it could be. In part, this is because the approach is informed by a conceptual blueprint rather than guided by an agenda for managing change. In effect, the assessment is driven by a technical and highly detailed set of 19 KPIs and 72 micro-indicators. This raises two methodological difficulties. The first difficulty has to do with the fact that all Multilaterals are assessed against the same yardstick. Organisations such as the World Bank, Unicef, GAVI or AfDB have very different mandates and operational challenges. The approach leaves little flexibility in assessing each organisation against its own objectives and mandate. For example, we note that MOPAN gives the Bank a low rating on health—an area that is not part of the Bank’s strategic focus. The second concern has to do with the level of technical detail of the questions put to external respondents. Micro-indicator 19.2, for example, asks whether “learning opportunities are organised to share lessons at all levels of the organisation.” Providing a meaningful answer to these questions requires a level of knowledge that many respondents do not have. Almost half of the respondents surveyed (47%) claimed they had little or only some familiarity with the Bank.<sup>2</sup> To address these methodological concerns, the African Development Bank believes MOPAN should introduce a degree of flexibility to better reflect Multilaterals’ mandates, challenges and reform agendas. The OECD-DAC Peer Review for assessing bilateral agencies provides a useful point of reference. It is more flexible and provides greater emphasis on joint learning and constructive dialogue between development officials rather than reliance on a methodological blueprint.”</li> <li>- “While we recognise the need to narrow the attribution gap, we find MOPAN’s conclusion that “the Bank does not present a theory of change that could contribute to minimising the gap between [aggregate outcomes and project outputs]” misleading.”</li> <li>- “The 2012 MOPAN introduced a new dimension piloted with four multinational organisation, assessing how multilateral organisations report on development results achieved. While management feels encouraged the Bank is making progress in its capacity to manage for development results, it feels the new assessment does not provide an adequate picture of the Bank’s approach to results.”</li> </ul> <p>While a review of exchange of comments on draft versions of the report suggests that some revisions have been made, the final evaluation report does not reflect these comments, neither does it acknowledge the disagreements expressed in AfDB’s Management Response.</p> <p><b>Conclusion: Not fully met.</b></p>

As to whether the analysis has a high level of utility in terms of enabling learning from outliers, in coping with normative functions/controversial issues, and in revealing differences between the de jure/ de facto situation, no evidence on this have been found through this case study.

### 3.7 Sources of evidence used in AfDB assessment

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>Development Results Component</b>						
<b>KPI A (20) – Evidence of extent of progress towards organisation-wide outcomes</b>						
A1 Energy			✓		✓	
A2 Transport			✓		✓	
A3 Water and sanitation			✓		✓	
A4 Education			✓		✓	
A5 Health			✓			
A6 Microfinance and Social sector			✓			
A7 Agriculture			✓			
A8 Economic and Financial governance			✓			
A9 Private sector			✓			
A10 Regional Integration			✓			
<b>KPI B (21) – Evidence of extent of contributions to country-level goals and priorities</b>						
B1 Broadening of social inclusion and equity	✓	✓			✓	
B2 Transparency in resource management	✓	✓			✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
B3 Improve civil service management	✓	✓			✓	
B4 Improvement of the business environment	✓	✓			✓	
B5 Improve urban and rural road work	✓	✓			✓	
B6 Improved sanitation and access to drinking water	✓	✓			✓	
B7 Electrification	✓	✓			✓	
B8 Strengthen basic agricultural infrastructures	✓	✓			✓	
<b>KPI C (22) – Evidence of extent of contributions to relevant MDGs at the country level</b>						
C1 Goal 1: Eradicate extreme poverty and hunger	✓	✓				
C2 Goal 2: Achieve universal primary education	✓	✓			✓	
C3: Goal 3: Promote gender equality and empower women	✓	✓			✓	
C4: Goal 4: Reduce child mortality	✓	✓			✓	
C5: Goal 5: Improve maternal health	✓	✓			✓	
C6: Goal 6: Combat HIV/Aids, malaria and other diseases	✓	✓			✓	
C7: Goal 7: Ensure environmental sustainability	✓	✓			✓	
<b>KPI D (23) – Relevance of objectives and programme of work to major stakeholders.</b>						
D1 The activities of the MO respond to key development priorities of the country	✓	✓				

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
D2 The MO provides innovative solutions for development challenges in the country	✓	✓				
D3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	✓	✓				
<b>Organizational Effectiveness - Strategic management dimension</b>						
<b>KPI 1. The MO's Executive Management provides direction for the achievement of external/beneficiary focused results</b>	✓	✓	✓		✓	
1.1 The MO has a value system that supports a results-orientation and a direct partner focus	✓	✓	✓			
1.2 The MO Executive Management shows leadership on results management			✓			
1.3 Key MO documents are available to the public	✓	✓	✓		✓	
<b>KPI 2 - The MO's corporate strategies and plans are focused on the achievement of results</b>			✓		✓	
2.1 The MO's organisation-wide strategy is based on a clear definition of mandate			✓		✓	
2.2 The MO promotes an organisation-wide policy on results management			✓		✓	
2.3 Organisation-wide plans and strategies contain frameworks of expected management and development results					✓	
2.4 Results frameworks have causal links from outputs through to impacts/ final outcomes					✓	
2.5 Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level					✓	
<b>KPI 3 The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments</b>	✓	✓	✓		✓	
3.1 Gender equality	✓	✓	✓		✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
3.2 Environment	✓	✓	✓		✓	
3.3 Climate change	✓	✓	✓		✓	
3.4 Private sector development	✓	✓	✓		✓	
3.5 Fragile States	✓	✓	✓		✓	
3.6 Regional integration	✓	✓	✓		✓	
<b>KPI 4 The MO's country strategy is results-focused</b>	✓	✓			✓	
4.1 Results frameworks link results at project, programme, sector, and country levels	✓	✓			✓	
4.2 Frameworks include indicators at pr programme, sector, and country levels	✓	✓			✓	
4.3 Statements of expected results are consistent with those in national development strategies and the UNDAF as appropriate	✓	✓			✓	
4.4 Statements of expected results are developed through consultation with direct partners and beneficiaries	✓	✓				
4.5 Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, capacity development (as appropriate)	✓	✓			✓	
<b>Organizational Effectiveness - Operational management dimension</b>						
<b>KPI 5 The MO makes transparent and predictable resource allocation decisions</b>					✓	
5.1 The MO's criteria for allocating funding are publicly available					✓	
5.2 The MO's allocations follow the criteria	✓	✓	✓			
5.3 Planned resources (financial / technical co-operation, etc.) are released according to agreed schedules					✓	✓ Survey on monitoring Paris Dec, indicator 7.

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>KPI 6 The MO's financial management is linked to aid performance management</b>			✓		✓	
6.1 Budget allocations are linked to expected development results			✓		✓	
6.2 Aid or lending disbursements are linked to reported results.			✓		✓	
<b>KPI 7 The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)</b>	✓	✓	✓		✓	
7.1 External financial audits (meeting recognised international standards) are performed across the organisation.			✓		✓	
7.2 External financial audits (meeting recognised international standards) are performed at the regional, country and project level (as appropriate).	✓	✓			✓	
7.3 The MO has a policy on anti-corruption.					✓	
7.4 Systems are in place for immediate measure against irregularities identified at the country (or other) level.	✓	✓	✓		✓	
7.5 Internal financial audit processes are used to provide management/governing bodies with credible information.			✓		✓	
7.6 The MO's procurement and contract management processes for the provision of services or goods are effective.	✓	✓			✓	
7.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting.			✓		✓	
<b>KPI 8 Performance information on results is used by the MO for:</b>						
8.1 Revising and adjusting policies.			✓		✓	
8.2 Planning new interventions	✓	✓			✓	
8.3 "unsatisfactory" investments, programmes or projects from the previous fiscal year are subject to proactive	✓	✓			✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
management.						
8.4 Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units.			✓		✓	
8.5 The MO resources allocated to countries and projects are based on performance.					✓	
<b>KPI 9 The MO manages human resources using methods to improve organisational performance</b>	✓	✓	✓		✓	
9.1 Results focused performance agreement systems are in place for senior staff (Including Resident Representatives)			✓		✓	
9.2 There is a transparent incentive and reward system for staff performance			✓		✓	
9.3 The speed of staff rotation in post is adequate for the development of effective country level partnerships	✓	✓				
9.4 Staff recruitment and promotion is meritocratic and transparent			✓			
<b>KPI 10 Country / regional programming processes are performance oriented</b>	✓	✓	✓		✓	
10.1 Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc)			✓		✓	
10.2 Milestones/targets are set to rate the progress of (project) implementation	✓	✓	✓		✓	
<b>KPI 11 The MO delegates decision-making authority (to the country or other levels)</b>	✓	✓			✓	
11.1 Project budget reallocation decisions can be made locally	✓	✓			✓	
11.2 New programmes/projects can be approved locally within a budget cap	✓	✓			✓	
<b>Organizational Effectiveness - Relationship management dimension</b>						
<b>KPI 12 The MO coordinates and directs its programming (including capacity building) at</b>	✓	✓			✓	



KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>the country level in support of agreed national plans or partner plans</b>						
12.1 Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualized or initiated by MO itself	✓	✓				
12.2 The MO conditionality (if any) draws on national/government's own agreed benchmarks/indicators/results. (only applicable to IFIs)	✓	✓			✓	
<b>KPI 13 The MO's procedures take into account local conditions and capacities</b>	✓	✓				
13.1 The procedures of the MO can be easily understood and completed by partners	✓	✓				
13.2 The length of time for completing MO procedures does not have a negative effect on implementation	✓	✓				
13.3 The MO has the operational agility to respond quickly to changing circumstances on the ground	✓	✓				
13.4 The MO has operational flexibility in the way it implements programmes / project and deals with budget issues (during implementation)	✓	✓				
<b>KPI 14 The MO uses country systems for disbursement and operations</b>	✓	✓			✓	
14.1% of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans					✓	Paris Indicator 3
14.2 The MO uses the country's financial systems (i.e., public financial management and procurement) as a first option for its operations where appropriate	✓	✓			✓	Paris Indicator 5a and 5b
14.3 The MO avoids parallel implementation structures					✓	Paris Indicator 6
14.4 The extent to which the MO has promoted a mutual assessment of progress in implementing	✓	✓				

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
agreed partnership commitments (mutual accountability)						
<b>KPI 15 The MO adds value to policy dialogue with its direct partners</b>	✓	✓	✓			
15.1 The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	✓	✓	✓			
15.2 The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	✓	✓	✓			
<b>KPI 16 The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate</b>	✓	✓			✓	
16.1 The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	✓	✓			✓	<i>Paris Indicator 10a</i>
16.2 The extent to which MO technical cooperation is disbursed through coordinated programmes	✓	✓			✓	<i>Paris Indicator 4</i>
16.3% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc.)	✓	✓			✓	<i>Paris Indicator 9</i>
<b>Organizational Effectiveness - Knowledge management dimension</b>						
<b>KPI 17 The MO consistently evaluates its delivery and external results</b>	✓	✓	✓		✓	
17.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Board					✓	
17.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc.)					✓	
17.3 The MO ensures quality of its evaluations					✓	
17.4 Evaluation findings are used to inform decisions on programming, policy, and strategy			✓			

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct Partners/Clients at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
17.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	✓	✓				
<b>KPI 18 The MO presents performance information on its effectiveness</b>			✓		✓	
18.1 Reports on the achievement of outcomes, not just inputs, activities and outputs			✓		✓	
18.2 Reports performance using data obtained from measuring indicators					✓	
18.3 Reports against its Corporate Strategy, including expected management and development results.			✓		✓	
18.4 Reports against its Paris Declaration commitments using indicators and country targets			✓		✓	
18.5 Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information					✓	
18.6 Reports on country (or other) level programming adjustments made or recommended based on performance information					✓	
<b>KPI 19 The MO encourages identification, documentation and dissemination of lessons learned and/or best practices</b>			✓		✓	
19.1 Reports on lessons learned based on performance information			✓		✓	
19.2 Learning opportunities are organized to share lessons at all levels of the organisation			✓			

### **3.8 Does the common approach allow measurement of progress over time in the case of repeat assessments?**

Since its establishment in 2003, MOPAN has conducted four assessments of AfDB (2004, 2007, 2009 and 2012). The 2004 and 2007 MOPAN assessment consisted of surveys of the perceptions of MOPAN member staff about the Bank's performance at the country-level. In 2009, MOPAN introduced the Common Approach, which incorporated the views of national partners/clients of the Bank. In 2010, it added a document review.<sup>27</sup>

For being able to measure and compare performance over time, both KPIs and MIs need to remain stable. When reviewing the KPIs and MIs used for the 2012 and the 2009 AfDB assessments, these have been matched to follow the order of the indicators used for the 2013 assessment. This has allowed to see differences in the number of KPIs and MIs used under each Quadrant and also to see differences in the number of MIs under each KPI.

As can be seen from the table below, the total number of KPIs for assessing organisational effectiveness remained the same for the 2009 and the 2012 assessments (in total, 19 KPIs were used). Also, the distribution of these across the four Quadrants remained the same (4 KPIs for Quadrant I; 7 KPIs for Quadrant II; 5 KPIs for Quadrant III and 3 KPIs for Quadrant IV). The number of MIs did, however, increase significantly in the 2012 assessment: while in the 2009 assessment a total of 63 MIs were used, the total number of MIs used in the 2012 assessment was 72.

The distribution of MIs across the four Quadrants also differed between the 2009 and the 2012 assessment: While for Quadrant III (Relationship Management), the total number of MIs decreased from 18 to 15, there was an increase in the number of MIs for the other three Quadrants: in Quadrant I (Strategic Management) there was an increase from 17 to 19 MIs, in Quadrant II (Operational Management) the number went up from 21 to 25, and in Quadrant IV (Knowledge Management) the number increased from 7 to in total 13 MIs.

This implies that there is a difference in the distribution of MIs under each KPI between the 2009 and 2012 assessments. Further, when reviewing the wording of KPIs and MIs in the 2009 and the 2012 assessments, a number of changes can be noted. To illustrate the difference in distribution of MIs and changes in wording, KPI 4 in the 2009 assessment can be taken as an example: it was stated as "Focus on thematic priorities", while the comparable KPI 3 in the 2012 assessment stated "The MO maintains focus on cross-cutting priorities identified in its strategic framework and/or based on its mandate and international commitments". In the 2009 assessment, three MIs were used to assess the KPI while in the 2012 assessment six MIs were used - adding on MIs on climate change, private sector development, fragile states and regional integration. These issues were not specifically addressed in the 2009 assessment. On the other hand, the MI in the 2009 assessment regarding "MO has a significant strategic focus on good governance" was not included in the 2012 assessment.

As pointed out in the 2012 assessment, caution is required in making comparisons given that there were changes between 2009 and 2012. The survey scale changed from a 5-point to a 6-point scale, the countries and respondent groups surveyed differed, and some 2009 survey questions were removed and assessed only by document review in 2012.<sup>28</sup>

**Summing up, it can be concluded that comparing performance over time should be made with great caution. The KPIs and MIs used for the assessments have not remained stable over time in terms of:**

- i) Number (as regards MIs);**
- ii) Wording;**
- iii) Distribution across the assessment framework (as regards MIs); and in terms of**
- iv) Means for assessment (survey questions and/or documentary review).**

<sup>27</sup> MOPAN: Assessment of Organisational Effectiveness and Reporting on Development Results, AfDB, 2012, Volume I, p. 4.

<sup>28</sup> Idem.

MOPAN Common Approach Assessment 2013 - Indicators			AfDB - Indicators in the 2012 Assessment		AfDB - Indicators in the 2009 Assessment	
<b>Quadrant I. Strategic Management</b>						
<b>Governance and leadership</b>						
KPI	1	The Multilateral Organisation's (MO) provides direction for the achievement of external / beneficiary focused results	1	The MO's Executive Management provides direction for the achievement of external/beneficiary focused results	3	Providing direction for results
MI	1.1	The MO has a value system that supports a results-orientation and a direct partner focus	1.1	The MO has a value system that supports a results-orientation and a direct partner focus	3.1	MO's institutional culture is focused on client/partner
MI	1.2	The MO's Executive Management shows leadership on results management	1.2	The MO's Executive Management shows leadership on results management	3.2	MO senior management show leadership on results management
MI	1.3	The MO promotes an organisation-wide policy on results management			3.4	MO's institutional culture reinforces a focus on results
			1.3	(see KPI 21)	3.3	(see KPI 21)
<b>Corporate Strategy</b>						
KPI	2	The MO's corporate/organisation-wide strategies are clearly focused on the mandate	2	The MO's corporate strategies and plans are focused on the achievement of results	2	Corporate focus on results
MI	2.1	The MO's corporate/organisation-wide strategy is based on a clear definition of mandate	2.1	The MO's organisation wide strategy is based on a clear definition of mandate.	2.1	MO's organisation-wide strategy/strategies are based on a clear mandate
KPI	3	The MO's corporate/organisation-wide strategies are results-focused	2.2	The MO promotes an organisation-wide policy on results management	2.2	MO's strategies contain frameworks of expected management and development results
MI	3.1	Organisation-wide plans and strategies contain frameworks of expected management and development results	2.3	Organisation-wide plans and strategies contain frameworks of expected management and development results	2.3	(MO's results frameworks in strategies include measurable indicators at output and outcome levels)
MI	3.2	Results frameworks have causal links from outputs through to impacts/final outcomes	2.4	Results frameworks have causal links from outputs through to impacts/final outcomes	2.4	(MO's results frameworks in strategies have causal links from outputs through to outputs and impact)
MI	3.3	Standard performance indicators are included in organisation-wide plans and strategies at a delivery (output) and development results level	2.5	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level.	2.5	MO ensures the application of results management across the organisation
KPI	4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments	3	The MO maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments.	4	Focus on thematic priorities
MI	4.1	Gender equality	3.1	Gender equality	4.3	MO has a significant strategic focus on gender equality

MI	4.2	Environment	3.2	Environment	4.2	MO has a significant strategic focus on environmental protection
MI	4.3	Good governance	3.3	Climate change	4.1	MO has a significant strategic focus on good governance
MI	4.4	Human rights-based approaches	3.4	Private sector development	--	--
MI	4.5	Other cross-cutting themes, as defined with the ILs/MOs	3.5	Fragile States	--	--
MI	--	--	3.6	Regional integration	--	--
<b>Strategies – Country, regional, thematic</b>						
<b>KPI</b>	<b>5</b>	<b>The MO's country strategy is results-focused</b>	<b>4</b>	<b>The MO's country strategy is results-focused</b>	<b>1</b>	<b>Country focus on results</b>
MI	5.1	Results frameworks link results at project, programme, sector, and country levels	4.1	Results frameworks that link results at project, programme, sector and country levels	1.1	MO country strategies contain statements of expected results consistent with those in the country's national development strategies
MI	5.2	Frameworks include indicators at project, programme, sector, and country levels	4.2	Frameworks include indicators at project, programme, sector and country level	1.4	MO' results framework include indicators at all levels (country, sector, and project)
MI	5.3	Statements of expected results are consistent with those in national development strategies and UNDAF as appropriate	4.3	Statements of expected results are consistent with those in the PRSP or national plan.	1.3	MO has results frameworks which links results across project, sector and country levels
MI	5.4	Statements of expected results are developed through consultation with direct partners and beneficiaries	4.4	Expected results developed in consultation with clients/beneficiaries	1.2	MO consults with beneficiaries to develop its expected results
MI	5.5	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment, good governance, human rights-based approaches, etc.	4.5	Results for cross-cutting thematic priorities are included in the country level results frameworks - gender equality, environment, climate change (as appropriate)	1.5	MO's country strategies include results for cross-cutting thematic priorities (e.g. gender equality, environment, governance)
<b>Quadrant II. Operational Management</b>						
<b>Financial Resources and Risk Management</b>						
<b>KPI</b>	<b>6</b>	<b>The MO makes transparent and predictable aid allocation decisions</b>	<b>5</b>	<b>5. The MO makes transparent and predictable aid allocation decisions</b>	<b>5.</b>	<b>Aid allocation decisions</b>
MI	6.1	The MO's criteria for allocating funding are publicly available	5.1	The MO's criteria for allocating funding are publicly available.	5.1	MO publishes its criteria for allocating concessional aid funding
MI	6.2	The MO's allocations follow the criteria	5.2	The MO's allocations follow the criteria	5.2	(MO allocates concessional aid funding according to the criteria mentioned above)
MI	6.3	Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	5.3	Aid flows or planned resources (financial/technical cooperation, etc.) are released according to agreed schedules (in-year).	--	--
<b>KPI</b>	<b>7</b>	<b>The MO engages in results-based budgeting</b>	<b>6</b>	<b>The MO's aid financing management is linked to aid performance management</b>	<b>8</b>	<b>Linking aid management to aid performance</b>

MI	7.1	Financial allocations are linked to results	6.1	Aid budget allocations (or lending) are linked to expected development results.	8.1	MO links loans and credits to expected development results
MI	7.2	Expenditures are linked to results	6.2	Aid or lending disbursements are linked to reported results.	--	---
<b>KPI</b>	<b>8</b>	<b>The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)</b>	<b>7</b>	<b>The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)</b>	<b>7</b>	<b>Financial accountability</b>
MI	8.1	External financial audits meeting recognized international standards are performed across the organisation (External or UN Board of Auditors)	7.1	External financial audits (meeting recognised international standards) are performed across the organisation.	7.1	MO performs corporate audits according to international standards
MI	8.2	External financial audits meeting recognized international standards are performed at the regional, country or project level (as appropriate)	7.2	External financial audits (meeting recognised international standards) are performed at the regional, country and project level (as appropriate).	7.2	MO requires external audits (meeting international standards) to be performed for financed programs and projects at a country level
MI	8.3	The MO has a policy on anti-corruption	7.3	The MO has a policy on anti-corruption.	7.6	MO implements a policy addressing corruption within its institution
MI	8.4	Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	7.4	Systems are in place for immediate measure against irregularities identified at the country (or other) level.	7.4	MO ensures timely action when irregularities are identified at the country level
MI	8.5	Internal financial audit processes are used to provide management / governing bodies with credible information	7.5	Internal financial audit processes are used to provide management/governing bodies with credible information.	7.3	MO conducts internal financial audits to provide objective information to its governing body
MI	8.6	The MO's procurement and contract management processes for the provision of services or goods are effective	7.6	The MO's procurement and contract management processes for the provision of services or goods are effective.	--	
MI	8.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting	7.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting.	7.5	MO implements strategies and plans for risk management
<b>Performance Management</b>						
<b>KPI</b>	<b>9</b>	<b>Performance information on results is used by the MO for:</b>	<b>8</b>	<b>Performance information on results is used by the MO for:</b>	<b>9.</b>	<b>Using performance information</b>
MI	9.1	Revising and adjusting policies	8.1	Revising and adjusting policies.	9.2	MO uses project, sector and country information on performance to revise corporate strategies
MI	9.2	Planning new interventions	8.2	Planning new interventions	9.1	MO uses information on country performance to plan new interventions at country level
MI	9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance	8.3	"Unsatisfactory" investments, programmes or projects from the previous fiscal year are subject to proactive management.	9.4	MO actively manages "unsatisfactory" activities from previous fiscal years

MI	9.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	8.4	Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units.	9.3	MO tracks implementation of evaluation recommendations reported to the Board
MI	--	---	8.5	The MO resources allocated to countries and projects are based on performance.	--	---
<b>Human Resources Management</b>						
KPI	10	<b>The MO manages human resources using methods to improve organisational performance</b>	9	<b>The MO manages human resources using methods to improve organisational performance.</b>	11	<b>Managing human resources</b>
MI	10.1	Results focused performance assessment systems are in place for senior staff (Including Country Directors)	9.1	Results-focused performance assessment systems are in place for senior staff (including Vice presidents)	11.4	MO uses results-focused performance agreements for senior staff
MI	10.2	There is a transparent system in place to manage staff performance	9.2	There is a transparent incentive and reward system for staff performance	11.3	MO uses a transparent system of incentives and rewards to manage staff performance
MI	10.3	Staff deployment in country is adequate for the development of effective country-level partnerships	9.3	The speed of staff rotation in post is adequate for the development of effective country level partnership	11.1	MO keeps deployed international staff in country offices for a sufficient time to maintain effective partnerships at country level
MI	--	--	9.4	Staff recruitment and promotion is transparent and based on merit	11.2	MO transparently recruits and promotes staff based upon merit
<b>Portfolio Management (Country or Other)</b>						
KPI	11	<b>Country / regional programming processes are performance oriented</b>	10	<b>Country/regional programming processes are performance oriented</b>	6	<b>Performance-oriented Programming</b>
MI	11.1	Prior to approval, new initiatives are subject to benefits/impact analysis (economic, social, etc.)	10.1	Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc.)	6.2	MO subjects new loans and credits to impact analysis prior to approval
MI	11.2	Milestones/targets are set to rate the progress of (project) implementation	10.2	Milestones/targets are set to rate the progress of (project) implementation.	6.1	MO sets targets to enable monitoring of progress in project implementation at country level
KPI	12	<b>The MO delegates decision-making authority (to the country or other levels)</b>	11	<b>The MO delegates decision-making authority (to the country or other levels)</b>	10	<b>Delegating decision-making</b>
MI	12.1	Aid reallocation decisions can be made locally	11.1	Project budget reallocation decisions can be made locally	10.1	MO project tasks are managed at a country level
MI	12.2	New aid programmes/projects can be approved locally within a budget cap	11.2	New aid programmes/projects can be approved locally within a budget cap.	10.2	MO can propose new loan/credit activities locally, within a budget cap
<b>Quadrant III. Relationship Management</b>						



<b>Ownership</b>						
<b>KPI</b>	<b>13</b>	<b>The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans</b>	<b>12</b>	<b>The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans.</b>	<b>12</b>	<b>Supporting national plans</b>
MI	13.1	Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualized or initiated by MO itself	12.1	Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualized or initiated by MO itself	12.1	MO supports funding proposals designed and developed by the national government or clients/partners
MI	13.2	The MO conditionality (if any) draws on national/government's own agreed benchmarks/indicators/results (IFIs only)	12.2	The MO conditionality (if any) draws on national/government's own agreed benchmarks/indicators/results. (only applicable to IFIs)	12.2	MO applies conditionality that corresponds with the national government's goals and benchmarks
<b>KPI</b>	<b>14</b>	<b>The MO's procedures take into account local conditions and capacities</b>	<b>13</b>	<b>The MO's procedures take into account local conditions and capacities</b>	<b>16</b>	<b>Adjusting procedures</b>
MI	14.1	The procedures of the MO can be easily understood and completed by partners	13.1	The procedures of the MO can be easily understood and completed by partners	16.1	Mo uses procedures that can be easily understood and followed by clients/partners
MI	14.2	The length of time for completing MO procedures does not have a negative effect on implementation	13.2	The length of time for completing MO procedures does not have a negative effect on implementation	16.3	The length of time it takes to complete MO procedures does not negatively affect implementation
MI	14.3	The MO has the operational agility to respond quickly to changing circumstances on the ground	13.3	The MO has the operational agility to respond quickly to changing circumstances on the ground	16.2	MO adjusts overall portfolio in country quickly, to respond to changing circumstances
MI	14.4	The MO has operational flexibility in the way it implements programmes/projects and deals with budget issues (during implementation)	13.4	The MO has operational flexibility in the way it implements programmes/projects and deals with budget issues (during implementation)	16.4	MO flexibly adjusts its implementation of individual projects/programs as learning occurs
<b>Alignment</b>						
<b>KPI</b>	<b>15</b>	<b>The MO uses country systems for disbursement and operations</b>	<b>14</b>	<b>14. The MO uses country systems for disbursement and operations</b>	<b>14</b>	<b>Using country systems</b>
MI	15.1	% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	14.1	% of the MO's overall ODA disbursements/support recorded in the annual budget as revenue, grants, or ODA loans	14.1	MO's expected disbursements are recorded in governments' national budgets
MI	15.2	The MO uses the country's financial systems as a first option for its operations (i.e., procurement and public financial management, etc)	14.2	The MO uses country systems as a first option for its operations (i.e. Procurement and financial management etc.)	14.3	MO uses national auditing procedures in making loans/credits
					14.4	MO uses national budget execution procedures in making loans/credits
					14.5	MO uses national financial reporting procedures in making loans/credits
					14.7	MO uses national procurement systems in

						making loans/credits
MI	15.3	The MO uses the country's non-financial systems as a first option for its operations (e.g. monitoring and evaluation)	--	--	--	--
MI	15.4	The MO avoids parallel implementation structures	14.3	The MO avoids parallel implementation structures	14.6	MO uses project implementation units that operate in parallel to the government
MI	15.5	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	14.4	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	14.2	MO encourages mutual accountability assessment of Paris Declaration and AAA commitments
<b>KPI</b>	<b>16</b>	<b>The MO adds value to policy dialogue with its direct partners</b>	<b>15</b>	<b>The MO adds value to policy dialogue with its direct partners</b>	<b>13</b>	<b>Contributing to policy dialogue</b>
MI	16.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	13.2	MO provides valuable inputs to policy dialogue
MI	16.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	13.1	MO respects the views of clients/partners when it undertakes policy dialogue
<b>Harmonisation</b>						
<b>KPI</b>	<b>17</b>	<b>The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate</b>	<b>16</b>	<b>The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies etc) as appropriate</b>	<b>15</b>	<b>Harmonising procedures</b>
MI	17.1	The extent to which the MO engages in joint planning, programming, monitoring and reporting	16.1	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	15.2	MO participates in joint missions
MI	17.2	The extent to which MO's technical cooperation is disbursed through coordinated programmes	16.2	The extent to which the MO technical cooperation is disbursed through coordinated programmes.	15.3	MO's technical assistance is provided through coordinated programs in support of capacity development
MI	17.3	% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAPs, basket funding, etc)	16.3	% of the MO's overall ODA disbursements/support that is for government-led PBAs (SWAPs, basket funding, etc.)	15.1	MO participates in program-based approaches (other than through budget support)
<b>Quadrant IV: Knowledge Management</b>						
<b>Performance Monitoring and Evaluation</b>						
<b>KPI</b>	<b>18</b>	<b>The MO consistently evaluates its delivery and external results</b>	<b>17</b>	<b>The MO consistently evaluates its delivery and external results</b>	<b>17</b>	<b>Monitoring external results</b>
MI	18.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to senior	17.1	The MO has a structurally independent evaluation unit within its organisational structure that reports	17.1	MO has an independent evaluation unit that reports directly to the Board or Governing

		management or the Executive Board		to its Executive Management Board.		Council
MI	18.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc)	17.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc.)	17.2	MO ensures that an adequate proportion of completed projects and programs are subject to independent evaluation
MI	18.3	The MO ensures the quality of its evaluations	17.3	The MO ensures quality of its evaluations		
MI	18.4	Evaluation findings are used to inform decisions on programming, policy, and strategy	17.4	Evaluation findings are used to inform decisions on programming, policy and strategy		
MI	18.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	17.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	17.3	MO requires the involvement of key clients and beneficiaries in monitoring and evaluation functions
<b>Performance Reporting</b>						
<b>KPI</b>	<b>19</b>	<b>The MO presents performance information on its effectiveness</b>	<b>18</b>	<b>The MO presents performance information on its effectiveness</b>	<b>18</b>	<b>Presents performance information on effectiveness</b>
MI	19.1	Reports on the achievement of outcomes, not just inputs, activities and outputs	18.1	Reports on the achievement of outcomes, not just inputs, activities and outputs.	18.1	MO reports to the governing body on performance, including on outcomes achieved
MI	19.2	Reports on performance using data obtained from measuring indicators	18.2	Reports performance using data obtained from measuring indicators.	18.2	MO reports to the governing body on performance in relation to its Paris Declaration commitments
MI	19.3	Reports against its organisation-wide strategy, including expected management and development results	18.3	Reports against its Corporate Strategy, including expected management and development results.	--	--
MI	19.4	Reports against its aid effectiveness commitments (e.g. Paris Declaration/Busan) using indicators and country targets	18.4	Reports against its Paris Declaration commitments using indicators and country targets	--	--
MI	19.5	Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information	18.5	Reports on adjustments made or recommended to the organization-wide policies and strategies based on performance information.	--	--
MI	19.6	Reports on country (or other) level programming adjustments made or recommended based on performance information	18.6	Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--
<b>Dissemination of Lessons Learned</b>						
<b>KPI</b>	<b>20</b>	<b>The MO encourages the identification and documentation of lessons learned and/or best practices.</b>	<b>19</b>	<b>The MO encourages identification, documentation and dissemination of lessons learned and/or best practices.</b>	<b>19</b>	<b>Disseminates lessons learned</b>
MI	20.1	Reports on lessons learned based on performance information	19.1	Reports on lessons learned based on performance information.	19.1	MO identifies and disseminates lessons learned from performance information
MI	20.2	Learning opportunities are organised to share lessons at all levels of the organisation	19.2	Learning opportunities are organised to share lessons at all levels of the organisation	19.2	MO provides opportunities at all levels of the organisation to share lessons from practical experience

Transparency						
KPI	21	The MO ensures the availability of documents in the public domain	--	--	--	--
MI	21.1	Key MO documents are available to the public.	1.3	Key MO documents are readily available to the public	3.3	MO makes key documents easily accessible to the public
DEVELOPMENT EFFECTIVENESS						
KPI	A	Evidence of the extent of MO progress towards its institutional/organisation-wide results	A	Evidence of extent of progress towards organisation-wide outcomes	--	--
KPI	B	Evidence of the extent of MO contributions to country-level goals and priorities, including relevant MDGs	B	Evidence of extent of contributions to country-level goals and priorities	--	--
KPI	C	Relevance of objectives and programme of work to stakeholders	C	Evidence of extent of contributions to relevant MDGs at the country level	--	--
--	--	--	D	Relevance of objectives and programme of work to major stakeholders.	--	--

	MOPAN Common Approach Assessment 2013 - Indicators	AfDB - Indicators in the 2012 Assessment	AfDB - Indicators in the 2009 Assessment
<b>Total Number of KPIs:</b>	<b>24 (21 + 3)*</b>	<b>23 (19 + 4)*</b>	<b>19</b>
Quadrant 1: Total number KPIs:	5	4	4
Quadrant 2: Total number KPIs:	7	7	7
Quadrant 3: Total number KPIs:	5	5	5
Quadrant 4: Total number KPIs:	4	3	3
Dev Effectiveness: Total KPIs:	3	4	0
<b>Total Number of MIs:</b>	<b>70</b>	<b>72</b>	<b>63</b>
Quadrant 1: Total number MIs:	17	19	17
Quadrant 2: Total number MIs:	23	25	21
Quadrant 3: Total number MIs:	16	15	18
Quadrant 4: Total number MIs:	14	13	7

\*) (number of KPIs for measuring organisational effectiveness) + (number of KPIs for measuring development effectiveness)

## 4. Case study of GAVI

### 4.1 Introduction

This case study focuses on the experience of the MOPAN assessment of GAVI in 2012. As such, it is intended to feed into the overall evaluation of MOPAN, and is not designed as a single self-standing piece of work. Only major findings and conclusions are set out in Section 4.3, while the supporting evidence can be found in Section 4.4 and Annex 4.6 (which deals with the quality of the report and the under-lying methodology).

### 4.2 Evolution of the MOPAN assessment

In 2009 MOPAN introduced the “Common Approach” broadening and extending the methodology. The Common Approach continues to collect data through a survey but additionally includes a **review of the documents** published by the multilateral organisations under review. The Common Approach also **extends the survey to direct partners** with all respondents being required to demonstrate experience and expertise related to the multilateral organisations being assessed (i.e. “expert sampling”). These developments bring about a better balance of factual and perception-based findings.

In 2009, four multilateral organisations, including UNDP, in nine developing countries were assessed. In 2010, four multilateral organisations were reviewed in ten developing countries. Five multilateral organisations in twelve developing countries were assessed in 2011 and MOPAN adapted the methodology to match the specific circumstances of **humanitarian organisations** (UNHCR). In 2012, MOPAN again adapted the methodology to examine the GAVI Alliance, the first time that a **Global Fund** type organisation has been assessed.

Before 2012, the Common Approach has not examined development effectiveness or the achievement of development results but rather focused on assessing whether the multilateral organisations had in place the necessary behaviours, systems and processes to help achieve those results. In 2012, MOPAN piloted an expanded methodological framework with four organisations, including UNDP, which provided an **assessment of organisational effectiveness as well as the results achieved** by multilateral organisations<sup>29</sup>. The assessment of results focused on the degree to which progress is being made towards the organisation’s stated objectives and analysed the

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<sup>29</sup> The term “results” will be used in accordance with OECD/DAC’s definition: “Results are the output, outcome, or impact (intended or unintended, positive and negative) of a development intervention.”

relevance of its programming. It was piloted with AfDB, UNDP, UNICEF and the World Bank, all previously assessed in 2009.

A key assumption in the new Common Approach assessment is that organisational effectiveness has an influence on an organisation's ability to achieve results. Feedback on the achievement of expected results can in turn provide insights for further improvements in organisational practices. By adding a component that analyses results, MOPAN members can use the existing dialogue process with the multilateral organisations to understand the way that organisational practices are facilitating or hindering the organisations' results on the ground. A second assumption is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for the discussions between donors and multilateral organisations on reporting.

Adaptations to the MOPAN methodology were required so as to reflect GAVI's unique operating structure. In 2012, MOPAN assessed GAVI based on information collected at the organisation's headquarters, from MOPAN members, and from stakeholders in fifteen GAVI-supported countries: Bangladesh, Cambodia, Democratic Republic of Congo, Georgia, Ghana, Honduras, Indonesia, Nicaragua, Niger, Nigeria, Pakistan, Rwanda, Tanzania, Yemen, and Zimbabwe.

MOPAN's survey targeted six categories of respondents: MOPAN members based in the country and at headquarters, global and country-level implementing partners, representatives of governments and civil society organisations GAVI works with, and other GAVI Alliance partners and peer organisations. A total of 102 respondents participated in the survey. MOPAN's document review assessed GAVI's systems and practices through an examination of publicly available, corporate and programming documents provided by GAVI. Given the small number of responses by MOPAN donors in-country, implementing partners, government, and civil society groups, caution should be used in interpreting survey results from these respondent groups.

### **4.3 Main Findings and Conclusions**

#### *Use and usefulness of the MOPAN assessments*

- No reported use of the assessment internally within GAVI. In the main there were no conclusions that had a major effect on GAVI's corporate or reform strategies, but there were some contributions at the margin. For instance, GAVI already had an assessment of their approach to aid effectiveness and meeting the Paris Declaration commitments, etc. This study had concluded that while GAVI had effectively responded to this agenda, they were very bad at providing evidence to demonstrate this. The fact that the MOPAN assessment said the same thing probably spurred the organisation on to doing something about working on how it would be able to demonstrate its approach in this area. More broadly, the

assessment framework wasn't really adjusted to reflect GAVI's business model and therefore a lot of time was required to ensure that the ratings actually reflected a true picture of where GAVI are at. As such, the assessment didn't really pick up anything new.

- GAVI agree that there doesn't seem to be much upside for them from the assessment but there was a risk of a downside in the present constrained funding context if the assessment had been negative. Fortunately, due to persistence, the initial ratings from the documentary review were adjusted so that by the end their performance was judged as good.
- GAVI has seen little evidence that MOPAN is seen as important. The seeming lack of use of the assessment by the MOPAN members is a major concern of GAVI's. In some instances, the health sector people from GAVI funders have indicated that the evidence from MOPAN wasn't seen as useful. For one MOPAN member, the head civil servant directly told GAVI that MOPAN wasn't assessing the right things for their priority needs and so they couldn't use it. In another case, a senior civil servant told GAVI that they could get the needed information from other assessment tools they use. However, it is possible that the assessment will be used in the forthcoming replenishment process, but it is too early to tell. Their view is that their donors need evidence in three places. First, evidence around results at country level/development effectiveness. Second, cost-effectiveness. Third, the level of complementary/synergy of GAVI support with that of others. A MOPAN approach that looked across a range of organisations involved in our sector that then synthesised the evidence across the agencies would be much more useful.
- Consistent opinion of those interviewed was that the assessment should assess and document development results and the fact that MOPAN didn't do this in 2012 was a major weakness, given GAVI's focus on results. In terms of the organisational effectiveness review, GAVI thinks that in practice there was little opportunity to adjust the framework to allow a full assessment of its business model. Their engagement was with the consultants from Universalis and although comments and suggestions were made to the consultants, the consultants said that it wasn't their role to adjust the framework based on discussion with GAVI. From GAVI's perspective, this initial process was therefore seen as unsatisfactory, although it may be that this partly reflected poor initial communication by MOPAN on the extent to which adjustment was possible.
- One issue with the assessment is that for organisational effectiveness, it focused on judging GAVI's compliance with a very prescriptive set of norms on what should be in place and the content of specific documents. The documentary review in particular did not focus on the issue of whether GAVI have implemented policies and the effectiveness of our policies, systems and approaches in enhancing our organisational effectiveness.

- If look at timing of the UK MAR and Australian AMA, in neither case was MOPAN evidence used because it wasn't available, although GAVI understand that these governments do draw on the MOPAN assessment, where available. In terms of the 2013 update of the MAR, GAVI have been asked to provide an update on progress in certain areas, but have not drawn on the MOPAN assessment to do this.

#### *Replacing or complementing other assessments of multilateral organisations' performance*

- If anything, the number of assessments is increasing and we don't see that MOPAN has affected this. It instead appears to be yet another assessment that needs to be completed. We note that in terms of the UK, not only have we been assessed under the MAR in 2011 and 2013 (a lighted process than MOPAN), but the UK NAO then evaluated the process and we hear that ICAI will now also be doing the same. The concern in the UK appears to be that the MAR process is too heavy, even if less heavy than MOPAN.

#### *Quality of the MOPAN assessment reports*

- If assessed against the DAC Evaluation Standards the report does present the evidence in a transparent way. However, in the opinion of GAVI people, the view is that presentation of evidence could still be improved if policy makers are the key audience. Contrast is drawn with the presentational approach used in the DFID MAR.

#### *Reliability in the MOPAN methodology*

- The analysis presented does note when responses to a particular question between different groups surveyed are statistically significant, but presents no evidence for why such differences are observed. The report notes that this wasn't possible, as the survey is mostly based on closed questions, and therefore there isn't enough information to draw conclusions in this area. No analysis of differences between responses across groups surveyed in the 15 countries included in the survey. Note that the documentation review judges against de jure standards that defined by MOPAN with no initial consultation with GAVI was a serious problem.
- In future, if repeat the assessment, for the survey groups, define groups which make sense in terms of how would actually know enough to answer the questions. In GAVI's case, given the business model, the main people who know about the quality of GAVI support are the expert groups who vet the quality of the investment proposals. This group didn't fit within any of the groups pre-defined by MOPAN and therefore were not interviewed. GAVI also note that some survey groups would not be in a position to give an impartial view of GAVI,



due to the nature of GAVI's relationship with them (in some cases there is an element of competition for resources between them and us).

#### *Improving the effectiveness of MOPAN*

- The main areas for improvement are:
  - Focus on assessing results
  - Ensure that members make use of the assessments
  - Cut the number of questions and discuss with us modelling the framework so it reflects our actual business model.
  - In the documentary review process, focus more on whether we are addressing in principle rather than whether we have policies with the right words and systems in place.

#### 4.4 Completed matrix of evidence, findings and conclusions

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>A. MOPAN Assessments produce the kind of information that is required by the MOPAN members.</p>	<p>1. Do MOPAN Assessments, where available, provide the right evidence for setting a MOPAN member’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><i>See Q3 below.</i></p>	
	<p>2. How is evidence from MOPAN assessments used by your organisation when setting your county’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><i>So far, GAVI have seen no evidence of this.</i></p>	
	<p>3. How important is MOPAN to you in relation to other sources of information on the multilateral organisation’s performance?</p> <p><i>We have seen little evidence that seen as important. The seeming lack of use of the assessment by the MOPAN members is a major concern of ours.</i></p> <p><i>In some instances, the health sector people from our funders who are the ones that really deal with us have indicated that the evidence from MOPAN wasn’t seen as useful. For one MOPAN member, the head civil servant directly told us that MOPAN wasn’t assessing the right things for their priority needs and so they couldn’t use it. In another case, a senior civil servant told us that they could get the needed information from other assessment tools they use. However, it is possible that the assessment will be used in the forthcoming replenishment process, but it is too early to tell.</i></p> <p><i>Our view is that our donors need evidence in three places. First, evidence around results at country level/development effectiveness. Second, cost-effectiveness. Third, the level of complementary/synergy of our support with that of others. A MOPAN approach that looked across a range of organisations involved in our sector that then synthesised the evidence across the agencies would be much more useful.</i></p> <p><i>Consistent opinion of those interviewed was that the assessment should assess and document development results and the fact that MOPAN</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>didn't do this in 2012 was a major weakness, given GAVI's focus on results. In terms of the organisational effectiveness review, GAVI thinks that in practice there was little opportunity to adjust the framework to allow a full assessment of its business model. Their engagement was with the consultants from Universalis and although comments and suggestions were made to the consultants, the consultants said that it wasn't their role to adjust the framework based on discussion with GAVI. From GAVI's perspective, this initial process was therefore seen as unsatisfactory, although it may be that this partly reflected poor initial communication by MOPAN on the extent to which adjustment was possible.</i></p> <p><i>One issue with the assessment is that for organisational effectiveness, it focused on judging our compliance with a very prescriptive set of norms on what should be in place and the content of specific documents. The documentary review in particular did not focus on the issue of whether we have implemented policies and the effectiveness of our policies, systems and approaches in enhancing our organisational effectiveness.</i></p> <p><i>If look at timing of the UK MAR and Australian AMA, in neither case was MOPAN evidence used because it wasn't available, although we understand that these governments do draw on the MOPAN assessment, where available. In terms of the 2013 update of the MAR, we have been asked to provide an update on progress in certain areas, but have not drawn on the MOPAN assessment to do this.</i></p> <p>4. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?</p> <p><u>Response: Don't know</u></p> <p><i>We are unclear precisely why we were invited to participate in 2012. We had been asked before in 2010, but at a time that we were very busy preparing for the replenishment exercise, and so were too busy. In practice, they invite an agency to participate only a month or so before the process is supposed to start. In terms of whether or not they assessed us because of questions with the quality of our evidence, we have no indications that MOPAN had assessed the quality of our evidence before embarking on the process.</i></p> <p><i>We agree that there doesn't seem to be much upside for us from the assessment but there was a risk of a downside in the present constrained funding context if the assessment had been negative. Fortunately, due to persistence, the initial ratings from the documentary review were adjusted so that by the end our performance was judged as good.</i></p>	
<p>B. There is a demand at country level for evidence presented in the common assessments</p>	<p>5. Overall, is there a demand at country level for the type of evidence presented in the common assessments? (Relevant for AfDB, UNDP and UNHCR assessments only)</p> <p><u>Response: Not Relevant</u></p> <p><i>Not relevant for GAVI as no country presence.</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
C. The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible.	<p>6. Do you think the MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible?</p> <p><i>We see little evidence that donors directly compare us with others. On the other hand, comparison may not always be the major priority of a MOPAN member that funds our work. For instance, in one case a significant proportion of the funds provided to us are then passed through to institutions from that country. In this case, the donor government is less interested in comparing the performance of institutions from its own country.</i></p>	
D. There is clear evidence that challenges and opportunities to improve organisational effectiveness identified in MOPAN assessments have been reflected in multilateral organisations' subsequent reform strategies.	<p>7. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?</p> <p><u>Response: Yes</u></p> <p><i>As seen from our response, in the main there were no conclusions that had a major affect on our corporate or reform strategies, but there were some contributions at the margin. For instance, we already had an assessment of our approach to aid effectiveness and meeting the Paris Declaration commitments, etc. This study had concluded that while we had effectively responded to this agenda, we were very bad at providing evidence to demonstrate this. The fact that the MOPAN assessment said the same thing probably spurred us on to doing something about working on how we would be able to demonstrate our approach in this area. More broadly, the assessment framework wasn't really adjusted to reflect our business model and therefore a lot of time was required to ensure that the ratings actually reflected a true picture of where we are at. As such, the assessment didn't really pick up anything new.</i></p>	
	<p>8. Was the timing of the MOPAN assessment cycle conducive to the actual use of the reports?</p> <p><u>Response: No</u></p> <p><i>We are unclear precisely why we were invited to participate in 2012. We had been asked before in 2010, but at a time that we were very busy preparing for the replenishment exercise, and so were too busy. In practice, they invite an agency to participate only a month or so before the</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>process is supposed to start. Ironically, since the assessment was completed in early 2013, this means that it will be available both for use in the midterm review of our 2011-15 strategy, which will be produced before we start our formal replenishment process later this year. Whether the MOPAN assessment will be used, and by whom, and for what purpose is currently unclear.</i></p>	
<p>E. Multilateral organisations use the MOPAN reports to improve their performance</p>	<p>9. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?</p> <p>See Q2 and 8 above.</p>	
	<p>10. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?</p> <p><u>Response: No</u></p> <p><i>If anything, the number of assessments is increasing and we don't see that MOPAN has affected this. It instead appears to be yet another assessment that needs to be completed. We note that in terms of the UK, not only have we been assessed under the MAR in 2011 and 2013 (a lighted process than MOPAN), but the UK NAO then evaluated the process and we hear that ICAI will now also be doing the same. The concern in the UK appears to be that the MAR process is too heavy, even if less heavy than MOPAN.</i></p>	
	<p>11. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation's effectiveness?</p> <p><u>Response: To a significant degree</u></p> <p><i>In general the final assessment is thought to be far and balanced, but getting it to this stage took a lot of engagement, as the initial set of ratings (for the documentary review) were much more negative. The problem was that the documentary review process assumes that we have certain policies and systems in place, and as designed, you score badly if you do something but not implemented in the way assumed in the MIs for the documentary review. This was a real problem for an institution such as GAVI, since the intention was that the Secretariat be small and lean and deliberately not be a big organisation with lots of formal policies, etc. One could game the indicators by putting policies in place, etc as the process lasts six months, but GAVI didn't think that would be a good use of time or resources. After the assessment was finished, we discussed with Board members whether they wanted us to meet the policy/system requirements found in the framework in the assessment, in terms of formal policies and systems, and they said no.</i></p> <p><i>If you look at the assessment questions itself, it is not so much that they lead to an unfair assessment of us, but rather that some issues covered are more relevant than others and some KPIs are underpinned by more MIs than others. In terms of relevance, the clearest example, while minor,</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>is in terms of our approach to human rights. The assessment pre-supposes that we have a policy on human rights, but we don't believe that this is necessary or particularly relevant given our mandate and mission and approach which means that we de facto address this issue, given if we have no explicit policy.</i></p> <p>12. How did your organisation respond to the common assessment?</p> <ul style="list-style-type: none"> <li>• Reports tabled at the Executive Board or Governing Council – No formal presentation, although if this was needed, it would surely be for the Institutional Lead on the MOPAN side to ensure that it was included in the agenda for the Executive Board.</li> <li>• Communicated to staff – No.</li> <li>• Management makes formal response – We started a formal management response.</li> <li>• Reports made back to governing body on management response (Yes/No)</li> </ul> <p><i>Response: yes/no</i></p> <p>13. Has the assessment of your organisation been used for any of the following purposes?</p> <ul style="list-style-type: none"> <li>• Refinement of your organisation or reform strategy - No</li> <li>• Learning within your organisation – To a very limited extent. Possibly the need to look at GAVI's performance through a non-health lens was useful, although how this affects how the organisation operates is not certain.</li> <li>• Reforms to operations and management - NO</li> <li>• Improving performance management - No</li> </ul> <p><i>Response: No</i></p> <p>14. Were the demands on time of your staff for the MOPAN assessment proportionate?</p> <p><i>Response: No</i></p> <p><i>The demands for what is a small organisation of 160 people were significant. The assessment may be easier for a large organisation which can dedicate people to supporting the process almost full-time, but we don't really have the slack to do this easily. If the benefits were clear to see, the investment would be worthwhile, but as yet we are unsure that MOPAN has made a real difference in terms of demands from the members or in terms of their understanding of GAVI and its business model. On the other hand, it is possible that the benefits will become clear in the next replenishment process.</i></p>	
F. The MOPAN	15. If MOPAN didn't exist, would you advocate that something similar be established?	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>Common Approach has reduced the growth in bilateral assessment systems.</p>	<p><i>Response: Yes</i></p> <p><i>But only if it was clear what the benefits would be, either in terms of a reduction of other demands for information, which we believe are increasing or in terms of allowing us to show our results in a forum where the evidence was then used.</i></p> <p>16. Has the MOPAN Common Assessment contributed within your organisation to reducing the need for your own assessments of multilateral performance?</p> <p><i>Response: No</i></p> <p>17. How does the credibility of MOPAN assessments of an organisation's effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA).</p> <p><i>Don't know about QuODA. Note that assessments by the bilateral donors that they have seen appear to rate GAVI more highly than does MOPAN.</i></p>	
<p>G. Opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used.</p>	<p>18. Should the Evalnet's New Approach, which combines meta-analysis of evaluations with review of documents on results and evaluation, be merged into MOPAN? (Only relevant for the AfDB and UNDP cases studies)</p> <p><i>Not asked, as GAVI not aware of this approach.</i></p>	
<p>H. Donors can predictably define future evidence needs.</p>	<p>19. Does the results component of the common assessment provide relevant information?</p> <p><i>Unknown since we were not assessed for development results.</i></p> <p>20. Is the results component information considered to be more or less relevant than the information about the organisational effectiveness?</p> <p><i>In opinion of GAVI, this would be more important, since this is what funders are really interested in.</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
I. The assessments presented in MOPAN reports present credible assessments based on the	<p>21. Do you think that the quality/credibility of MOPAN assessments is high?</p> <p><u>Response: Yes</u></p> <p>Source: GAVI Management Response (19 Nov 2012)</p>	



Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>transparent presentation of evidence.</p>	<p>We would like to thank the MOPAN Secretariat for their willingness to adapt the methodology of the assessment to GAVI's unique business model and for their very good collaboration throughout the process. Please let me take this opportunity to thank France, Spain and Sweden, the institutional leads for this assessment, as they have been great partners in this constructive dialogue.</p> <p>This assessment was the first experiment of adapting the MOPAN framework to a global fund. We were very pleased to hear MOPAN's conclusion that the structure of global funds, i.e. without country presence and with often indirect relationships with country-level stakeholders, requires that the survey of key stakeholders take a differentiated approach in its design, implementation, analysis and reporting. In addition, we very much agree with MOPAN that the criteria would benefit from further adaption to the specific structure of global funds, and I would add, to their specific objectives: a clear focus on delivering development outcomes. We are aware that MOPAN is piloting the inclusion of a component on development outcomes in its methodology, which GAVI welcomes and looks forward to see materialise during the next assessment.</p> <p>The GAVI Alliance Board, and its donors in particular, appreciate GAVI's lean structure and profile as a fast learning organisation and give strong indications that GAVI should maintain and even enhance its focus on achieving development outcomes: since the beginning of his mandate as CEO of GAVI a year and a half ago, Dr. Seth Berkley has been initiating reforms aiming at sharpening the results focus in the search for improved efficiency and effectiveness in country. Twelve years ago, GAVI's business model was conceived as an innovative and new model of "doing" development and we are continuing to build on this.</p> <p>Particular strengths of GAVI highlighted by the assessment were: a corporate focus on the achievement of results, transparent resource allocation decisions, strong financial management and accountability systems, relationship</p> <p>anagement, including supporting national/regional and partner plans and harmonising procedures.</p> <p>We are also pleased to see that GAVI was considered to be gearing up in the right direction thanks to these reforms: GAVI was rated as adequate, strong or above for all the Key Performance Indicators (KPIs) of the survey, which demonstrates a</p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p>anagement, including supporting national/regional and partner plans and harmonising procedures.</p> <p>We are also pleased to see that GAVI was considered to be gearing up in the right direction thanks to these reforms: GAVI was rated as adequate, strong or above for all the Key Performance Indicators (KPIs) of the survey, which demonstrates a strong level of confidence of GAVI's processes and performance among its stakeholders after just above a decade of existence. In addition, GAVI was rated adequate, strong or above for 17 of the KPIs as a result of the document review. An interesting result is the good alignment between the perception survey and the desk review, which indicates that GAVI does what it says it does.</p> <p>We would like to thank MOPAN for its diagnosis of areas for improvement for GAVI and for acknowledging ongoing reforms initiated by the GAVI leadership. I am pleased to share with MOPAN members the table below, which summarises a number of reforms that GAVI is currently implementing as they are relevant to this assessment.</p> <p>Finally, while this assessment does not look at development outcomes, I would like to point out that GAVI is currently focusing on improving the management of the supply chain. The Secretariat is working with the Alliance partners to develop an end-to-end Alliance wide supply chain strategy where applicable countries can consider and adopt supply chain practices which have developed in the private sector.</p> <p>We very much hope that bilateral donors that are members of MOPAN will consider this assessment as a relevant exercise that informs bilateral reviews to avoid duplication. GAVI uses a wide range of evaluation approaches to review the practice and progress of the Alliance and to keep the GAVI Board abreast of how it achieves results. GAVI has demonstrated commitment to using lessons learnt from its evaluation work to improve its policy-making, programming and results.</p> <p>We look forward to continued collaboration with the MOPAN members.</p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p>22. Were the consultants hired to do the assessments been able to work in an independent and credible manner?</p> <p><i>Yes, in general we thought that the consultants involved were credible and conscientious.</i></p>	
	<p>23. Do the reports present the right material in a transparent way?</p> <ul style="list-style-type: none"> <li>• Clarity and Representativeness of Summary</li> <li>• Context</li> <li>• Validity and Reliability of Information Sources described</li> <li>• Explanation of the Methodology Used</li> <li>• Clarity of Analysis</li> <li>• Questions Answered</li> <li>• Acknowledgement of Changes and Limitations</li> <li>• Acknowledgement of Disagreements within the Team</li> <li>• Incorporation of Stakeholders' Comments</li> </ul> <p><i>If assessed against the above standard (drawn from DAC Evaluation Standards) the report does present the evidence in a transparent way. However, in the opinion of GAVI people, the view is that presentation of evidence could still be improved if policy makers are the key audience. Contrast is drawn with the presentational approach used in the DFID MAR.</i></p> <p>Does the analysis have a high level of utility:</p> <ul style="list-style-type: none"> <li>• Enables learning from outliers</li> <li>• Copes with normative functions/ controversial issues</li> <li>• Reveals differences between the de jure/ de facto situation</li> </ul> <p><i>The analysis presented does note when responses to a particular question between different groups surveyed are statistically significant, but presents no evidence for why such differences are observed. The report notes that this wasn't possible, as the survey is mostly based on closed questions, and therefore there isn't enough information to draw conclusions in this area. No analysis of differences between responses across groups surveyed in the 15 countries included in the survey. Note that the documentation review judges against de jure standards that defined by MOPAN with no initial consultation with GAVI was a serious problem.</i></p>	
	<p>24. Does the best fit approach to rating/calibrating performance against individual KPIs add credibility?</p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>Not relevant, as applies to the development results component, which not applied in this case. In the case of GAVI is the experience that ratings were adjusted for the organisational effectiveness component, partly based on provision of further evidence but also through sustained engagement and commenting that they were not assessing what we actually have in place but rather what they pre-defined as what should be in place.</i></p> <p>25. What opportunities to simplify the methodology, without decreasing credibility, exist?</p> <ul style="list-style-type: none"> <li>- <i>Tailor the framework to reflect our business model.</i></li> <li>- <i>For the survey groups, define groups which make sense in terms of how would actually know enough to answer the questions. In our case, given our business model, the main people who know about the quality of our support are the expert groups who vet the quality of the investment proposals. This group didn't fit within any of the groups pre-defined by MOPAN and therefore were not interviewed. We also note that some survey groups would not be in a position to give an impartial view of GAVI, due to the nature of our relationship with them (in some cases there is an element of competition for resources between them and us).</i></li> </ul>	
<p>J. The methodology allows measurement of progress over time in the case of repeat assessments.</p>	<p>26. Does the common approach allow measurement of progress over time in the case of repeat assessments?</p> <p><i>Note that we were told that one reason that the framework could not be adapted extensively to fit with our business model was to allow comparability.</i></p>	
<p>K. The Common Approach has been efficiently implemented as planned</p>	<p>27. Are annual timelines for implementation set out in the Implementation Guides met in practice?</p> <p><i>Report produced when said.</i></p> <p>28. If timelines have not been met, what do you think have been the major factors causing delays?</p> <p><i>No comment</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<ul style="list-style-type: none"> <li>• Can you list three ways in which MOPAN could improve its effectiveness?</li> <li>- <i>Focus on assessing results</i></li> <li>- <i>Ensure that members make use of the assessments</i></li> <li>- <i>Cut the number of questions and discuss with us modelling the framework so it reflects our actual business model.</i></li> <li>- <i>In the documentary review process, focus more on whether we are addressing in principle rather than whether we have policies with the right words and systems in place.</i></li> </ul>	

## 4.5 References

### List of those consulted

Surname	First Name	Organisation
Bchir	Abdallah	GAVI
Berkley	Seth	GAVI
Hansen	Peter	GAVI
Mccabe	Ariane	GAVI
Message	Violaine	GAVI
Saraka-Yao	Marie-Ange	GAVI
Schwalbe	Nina	GAVI
Zhang	Li	GAVI

## 4.6 Quality of the 2012 Assessment Report

Criteria for assessment	Standard for assessment, evidence, and conclusion
1. Clarity and Representativeness of Summary	<p><b>Standard assessed against:</b> <i>The written report contains an executive summary. The summary provides an overview of the report, highlighting the main findings, conclusions, recommendations and any overall lessons.</i></p> <p><b>Evidence:</b> The report includes an Executive Summary which includes an overview of the report and high-lights both the major findings and conclusions. MOPAN assessments differ from evaluations in that they don't include explicit recommendations for either the MOPAN members or the multilateral assessed. Areas where performance/systems are assessed as inadequate or weak are however flagged in the overall summary of MOPAN ratings included in the executive summary, so indicating areas for attention.</p> <p><b>Conclusion: Meets standard</b></p>
2. Context	<p><b>Standard assessed against:</b> <i>The report identifies and assesses the influence of the context on the performance of the agency.</i></p> <p><b>Evidence:</b> The methodology states that both the documentary review and interview process at the multilateral's HQ are used to gain an understanding of the context in which the agency is working, as well as how decisions are made. In the event that survey data present a picture that is very different from the document review, information from interviews can help clarify how the multilateral organisation approached a certain issue. Contextual evidence is used to provide a richer explanation of what GAVI has done and therefore how some ratings are to be understood. However, if context is understood to mean the wider environment within which GAVI operates, and which affects both what it can and can't do, and how well, neither Volume 1 or 2 of the report includes an explicit discussion of such issues. This simply reflects the fact that assessing such contextual factors is not part of the methodology.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
3. Intervention Logic	<p><b>Standard assessed against:</b> <i>The report describes and assesses the intervention logic or theory, including underlying assumptions and factors affecting the success of the organisation being assessed.</i></p> <p><b>Evidence:</b> The Common Assessment methodology is not explicitly a theory based</p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>approach. The KPIs and MIs used for the organisational effectiveness assessment and the systems and approaches that are looked for as part of the development effectiveness component can be understood as reflecting a tacit theory of what should be in place. The major gap is that the tacit theory does not touch the linkage between organisational and developmental effectiveness.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
<p><b>4. Validity and Reliability of Information Sources described</b></p>	<p><b>Standard assessed against:</b> <i>The evaluation report describes the sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified. The assessment cross-validates the information sources and critically assesses the validity and reliability of the data. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</i></p> <p><b>Evidence:</b> Volumes 1 and 2 of the report meticulously set out details of the survey responses and which were the major documents used as part of the documentary review. Limitations with ample size and response rates are discussed in Section 2.7 of the report (Volume 1). To some extent, ratings derived from documentary reviews are in themselves ratings of the presence or absence of expected documents and their contents. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants. Limitations of the sample survey identified included:</p> <ul style="list-style-type: none"> <li>A. MOPAN aims to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate among other respondent groups (i.e., donors in-country, implementing partners, representatives of governments and civil society organisations, and other members of the GAVI Alliance). The number of respondents targeted in each category (i.e., the total population) and the actual response rates are presented in Figure 2.3 below. It is important to note that both the target and actual number of respondents in each category are small, reflecting the nature of the organisation and the way it works in each country. Response rates of all categories of respondents, except donors in-country, exceeded the 50 per cent target rate. The small numbers in the sample and the poor response rate of donors in-country are both discussed in the subsequent section on limitations. While there are wide variations in the response rates by category and location of respondents, GAVI survey results reflect the views of 102 respondents.</li> <li>B. The countries are generally selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations. (While additional countries were added for the GAVI assessment, the number still represents a small proportion of its work.)</li> <li>C. The Common Approach indicators were designed for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, there have been some modifications made in the data collection method and there will be a need for greater nuance in the analysis of the data.</li> <li>D. GAVI works with a small number of implementing partners, government, and civil society groups in each country. As a result, the target populations and the resulting samples are small and caution should be used in interpreting survey</li> </ul>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>results.</p> <p>E. In the GAVI assessment, the relatively small number of responses of MOPAN donors in-country (in contrast to the larger response of other respondent groups) underscores the need for caution in interpreting scores on charts involving the MOPAN donors in-country category.</p> <p>F. The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.</p> <p>G. The document review component works within the confines of an organisation’s disclosure policy. In some cases, low document review ratings may be due to</p> <p>H. unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.</p> <p><b>Conclusion: Meets standard</b></p>
<p><b>5. Explanation of the Methodology Used</b></p>	<p><b>Standard assessed against:</b> <i>The report describes and explains the methodology and its application. The report acknowledges any constraints encountered and how these have affected the assessment, including the independence and impartiality of the assessment. It details the techniques used for data collection and analysis. The choices are justified and limitations and shortcomings are explained.</i></p> <p><b>Evidence:</b> The methodology explained in detail in Annex 1 of Volume 2, where choices are justified and limitations and shortcomings are explained. Generic strengths and weaknesses of the approach are described both in Volumes 1 (Section 2.7) and Volume 2 (Annex 1, Section 8).</p> <p><b>Conclusion: Meets standard</b></p>
<p><b>6. Clarity of Analysis</b></p>	<p><b>Standard assessed against:</b> <i>The report presents findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. Recommendations and any lessons follow logically from the conclusions. Any assumptions underlying the analysis are made explicit.</i></p> <p><b>Evidence:</b> While the logic of the linkage between evidence and findings and conclusions is clear, in practice the clear line of evidence cannot always be easily seen. Difficulties lie in three places. First, for the surveys, weighted ratings are developed, because of the differing response rates from different stakeholder groups etc. It is difficult to check easily the degree to which the weighting of responses leads to a significant difference in the rating compared with the raw scores.</p> <p><b>Conclusion: Mostly meets the standard, but note that instances of a lack of clarity at key stages in the analysis</b></p>
<p><b>7. Acknowledgement of Changes and Limitations</b></p>	<p><b>Standard assessed against:</b> <i>The report explains any limitations in process, methodology or data, and discusses validity and reliability. It indicates any obstruction of a free and open process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products are explained.</i></p> <p><b>Evidence:</b> In cases for the documentary review where there was insufficient data to</p>



Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>provide a rating, this has been clearly stated in discussion of the relevant KPI. The report also flags instances where the number of don't know responses was particularly significant (see discussion under KPI 14 for instance). There was no discussion of whether there was any obstruction to a free and open process which may have influenced the findings, although review of the background documentation suggests that this was not an issue. The report includes no discussion of whether implementation issues had any effect upon the assessment or what was produced.</p> <p><b>Conclusion: Mostly met but instances where not met may simply reflect fact that not required of the authors.</b></p>
<p><b>8. Acknowledgement of Disagreements within the Team</b></p>	<p><b>Standard assessed against:</b> <i>Team members have the opportunity to dissociate themselves from particular judgements and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.</i></p> <p><b>Evidence:</b> Those drafting the report were not explicitly asked to record this, if it happened.</p> <p><b>Conclusion: Not met, but may reflect fact that not required of authors.</b></p>
<p><b>9. Incorporation of Stakeholders' Comments</b></p>	<p><b>Standard assessed against:</b> <i>Relevant stakeholders are given the opportunity to comment on the draft report. The final evaluation report reflects these comments and acknowledges any substantive disagreements. In disputes about facts that can be verified, the evaluators investigate and change the draft where necessary. In the case of opinion or interpretation, stakeholders' comments are reproduced verbatim, in an annex or footnote, to the extent that this does not conflict with the rights and welfare of participants.</i></p> <p><b>Evidence:</b> GAVI was given opportunities to comment both on the methodology/questionnaire and the draft report (twice). While factual errors were corrected and in some cases ratings adjusted through provision of further material. Review of the exchange on the draft assessment document would suggest that the draft was slightly amended in these and other areas, but GAVI's continued unhappiness with some ratings was not included in the report.</p> <p><b>Conclusion: Not fully met.</b></p>

#### 4.7 Sources of evidence used in the GAVI assessment

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
<b>Development Effectiveness</b>							
<b>Organizational Effectiveness - Strategic management dimension</b>							
<b>KPI 1 The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results</b>							
MI 1.1 The MO has a value system that supports a results-orientation and a focus on direct partners	✓	✓	✓	✓	✓	✓	
MI 1.2 The MO's Executive Management shows leadership on results management	✓	✓				✓	
MI 1.3 Key MO documents are available to the public		✓	✓	✓	✓	✓	✓
<b>KPI 2 The MO's corporate strategies and plans are focused on the achievement of results</b>							
MI 2.1 The MO is appropriately positioned within the international aid architecture	✓	✓	✓	✓	✓	✓	✓
MI 2.2 The MO's organisation-wide strategy is based on a clear definition of mandate / comparative advantage	✓	✓				✓	✓
MI 2.3 The MO's overall institutional architecture is suited to the mandate and delivery of results	✓	✓				✓	
MI 2.4 The MO has an organisation-wide policy on results management	✓	✓				✓	✓
MI 2.5 Organisation-wide plans and strategies contain frameworks of expected management and development results	✓	✓				✓	✓
MI 2.6 Results frameworks have causal links from outputs through to impacts / final outcomes	✓	✓				✓	✓
MI 2.7 Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and outcome level	✓	✓				✓	✓
<b>KPI 3 The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments</b>							
3.1 Gender equality	✓	✓	✓	✓	✓	✓	✓
3.2 Capacity Development	✓	✓	✓	✓	✓	✓	✓

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
3.3 South-South Cooperation	✓	✓	✓	✓	✓	✓	✓
3.4 Human Rights-Based Approaches	✓	✓	✓	✓	✓	✓	✓
<b><i>KPI 4 The MO's support to country programmes is results-focused</i></b>							
MI 4.1 Results frameworks link results at appropriate levels (i.e., district and national levels)	✓	✓	✓	✓	✓	✓	
MI 4.2 Results frameworks include relevant indicators at appropriate levels (i.e., district and national levels)			✓	✓	✓		✓
MI 4.3 Statements of expected results appear in the approved proposals and are consistent with those in multiyear plans for immunisation (MYP) and/or with those in national strategies			✓	✓	✓		✓
MI 4.4 Statements of expected results are developed through consultation with direct partners and beneficiaries			✓	✓	✓		
MI 4.5 Results for cross-cutting thematic priorities are included in results frameworks - gender equality, environment (as appropriate).			✓	✓	✓	✓	✓
<b>Organizational Effectiveness - Operational management dimension</b>							
<b><i>KPI 5 The MO makes transparent and predictable decisions about its financial and other support</i></b>							
MI 5.1 The MO publishes its criteria for approving applications for support			✓	✓	✓	✓	✓
MI 5.2 Approvals for support are granted in conformance with stated selection criteria			✓	✓		✓	✓
MI 5.3 MO makes decisions on grants based on independent review			✓	✓		✓	✓
MI 5.4 Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)			✓	✓	✓		✓
<b><i>KPI 6 The MO's financial and other support is linked to performance</i></b>							
MI 6.1 Budget allocations are linked to expected development results						✓	✓
MI 6.2 Disbursements are linked to reported results (variances explained)						✓	✓

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
<b>KPI 7 The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)</b>							
MI 7.1 External audits (meeting recognised international standards) are performed across the organisation.						✓	✓
MI 7.2 External audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	✓	✓	✓	✓		✓	✓
MI 7.3 Guidelines are in place for immediate measures against irregularities identified at the country (or other) level	✓		✓	✓		✓	✓
MI 7.4 Systems are in place for external audits (meeting recognised international standards) on sub-contracted entities	✓		✓			✓	✓
MI 7.5 Internal financial audit processes are used to provide management / governing bodies with credible information	✓	✓				✓	✓
MI 7.6 The MO has a policy on anti-corruption							✓
MI 7.7 The MO's procurement and contract management processes for the provision of services or goods are timely, efficient and effective	✓	✓	✓	✓		✓	✓
MI 7.8 The MO has strategies in place for risk management (identification, mitigation, monitoring and reporting)	✓	✓	✓	✓		✓	✓
MI 7.9 The MO ensures sufficient level of risk assessment on applicants and implementers	✓	✓	✓	✓		✓	✓
<b>KPI 8 Performance information on results is used by the MO</b>							
MI 8.1 Revising and adjusting policies						✓	✓
MI 8.2 Planning new interventions						✓	✓
MI 8.3 Proactive management of poorly performing programmes, projects, and/or initiatives	✓	✓	✓	✓	✓	✓	✓
MI 8.4 Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units						✓	✓
MI 8.5 The MO's resources allocated to countries and projects reflect performance	✓	✓	✓	✓		✓	✓

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
<b>KPI 9 The MO manages human resources using methods to improve organisational performance</b>							
MI 9.1 Results focused performance agreement systems are in place for senior staff		✓				✓	
MI 9.2 There is a transparent incentive and reward system for staff performance		✓				✓	✓
<b>KPI 10 Country programming processes are performance oriented</b>							
MI 10.1 Applications considered for support are subject to benefits and risk analyses (environmental, economic, social, etc)			✓			✓	✓
MI 10.2 Milestones/targets for monitoring and reporting of progress are included in applications for MO support			✓	✓	✓	✓	✓
<b>Organizational Effectiveness - Relationship management dimension</b>							
<b>KPI 11 Applications approved by the MO support national/regional plans and partner plans</b>							
MI 11.1 Extent to which MO supported funding proposals have been fully designed and developed with partners (national governments, NGOs, etc), rather than conceptualised or initiated by the MO itself			✓	✓	✓	✓	
MI 11.2 MO's conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results			✓	✓	✓	✓	✓
MI 11.3 The MO provides support in a way that does not distort or skew national priorities			✓	✓	✓	✓	
<b>KPI 12 The MO's procedures take into account local conditions and capacities</b>							
MI 12.1 The procedures of the MO can be easily understood and completed by national governments and other applicants			✓	✓	✓		
MI 12.2 The length of time for completing MO procedures does not have a negative effect on implementation			✓	✓	✓		
MI 12.3 The MO has operational flexibility to approve requests by partners to adjust implementation in response to major unforeseen changes in circumstances			✓	✓	✓	✓	
<b>KPI 13 The MO uses country systems for disbursement and operations</b>							

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
MI 13.1 % of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans							
MI 13.2 The MO's overall ODA disbursements / support using national systems and procedures			✓	✓	✓	✓	✓
MI 13.3 The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)			✓	✓	✓	✓	
<b>KPI 14 The MO adds value to policy dialogue with its direct partners</b>							
MI 14.1 The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs			✓	✓	✓	✓	
MI 14.2 The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives			✓	✓	✓	✓	
<b>KPI 15 The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate</b>							
MI 15.1 The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)			✓	✓	✓		✓
MI 15.2 Extent to which technical cooperation financed by the MO is coordinated with other donors			✓	✓	✓		
MI 15.3 % of the MO's cash grants/ support that is for government-led PBAs (SWAps, basket funding, etc)			✓	✓	✓		✓
<b>Organizational Effectiveness - Knowledge management dimension</b>							
<b>KPI 16 The MO consistently monitors and evaluates its delivery and external results</b>							
MI 16.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board							✓
MI 16.2 The evaluation function provides sufficient coverage of the MO's programming activity (completed grants)							✓
MI 16.3 The MO ensures quality of its evaluations							✓
MI 16.4 Evaluation findings are used to inform decisions on programming, policy, and strategy.	✓	✓				✓	

KPI/MI	Survey						Doc Review
	Other GAP	IP-GAP	IP-Country	GOV/CSO	In-country donor	HQ based donor	
MI 16.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	✓	✓	✓	✓	✓	✓	✓
<b><i>KPI 17 The MO presents performance information on its effectiveness</i></b>							
MI 17.1 Reports on the achievement of outcomes, not just inputs, activities and outputs	✓	✓				✓	✓
MI 17.2 Reports performance using data obtained from measuring indicators							✓
MI 17.3 Reports against its Corporate Strategy, including expected management and development results						✓	✓
MI 17.4 Reports against its Paris Declaration commitments using indicators and country targets							✓
MI 17.5 Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information							✓
MI 17.6 Reports on country (or other) level programming adjustments made or recommended based on performance information							✓
<b><i>KPI 18 The MO encourages identification, documentation and dissemination of lessons learned and/or best practices</i></b>							
MI 18.1 Reports on lessons learned based on performance information						✓	✓
MI 18.2 Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	✓	✓	✓	✓	✓	✓	

## 5. Case Study of UNDP

### 5.1 Introduction

This case study focuses on the experience of MOPAN assessments of UNDP in 2009 and 2012. As such, it is intended to feed into the overall evaluation of MOPAN, and is not designed as a single self-standing piece of work. As such, only major findings and conclusions are set out in Section 3, while the supporting evidence can be found in Section 4 and Annex ?? (which deals with the quality of the report and the under-lying methodology). To a significant extent, attention has focused on the 2012 assessment, reflecting the fact that the methodology has evolved significantly over time and therefore the lessons and experience are considered more relevant for the future.

### 5.2 Evolution of the MOPAN assessment

In 2009 MOPAN introduced the “Common Approach” broadening and extending the methodology. The Common Approach continues to collect data through a survey but additionally includes a **review of the documents** published by the multilateral organisations under review. The Common Approach also **extends the survey to direct partners** with all respondents being required to demonstrate experience and expertise related to the multilateral organisations being assessed (i.e. “expert sampling”). These developments bring about a better balance of factual and perception-based findings.

In 2009, four multilateral organisations, including UNDP, in nine developing countries were assessed. In 2010, four multilateral organisations were reviewed in ten developing countries. Five multilateral organisations in twelve developing countries were assessed in 2011 and MOPAN adapted the methodology to match the specific circumstances of **humanitarian organisations** (UNHCR). In 2012, MOPAN again adapted the methodology to examine the GAVI Alliance, the first time that a **Global Fund** type organisation has been assessed.

Before 2012, the Common Approach has not examined development effectiveness or the achievement of development results but rather focused on assessing whether the multilateral organisations had in place the necessary behaviours, systems and processes to help achieve those results. In 2012, MOPAN piloted an expanded methodological framework with four organisations, including UNDP, which provided an **assessment of organisational effectiveness as well as the results achieved** by multilateral organisations<sup>30</sup>. The assessment of results focused on the degree to which progress is being made towards the organisation’s stated objectives and analysed the

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<sup>30</sup> The term “results” will be used in accordance with OECD/DAC’s definition: “Results are the output, outcome, or impact (intended or unintended, positive and negative) of a development intervention.”



relevance of its programming. It was piloted with AfDB, UNDP, UNICEF and the World Bank, all previously assessed in 2009.

A key assumption in the new Common Approach assessment is that organisational effectiveness has an influence on an organisation's ability to achieve results. Feedback on the achievement of expected results can in turn provide insights for further improvements in organisational practices. By adding a component that analyses results, MOPAN members can use the existing dialogue process with the multilateral organisations to understand the way that organisational practices are facilitating or hindering the organisations' results on the ground. A second assumption is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for the discussions between donors and multilateral organisations on reporting.

### **5.3 Major Findings and Conclusions**

#### *Use and usefulness of the MOPAN assessments*

- For UNDP, it is unclear to what extent member states have reflected elements of the assessment within the ambit of their participation at the Executive Board and other intergovernmental fora.
- UNDP cite the example of DFID in terms of use. DFID'S comments on MOPAN are provided in the DFID annex document "Assessing and Using Evidence". This annex is intended to be used as a guide to different sources of evidence and on assessing the quality of that evidence. Additionally, it is intended as a guide on how evidence should be used to support the assessment of Multilateral Organisations in the MAR 2013 Update. It finds that:
  - MOPAN is largely a document review, and so is slightly more reliable than survey responses.
  - MOPAN'S Document Review doesn't extend to checking whether policies etc. are being implemented or whether they are leading to change.
  - MOPAN reporting does appear to have legitimacy within MOs.

DFID also states that "it will continue to work with other donors, in particular through the Multilateral Organisation Performance Assessment Network (MOPAN), to improve the process and quality of assessment. It continues by stating, "The main vehicle for collaborating with other bilaterals in this area is MOPAN, a network of seventeen bilateral donors with a common interest in assessing multilateral effectiveness. MOPAN has been strengthened over the last year, and now has a permanent secretariat hosted by the OECD. DFID has worked with others to develop a new vision for the network which places it at the

centre of multilateral effectiveness assessment. An evaluation has been commissioned. The Secretariat is also working to establish a data bank which holds in one place all available data evidence on multilateral performance, and which can be easily accessed by donors to use as the basis for their own assessments. This will reduce the burden on multilateral agencies who are often asked to provide the same information (for example, on their core costs) multiple times by different donors. Strengthening MOPAN's relevance and effectiveness is a key priority for DFID. DFID brought the MOPAN donors and others together in London for a senior level meeting on multilateral effectiveness, which has since been replicated in Stockholm and Berlin. This meeting has proved a useful forum for sharing information and agreeing common positions on, for example, how to strengthen reporting from multilateral organisations on costs and results." (Source: Written evidence to the MAR inquiry).

- For UNDP, it was useful to have received the findings before the elaboration of the next Strategic Plan (2014-2017). In certain cases, it fed into annual consultations with some donors and into other meetings at the strategic level, for example, at the Belgian consultation and in interactions with Canada. MOPAN findings have further substantiated UNDP's reform agenda, particularly in areas such as strengthening corporate planning, reporting systems and Human Resources management and hence influenced the formulation of the Institutional Results Resource Framework (IRRF) supporting UNDP's new Strategic Plan (2014-2017).

#### *Replacing or complementing other assessments of multilateral organisations' performance*

- When asked if they think that the MOPAN approach has reduced the number of bilateral assessments of your organisation, they responded no. *UNDP underlined that there is still a scope for further harmonizing bilateral assessments, as UNDP had undertaken 12 such assessments over the last year.* There was found to be an overlap among some of the assessments at the corporate level, and there is also overlap in country focus -- e.g. Zimbabwe, DRC, which were the focus of both the MOPAN and MAR in 2012, thus increasing the burden on those country offices. UNDP has welcomed CIDA's meta evaluation of UNDP, which had built on the body of evaluative evidence that was already available via the Evaluation Office.
- UNDP recognizes there may be a need for external assessments by donors that meet their political imperatives. However, have MOPAN members considered significantly reducing transaction costs by exercising greater influence on the Evaluation Office's Work Plan, in order to ensure that those EO-led evaluations cover MOPAN's own areas of interest, inquiry and consideration? Some board members participating in MOPAN have undertaken the assessment of their contribution using the evaluative evidence provided by the UNDP

Evaluation Office (See Canada's Development Effectiveness Review of the United Nations Development Programme (2012) and Norway's Democracy support through the United Nations).

#### *Quality of the MOPAN assessment reports*

- If assessed against the DAC Evaluation Standards the report does present the evidence in a transparent way. However, UNDP have reservations over how this evidence is presented.

#### *Reliability in the MOPAN methodology*

- UNDP related lessons
  - *Extensive comments provided on both indicators and specific criteria (29 pgs)*
  - *Comments on methodology*
    - *Different ratings confusing and render comparison difficult (e.g. 3.50 from survey vs. 3 from doc review)*
    - *Colour legend biased towards poor ratings; suggest nuancing the lower ratings (e.g. red, orange, yellow, light green, dark green, blue)*
    - *Critical of the standards, criteria and evidence weighting used in the pilot results component; requested results chapter be moved to Vol. 2.*
  - *Areas of some disagreement with the ratings*
    - *Quality of organisation-wide results frameworks (MIs 2.3, 2.4 and 2.5)*
    - *Mainstreaming of human rights-based approaches (MI 3.4)*
    - *Budget allocations linked to expected development results (MI 6.1)*
    - *Use of country financial systems (MI 14.2)*
    - *Performance reporting (KPI 18)*

#### *Improving the effectiveness of MOPAN*

- MOPAN's effectiveness could be improved if, on the basis of a robust methodology, its members would consistently use its findings to drive dialogue and support vis-à-vis the MO.
  1. UNDP suggests that MOPAN review results of other bilateral assessments to reduce duplication between MOPAN and other assessments;
  2. Have MOPAN members consider using a meta-analysis methodology that utilises existing bodies of evidence;

3. It is suggested that MOPAN ensures a systematic analysis across existing evaluations of the MO's work to identify systemic challenges, constraints, dis/incentives across the various MOs.
4. Significant methodological problems were faced with the pilot section. UNDP proposes that MOPAN should use agreed standards rather than inventing them for purposes of an assessment when they may not be consistent with the standards the MO uses based on its Executive Board's decisions

#### 5.4 Completed matrix of evidence, findings and conclusions

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>A. MOPAN Assessments produce the kind of information that is required by the MOPAN members.</p>	<p>1. Do MOPAN Assessments, where available, provide the right evidence for setting a MOPAN member’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><b>Source: Email (30/11/12) from MOPAN Institutional Lead and Co-Leads to MOPAN membership on presentation of 2012 assessment</b></p> <p><i>Norway, Sweden and Switzerland, in their capacities as Institutional Lead and Co-Leads, invited the UNDP Management and permanent representatives of the MOPAN Member States as well as the Common Approach countries to the UN to the presentation of key findings in the 2012 MOPAN assessment of UNDP on Monday 19 Nov. 2012. The briefing was hosted by the Permanent Mission of Norway. Representatives of 13 MOPAN Members participated, as well as one CA Country (Zimbabwe).</i></p> <p><i>The MOPAN Members generally expressed appreciation for the assessment report, which was seen to provide much valuable information enabling Member States to improve their follow-up of UNDP. Many Members congratulated UNDP with strong results and a positive development. The pilot component was welcomed, and MOPAN was encouraged to further improve it.</i></p> <p><i>As a follow-up of the assessment, it was proposed that its findings need to be disseminated to a broader constituency. It was underlined that the findings must inform the discussions on the next strategic plan and the integrated budget 2014-2015. It was suggested that the findings be presented in an informal meeting at the next session of the Executive Board in January 2013. It was further recommended that MOPAN members and UNDP meet at a later stage to review how UNDP has addressed the findings. Finally, it was a general perception in the meeting that the positive development since 2009 need to be more explicitly highlighted in the report’s summary, and MOPAN was encouraged to amend the summary accordingly.</i></p> <p>For UNDP, it is unclear to what extent member states have reflected elements of the assessment within the ambit of their participation at the Executive Board and other intergovernmental fora.</p>	
	<p>2. How is evidence from MOPAN assessments used by your organisation when setting your county’s agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p> <p><i>For UNDP, it is unclear to what extent member states have reflected elements of the assessment within the ambit of their participation at the Executive Board and other intergovernmental fora.</i></p>	

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	<p>3. How important is MOPAN to you in relation to other sources of information on the multilateral organisation's performance?</p> <p><i>DFID'S comments on MOPAN are provided in the DFID annex document "Assessing and Using Evidence". This annex is intended to be used as a guide to different sources of evidence and on assessing the quality of that evidence. Additionally, it is intended as a guide on how evidence should be used to support the assessment of Multilateral Organisations in the MAR 2013 Update. It finds that:</i></p> <ul style="list-style-type: none"> <li>• <i>MOPAN is largely a document review, and so is slightly more reliable than survey responses.</i></li> <li>• <i>MOPAN's Document Review doesn't extend to checking whether policies etc. are being implemented or whether they are leading to change.</i></li> <li>• <i>MOPAN reporting does appear to have legitimacy within MOs.</i></li> </ul> <p><i>DFID also states that "it will continue to work with other donors, in particular through the Multilateral Organisation Performance Assessment Network (MOPAN), to improve the process and quality of assessment.</i></p> <p><i>It continues by stating, "The main vehicle for collaborating with other bilaterals in this area is MOPAN, a network of seventeen bilateral donors with a common interest in assessing multilateral effectiveness. MOPAN has been strengthened over the last year, and now has a permanent secretariat hosted by the OECD. DFID has worked with others to develop a new vision for the network which places it at the centre of multilateral effectiveness assessment. An evaluation has been commissioned. The Secretariat is also working to establish a data bank which holds in one place all available data evidence on multilateral performance, and which can be easily accessed by donors to use as the basis for their own assessments. This will reduce the burden on multilateral agencies who are often asked to provide the same information (for example, on their core costs) multiple times by different donors. Strengthening MOPAN's relevance and effectiveness is a key priority for DFID. DFID brought the MOPAN donors and others together in London for a senior level meeting on multilateral effectiveness, which has since been replicated in Stockholm and Berlin. This meeting has proved a useful forum for sharing information and agreeing common positions on, for example, how to strengthen reporting from multilateral organisations on costs and results." (Source: Written evidence to the MAR inquiry).</i></p>	
	<p>4. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?</p> <p><u>Response: No</u></p> <p><i>UNDP's reporting requirements are <u>mandated</u> by the EB, which is representative of all member states, and where all MOPAN members are represented. UNDP notes that it does provide independent evidence through the evaluations carried out by the Evaluation Office that are presented to the Executive Board, including to MOPAN members.</i></p> <p><i>UNDP's annual reports triangulate at least four evidence sources: self-reporting, country outcome indicators, partner surveys, and evaluation</i></p>	

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	<p><i>(independent and decentralized). For UNDP, this is objective and credible -- particularly once it is reporting against a stronger results framework in the next Strategic Plan.</i></p> <p><i>UNDP recognizes there may be a need for external assessments by donors that meet their political imperatives. However, have MOPAN members considered significantly reducing transaction costs by exercising greater influence on the Evaluation Office's Work Plan, in order to ensure that those EO-led evaluations cover MOPAN's own areas of interest, inquiry and consideration?</i></p> <p><i>Some board members participating in MOPAN have undertaken the assessment of their contribution using the evaluative evidence provided by the UNDP Evaluation Office (See Canada's Development Effectiveness Review of the United Nations Development Programme (2012) and Norway's Democracy support through the United Nations).</i></p>	
<p>B. There is a demand at country level for evidence presented in the common assessments</p>	<p>5. Overall, is there a demand at country level for the type of evidence presented in the common assessments? (Relevant for AfDB, UNDP and UNHCR assessments only)</p> <p><i>Response: only occasionally</i></p> <p><b>Source: Email (30/11/12) from MOPAN Institutional Lead and Co-Leads to MOPAN membership on presentation of 2012 assessment</b></p> <p><i>Finally, UNDP stressed the importance of an adequate follow-up process of the MOPAN reports at country level.</i></p>	
<p>C. The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible.</p>	<p>6. Do you think the MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible?</p> <p><i>UNDP proposes that rather than comparing across MOs, which may pose methodological challenges given MOs differing mandates (normative, humanitarian, development, etc.) -- it would be more useful if MOPAN could instead address the systemic challenges faced by MOs across the system. In other words, it could compare findings to include key issues for the multilateral system as a whole, including wider issues of coherence, institutional constraints, gaps and overlaps in roles of MOs.</i></p> <p><i>Whereas some level of comparability across MOs may be plausible in terms of organizational effectiveness, it is important to recognize that MOPAN definition of standards and comparators across MOs need to be adequately tailored to the MOs' distinct mandates and business models.</i></p> <p><i>It should also be noted that MOs do not exist in a vacuum – should MOPAN compare performance between MOs, it should scrutinize and compare how MOs are funded and supported by partners/donors, in order to get a full picture of what drives or constrains organizational performance. If</i></p>	

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	<p><i>MOPAN members/donors fund one organization/MO predictably (through multi-year agreements, and/or generously), and not another – these MOs cannot be compared as if they were alike. Therefore, <b>donor behavior</b> needs to be factored into such a comparison. UNDP opines that this issue needs to be given due consideration by MOPAN members.</i></p>	
<p>D. There is clear evidence that challenges and opportunities to improve organisational effectiveness identified in MOPAN assessments have been reflected in multilateral organisations' subsequent reform strategies.</p>	<p>7. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?</p> <p><u>Response: Yes</u></p> <p><i>Yes. MOPAN findings have further substantiated UNDP's reform agenda, particularly in areas such as strengthening corporate planning, reporting systems and Human Resources management.</i></p>	
	<p>8. Was the timing of the MOPAN assessment cycle conducive to the actual use of the reports?</p> <p><u>Response: Yes</u></p> <p><i>Yes. It was useful to have received the findings before the elaboration of the next Strategic Plan (2014-2017).</i></p>	
	<p>9. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?</p> <p><u>Response: Yes</u></p> <p><i>In certain cases, it fed into annual consultations with some donors and into other meetings at the strategic level, for example, at the Belgian consultation and in interactions with Canada.</i></p>	
<p>E. Multilateral organisations use the MOPAN reports to improve their performance</p>	<p>10. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?</p> <p><u>Response: No</u></p> <p><i>No. The list of bilateral assessments that UNDP has been subjected to over the past years has been provided to the consultant. There was found to be an overlap among some of the assessments at the corporate level, and there is also overlap in country focus -- e.g. Zimbabwe, DRC, which were the focus of both the MOPAN and MAR in 2012, thus increasing the burden on those country offices.</i></p>	



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	<p><i>UNDP has welcomed CIDA's meta evaluation of UNDP, which had built on the body of evaluative evidence that was already available via the Evaluation Office.</i></p> <p><b>Source: Email (30/11/12) from MOPAN Institutional Lead and Co-Leads to MOPAN membership on presentation of 2012 assessment</b>  <i>Generally, UNDP had experienced the 2012 assessment as an improved process compared to 2009, although very demanding and requiring much work. UNDP underlined that there is still a scope for further harmonizing bilateral assessments, as UNDP had undertaken 12 such assessments over the last year. UNDP stated that the MOPAN methodology may still improve, and that they would be pleased to participate in doing this. UNDP was especially concerned with the need to improve this year's pilot component. UNDP looked forward to participate in the evaluation of MOPAN next year.</i></p> <p><b>Source: UNDP management response to the draft 2012 Assessment</b>            We recognize however that there is still room for improvement, particularly in managing for results, tackling bureaucracy and addressing administrative inefficiencies. As noted in the report, these issues continue to be a priority for UNDP and are being actively addressed in the Agenda for Organizational Change reform process, and the development of UNDP's new Strategic Plan (2014-2017).</p>	
	<p>11. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation's effectiveness?</p> <p><i>Response: To a significant degree</i></p> <p><i>While UNDP is not in full agreement with the entire MOPAN methodology, in particular, the pilot component, in some cases, the larger findings of MOPAN have corroborated/confirmed UNDP's own findings/assessments.</i></p>	
	<p>12. How did your organisation respond to the common assessment?</p> <ul style="list-style-type: none"> <li>• Reports tabled at the Executive Board or Governing Council</li> <li>• Communicated to staff</li> <li>• Management makes formal response</li> <li>• Reports made back to governing body on management response (Yes/No)</li> </ul> <p><i>Response: Yes</i></p> <p><i>Since the MOPAN report is not a Board document that is requested by the member states, it cannot be tabled as such. The following meetings</i></p>	

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	<p><i>related to MOPAN were held:</i></p> <ul style="list-style-type: none"> <li>• UNDP met with all engaged member states (MOPAN members and countries involved in the assessment) in briefing meetings held at the Norwegian Mission (UNDP's lead donor for MOPAN);</li> <li>• UNDP presented the results of the 2012 exercise along with the lead donor during an informal session during the January 2013 EB;</li> <li>• UNDP developed a formal management response to MOPAN;</li> <li>• MOPAN's findings were communicated to all UNDP staff members through the Regional and Central Bureaux in UNDP.</li> </ul> <p>13. Has the assessment of your organisation been used for any of the following purposes?</p> <ul style="list-style-type: none"> <li>• Refinement of your organisation or reform strategy</li> <li>• Learning within your organisation</li> <li>• Reforms to operations and management</li> <li>• Improving performance management</li> </ul> <p><i>Response: Yes</i></p> <p>Yes. The findings of MOPAN have influenced the formulation of the Institutional Results Resource Framework (IRRF) supporting UNDP's new Strategic Plan (2014-2017) that was provided separately to the consultant.</p> <p>14. Were the demands on time of your staff for the MOPAN assessment proportionate?</p> <p><i>Response: Don't know</i></p> <p><i>Unclear. UNDP has made a significant investment of staff time towards the MOPAN assessment. However, the proportionality of UNDP's staff investment will ultimately be related to how useful the MOPAN members find MOPAN's findings on UNDP to be – one measure of which may be the reduction of bilateral assessments.</i></p> <ul style="list-style-type: none"> <li>- <i>On average, UNDP allocated 1.5 staff exclusively at HQ-level for dealing with the MOPAN questionnaire, who worked on average, 4 hours/day for approximately 4 months (over a period of 12 months)</i></li> <li>- <i>In addition, depending on queries and follow-up requests, senior management and technical staff -- about 15 in total, would have spent on average, 20 hours each on MOPAN.</i></li> <li>- <i>At the country office levels, on average, teams of 1-2 staff were allocated exclusively for MOPAN, who spent on average 4 hours/day for approximately 4 months (over a period of 12 months).</i></li> </ul>	

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<p>F. The MOPAN Common Approach has reduced the growth in bilateral assessment systems.</p>	<p>15. If MOPAN didn't exist, would you advocate that something similar be established?</p> <p><i>Response: Yes</i></p> <p><i>Yes, if MOPAN would become the one chosen instrument for all MOPAN members, and if it reduced/eliminated the number of parallel bilateral assessments by MOPAN members, and the overlap among them.</i></p> <hr/> <p>16. Has the MOPAN Common Assessment contributed within your organisation to reducing the need for your own assessments of multilateral performance?</p> <p><i>Response: No</i></p> <p><i>UNDP cannot answer this question -- since it is a question to MOPAN members to gauge whether they actually use MOPAN or design their own assessments without any regard to MOPAN.</i></p> <hr/> <p>17. How does the credibility of MOPAN assessments of an organisation's effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA).</p> <p><i>Whereas the credibility of MOPAN's assessment is high, there are wider issues of quality and adaptability of the methodology to UNDP. Not all criteria employed by MOPAN were found to be applicable to UNDP.</i></p>	
<p>G. Opportunities to link MOPAN with other efforts to assess multilateral performance and thereby avoid overlap are identified and used.</p>	<p>18. Should the Evalnet's New Approach, which combines meta-analysis of evaluations with review of documents on results and evaluation, be merged into MOPAN? (Only relevant for the AfDB and UNDP cases studies)</p> <p>No opinion.</p>	
<p>H. Donors can predictably define future evidence needs.</p>	<p>19. Does the results component of the common assessment provide relevant information?</p> <p>In its last feedback, UNDP stated that <i>'The new development results component pilot is welcomed as a way to focus on results achieved</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>as well as organizational effectiveness. Given the points raised earlier we recommend that further work and refinement is done to improve the methodology before it is included as an additional component of the main report. We therefore recommend that this component be placed in an annex, and that the methodology be further reviewed and tested before inclusion in the next assessment’.</i></p> <p>20. Is the results component information considered to be more or less relevant than the information about the organisational effectiveness?</p> <p>Question not asked.</p>	
<p>I. The assessments presented in MOPAN reports present credible assessments based on the transparent presentation of evidence.</p>	<p>21. Do you think that the quality/credibility of MOPAN assessments is high?</p> <p><b>UNDP opinion</b></p> <p><u>Response: No</u></p> <p><i>UNDP has provided the consultant with detailed feedback that UNDP gave to MOPAN as the draft reports were prepared/shared. Whereas the credibility of MOPAN’s assessment is high, there are wider issues of quality and adaptability of the methodology to UNDP. Not all criteria employed by MOPAN were found to be applicable to UNDP.</i></p> <p><i>Additionally, UNDP would like to note that while MOPAN’s credibility stems from the number of, and influence exercised by, partners engaged in the process, the issue of quality is a wholly separate matter.</i></p> <p><i>Within MOPAN -- the way that different sources of data are dealt with, either interviews with stakeholders or document review -- is not clearly explained, nor are the rating and weighting systems.</i></p> <p><b>Source: Initial comments from UNDP on the assessment approach (18/02/12):</b></p> <p><u>Overall comments</u></p> <p><i>UNDP welcomes the findings of multilateral assessments since they offer a key mechanism for the organization to continue learning from and improving on its performance. As multilateral agencies, we continuously strive to maximize our effectiveness within the specific circumstances of our mandates and context. We have also strengthened our own Results Based Management structures and capacity over the years, as MOPAN has ascertained through its own assessments.</i></p> <p><i>UNDP works within the paradigm for delivering effective aid that was formalized with the Paris Declaration and further strengthened in Accra and Busan. We fully recognize, as the evaluation of this “compact” has shown, that more progress need to be made especially on mutual accountability and Managing for Development Results (MfDR). It is in this regard that we appreciate the opportunity to be able to comment on the</i></p>	

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	<p><i>proposed MOPAN questionnaire for 2012.</i></p> <p><i>However, we have a number of concerns, many of which we share with other UN agencies that are also being assessed in 2012, that we wish to present to you, primarily related to the overall purpose, approach, and methodology of the survey:</i></p> <ul style="list-style-type: none"> <li><i>• With respect to the purpose of the survey, we feel that the MOPAN exercise should to a larger extent reflect and respect the Paris Declaration commitments, made by all MOPAN donors, and thus aim to contribute to mutual accountability and MfDR. We therefore suggest reorienting the exercise so that it: i) increasingly reflects the mutual accountability principles, and ii) strengthens the harmonization of multilateral assessments made by various donors, especially MOPAN members.</i></li> <li><i>• With respect to the approach of the survey, we would welcome a dialogue on what aspects of mutual accountability, and ‘Good Donorship’ could best be reflected in this exercise. One such issue for example could be the use of earmarked funding, a serious concern for all multilateral agencies and one that significantly impacts effectiveness.</i></li> </ul> <p><u><i>Comments on Indicators</i></u></p> <ol style="list-style-type: none"> <li><i>1. The need for framing very precise questionnaires for the Direct Partners, among others, is important (ones that can be easily understood and used to evaluate UNDP on). It is noted that there is in some instances a lack of parity/disconnect between the Key Performance Indicators (KPI), Micro Indicators (MI) and the UNDP Questionnaire – in terms of the issue that is being examined, and the subsequent query that is being posed.</i> <ol style="list-style-type: none"> <li><i>a. It is proposed that all KPIs and MIs are reviewed to see if they are SMART (specific, measurable, achievable, relevant, time-bound).</i></li> <li><i>b. UNDP stands ready to work with MOPAN and its consultants in developing a stronger set of KPIs, MIs and questionnaire.</i></li> </ol> </li> <li><i>2. UNDP notes that several of the queries are very perception-based, as opposed to being results/evidence-based/SMART, and while we acknowledge that this is partly the intent of MOPAN to gather such perception-based responses for the purpose of the review, we propose that the methodology acknowledge the limitation of such an approach and that this can pose difficulties for the respondents to base their answers on facts, results, and/or evidence from the field.</i></li> <li><i>3. UNDP proposes that all questions be reviewed with a view to maximize document review (DR), and to reduce queries being asked of partners. Since all of the donors that are involved in MOPAN are part of UNDP’s Executive Board (EB), they have access to all UNDP documents that are made available to the EB, and these documents should function as the basis of information for all queries.</i> <ol style="list-style-type: none"> <li><i>a. UNDP stands ready to work with MOPAN to guide the MOPAN consultants in accessing the appropriate documents.</i></li> <li><i>b. We would appreciate learning more about how the DR process will be conducted.</i></li> </ol> </li> <li><i>4. UNDP would also like to clarify the responses/information being sought pertaining to the MIs that correspond to Paris Declaration</i></li> </ol>	

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	<p><i>indicators: would UNDP HQ be approached by the consultants in order to provide adequate responses?</i></p> <p>a. <i>For ease of reference, we are attaching the following report "<u>UNDP's Response to the 2011 Survey on Monitoring the Paris Declaration</u>". This report explains, among others, why some of the indicators do not apply to multilateral actors such as the UN.</i></p> <p><u>Comments on Methodology</u></p> <p>5. <i>Section 4.4 of the MOPAN methodology states, "For most micro-indicators, five criteria are established which, taken together, are considered to represent the best practice in that topic area. Each criterion is designed as a yes/no alternative and each "yes" answer counts as one point in the rating. Ratings are arrived at by totalling the number of criteria met"</i></p> <p>a. <i>The five criteria being referred to above do not appear to have been elaborated upon or explained – this would be useful information to have.</i></p> <p>b. <i>UNDP would like to clarify if the option of "not applicable / no comment" and/or "do not know" has been included in the questionnaire for questions that may not apply to the respondent's dealings with/understanding of UNDP; and to ensure that such (presumably, zero-score) responses are adequately weighed against the total score so as to avoid negatively affecting the overall scoring.</i></p> <p>c. <i>UNDP would also suggest a yes/no option for those questions for which the Likert scale used is not appropriate.</i></p> <p>6. <i>UNDP acknowledges and welcomes the fact that following its comments to MOPAN in 2009 (alongside those of other MOs), expressing concern over the use of a 5-point Likert scale for collating survey responses while using a 6-point scale to present survey results, MOPAN has revised its current methodology to use a 6-point scale throughout the survey process.</i></p> <p>a. <i>UNDP does however maintain its concern over the use of a 6-point scale (as opposed to a more traditional 5-point scale), with 1 being 'very weak' and 6 being 'very strong'. Likert-scales are known to be prone to central tendency bias (respondents avoid extremes by gravitating towards the neutral mid-point). In a 6-point scale, therefore, the mid-point (i.e. 3 on scale) is often understood by respondents as a neutral response (labeled in similar questionnaires as "Neither agree nor disagree"). It therefore appears grossly inaccurate to have the respondent's neutral mid-point score (i.e. 3, and up to 3.49) categorized as being "inadequate".</i></p> <p>b. <i>An additional query related to the 6-point scale is that since a few of the queries/MIs appear to be yes/no questions (eg: MIs 7.3, 11.2), how is the use of a 6-point scale envisioned?</i></p> <p><b>Source: Response by the Institutional Lead to comments from UNDP (24/02/12)</b></p> <p>Let me once again thank you for your constructive feedback on the MOPAN questionnaire and methodology. After having consulted with</p>	

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	<p>Universalia and the Co-Leads, I'm pleased to forward our proposal on how we may accommodate your specific concerns regarding the indicators and the questionnaire. You will find enclosed a word document containing our response to these concerns. We equally include the excel file (also in PDF) which highlights in yellow the changes that have been made in the indicators based on your input.</p> <p>Regarding your overall comments, we agree that it would be interesting to assess issues like mutual accountability and "good donorship". However, this goes beyond the scope and the purpose of this year's MOPAN assessment. We will encourage MOPAN to reflect on how these dimensions may be covered better by future assessments. Still, we may be able to accommodate some of your concerns already in the 2012 assessment: The issue of earmarked funding may be explicitly addressed by the document review under KPI 5. We may also consider introducing a new MI under KPI 14, along these lines: "The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)".</p> <p>As for your general comments on the indicators, we agree that we must make every effort to ensure that the questionnaire is very precise, and we welcome your commitment to contributing to this. Accordingly, we invite you to propose concrete, alternative language where you believe this will make the indicators and the questions more precise and relevant. However, we believe it would be outside the scope of a partly perception-based assessment to demand that all indicators be SMART. Although it may be objected that perception-based assessments have some limitations, we still think they provide important and relevant information on how UNDP's member states and key partners experience UNDP. We trust that this is of interest to UNDP as well.</p> <p>Regarding your methodological questions, we can inform you that a guide will soon be provided on how the document review will be undertaken (it is currently being finalized). With regard to your concerns on the 6-point survey scale, MOPAN has revised this year's survey so that the actual <u>words</u> (very strong, strong, adequate, etc), rather than the <u>numbers</u>, appear at the top of the survey scale. This should respond to your concern regarding confusion and/or bias on the mid-point. In addition, there will be a survey questionnaire option for "don't know", as you request. For the questions where 'Yes/No' seemed most appropriate (MI 7.2, 11.3), we have proposed a re-wording of these questions which you can review, and which better fits within a 6 point Likert scale. Furthermore, we highly appreciate that you have already shared with us the UNDP report on the implementation of the Paris Declaration, which clearly provides very useful information. The consultants would like to visit UNDP at an early stage to discuss these and related issues.</p> <p>We would like to propose a <b>conference call on Tuesday 28 Feb at 15 h CET/9 am NYT</b> to discuss these issues in further detail and review the more specific comments on the indicators (cf. the attachment).</p> <p>Finally, I would like to draw your attention to the <b>need to identify the five countries</b> (among the ten countries that will be assessed by MOPAN this year) where UNDP is likely to have the best data on results, cf. Section B of the pilot component in the questionnaire. We will need to move quite quickly in order to be able to launch the survey as planned. We would highly welcome your input, both from HQ and the COs concerned, on how we can best tailor the objectives that will be assessed in each of these countries as well as making available the relevant documents.</p>	

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	<p><b>Source: 01/03/12 Comments by UNDP on proposed questionnaire in support of the KPIs/MIs</b></p> <p><i>Original: UNDP sufficiently mainstreams gender equality in its work.</i>  <i>Proposed amendment: The word sufficiently is very subjective. Suggest this question be re-worded as: UNDP mainstreams gender equality in all relevant operational activities</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP sufficiently mainstreams capacity development in its work.</i>  <i>Proposed amendment: The word sufficiently is very subjective. Suggest this question be re-worded as: UNDP mainstreams capacity development in all relevant operational activities</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP sufficiently mainstreams South-South cooperation in its work.</i>  <i>Proposed amendment: The word sufficiently is very subjective. Suggest this question be re-worded as: UNDP mainstreams South-South cooperation in all relevant operational activities</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP sufficiently mainstreams South-South cooperation in its work.</i>  <i>Proposed amendment: The word sufficiently is very subjective. Suggest this question be re-worded as: UNDP mainstreams South-South cooperation in all relevant operational activities</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP makes readily available its criteria for allocating resources.</i>  <i>Proposed amendment: We would suggest adding an additional question in this category (in the spirit of mutual accountability): (ii) The criteria for allocating earmarked funding received from donors is made publicly available by UNDP</i>  <b>Accepted/Rejected/amended but not this suggestion</b></p> <p><i>Original: UNDP allocates resources according to the criteria mentioned above.</i>  <i>Proposed amendment: Suggest re-formulating this question in order to obtain a sharper perception-based response: "Are the allocation criteria adequate to ensure a fair and effective distribution of resources?"</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP links budget allocations to expected results.</i>  <i>Proposed amendment: We strongly recommend that this question also be asked at the CO-level, since results on the ground should be linked to budgets</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP external financial audits are meeting the needs of donors.</i></p>	



Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>Proposed amendment: Though we recognize this is a perception based query, we strongly recommend this to be rephrased as follows: UNDP external financial audits are meeting international standards and the requirements of donor governments</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP has an appropriate policy on anti-corruption.</i>  <i>Proposed amendment: Suggest re-wording the question to: "UNDP effectively enforces its policy on anti-corruption"</i>  <b>Accepted/Rejected</b></p> <p><i>Original: UNDP's procurement and contract management processes for the provision of services or goods are effective.</i>  <i>Proposed amendment: A Paris Declaration Indicator (#5b) exists on procurement -- for which data exists. It is suggested that this MI/question be aligned to that - suggested revision: "UNDP uses partner country procurement systems which either (a) adhere to broadly accepted good practices, or (b) have a reform programme in place to achieve these."</i>  <b>Accepted/Rejected</b></p> <p><b>Source: Request to MOPAN members on what should assess when checking quality of the draft report from MOPAN Secretariat (18/07/12)</b></p> <p><i>Kindly review draft reports to determine if:</i></p> <ul style="list-style-type: none"> <li><i>* Executive summary presents a good overview of the assessment</i></li> <li><i>* Interpretation of the micro-indicators are appropriate to the agency context</i></li> <li><i>* Key findings are clear</i></li> <li><i>* Key messages are presented with concision</i></li> <li><i>* Conclusions are sound and presented clearly</i></li> <li><i>* Further discussion is needed in any area.</i></li> </ul> <p><i>On the first draft of the Results chapter, feedback would also be valuable on:</i></p> <ul style="list-style-type: none"> <li><i>* Accuracy and appropriateness of the findings</i></li> <li><i>* Clarity of presentation of the findings (including charts)</i></li> <li><i>* Consistency of the "results" piece with the other parts of the assessment (particularly in Conclusions and Executive Summary).</i></li> </ul> <p><i>Please send your comments to the Institutional <b>Co-Leads (CH: Mattia Poretti, Beate Elsässer, Hanspeter Wyss/SWE: Michael Hjelmaker) and Secretariat</b> who will then consolidate the feedback and transmit it to Universalia.</i></p> <p><i>Please do not distribute the draft reports, they are <b>for internal use only</b> and should by no means sent to the MOs or other persons not immediately involved in commenting on behalf of members or Institutional Leads.</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><b>Source: Comments by the MOPAN Institutional Lead (19/97/12)</b></p> <p><i>Let me first of all congratulate you and Universalia for a job well done and for a draft report of high quality. Impressive work indeed!</i></p> <p><i>I'm equally grateful that the Secretariat has offered to compile the comments on the draft, given the delay and the fact that both the Institutional Lead and Co-Leads will be away on Summer break. In my capacity as Institutional Lead, I would kindly ask to be copied in when Members submit their comments to the Secretariat.</i></p> <p><i>Generally, I believe the findings are very relevant and useful, and I'm pleased by the many positive findings – quite more positive than I expected on several KPIs. Encouraging summer reading!</i></p> <p><i>The <b>executive summary</b> gives a very good overview. A few comments, however:</i></p> <ul style="list-style-type: none"> <li><i>• A key message on page ix is that “Strategic management is one of UNDP’s strength” (surprisingly enough, I must add). However, when this quadrant is presented in chapter 3.3.2 page 19, the message is “UNDP’s strategic management was seen as mixed”. We need a coherent message here.</i></li> <li><i>• I believe that bullet point 4 under Relationship Management doesn’t reflect accurately the findings under KPI 14 Using Country Systems. The analysis here contains interesting and important info. It must reflect that donors and DPs rated UNDP adequate here. It should further say that the Assessment Team had insufficient documentation to rate the MIs, but that the available information indicates that there is a potential for UNDP to increasingly use and strengthen national systems and to avoid parallel implementation structures.</i></li> </ul> <p><i>As for the <b>Development Results Component</b>, although very interesting and remarkably comprehensive, I believe we need to look closer at how the findings are presented. This component gives a very strong message on the weaknesses in UNDP’s reporting (with which I fully agree), and provides a quite grim picture of inadequate achievement of results. It’s almost a massacre, with red colors all over the place (cf. figure 4.1).</i></p> <p><i>However, we must be careful to distinguish between what UNDP actually does and what they are able to report on. The message as it stands seems too conclusive on UNDP’s inadequate delivery of results, while the fact may be that it’s the <u>quality of reporting</u> that is inadequate. If you were to conclude that UNDP’s achievement of results is inadequate, you would need to move beyond the scope of this assessment and into an evaluation of the facts on the ground. Lack of evidence is not necessarily lack of results, we are all familiar with that challenge in UNDP. This is also corroborated by the <u>survey findings</u>, where UNDP comes out adequate or even strong, a message that seems to drown in this component. Example: How is the survey ratings (“UNDP is making strong progress”, Finding 22) weighted in KPI A (figure 4.2)? Or Finding 33 in KPI C (figure 4.9)?</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>My impression is that UNDP is fully aware of its shortcomings with regard to results reporting and is now working seriously and constructively to improve this. Knowing this, it may be unfortunate at this stage to convey a too critical message on UNDP's lack of results achievement (neither achievement nor non-achievement may be documented...). I think this report may provide very valuable input to the ongoing process to improve UNDP's Strategic Plan and results framework, and we should not risk complicating this constructive process by an excessively harsh MOPAN report. Based on my reading of the findings in the development results component, the key message could rather be along the following lines: 1) Donors at HQ believe UNDP is making strong progress; 2) stakeholders at country level find UNDP relevant and performing fairly well; 3) There's some evidence of progress in evaluations; 4) There is a serious challenge in UNDP's ability to document achieved results through its reporting system. UNDP is working to improve this.</i></p> <p><b>Accordingly, my recommendation is that we examine whether a more balanced or nuanced presentation of the findings in this component is possible. Further discussion is needed here. The TWG should be consulted.</b></p> <p><i>I would further suggest to avoid the wording "nearly impossible" when referring to the assessment of results in the Conclusion, and be somewhat more diplomatic, like "very challenging".</i></p> <p><b>Some additional comments:</b></p> <ul style="list-style-type: none"> <li>• <i>In Ch. 3.3.3 Operational Management, page 28, the summary seems a bit too negative. Overall, this comes out as a strong area in UNDP, and it seems a bit odd to say "there is room for improvement in <u>all</u> other areas of operational management – most notably in (...)". I would suggest rephrasing: "There is some room for improvement in other areas – most notably in (...)".</i></li> <li>• <i>On MI 4.1 page 27 and again on page 65: It's mentioned that the Country programmes' results frameworks have "explicit links to the four focus areas presented in UNDP's corporate results framework". That's correct, but the weakness is that there is no link to the different <u>expected outcomes</u> within the focus areas, which complicates aggregation of results at corporate level.</i></li> <li>• <i>One final suggestion, page 16, second last para: Avoid using the word "Ironically", and be more specific on what the issue is here (probably a contradiction between the responses).</i></li> </ul> <p><b>Source: UNDP August 2012 First comments on Document Review Ratings, Criteria and Evidence by KPI and MI</b></p> <p><i>Under the documentary review, UNDP raises questions over judgement that not met in 39 cases. Checking against final document, only two amendments made.</i></p> <p><b>Source: Comments on Draft 2 Report – UNDP</b></p> <p><i>See UNDP comments annexed. Of the 60 comments supplied, accepted in 14 cases, mostly based on provision of additional evidence. As in</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>evaluation, don't change if disagree on basis for judgement, or where implies change in overall approach to presentation of the evidence and methodology. Clear that UNDP still concerned with the Development Effectiveness component of the report.</i></p> <p><i>Comment 11: The new development results component pilot is welcomed as a way to focus on results achieved as well as organizational effectiveness. Given the points raised earlier we recommend that further work and refinement is done to improve the methodology before it is included as an additional component of the main report. We therefore recommend that this component be placed in an annex, and that the methodology be further reviewed and tested before inclusion in the next assessment.</i></p> <p><b>Source: UNDP management response to the draft 2012 Assessment</b></p> <p>We welcome the analysis of publically available evidence as contained in the 'Document Review' segment of the report, which supplements the survey findings. It provided a useful barometer of perceived gaps in the evidence base. Transparency is a top priority for UNDP. In October, <i>Publish What You Fund</i> ranked UNDP in the top 10 among 72 organizations in its 2012 Aid Transparency Index. Furthermore, in November, as part of our delivery of the International Aid Transparency Initiative (IATI), UNDP launched a new transparency portal allowing public access to data on its work in 177 countries and territories, at <a href="http://www.open.undp.org">www.open.undp.org</a>. We are committed to working in an open manner and will continue improving the quality, quantity and timeliness of our reporting so that our partners can monitor their investment.</p> <p>I would like to highlight, however, that as indicated in our previous comments on the draft report, UNDP is not in agreement with all the gaps identified by the document review, and has also expressed reservations regarding certain elements of the overall methodology, the presentation and colour-coding of the report's findings. We understand that these and other methodological issues we have raised may also be shared by some other organizations that were assessed during the MOPAN 2012 process.</p> <p>We appreciated the opportunity this time around to comment formally on an early draft of the MOPAN report in October 2012. We are grateful to MOPAN for reflecting some of UNDP's response and comments in the final draft. We stand ready to work with the MOPAN team to explore appropriate methodological enhancements in preparation for future reports.</p>	<p><b>Source: Email (30/11/12) from MOPAN Institutional Lead and Co-Leads to MOPAN membership on presentation of 2012 assessment</b></p>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p><i>UNDP emphasized that they were very pleased by the many strong results in the assessment and the positive development compared to 2009. UNDP assured the participants of its commitment to use the findings constructively, and informed the meeting that many recommendations were already integrated in the preparations of the next strategic plan. UNDP recognized that there is still a need to improve in some areas, especially with regard to efficiency and effectiveness. UNDP appreciated that the assessment recognizes that UNDP is addressing these issues.</i></p> <p><b>Source: Universalis (2012) Lessons Learned from MO Comments on Reports The Hague Nov 2012</b></p> <p>UNDP related lessons</p> <ul style="list-style-type: none"> <li>• <i>Extensive comments provided on both indicators and specific criteria (29 pgs)</i></li> <li>• <i>Comments on methodology</i> <ul style="list-style-type: none"> <li>• <i>Different ratings confusing and render comparison difficult (e.g. 3.50 from survey vs. 3 from doc review)</i></li> <li>• <i>Colour legend biased towards poor ratings; suggest nuancing the lower ratings (e.g. red, orange, yellow, light green, dark green, blue)</i></li> <li>• <i>Critical of the standards, criteria and evidence weighting used in the pilot results component; requested results chapter be moved to Vol. 2.</i></li> </ul> </li> <li>• <i>Areas of some disagreement with the ratings</i> <ul style="list-style-type: none"> <li>• <i>Quality of organisation-wide results frameworks (MIs 2.3, 2.4 and 2.5)</i></li> <li>• <i>Mainstreaming of human rights-based approaches (MI 3.4)</i></li> <li>• <i>Budget allocations linked to expected development results (MI 6.1)</i></li> <li>• <i>Use of country financial systems (MI 14.2)</i></li> <li>• <i>Performance reporting (KPI 18)</i></li> </ul> </li> </ul>	
	<p>22. Were the consultants hired to do the assessments been able to work in an independent and credible manner?</p> <p><i>Though the ‘Universalis’ staff assigned to UNDP were very professional, they were not familiar with UNDP and had to go through a large quantity of materials – much too excessive, it is felt, for 2 people given the time frame.</i></p> <p><i>As for the credibility and quality of work – UNDP (and several staff across various parts of the house) had to extensively review the first drafts of the MOPAN report and correct/highlight several errors and misrepresentations. UNDP has shared with the consultant, the detailed comments and corrections that UNDP submitted to MOPAN at each stage of review.</i></p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	<p>23. Do the reports present the right material in a transparent way?</p> <p><i>See supporting analysis below.</i></p>	
	<p>24. Does the best fit approach to rating/calibrating performance against individual KPIs add credibility?</p> <p><i>UNDP is not very familiar with the 'best fit' approach, and although it is explained in Annex 2 of the final report, UNDP is of the opinion that the application of the approach appears to be subjective and unclear – we have provided feedback to MOPAN (on detailed KPIs and their document review), which demonstrates disagreement with the application of the best-fit approach.</i></p> <p><i>UNDP is also unaware of how consultative the process was (especially at the CO-levels) vis-à-vis the Universalia consultants, in the lead up to the final ratings.</i></p>	
	<p>25. What opportunities to simplify the methodology, without decreasing credibility, exist?</p> <p><i>The exercise would benefit from a more transparent explanation of the rating and weighting systems among criteria and sub-criteria.</i></p>	
<p>J. The methodology allows measurement of progress over time in the case of repeat assessments.</p>	<p>26. Does the common approach allow measurement of progress over time in the case of repeat assessments? (Only relevant for the AfDB and UNDP cases studies)</p> <p><b>Source: UNDP management response to the draft 2012 Assessment</b></p> <p>As discussed at our meeting in New York, we acknowledge that compared to the 2009 report, this 2012 report notes that UNDP has made substantial progress in seven (7) of the Key Performance Indicators (KPIs), where performance has either moved upwards from 'Adequate' to 'Strong', or from 'Inadequate' to 'Adequate'.</p>	
<p>K. The Common Approach has been</p>	<p>27. Are annual timelines for implementation set out in the Implementation Guides met in practice?</p>	

Major Issue	Sub-questions	Source of evidence for findings and conclusions
efficiently implemented as planned	<p><i>No. The process was considerably delayed, and this resulted in the Lead donor requesting UNDP to reduce its time to review the draft report, to which we did not agree, as this was already tight in the original timeframe. The follow-up at the country level has not been consistent or followed an agreed timeline.</i></p>	
	<p>28. If timelines have not been met, what do you think have been the major factors causing delays?</p> <p><i>See 27 above</i></p>	
	<p>29. Can you list three ways in which MOPAN could improve its effectiveness?</p> <p><i>MOPAN's effectiveness could be improved if, on the basis of a robust methodology, its members would consistently use its findings to drive dialogue and support vis-à-vis the MO.</i></p> <ul style="list-style-type: none"> <li>- <i>UNDP suggests that MOPAN review results of other bilateral assessments to reduce duplication between MOPAN and other assessments;</i></li> <li>- <i>Have MOPAN members consider using a meta-analysis methodology that utilises existing bodies of evidence;</i></li> <li>- <i>It is suggested that MOPAN ensures a systematic analysis across existing evaluations of the MO's work to identify systemic challenges, constraints, dis/incentives across the various MOs.</i></li> <li>- <i>Significant methodological problems were faced with the pilot section. UNDP proposes that MOPAN should use agreed standards rather than inventing them for purposes of an assessment when they may not be consistent with the standards the MO uses based on its Executive Board's decisions</i></li> </ul>	

## 5.5 References

### *List of those consulted*

<b>Surname</b>	<b>First Name</b>	<b>Organisation</b>
Debabrata	Rie	UNDP
Garcia	Oscar	UNDP
Gwaradzimba	Fadzai	UNDP
Helle	Yvonne	UNDP
Karl	Judith	UNDP
Shiki	Narue	UNDP
Tanaka	Toshihiro	UNDP
Uitto	Juha	UNDP
Wood	Gemma	UNDP
Yamazaki	Setsuko	UNDP



## 5.6 Quality of the 2012 Assessment Report

Criteria for assessment	Standard for assessment, evidence, and conclusion
<p><b>1. Clarity and Representativeness of Summary</b></p>	<p><b>Standard assessed against:</b> <i>The written report contains an executive summary. The summary provides an overview of the report, highlighting the main findings, conclusions, recommendations and any overall lessons.</i></p> <p><b>Evidence:</b> The report includes an Executive Summary which includes an overview of the report and high-lights both the major findings and conclusions. MOPAN assessments differ from evaluations in that they don't include explicit recommendations for either the MOPAN members or the multilateral assessed. Areas where performance/systems are assessed as inadequate or weak are however flagged in the overall summary of MOPAN ratings included in the executive summary, so indicating areas for attention.</p> <p><b>Conclusion: Meets standard</b></p>
<p><b>2. Context</b></p>	<p><b>Standard assessed against:</b> <i>The report identifies and assesses the influence of the context on the performance of the agency.</i></p> <p><b>Evidence:</b> The methodology states that both the documentary review and interview process at the multilateral's HQ are used to gain an understanding of the context in which the agency is working, as well as how decisions are made. In the event that survey data present a picture that is very different from the document review, information from interviews can help clarify how the multilateral organisation approached a certain issue. Contextual evidence is used to provide a richer explanation of what UNDP has done and therefore how some ratings are to be understood. However, if context is understood to mean the wider environment within which UNDP operates, and which affects both what it can and can't do, and how well, neither Volume 1 or 2 of the report includes an explicit discussion of such issues. This simply reflects the fact that assessing such contextual factors is not part of the methodology.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
<p><b>3. Intervention Logic</b></p>	<p><b>Standard assessed against:</b> <i>The report describes and assesses the intervention logic or theory, including underlying assumptions and factors affecting the success of the organisation being assessed.</i></p> <p><b>Evidence:</b> The Common Assessment methodology is not explicitly a theory based approach. The KPIs and MIs used for the organisational effectiveness assessment and the systems and approaches that are looked for as part of the development effectiveness component can be understood as reflecting a tacit theory of what should be in place. The major gap is that the tacit theory does not touch the linkage between organisational and developmental effectiveness.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
<p><b>4. Validity and Reliability of Information Sources described</b></p>	<p><b>Standard assessed against:</b> <i>The evaluation report describes the sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified. The assessment cross-validates the information sources and critically assesses the validity and reliability of the data. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</i></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><b>Evidence:</b> Volumes 1 and 2 of the report meticulously set out details of the survey responses and which were the major documents used as part of the documentary review. In terms of the adequacy of the sample data, Volume 2 sets out the % rates for non-responses, although surprisingly, the actual number of responses by participating stakeholder group is not compiled in a single place. To some extent, ratings derived from documentary reviews are in themselves ratings of the presence or absence of expected documents and their contents. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants. Limitations of the sample are discussed under limitations, where it states:</p> <ul style="list-style-type: none"> <li>L. The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution’s operations, thus limiting broader generalisations.</li> <li>M. The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.</li> <li>N. The document review component works within the confines of an organisation’s disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.</li> <li>O. Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g., survey questions referring to internal operations of the organisation, such as financial accountability and delegation of decision-making, seem difficult for many respondents, who frequently answer ‘don’t know.’) Third, a large number of ‘don’t know’ responses may imply that respondents did not understand certain questions.</li> <li>P. The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment.</li> <li>Q. One potential limitation is ‘central tendency bias’ (i.e., a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.</li> <li>R. Because one of MOPAN’s intentions is to merge previously existing assessment tools into one, and to forestall the development of others, the survey instrument remains quite long.</li> </ul> <p><b>Conclusion: Meets standard</b></p>
<p><b>5. Explanation of the Methodology Used</b></p>	<p><b>Standard assessed against:</b> <i>The report describes and explains the methodology and its application. The report acknowledges any constraints encountered and how these have affected the assessment, including the independence and impartiality of the assessment. It details the techniques used for data collection and analysis. The choices are justified and limitations and shortcomings are</i></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><i>explained.</i></p> <p><b>Evidence:</b> The methodology explained in detail in Annex 1 of Volume 2, where choices are justified and limitations and shortcomings are explained. Generic strengths and weaknesses of the approach are described both in Volumes 1 (Section 2.7) and Volume 2 (Annex 1, Section 8). However, no discussion in the report of whether any constraints particular to this assessment were encountered and how these might have affected the assessment, including the independence and impartiality of the assessment.</p> <p><b>Conclusion: Mostly meets the standard, but note that discussion of limitations and constraints is generic and not focused on this particular assessment.</b></p>
<p><b>6. Clarity of Analysis</b></p>	<p><b>Standard assessed against:</b> <i>The report presents findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. Recommendations and any lessons follow logically from the conclusions. Any assumptions underlying the analysis are made explicit.</i></p> <p><b>Evidence:</b> While the logic of the linkage between evidence and findings and conclusions is clear, in practice the clear line of evidence cannot always be easily seen. Difficulties lie in three places. First, for the surveys, weighted ratings are developed, because of the differing response rates from different stakeholder groups etc. It is difficult to check easily the degree to which the weighting of responses leads to a significant difference in the rating compared with the raw scores. Second, for the development effectiveness component, the methodology states that a best fit approach is used for rating. This is described as following in the methodology section: <i>The development results component's Key Performance Indicators draw on a set of questions or criteria. The Assessment Team uses a "best fit approach," which is a type of criteria-referenced basis for judgment that is more suitable when: criteria are multi-dimensional, there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points. This approach is highly consultative (with institutional advisors, a panel of experts and the MOPAN network) and relies on consensus in the determination of ratings.</i> The problem is that this best fit process is not systematically documented, and therefore the basis for getting from the individual ratings to the composite KPI rating is untransparent.</p> <p>UNDP raised a number of issues in their comments on the 2<sup>nd</sup> draft of the report related to clarity of analysis and presentation:</p> <p><b>UNDP Comment:</b> The difference between the rating scale for the survey (from 1.00 to 6.00, to two decimal places) and the document review (no decimal places) is confusing and sends mixed and potentially dis-incentivizing messages to the institution.</p> <p><b>MOPAN response:</b> MOPAN uses different methodologies in the Common Approach: the analysis of survey data (mean scores) is treated differently than the analysis of documents when it comes to establishing a rating. MOPAN is reviewing certain aspects of its Common Approach methodology, including the rating scales, and may make adjustments in 2013. Further, MOPAN is conducting an evaluation of its framework, methodologies, and processes to inform 2014 and beyond, and may consider issues such as rating scales.</p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><b>UNDP Comment:</b> Likewise the Red, Yellow, Green legend is not nuanced enough to present a fair snapshot of UNDP’s performance, given that half of the points available have been grouped in the Red category (1.00 to 3.49), potentially prejudicing external readers. The MOPAN report admits itself that “the assessment produces numerical scores that have a high degree of precision, yet only provide general indications of how an organization is doing”. We would therefore recommend that the color legend is nuanced to reflect this, either by selecting a set of colors that are less biased or by using a phased color legend that reflects the 6-point scale i.e. red for very weak, orange for weak, yellow for inadequate, light green for adequate, dark green for strong and blue for very strong.</p> <p><b>MOPAN response:</b> MOPAN is reviewing certain aspects of its Common Approach methodology, including the colour legend, and may make adjustments in 2013. Further, the network is conducting a full evaluation of its framework, methodologies, and processes to inform 2014 and beyond, and may consider issues such as colour legends again in that process. As such, it will not be possible to make this change at this late stage in the current assessment process.</p> <p><b>UNDP Comment:</b> Likewise the difference between the numerical scores for the document review and the survey make comparison difficult; for example those areas scoring a “3” in the document review are assessed as inadequate, whereas those scoring from “3.50” to “3.99” in the survey are rated adequate.</p> <p><b>MOPAN response:</b> This comment has been noted. The Common Approach presents data from a range of sources (survey, documents, interviews) and encourages triangulation rather than comparison given the different methods used for analysis.</p> <p><b>UNDP Comment:</b> There is no internationally agreed model or “best practice” standard to underpin some of the micro-indicators, against which both the survey respondents and the review team have been asked to make an assessment of performance. Many of the micro-indicators used to assess UNDP are the subject of active debate which explains the variance in standards adopted across peer organisations.</p> <p><b>MOPAN response:</b> While it is true that not all micro-indicators in the Common Approach are underpinned by internationally agreed standards or best practices, the indicators used in the Common Approach are all based on a consensus reached among the bilateral donors in the MOPAN network.</p> <p><b>UNDP Comment:</b> In more detail, the presentation of the results under this component on page 56 suffers from weighting bias, giving preference to the lower score obtained, in this case the documentary review, rather than survey responses. In our view, an average score would have been a fairer depiction of the findings.</p> <p><b>MOPAN response:</b> The assessment for the results component uses a “best fit approach,” which is a type of criteria-referenced basis for judgment that is more suitable when: the criteria for assessment are multi-dimensional (see p. X of Volume II), there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points. This approach is highly consultative</p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>(involving institutional advisors, a panel of experts and the MOPAN network) and relies on consensus to determine the ratings.</p> <p>In certain instances, survey respondents' perceptions and evidence from reports about an organisation's progress towards its objectives diverge. In such cases, the Assessment Team takes into account the quality of organisational results reports and other relevant documents. The analysis of quality dimensions of results reports weighs more heavily in making the final rating.</p> <p>Please note that an explanation in line with the text above has been added to Appendix I of Volume II to provide readers with more detail on this aspect of the methodology used in the assessment of the pilot component.</p> <p><b>UNDP Comment:</b> This section also suffers from differences in the rating scale applied: the survey remains on a 6-point scale and the documentary review for the development results component is on a 4-point scale, but seemingly expressed in three categories (the bottom two, inadequate/weak, are expressed as a composite – it is not clear whether this is intentional or an editorial error). It is not clear why a 6-point scale could not be applied and this discrepancy makes comparison difficult and the findings less convincing</p> <p><b>MOPAN response:</b> MOPAN is reviewing certain aspects of its Common Approach methodology, including the rating scales, and may make adjustments in 2013. Further, the network is conducting a full evaluation of its framework, methodologies, and processes to inform 2014 and beyond, and may consider issues such as rating scales again in that process.</p> <p>The Assessment Team has taken note of the point regarding the "composite" ratings (inadequate/weak) and separated them in the text (Appendix I, Vol. II, p. 20).</p> <p><b>Conclusion: Mostly meets the standard, but note that instances of a lack of clarity at key stages in the analysis</b></p>
<p><b>7. Acknowledgement of Changes and Limitations</b></p>	<p><b>Standard assessed against:</b> <i>The report explains any limitations in process, methodology or data, and discusses validity and reliability. It indicates any obstruction of a free and open process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products are explained.</i></p> <p><b>Evidence:</b> In cases for the documentary review where there was insufficient data to provide a rating, this has been clearly stated in discussion of the relevant KPI. The report also flags instances where the number of don't know responses was particularly significant (see discussion under KPI 14 for instance). There was no discussion of whether there was any obstruction to a free and open process which may have influenced the findings, although review of the background documentation suggests that this was not an issue. The report includes no discussion of whether implementation issues had any effect upon the assessment or what was produced.</p> <p><b>Conclusion: Mostly met but instances where not met may simply reflect fact that not required of the authors.</b></p>
<p><b>8. Acknowledgement of</b></p>	<p><b>Standard assessed against:</b> <i>Team members have the opportunity to dissociate</i></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
<p><b>Disagreements within the Team</b></p>	<p><i>themselves from particular judgements and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.</i></p> <p><b>Evidence:</b> Those drafting the report were not explicitly asked to record this, if it happened.</p> <p><b>Conclusion: Not met, but may reflect fact that not required of authors.</b></p>
<p><b>9. Incorporation of Stakeholders' Comments</b></p>	<p><b>Standard assessed against:</b> <i>Relevant stakeholders are given the opportunity to comment on the draft report. The final evaluation report reflects these comments and acknowledges any substantive disagreements. In disputes about facts that can be verified, the evaluators investigate and change the draft where necessary. In the case of opinion or interpretation, stakeholders' comments are reproduced verbatim, in an annex or footnote, to the extent that this does not conflict with the rights and welfare of participants.</i></p> <p><b>Evidence:</b> UNDP was given opportunities to comment both on the methodology/questionnaire and the draft report (twice). While factual errors were corrected and in some cases ratings adjusted through provision of further material, Universali (2012) Lessons Learned from MO Comments on Reports The Hague Nov 2012 indicates that UNDP still disagreed ratings for:</p> <ul style="list-style-type: none"> <li>• <i>Quality of organisation-wide results frameworks (MIs 2.3, 2.4 and 2.5)</i></li> <li>• <i>Mainstreaming of human rights-based approaches (MI 3.4)</i></li> <li>• <i>Budget allocations linked to expected development results (MI 6.1)</i></li> <li>• <i>Use of country financial systems (MI 14.2)</i></li> <li>• <i>Performance reporting (KPI 18)</i></li> </ul> <p>Review of the exchange on the draft assessment document would suggest that the draft was slightly amended in these and other areas, but UNDP's continued unhappiness with some ratings was not included in the report.</p> <p><b>Conclusion: Not fully met.</b></p>

## 5.7 Sources of evidence used in the UNDP assessment

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>Development Effectiveness</b>						
<b>KPI A – Evidence of extent of progress towards organisation-wide outcomes</b>						
A1 Achieving the MDGs and reducing human poverty			✓		✓	
A2 Fostering democratic governance			✓		✓	
A3 Supporting crisis prevention and recovery			✓		✓	
A4 Managing energy and the environment for sustainable development			✓		✓	
<b>KPI B – Evidence of extent of contributions to country-level goals and priorities</b>						
Relevant MDGs differ by country programme assessed	✓	✓			✓	
<b>KPI C – Evidence of extent of contributions to relevant MDGs</b>						
Relevant MDGs differ by country programme assessed	✓	✓				
<b>KPI D – Relevance of objectives and programme of work to stakeholders.</b>						
D1 The activities of the MO respond to key development priorities of the country	✓	✓				
D2 The MO provides innovative solutions for development challenges in the country	✓	✓				
D3 The MO adjusts its strategies and objectives according to the changing needs and priorities of the country	✓	✓				

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>Organizational Effectiveness - Strategic management dimension</b>						
<b>KPI 1 - The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results</b>	✓	✓	✓			
1.1 The MO has a value system that supports a results-orientation and a direct partner focus	✓	✓	✓			
1.2 The MO Executive Management shows leadership on results management			✓			
1.3 Key MO documents are available to the public	✓	✓	✓		✓	
<b>KPI 2 - The MO's corporate strategies and plans are focused on the achievement of results</b>			✓			
2.1 The MO's organisation-wide strategy is based on a clear definition of mandate			✓		✓	
2.2 The MO promotes an organisation-wide policy on results management			✓		✓	
2.3 Organisation-wide plans and strategies contain frameworks of expected management and development results					✓	
2.4 Results frameworks have causal links from outputs through to impacts/ final outcomes					✓	
2.5 Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level					✓	
<b>KPI 3 The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments</b>	✓	✓	✓		✓	
3.1 Gender equality	✓	✓	✓		✓	
3.2 Capacity Development	✓	✓	✓		✓	
3.3 South-South Cooperation	✓	✓	✓		✓	
3.4 Human Rights-Based Approaches	✓	✓	✓		✓	



KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
<b>KPI 4 The MO's country strategy is results-focused</b>	✓	✓				
4.1 Results frameworks link results at project, programme, sector, and country levels	✓	✓			✓	
4.2 Frameworks include indicators at pr programme, sector, and country levels	✓	✓			✓	
4.3 Statements of expected results are consistent with those in national development strategies and the UNDAF as appropriate	✓	✓			✓	
4.4 Statements of expected results are developed through consultation with direct partners and beneficiaries	✓	✓				
4.5 Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, capacity development (as appropriate)	✓	✓			✓	
<b>Organizational Effectiveness - Operational management dimension</b>						
<b>KPI 5 The MO makes transparent and predictable resource allocation decisions</b>	✓	✓	✓		✓	
5.1 The MO's criteria for allocating funding are publicly available	✓	✓	✓		✓	
5.2 The MO's allocations follow the criteria	✓	✓	✓			
5.3 Planned resources (financial / technical co-operation, etc.) are released according to agreed schedules	✓	✓	✓		✓	
<b>KPI 6 The MO's financial management is linked to performance management</b>	✓	✓	✓			
6.1 Budget allocations are linked to expected development results	✓	✓	✓		✓	
6.2 Disbursements are linked to reported results			✓		✓	
<b>KPI 7 The MO has policies and processes for financial accountability (audit, risk management, anti-corruption)</b>	✓	✓	✓		✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
7.1 External financial audits meeting recognized international standards are performed across the organisation (including UN Board of Auditors)			✓		✓	
7.2 External financial audits meeting recognized international standards are performed at the regional, country or project level (as appropriate)	✓	✓			✓	
7.3 The MO has a policy on anti-corruption			✓		✓	
7.4 Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	✓	✓	✓		✓	
7.5 Internal financial audit processes are used to provide management / governing bodies with credible information			✓		✓	
7.6 The MO's procurement and contract management processes for the provision of services or goods are effective	✓	✓	✓			
7.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting			✓		✓	
<b>KPI 8 Performance information on results is used by the MO for:</b>	✓	✓	✓		✓	
8.1 Revising and adjusting policies			✓		✓	
8.2 Planning new interventions	✓	✓			✓	
8.3 Proactive management of poorly performing programmes, projects, and/or initiatives	✓	✓			✓	
8.4 Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units			✓		✓	
<b>KPI 9 The MO manages human resources using methods to improve organisational performance</b>	✓	✓	✓		✓	
9.1 Results focused performance agreement systems are in place for senior staff (Including					✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
Resident Representatives)						
9.2 There is a transparent incentive and reward system for staff performance			✓		✓	
9.3 The speed of staff rotation in post is adequate for the development of effective country level partnerships	✓	✓				
<b>KPI 10 Country / regional programming processes are performance oriented</b>	✓	✓			✓	
10.1 Prior to approval new initiatives are subject to benefits/impact analysis (economic, social, etc)	✓				✓	
10.2 Milestones/targets are set to rate the progress of (project) implementation	✓	✓			✓	
<b>KPI 11 The MO delegates decision-making authority (to the country or other levels)</b>	✓	✓			✓	
11.1 MO key operations/management decisions can be made locally	✓	✓				
11.2 New programmes/projects can be approved locally within a budget cap	✓	✓			✓	
<b>Organizational Effectiveness - Relationship management dimension</b>						
<b>KPI 12 The MO coordinates and directs its programming (including capacity building) at the country level in support of agreed national plans or partner plans</b>	✓	✓				
12.1 Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualized or initiated by MO itself	✓	✓				
<b>KPI 13 The MO's procedures take into account local conditions and capacities</b>	✓	✓				
13.1 The procedures of the MO can be easily understood and completed by partners	✓	✓				
13.2 The length of time for completing MO procedures does not have a negative effect on implementation	✓	✓				

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
13.3 The MO has the operational agility to respond quickly to changing circumstances on the ground	✓	✓				
13.4 The MO has operational flexibility in the way it implements programmes / project and deals with budget issues (during implementation)	✓	✓				
<b>KPI 14 The MO uses country systems for disbursement and operations</b>	✓	✓			✓	
14.1% of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans					✓	Paris Indicator 3
14.2 The MO uses the country's financial systems (i.e., public financial management and procurement) as a first option for its operations where appropriate	✓	✓			✓	Paris Indicator 5a and 5b
14.3 The MO uses the country's non-financial systems (e.g., monitoring and evaluation) as a first option for its operations	✓	✓				
14.4 The MO avoids parallel implementation structures						Paris Indicator 6
14.5 The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	✓	✓				
<b>KPI 15 The MO adds value to policy dialogue with its direct partners</b>	✓	✓	✓			
15.1 The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	✓	✓	✓			
15.2 The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	✓	✓	✓			
<b>KPI 16 The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate</b>	✓	✓			✓	
16.1 The extent to which the MO participates in joint missions (coordination, analysis, design,					✓	Paris Indicator 10a

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
evaluation						
16.2 The extent to which MO technical cooperation is disbursed through coordinated programmes	✓	✓			✓	Paris Indicator 4
16.3% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc.)	✓	✓			✓	Paris Indicator 9
16.4 The MO facilitates the coordination of the UN development system at the country level	✓	✓			✓	
<b>Organizational Effectiveness - Knowledge management dimension</b>						
<b>KPI 17 The MO consistently evaluates its delivery and external results</b>	✓	✓	✓		✓	
17.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Board			✓		✓	
17.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc.)					✓	
17.3 The MO ensures quality of its evaluations					✓	
17.4 Evaluation findings are used to inform decisions on programming, policy, and strategy			✓			
17.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	✓	✓				
<b>KPI 18 The MO presents performance information on its effectiveness</b>			✓		✓	
18.1 Reports on the achievement of outcomes, not just inputs, activities and outputs			✓		✓	
18.2 Reports performance using data obtained from measuring indicators					✓	
18.3 Reports against its organisation-wide strategy, including expected management and development results			✓		✓	
18.4 Reports against its Paris Declaration commitments using indicators and country targets			✓		✓	

KPI	Source of evidence					
	Survey of MOPAN staff at country level	Survey of direct partners at country level	Donor HQ survey	Interviews with MO HQ staff	Review of organisation's documents	COMPAS/Paris Dec Survey
18.5 Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information					✓	
18.6 Reports on country (or other) level programming adjustments made or recommended based on performance information					✓	
<b>KPI 19 The MO encourages identification, documentation and dissemination of lessons learned and/or best practices</b>			✓			
19.1 Reports on lessons learned based on performance information			✓		✓	
19.2 Learning opportunities are organized to share lessons at all levels of the organisation			✓			

## 5.8 Assessments reported by UNDP

Year	Government requesting?	Purpose	Could MOPAN replace?
2013	<b>UK</b> (Multilateral Aid Review (MAR) Update)	2011 document states that 'Our conceptual framework builds on the work of the Multilateral Organisation Performance Assessment Network, MOPAN, which uses a Balanced Scorecard approach to assessing organisational effectiveness. We also used MOPAN data wherever available to inform our judgements.' As this is an update, should be the same	<b>No.</b> MOPAN should reduce demands for information.
	<b>Denmark</b> (Annual Analysis of Denmark's engagement in Multilateral Development and Humanitarian Organisations)	The analysis and recommendations of the report will serve as basis for restructuring Danish cooperation with multilateral organisations in the coming years. The overall conclusion is that the analysis does not merit for significant adjustments in the contributions to the various organizations. The analysis ranks agencies in terms of both relevance (a set of 7 indicators / see UNDP results below) and organizational effectiveness	<b>No.</b> MOPAN should reduce demands for information.
2012	<b>Finland</b> (Multilateral aid review)	The assessment will be based on pre-existing material (including MOPAN), and is due in 2012. The assessment will mainly look at multilateral agencies' effectiveness , and will provide information for considerations regarding aid allocation	<b>No.</b> MOPAN should reduce demands for information.
	<b>Denmark</b> (Annual Analysis of Denmark's engagement in Multilateral Development and Humanitarian Organisations)	The analysis and recommendations of the report will serve as basis for restructuring Danish cooperation with multilateral organisations in the coming years. The overall conclusion is that the analysis does not merit for significant adjustments in the contributions to the various organizations.  The analysis ranks agencies in terms of both relevance (a set of 7 indicators / see UNDP results below) and organizational effectiveness	<b>No.</b> MOPAN should reduce demands for information.
	<b>MOPAN</b>	Countries targeted: Cambodia, DRC, Ghana, Honduras, Morocco, Niger, Nigeria, Philippines, Zimbabwe	N/A
	<b>USA</b> (UN Transparency and Accountability Initiative (UNTAI))	In 2011, the United States launched UNTAI Phase II (UNTAI-II) to target areas where member states can increase oversight and accountability and ensure that contributions are utilized efficiently and effectively. Specifically, UNTAI-II seeks to make reforms in the following areas. <ul style="list-style-type: none"> <li>• Effective oversight arrangements.</li> <li>• Independent internal evaluation function,</li> <li>• Independent and effective ethics function.</li> <li>• Credible whistleblower protections.</li> <li>• Conflicts of interest program.</li> </ul>	<b>No.</b> Annual process across large number of organizations, so MOPAN can't substitute, even if covers these areas.

Year	Government requesting?	Purpose	Could MOPAN replace?
		<ul style="list-style-type: none"> <li>• Effective and transparent procurement.</li> <li>• Enterprise risk management.</li> <li>• Transparent financial management.</li> </ul> <p>UNTAI-II is designed to build upon the successes of Phase I and focus on further raising accountability standards throughout the UN system. UNTAI-II includes all the UN organizations covered by Phase I as well as the UN Secretariat.</p>	
	Development Effectiveness Review of UNDP (commissioned as pilot by <b>Canada</b> )		<b>Possible.</b>
	<b>Australia</b> (Multilateral Assessment, Australia)	<p>The AMA draws heavily on information publicly available (inc. the UK MAR and MOPAN). The evidence base also comprises:</p> <ul style="list-style-type: none"> <li>• Consultations with multilateral organisations at headquarters and field visits,</li> <li>• Consultations with stakeholders, including partner governments and civil society groups both in Australia and in developing countries.</li> </ul>	<b>No.</b> MOPAN should reduce demands for information.
2011	<b>UK</b> (Multilateral Aid Review (MAR))	Document states that 'Our conceptual framework builds on the work of the Multilateral Organisation Performance Assessment Network, MOPAN, which uses a Balanced Scorecard approach to assessing organisational effectiveness. We also used MOPAN data wherever available to inform our judgements.'	<b>No.</b> MOPAN should reduce demands for information.
	<b>The Netherlands</b> (Multilateral Assessment)	<p>Within MFA, this exercise is led by the UN and IFI Department.</p> <p>The scorecards are compiled on the basis of reports from UNDP, internal and external reviews and evaluations by other donors and the Multilateral Organizations Performance Assessment Framework (MOPAN). In addition, the MFA collected inputs from other Ministries, Permanent Representations and offices. The scorecards will be regularly updated based on new information i.e. after Executive Board meetings.</p>	<b>No.</b> MOPAN should reduce demands for information.
	<b>France</b> (International Organizations Evaluation)	France conducted an internal review of multilateral organizations to assess the management and efficiency of the contributions made by France. This review exercise was led by the Ministry of Foreign Affairs (MFA). UNDP was requested to answer an evaluation questionnaire, which focused on	<b>Unlikely</b>



Year	Government requesting?	Purpose	Could MOPAN replace?
		<p>UNDP's organizational effectiveness according to the following four areas, namely:</p> <ol style="list-style-type: none"> <li>1. Quality control and oversight: existing functions and services, ongoing processes for improving performance and efficiency; existence of control methods.</li> <li>2. Transparency: emphasis on reports and recommendations of the various supervisory bodies; mechanisms used to ensure the quality of its reports to donors; policies applied to ensure accountability of transparency.</li> <li>3. Strategy: existence of a strategy based on a limited number of objectives and in line with policy areas in which the organization has a comparative advantage, performance-based management and robust results framework.</li> <li>4. Results: quality of results and impact of programs and policies.</li> </ol>	
	<p><b>Sweden</b> (Summary and Analysis of UNDP-experiences from 20 Swedish Embassies)</p>	<p>To prepare for the 2011 consultations and to be equipped with a thorough understanding of the partnership, Sida conducted an internal 'perception study' requesting feedback on Sweden's country level experiences of UNDP. A similar perception study was undertaken in 2010. The study is based on Sida's interviews with their own field staff at 20 embassies, inquiring about specific feedback on UNDP's performance, areas of work, perceived strengths and shortcomings, and UNDP's delivery against the Strategic Plan.</p> <p>The findings of this study are used to inform Sweden's policy towards UNDP, and the study is regularly referred to in high level strategic discussions with UNDP. The study is also shared with UNDP so as to inform UNDP's management of Sweden's perceptions of UNDP's country level performance.</p>	<p><b>Possibly?</b></p>
	<p><b>USA</b> (UN Transparency and Accountability Initiative (UNTAI))</p>	<p>In 2011, the United States launched UNTAI Phase II (UNTAI-II) to target areas where member states can increase oversight and accountability and ensure that contributions are utilized efficiently and effectively. Specifically, UNTAI-II seeks to make reforms in the following areas.</p> <ul style="list-style-type: none"> <li>• Effective oversight arrangements.</li> <li>• Independent internal evaluation function,</li> <li>• Independent and effective ethics function.</li> <li>• Credible whistleblower protections.</li> <li>• Conflicts of interest program.</li> <li>• Effective and transparent procurement.</li> <li>• Enterprise risk management.</li> </ul>	<p><b>No.</b> Annual process across large number of organizations, so MOPAN can't substitute, even if covers these areas.</p>

Year	Government requesting?	Purpose	Could MOPAN replace?
		<ul style="list-style-type: none"> <li>• Transparent financial management.</li> </ul> <p>UNTAI-II is designed to build upon the successes of Phase I and focus on further raising accountability standards throughout the UN system. UNTAI-II includes all the UN organizations covered by Phase I as well as the UN Secretariat.</p>	
2010	<b>Denmark</b> (UNDP, UNICEF and UNFPA's engagement in fragile and post-conflict states)	Commissioned by: The Permanent Mission of Denmark to the UN in New York (MFA). Purpose was to feed into on-going dialogue between the Permanent Mission and the three organizations.	<b>No</b>
	<b>Norway</b> (Activity-Based Financial Flows in UN System: A Study of Select UN Organizations)	The NORAD commissioned report was intended to contribute to a better understanding of financial flows within UN agencies addressing the following questions: "1) what is the level of resources mobilization; 2) how are these resources allocated and what are the constraints associated with earmarking; 3) what are the outputs (where does the money go?); and 4) as an ancillary question, are the fiduciary systems adequate to promote transparent flows and sound expenditures."	<b>No. Too specific</b>
2009	MOPAN		N/A
	<b>France</b> (Effectiveness Of The Interaction Between Multilateral Organisations In The African Countries (Former French Priority Solidarity Zone)	The Evaluation Unit of the Treasury Directorate General has undertaken an innovative exercise: asking independent researchers to analyze quantitatively and qualitatively the efficiency of a joint action of four main multilateral organizations (the World Bank, the European Commission, the African Development Bank and the United Nations Development Program) in the African countries in the former French Priority Solidarity Zone (ZSP)	<b>No. Too specific</b>

## 6. UNHCR Case Study

### *List of acronyms*

GSP	Global Strategic Priority
IDP	Internally displaced persons
KPI	Key Performance Indicator
MI	Micro-Indicator
MOPAN	Multilateral Organisation Performance Assessment Network
NGO	Non-governmental organisation
OIOS	Office of Internal Oversight Services
RBM	Results-Based Management
UNHCR	United Nations High Commissioner for Refugees

### **6.1 Introduction**

This case study focuses on the experience of MOPAN assessments of UNHCR in 2011. As such, it is intended to feed into the overall evaluation of MOPAN, and is not designed as a single self-standing piece of work. As such, only major findings and conclusions are set out in Section 3, while the supporting evidence can be found in Section 4 and Annex 4 (which deals with the quality of the report and the under-lying methodology).

### **6.2 Evolution of the MOPAN assessment**

In 2009 MOPAN introduced the “Common Approach” broadening and extending the methodology. The Common Approach continues to collect data through a survey but additionally includes a **review of the documents** published by the multilateral organisations under review. The Common Approach also **extends the survey to direct partners** with all respondents being required to demonstrate experience and expertise related to the multilateral organisations being assessed (i.e. “expert sampling”). These developments bring about a better balance of factual and perception-based findings.

In 2009, four multilateral organisations, including UNDP, in nine developing countries were assessed. In 2010, four multilateral organisations were reviewed in ten developing countries. Five multilateral organisations in twelve developing countries were assessed in 2011 and MOPAN adapted the methodology to match the specific circumstances of **humanitarian organisations** (UNHCR). In 2012,

MOPAN again adapted the methodology to examine the GAVI Alliance, the first time that a **Global Fund** type organisation has been assessed.

Before 2012, the Common Approach has not examined development effectiveness or the achievement of development results but rather focused on assessing whether the multilateral organisations had in place the necessary behaviours, systems and processes to help achieve those results. In 2012, MOPAN piloted an expanded methodological framework with four organisations, including UNDP, which provided an **assessment of organisational effectiveness as well as the results achieved** by multilateral organisations<sup>31</sup>. The assessment of results focused on the degree to which progress is being made towards the organisation's stated objectives and analysed the relevance of its programming. It was piloted with AfDB, UNDP, UNICEF and the World Bank, all previously assessed in 2009.

A key assumption in the new Common Approach assessment is that organisational effectiveness has an influence on an organisation's ability to achieve results. Feedback on the achievement of expected results can in turn provide insights for further improvements in organisational practices. By adding a component that analyses results, MOPAN members can use the existing dialogue process with the multilateral organisations to understand the way that organisational practices are facilitating or hindering the organisations' results on the ground. A second assumption is that organisations provide or are moving towards evidence-based reporting on results. Thus, the assessment should also provide input for the discussions between donors and multilateral organisations on reporting.

### **6.3 Major Findings and Conclusions**

The major findings set out in detail in Section 4 and elsewhere are:

- MOPAN brought little or nothing new to UNHCR's understanding of its performance, but it provided fresh independent documentation and quantified aspects of the programme where some gaps still exist. It is likened to an audit, discussing issues with disinterested parties which appeals to independence of evidence.
- MOPAN is viewed by UNHCR as one among many sources of performance information. UNHCR staff think that e.g. the MAR and AMA are more important.

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<sup>31</sup> The term "results" will be used in accordance with OECD/DAC's definition: "Results are the output, outcome, or impact (intended or unintended, positive and negative) of a development intervention."

- The UNHCR Assessment was reviewed against the international standards for evaluation reports outlined in OECD (2012).<sup>32</sup> The Assessment was of a high standard, meeting or mostly meeting 7 of 9 criteria.
- As regards methodology, country interaction is held to have been a weak part of the process, with little interaction. A specific criticism was that a lack of grounding in the corporate institution led to lost time on 'discovery' in the field. UNHCR staff question how well Member embassy staff grasp how UNHCR works and what its mandate is. The reliance on perceptions of country staff weakens the process.
- A detailed examination of the Assessment shows that actual sample sizes for some of the respondent/topic categories are very low, which indicates a very small evidence base for some of the indicators.
- The extent to which 'Don't know' replies occur across all questions and categories of respondents suggests that the 'expert knowledge' approach to selecting respondents is not very effective.
- The high proportions of 'Don't know' replies by donors in country reflects both on the donor organisations and on UNHCR and suggests that there is considerable scope to improve awareness and communication between UNHCR and the donor community at country level.
- UNHCR staff identified two specific changes as being associated with the MOPAN findings but respondents stress that reforms were already underway:
  - Development of a new Enterprise Risk Initiative
  - A new Policy concerning country operational plans
- The one area that all respondents remarked on concerns the country plans. Owing to wide variations in format, content and quality, the decision to make these public used to be selective and limited. Under the new policy this is to change and already 25 out of around 80 will be fully transparent and published by September 2013.

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<sup>32</sup> <http://www.oecd.org/dac/evaluation/dcdndep/41612905.pdf>

#### 6.4 Completed matrix of evidence, findings and conclusions

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>A. MOPAN Assessments produce the kind of information that is required by the MOPAN members.</p>	<p>1. Do MOPAN Assessments, where available, provide the right evidence for setting a MOPAN member's agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p>	<p><i>MOPAN has not replaced bilateral assessments. It is quoted by donors in their reports, most notably UK and Australia, but also others including Finland.</i></p>
	<p>2. How is evidence from MOPAN assessments used by your organisation when setting your county's agenda while participating in the governance of multilateral institutions (at board and governing body meetings).</p>	<p><i>No particular experience with this. UNHCR recognise that donors make use of MOPAN but see it as secondary to their own bilateral assessments. See material under G16 below.</i></p>
	<p>3. How important is</p>	<p><i>See above. MOPAN appears to be viewed as one among many sources of information. UNHCR think that e.g. the MAR and AMA</i></p>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
	MOPAN to you in relation to other sources of information on the multilateral organisation's performance?	<i>are more important. In view of the high proportion of funding received from the USA, assessments by the US Government are highly important to UNHCR. The USA was not a member of MOPAN when UNHCR was assessed.</i>
	4. Do you believe that the Common Assessments are needed because the evidence published by multilateral organisations assessed is either insufficient or not independent/credible enough to fulfil this demand?	<u><i>Response: No</i></u>  <i>The evidence is probably not yet sufficient, though it is thought to have been improving in recent years. But respondents don't sense that the donors see MOPAN as overcoming a deficiency, more taking a separate stance.</i>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>B. There is a demand at country level for evidence presented in the common assessments</p>	<p>5. Overall, is there a demand at country level for the type of evidence presented in the common assessments? (Relevant for AfDB, UNDP and UNHCR assessments only)</p>	<p><u>Response: Only occasionally</u></p> <p><i>Country interaction is held to have been a weak part of the process, with little interaction. UNHCR often has a complex relationship with host governments as the agency is dealing with refugees who are usually citizens of neighbouring countries and hence the relationship between UNHCR and government is not always easy. Similar tension can arise with IDPs.</i></p> <p><i>Respondents were particularly critical of the MOPAN methodology for country engagement - not so much the choice of countries but the weak interaction. No-one could remember any positive aspects of dialogue at country level and felt that this was a major shortcoming given UNHCR's type of work.</i></p> <p><i>Specific criticism was that a lack of grounding in the corporate institution led to waste of time on 'discovery' in the field. They question how well Member embassy staff grasp how UNHCR works and what its mandate is (see separate analysis of Don't know responses).</i></p> <p><i>UNHCR finds the interaction with the US which carries out periodic evaluations of UNHCR projects and engages around these results, to be more valuable at country level.</i></p> <p><i>Also, the practice under DFID's MAR whereby interaction with donors can be tracked on a website is also valuable and helped understanding and mutual learning, more so than MOPAN.</i></p> <p><b>The independent Peer Review said the following about country selection and studies:</b></p> <p><b>2a. Country selection and review: Does the institutional report provide a useful input for engaging UNHCR and their partners in dialogue, and for generating discussion in the wider humanitarian assistance community on improving performance in that sector? Do the country data summaries provide a useful tool for discussion between MOPAN members, UNHCR and its partners at the country level?</b></p> <p><i>The selection of review countries, including only one example where the cluster system was operating, is problematic. The selection of countries misses most of the large refugee and IDP operations (Afghanistan, Sri Lanka, Pakistan, DRC, Kenya, and Sudan). The report notes that: "MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, multilateral organisation presence in-country, the need for geographical spread." However, even within these criteria it should have been possible to include one of the larger programmes (although Burundi and Tanzania are medium-size programmes).</i></p> <p><i>The two country studies reviewed, for Burundi and Tanzania, add little to the report or analysis:</i></p> <ul style="list-style-type: none"> <li>➤ <i>The country study methodology is not described, so it isn't possible to assess its credibility. Almost no information is provided on methodology in the country reports. The only details that are given are: "The data summary is based on the perceptions of MOPAN donors and UNHCR direct partners in Tanzania. These were collected through a stakeholder survey conducted online and in face-to-face interviews during April and May 2011." This statement apparently does not reflect the actual methodology used and should be revised.</i></li> <li>➤ <i>There appears to have been no tailoring of the questionnaire to the country level. While this ensures consistency of questions, it also</i></li> </ul>



		<p><i>means the opportunity was lost to analyse in more detail UNHCR's operational effectiveness at country level. For example, one of the countries selected is Syria, which has been one of the top host countries for refugees, but there were no questions related to this in the questionnaire. What was achieved by the country level interviews that could not have been achieved by a web based survey?</i></p> <ul style="list-style-type: none"> <li>➤ <i>As noted in the limitations section of the report, there was very limited contact with host governments in the country reviews in Burundi and Tanzania. However, in other countries covered by the MOPAN assessment there was a more significant representation from host governments.</i></li> <li>➤ <i>Sample sizes were small which makes it difficult to reach general conclusions.</i></li> <li>➤ <i>Survey data could be broken down by region, type of emergency, and seniority of respondents, which would produce more useful findings for UNHCR</i></li> </ul> <p><i>The country studies therefore add little value and will likely not be of use in fostering dialogue between MOPAN, UNHCR and partners. (Beck)</i></p>
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<b>Major Issue</b>	<b>Sub-questions</b>	<b>Source of evidence for findings and conclusions</b>
D. The MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible.	6. Do you think the MOPAN approach should be adjusted to allow comparison of development and organisational performance between multilateral organisations, where possible?	<p><i>Strong reservations about use as a comparison, on two grounds:</i></p> <ul style="list-style-type: none"> <li>A. <i>Firstly, the perceptions survey is seen as pseudo-science and UNHCR has many misgivings about the methodology and lack of interaction with both HQ and country staff, and operations.</i></li> <li>B. <i>Secondly, the choice of a comparator is problematical. ICRC is possibly the only direct comparison, but doesn't operate within the aegis and constraints of the UN system (it is included in both DFID MAR and Australia AMA). Next would be the refugee feeding work of WFP and after that similar work on WSS and nutrition by UNICEF. Yet both these latter are seen as very different organisations.</i></li> </ul>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
E. There is clear evidence that challenges and opportunities to improve organisational effectiveness identified in MOPAN assessments have been reflected in multilateral organisations' subsequent reform strategies.	7. Can you identify an instance where a conclusion from an assessment had what was in your view an important contributory or causal effect on the concerned multilateral's overall corporate or reform strategies?	<p><u>Response: Yes/No</u></p> <p><i>A weak YES or slight NO.</i></p> <p><i>MOPAN brought little or nothing new, but it provided fresh independent documentation and quantified aspects of the programme where some gaps still exist. It is likened to an audit, discussing issues with disinterested parties which appeals to independence of evidence.</i></p> <p><i>The counterfactual is that the changes would have happened anyway, perhaps with some slightly different emphasis in one area (see Major Issue F below).</i></p> <p><i>The main issue was the finding on erratic policy about presenting and publishing country plans, which suffer from diverse formats and quality. Respondents see the MOPAN Assessment as being correlated with UNHCR's work going forward, not causal.</i></p>
	8. Was the timing of the MOPAN assessment cycle conducive to the actual use of the reports?	<p><u>Response: Yes</u></p> <p><i>Timing was good. MOPAN came towards the end of a 4-5 year reform process initiated by the High Commissioner so many of the issues raised were well known and being dealt with to some extent. MOPAN was helpful in bringing an external assessment to bear at this time. It coincided with a period of aid reviews and fitted well into the stream of work in UNHCR.</i></p>
	9. Are the MOPAN reports issued in time to feed into strategic discussions between donors and multilateral organisations?	<p><i>Not really relevant to UNHCR. UNHCR receives only small core funding; most money is allocated for specific operations and fund raising takes place more or less continuously. But timing was good in reference to a wider cycle of reform, noted above.</i></p> <p><i>There is a sense that it mattered more to the Nordic group, for whom MOPAN gave a firm and qualitative justification to continue funding.</i></p>

Major Issue	Sub-questions	Source of evidence for findings and conclusions																								
F. Multilateral organisations use the MOPAN reports to improve their performance	10. Do you think that the MOPAN approach has reduced the number of bilateral assessments of your organisation?	<p><u>Response: No</u></p> <table border="1" data-bbox="658 368 1568 675"> <thead> <tr> <th>Year</th> <th>Donor assessment of UNHCR</th> <th>Topic/purpose/use</th> </tr> </thead> <tbody> <tr> <td>2010</td> <td>Sweden</td> <td>?</td> </tr> <tr> <td>2011</td> <td>Netherlands</td> <td>Scorecards</td> </tr> <tr> <td></td> <td>UK</td> <td>MAR</td> </tr> <tr> <td></td> <td>Belgium</td> <td>?</td> </tr> <tr> <td></td> <td>Norway</td> <td>Information sheets</td> </tr> <tr> <td>2012</td> <td>Denmark</td> <td>Part of a review of 17 MO</td> </tr> <tr> <td></td> <td>Australia</td> <td>AMA</td> </tr> </tbody> </table> <p><i>In discussion, observations were made that bilateral assessments could be coordinated more effectively to avoid unnecessary pressures on UNHCR staff time; and there is a sense that bilateral donors don't necessarily recognise UNHCR's mandate for protection and solutions in both developing and industrialised regions of the world.</i></p>	Year	Donor assessment of UNHCR	Topic/purpose/use	2010	Sweden	?	2011	Netherlands	Scorecards		UK	MAR		Belgium	?		Norway	Information sheets	2012	Denmark	Part of a review of 17 MO		Australia	AMA
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11. To what extent do you think that the MOPAN approach, with its reliance on key performance indicators, has produced a reliable assessment of your organisation's effectiveness?	<p><u>Response: Not very</u></p> <p><i>The KPI were changed extensively to fit with the mandate and operations of a humanitarian agency. See box.</i></p> <table border="1" data-bbox="658 970 1568 1169"> <tr> <td>4 KPI were changed in their entirety, one in each quadrant. Including these, the number and percentage of re-specified MI by quadrant was: Quadrant I: Strategic Management 12 out of 21 MI (57%) Quadrant II: Operational Management 9 out of 30 MI (30%) Quadrant III: Relationship Management 15 out of 23 MI (65%) Quadrant IV: Knowledge Management 3 out of 11 MI (27%)</td> </tr> </table> <p><i>Respondents had little familiarity with the KPI and they have not been taken up in any way by the organisation. This may have been because the work appears to have been done largely by a previous staff member in Evaluation (Dutch secondee - Yvonne) who has subsequently left. Otherwise staff interviewed are not very familiar with the KPI and consider that despite the KPI being changed the overall findings lack a 'humanitarian' perspective to them.</i></p>	4 KPI were changed in their entirety, one in each quadrant. Including these, the number and percentage of re-specified MI by quadrant was: Quadrant I: Strategic Management 12 out of 21 MI (57%) Quadrant II: Operational Management 9 out of 30 MI (30%) Quadrant III: Relationship Management 15 out of 23 MI (65%) Quadrant IV: Knowledge Management 3 out of 11 MI (27%)																								
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		<p><i>The assessment is seen as fair; but rather bland/generic UN in terms of the recommendations.</i></p> <p><b>Comments from the independent Peer Reviewer on the indicators:</b></p> <p><b>2d. Are the indicators used for the assessment appropriate and helpful for understanding UNHCR’s organisational effectiveness?</b></p> <p><i>A review by this author of the indicators used in a non-humanitarian agency covered by MOPAN in 2011 (UNEP) demonstrates that attempts have been made to tailor the indicators in the UNHCR assessment to include indicators related to humanitarian principles and the cluster system. Given that this is the first assessment of a humanitarian agency under MOPAN, this is a reasonable start. However, for further assessments indicators for humanitarian agencies, and the overall review, MOPAN needs to engage more fully with two areas:</i></p> <ul style="list-style-type: none"> <li>➤ <i>Changes in the humanitarian system over the last 7-8 years, including relating to protection</i></li> <li>➤ <i>Whether RBM, risk, planning and human resource related indicators should be the same for humanitarian as non-humanitarian organizations, given their different modes of operation</i></li> </ul> <p><i>The methodology needed to engage with some of the recent discussions and findings related to humanitarian reform, i.e. whether humanitarian reform has made a difference since its introduction in terms of leadership, clusters, and coordination; for future assessments it may be feasible to take the main principles of humanitarian reform and base indicators on this.</i></p> <p><i>The KPI on humanitarian principles has four MIs, only two of which directly relate to humanitarian principles. Given that protection of persons of concern is UNHCR’s central mandate, there should have been more focus on this, particularly at country level. There are only two micro-indicators on protection, both of which are quite general. Other areas that could have been covered are: whether there is a common understanding of what protection means; whether UNHCR has kept up to date with debates about protection and these have been integrated into programming; whether Country Representatives have adequate capacity to discuss protection issues with counterparts; whether UNHCR guidance on protection is being used as planned; whether humanitarian needs are being adequately met and the implications of this for protection; and whether UNHCR has adequate staffing in terms of protection officers who are trained. Questions about humanitarian space – one of the most important areas of discussion in humanitarian action in the last 10 years – could have been explored in a more open-ended fashion at country level.</i></p> <p><i>The question of leadership, which has been central to discussions of humanitarian action recently, could have been explored further than the current indicator on leadership for RBM. The survey could have included questions on leadership in emergency settings, and more questions at the country level on the cluster system. There have been a lot of NGO and government concerns about the cluster approach, and there are critiques of UNHCR in evaluations of humanitarian reform. There are also lessons learned reports in UNHCR which could have been used.<sup>33</sup></i></p>
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<sup>33</sup> For example: <http://www.odihpn.org/humanitarian-exchange-magazine/issue-45/humanitarian-reform-a-progress-report>; Tennant, V. (2009): “UNHCR’s engagement with integrated UN missions. Report of a lessons learned Workshop”; <http://fex.enonline.net/38/review.aspx>; IASC (2010) Cluster Approach Evaluation, Phase 2. Geneva: IASC.

		<p><i>There is almost no discussion of IDPs and there should be specific indicators related to IDPs, given UNHCR's mandate. Indicators could have been included in relation to strategic planning and mandate, whether there have been significant changes in the last 5 years (after the IASC IDP evaluation), levels of staff expertise, how far IDPs are participating in planning, leadership and the IDPs under the cluster approach.</i></p> <p><i>Several of the other indicators are also not adequately adapted to humanitarian action and the specifics of UNHCR. There are no indicators related to the age, gender and diversity strategy, which has been one of the main attempts to transform the culture with the organisation in the last 5-6 years; and no indicators related to participatory assessments and their follow-up which have been a major institutional change. M1 13.8 relates to capacity development of local partners, but what kinds of capacity development is a humanitarian agency meant to undertake? In terms of RBM, can the same indicators be applied to a humanitarian organization working in a highly complex and rapidly changing political and security situation (maybe about 50% of the countries where UNHCR works) as a development bank or UNEP? Most of the indicators on risk relate to financial management, rather than the risks involved in working in complex environments and what that means for strategic planning and reporting.</i></p> <p><i>In short, the approach is too cookie-cutter, there is probably too much focus on general systems, and more humanitarian expertise was needed in developing the indicators and in bringing in the wider debate about humanitarian reform. (Beck)</i></p>
	<p>12. How did your organisation respond to the common assessment?</p> <ul style="list-style-type: none"> <li>• Reports tabled at the Executive Board or Governing Council</li> <li>• Communicated to staff</li> <li>• Management makes formal response</li> <li>• Reports made back to governing body on management response (Yes/No)</li> </ul>	<p><u>Response: No</u></p> <p><i>Response was NO to all categories listed here. The Assessment may have been mentioned in an Executive Committee meeting but was not tabled as a formal document.</i></p> <p><i>The work was taken very seriously in part owing to Norway being in the lead role. The 16 MOPAN members account for approximately 57% of UNHCR funding. It would have been taken even more seriously if the USA had been a member (27% of funding).</i></p> <p><i>A lot of energy was taken up in responding to the draft assessment, especially to correct errors arising from the document review (See Annex 4). (This is acknowledged as a learning process and has led to improvements especially in updating and making documents available. These are seen a bit as 'front window' changes, helping to make the organisation more understandable from the outside rather than changing procedures or ways of working.)</i></p> <p><i>The formal management response was limited to a one-page acknowledgement of the Assessment with no commitment to follow-up, mainly because there was a sense that the issues raised were already well known. There is a view that the lack of a more detailed response was an error/omission and likely would be done on a future occasion.</i></p>
	<p>13. Has the assessment of your</p>	<p><u>Response: Yes (weak)</u></p>

	<p>organisation been used for any of the following purposes?</p> <ul style="list-style-type: none"> <li>• Refinement of your organisation or reform strategy</li> <li>• Learning within your organisation</li> <li>• Reforms to operations and management</li> <li>• Improving performance management</li> </ul>	<p><i>No explicit use made of the Assessment and no written material after the presentation to UNHCR in November 2012. Respondents are uncertain whether or not a document was sent out to the field about issues...</i></p> <p><i>Two specific changes were <u>associated</u> with the MOPAN findings but respondents stress that reforms were already underway:</i></p> <ul style="list-style-type: none"> <li>• <i>Development of a new Enterprise Risk Initiative</i></li> <li>• <i>A new Policy concerning country operational plans</i></li> </ul> <p><i>The one area that all respondents remarked on concerns the country plans. Owing to wide variations in format, content and quality, the decision to make public was selective and limited. Under the new policy this is to change and already 25 out of around 80 will be fully transparent and published by September 2013.</i></p> <p><i>Going forward, UNHCR is looking to continue to strengthen financial and project controls and to improve the quality of reporting. For example, evaluations had tended to become broader and more thematic; whereas there is a move to emphasis evaluation of country programmes more.</i></p>
	<p>14. Were the demands on time of your staff for the MOPAN assessment proportionate?</p>	<p><u>Response: Yes</u></p> <p><i>No comment</i></p>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
<p>G. The MOPAN Common Approach has reduced the growth in bilateral assessment systems.</p>	<p>15. If MOPAN didn't exist, would you advocate that something similar be established?</p>	<p><u>Response: Don't know</u></p> <p><i>It has had little impact on UNHCR and no pressure for more comparative analysis.</i></p>
	<p>16. Has the MOPAN Common Assessment contributed within your organisation</p>	<p><u>Response: No</u></p> <p><i>May even be some evidence that demands from some donors (e.g. DFID) have actually increased. Donors continue to make extensive (and excessive) demands. DFID was noted as the most intense from this point of view. DFID's MAR is seen to be associated mainly with their core contribution; each specific operational funding is negotiated separately with</i></p>

	<p>to reducing the need for your own assessments of multilateral performance?</p>	<p><i>a business case, logframe etc. Mostly there is a positive outcome but the transaction costs are huge. The Resource Mobilisation Service needs to allocate one person full time to meet DFID's needs, whereas only one person is needed to deal with the USA which gives ten times as much money (US\$900m) to UNHCR compared with DFID (US\$85m). The USA has a framework agreement, like an exchange of letters. Canada and Australia are both significant donors but much lighter in their demands for information than DFID.</i></p> <p><i>Other donors have specific agenda to deal with. For example Canada and the elderly; Finland and disabled people. Concerns about SGBV started with the USA but is now seen as a common interest. UNHCR feel that the ability to respond has not grown as fast as demands arise from donors. Part of the problem is that UNHCR sees itself as a field implementation organisation; there is no culture of reporting and these abilities do not feature highly in staff profiles. By comparison, they believe UNICEF has 15 people dealing with reporting to every 1 in UNHCR.</i></p> <p><i>On a more positive note, both the USA and DFID have staff appointed in a humanitarian coordination role around the world and engage closely with UNHCR.</i></p>
	<p>17. How does the credibility of MOPAN assessments of an organisation's effectiveness rate when compared with assessments made within your own organization or under other assessment external processes (such as QuODA).</p>	<p><i>UNHCR received quite a favourable assessment under MOPAN, DFID MAR (very resource intensive) and Australian AME. To some extent the assessments are cross-referencing.</i></p> <p><i>DFID's assessment was 'Good' on a scale of Poor; Adequate; Good; Very good</i></p> <p><i>Australia's assessment placed UNHCR is the top of four classes described as "rate(d) as very strong or strong across most (at least six) of the seven AMA components and not rated as weak against any component. With these organisations, the Australian Government can have a high degree of confidence that increases in core funding will deliver tangible development benefits in line with Australia's development objectives, and that the investment will represent good value for money."</i></p> <p><i>UNHCR not assessed under EvalNet or QuODA</i></p>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
K. The assessments presented in MOPAN reports	18. Do you think that the quality/credibility of MOPAN	<p><u>Response: No</u></p> <p><i>Strong criticism of the arms-length approach. UNHCR interaction was only with Norway (lead) and the Secretariat. No visit to HQ by the consultants; lack of interviews with senior management; feel it is a 'perverse' methodology not to go to the field with such</i></p>

present credible assessments based on the transparent presentation of evidence.	assessments is high?	<i>an operational organisation. Feel consultants should have reviewed documents then held interviews to discuss. UNHCR pointed out a number of dated documents were reviewed and had to be updated.</i>
	19. Were the consultants hired to do the assessments been able to work in an independent and credible manner?	<i>No evidence one way or another.</i>
	20. Do the reports present the right material in a transparent way? <ul style="list-style-type: none"> <li>• Clarity and Representativeness of Summary</li> <li>• Context</li> <li>• Validity and Reliability of Information Sources described</li> <li>• Explanation of the Methodology Used</li> <li>• Clarity of Analysis</li> <li>• Questions Answered</li> <li>• Acknowledgement of Changes and Limitations</li> <li>• Acknowledgement of Disagreements within the Team</li> <li>• Incorporation of Stakeholders'</li> </ul>	<p>Comments from the independent Peer Reviewer:</p> <p><b><i>Is the institutional report convincingly robust, evidence-based, and credible in the context of MOPAN's goals?</i></b></p> <p><b>1. Overall assessment</b>  <i>The report is of reasonable quality. It presents the data gathered in a clear fashion, and the methodology, with the exception of details on country visits, is well set out. The report is to a large extent evidence based, with some exceptions noted below. The conclusions are for the most part well backed up by data. Where it uses internal reviews and evaluations, this is done well to support the evidence.</i></p> <p><i>However for much of the report the level of analysis is relatively superficial, with a tendency to repeat in the narrative the details of the tables and figures, rather than analysing the results. More sophisticated analysis of the data, which does appear at times, would have been useful for MOPAN and UNHCR.</i></p> <p><i>For example, a key area in humanitarian action is supporting and utilising local capacity. Most of UNHCR's work is carried out through implementing partners, particularly NGOs. However, the only information in the report is as follows (MI 13.7 – Sufficient use of local capacities): "Overall, all respondent groups agreed that UNHCR sufficiently uses local capacities." (MI 13.8 – Capacity development of local partners undertaken): "All respondent groups rated UNHCR as adequate in providing capacity development for local partners." This is an important area that could be further investigated at country level.</i></p> <p><b>2. Methodology</b>  <i>The transparent and well developed methodology adds to the credibility of the report in terms of the survey and document review. UNHCR's responses appear to have been taken into account in revisions to the report, and that changes have been made should be noted as this is standard practice.</i></p> <p><i>The main gap is that the report focus and indicators (discussed further below) are not sufficiently adapted to the humanitarian context, in particular humanitarian reform and UNHCR's protection mandate. While exploring issues related to risk management, RBM, and strategic planning is useful, the report needs to engage much more with what organizational effectiveness means in the humanitarian context.</i></p>



	<p>Comments</p> <p>Does the analysis have a high level of utility:</p> <ul style="list-style-type: none"> <li>• Enables learning from outliers</li> <li>• Copes with normative functions/ controversial issues</li> <li>• Reveals differences between the de jure/ de facto situation</li> </ul>	<p><i>Weak on all these three aspects. Some work on 'compliance' with policies is done by the evaluation unit (report 'The implementation of UNHCR's Policy on Refugee Protection and Solutions in Urban Areas').</i></p>
	<p>21. Does the best fit approach to rating/ calibrating performance against individual KPIs add credibility?</p>	<p><i>Not aware of the 'Best Fit' approach.</i></p>
	<p>22. What opportunities to simplify the methodology, without decreasing credibility, exist?</p>	<ul style="list-style-type: none"> <li>- <i>Selection of countries</i></li> <li>- <i>Sequence review of documentation then discussions prior to country visits</i></li> <li>- <i>Face to face interaction with senior HQ staff to understand the organisation</i></li> <li>- <i>Visits to field operations.</i></li> </ul>

Major Issue	Sub-questions	Source of evidence for findings and conclusions
M. The Common Approach has been efficiently implemented as planned	23. Are annual timelines for implementation set out in the Implementation Guides met in practice?	Yes
	24. If timelines have not been met, what do you think have been the major factors causing delays?	N/A
	25. Can you list three ways in which MOPAN could improve its effectiveness?	<p><i>Fundamental weakness of perception surveys</i></p> <p><i>Need for country visits (but recognise that MO would complain even more)</i></p> <p><i>Meeting staff at HQ</i></p> <p><i>Take account of the sometimes complicated relationship with the host government.</i></p> <p><i>There may be scope to look at results against the UNHCR Global Strategic Priorities (see website).</i></p> <p><i>Donor interests are said to be shifting to a 'transformative agenda' (see OCHA website) intended to make the UN system agencies more efficient. There could be scope for MOPAN to take a more analytical approach to the humanitarian response in a setting (e.g. the recent situation in Chad where problems include drought, refugees, IDP etc.)</i></p>

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## 6.5 References

### *List of those consulted*

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Universalialia (2012) Lessons Learned from Development Results Pilot – MOPAN 2012  
Universalialia (n.d.) RESPONSE TO UNHCR'S DETAILED COMMENTS ON THE MOPAN DRAFT REPORT

## 6.6 Quality of the 2012 Assessment Report

There are no internationally agreed standards that can be used to assess whether the reports present the right material in a transparent way. We have therefore used the standards for evaluation reports (pages 26-28) outlined in OECD (2012) Evaluating Development Co-Operation: Summary Of Key Norms And Standards. OECD DAC Network on Development Evaluation. Second Edition.<sup>34</sup>

Criteria for assessment	Standard for assessment, evidence, and conclusion
1. Clarity and Representativeness of Summary	<p><b>Standard assessed against:</b> <i>The written report contains an executive summary. The summary provides an overview of the report, highlighting the main findings, conclusions, recommendations and any overall lessons.</i></p> <p><b>Evidence:</b> The report includes an Executive Summary which includes an overview of the report and high-lights both the major findings and conclusions. MOPAN assessments differ from evaluations in that they don't include explicit recommendations for either the MOPAN members or the multilateral assessed. Areas where performance/systems are assessed as inadequate or weak are however flagged in the overall summary of MOPAN ratings included in the executive summary, so indicating areas for attention.</p> <p><b>Conclusion: Meets standard</b></p>
2. Context	<p><b>Standard assessed against:</b> <i>The report identifies and assesses the influence of the context on the performance of the agency.</i></p> <p><b>Evidence:</b> The methodology states that both the documentary review and interview process at the multilateral's HQ are used to gain an understanding of the context in which the agency is working, as well as how decisions are made. In the event that survey data present a picture that is very different from the document review, information from interviews can help clarify how the multilateral organisation approached a certain issue. However, if context is understood to mean the wider environment within which UNDP operates, and which affects both what it can and can't do, and how well, neither Volume 1 or 2 of the report includes an explicit discussion of such issues. The main gap is that the report focus and indicators are not sufficiently adapted to the humanitarian context, in particular humanitarian reform and UNHCR's protection mandate. While exploring issues related to risk management, RBM, and strategic planning is useful, the report needs to engage much more with what organizational effectiveness means in the humanitarian context.</p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
3. Intervention Logic	<p><b>Standard assessed against:</b> <i>The report describes and assesses the intervention logic or theory, including underlying assumptions and factors affecting the success of the organisation being assessed.</i></p> <p><b>Evidence:</b> The Common Assessment methodology is not explicitly a theory based approach. The KPIs and MIs used for the organisational effectiveness assessment and the systems and approaches that are looked for as part of the development effectiveness component can be understood as reflecting a tacit theory of what should be in place. The major gap is that the tacit theory does</p>

<sup>34</sup> <http://www.oecd.org/dac/evaluation/dcdndep/41612905.pdf>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>not touch the linkage between organisational and developmental effectiveness. UNHCR has been involved in development of theory-based approaches, most notably in a recent evaluation conducted jointly with WFP, so this approach could be explored in future assessments.<sup>35</sup></p> <p><b>Conclusion: Doesn't meet standard, but also not part of the methodology.</b></p>
<p><b>4. Validity and Reliability of Information Sources described</b></p>	<p><b>Standard assessed against:</b> <i>The evaluation report describes the sources of information used (documents, respondents, administrative data, literature, etc.) in sufficient detail so that the adequacy of the information can be assessed. The evaluation report explains the selection of case studies or any samples. Limitations regarding the representativeness of the samples are identified. The assessment cross-validates the information sources and critically assesses the validity and reliability of the data. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants.</i></p> <p><b>Evidence:</b> Volumes 1 and 2 of the report meticulously set out details of the survey responses and which were the major documents used as part of the documentary review. In terms of the adequacy of the sample data, Volume 2 sets out the % rates for Don't know responses. The way the statistics are presented it is not easy to see the number of non-responses and don't know responses for each indicator.</p> <p>To some extent, ratings derived from documentary reviews are in themselves ratings of the presence or absence of expected documents and their contents. Complete lists of interviewees and other information sources consulted are included in the report, to the extent that this does not conflict with the privacy and confidentiality of participants. Limitations of the sample are discussed under limitations, where it states:</p> <ul style="list-style-type: none"> <li>C. The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations.</li> <li>D. The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.</li> <li>E. The document review component works within the confines of an organisation's disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.</li> <li>F. Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g., survey questions referring to internal operations of the organisation, such as financial accountability and delegation of decision-making, seem difficult for many respondents, who frequently answer 'don't</li> </ul>

<sup>35</sup> WFP and UNHCR (2013) *Synthesis report of the Joint WFP and UNHCR Impact Evaluations on the contribution of Food Assistance to Durable Solutions in Protracted Refugee Situations.*

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>know.’) Third, a large number of ‘don’t know’ responses may imply that respondents did not understand certain questions.</p> <p>G. The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment.</p> <p>H. One potential limitation is ‘central tendency bias’ (i.e., a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.</p> <p>I. Because one of MOPAN’s intentions is to merge previously existing assessment tools into one, and to forestall the development of others, the survey instrument remains quite long.</p> <p><b>Conclusion: Meets standard</b></p>
<p><b>5. Explanation of the Methodology Used</b></p>	<p><b>Standard assessed against:</b> <i>The report describes and explains the methodology and its application. The report acknowledges any constraints encountered and how these have affected the assessment, including the independence and impartiality of the assessment. It details the techniques used for data collection and analysis. The choices are justified and limitations and shortcomings are explained.</i></p> <p><b>Evidence:</b> The methodology explained in detail in Annex 1 of Volume 2, where choices are justified and limitations and shortcomings are explained. Generic strengths and weaknesses of the approach are described both in Volumes 1 (Section 2.4) and Volume 2 (Appendix I, Section 5). However, no discussion in the report of whether any constraints particular to this assessment were encountered and how these might have affected the assessment, including the independence and impartiality of the assessment.</p> <p>A key feature of the UNHCR Assessment was the modification of KPI/MI to take account of humanitarian issues. This was carried out in conjunction with UNHCR but owing to a combination of factors include movement of staff, UNHCR staff have a low level of familiarity with the revised indicators and have not adopted them for any performance reporting.</p> <p>The Independent Peer Review had the following comments about the indicators: <i>A review by this author of the indicators used in a non-humanitarian agency covered by MOPAN in 2011 (UNEP) demonstrates that attempts have been made to tailor the indicators in the UNHCR assessment to include indicators related to humanitarian principles and the cluster system. Given that this is the first assessment of a humanitarian agency under MOPAN, this is a reasonable start. However, for further assessments indicators for humanitarian agencies, and the overall review, MOPAN needs to engage more fully with two areas:</i></p> <ul style="list-style-type: none"> <li>➤ <i>Changes in the humanitarian system over the last 7-8 years, including relating to protection</i></li> <li>➤ <i>Whether RBM, risk, planning and human resource related indicators should be the same for humanitarian as non-humanitarian organizations, given their different modes of operation</i></li> </ul> <p><i>The methodology needed to engage with some of the recent discussions and findings related to humanitarian reform, i.e. whether humanitarian reform has made a difference since its introduction in terms of leadership, clusters, and coordination; for future assessments it may be feasible to take the main principles of humanitarian reform and base indicators on this.</i></p> <p><i>The KPI on humanitarian principles has four MIs, only two of which directly relate to humanitarian principles. Given that protection of persons of concern is UNHCR’s central mandate, there should have been more focus on this, particularly at country level. There are only two micro-indicators on protection, both of which are quite general. Other areas</i></p>

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><i>that could have been covered are: whether there is a common understanding of what protection means; whether UNHCR has kept up to date with debates about protection and these have been integrated into programming; whether Country Representatives have adequate capacity to discuss protection issues with counterparts; whether UNHCR guidance on protection is being used as planned; whether humanitarian needs are being adequately met and the implications of this for protection; and whether UNHCR has adequate staffing in terms of protection officers who are trained. Questions about humanitarian space – one of the most important areas of discussion in humanitarian action in the last 10 years – could have been explored in a more open-ended fashion at country level.</i></p> <p><i>The question of leadership, which has been central to discussions of humanitarian action recently, could have been explored further than the current indicator on leadership for RBM. The survey could have included questions on leadership in emergency settings, and more questions at the country level on the cluster system. There have been a lot of NGO and government concerns about the cluster approach, and there are critiques of UNHCR in evaluations of humanitarian reform. There are also lessons learned reports in UNHCR which could have been used.<sup>36</sup></i></p> <p><i>There is almost no discussion of IDPs and there should be specific indicators related to IDPs, given UNHCR’s mandate. Indicators could have been included in relation to strategic planning and mandate, whether there have been significant changes in the last 5 years (after the IASC IDP evaluation), levels of staff expertise, how far IDPs are participating in planning, leadership and the IDPs under the cluster approach.</i></p> <p><i>Several of the other indicators are also not adequately adapted to humanitarian action and the specifics of UNHCR. There are no indicators related to the age, gender and diversity strategy, which has been one of the main attempts to transform the culture with the organisation in the last 5-6 years; and no indicators related to participatory assessments and their follow-up which have been a major institutional change. M1 13.8 relates to capacity development of local partners, but what kinds of capacity development is a humanitarian agency meant to undertake? In terms of RBM, can the same indicators be applied to a humanitarian organization working in a highly complex and rapidly changing political and security situation (maybe about 50% of the countries where UNHCR works) as a development bank or UNEP? Most of the indicators on risk relate to financial management, rather than the risks involved in working in complex environments and what that means for strategic planning and reporting.</i></p> <p><i>In short, the approach is too cookie-cutter, there is probably too much focus on general systems, and more humanitarian expertise was needed in developing the indicators and in bringing in the wider debate about humanitarian reform.</i></p> <p><b>Conclusion: Mostly meets the standard. Incorporation of humanitarian indicators appears to need re-examination in any subsequent assessment. Note that discussion of limitations and constraints is generic and not focused on this particular assessment.</b></p>
<p><b>6. Clarity of Analysis</b></p>	<p><b>Standard assessed against:</b> <i>The report presents findings, conclusions, recommendations and lessons separately and with a clear logical distinction between them. Findings flow logically from the analysis of the data, showing a clear line of evidence to support the conclusions. Conclusions are substantiated by findings and analysis. Recommendations and any lessons follow logically from</i></p>

<sup>36</sup> For example: <http://www.odihpn.org/humanitarian-exchange-magazine/issue-45/humanitarian-reform-a-progress-report>; Tennant, V. (2009): “UNHCR’s engagement with integrated UN missions. Report of a lessons learned Workshop”; <http://fex.enonline.net/38/review.aspx>; IASC (2010) Cluster Approach Evaluation, Phase 2. Geneva: IASC.

Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p><i>the conclusions. Any assumptions underlying the analysis are made explicit.</i></p> <p><b>Evidence:</b> While the logic of the linkage between evidence and findings and conclusions is clear, in practice the clear line of evidence cannot always be easily seen. Difficulties lie in three places. First, for the surveys, weighted ratings are developed, because of the differing response rates from different stakeholder groups etc. It is difficult to check easily the degree to which the weighting of responses leads to a significant difference in the rating compared with the raw scores. Second, for the development effectiveness component, the methodology states that a best fit approach is used for rating. This is described as following in the methodology section: <i>The development results component’s Key Performance Indicators draw on a set of questions or criteria. The Assessment Team uses a “best fit approach,” which is a type of criteria-referenced basis for judgment that is more suitable when: criteria are multi-dimensional, there is a mix of both qualitative and quantitative data, and it is not possible to calculate a simple sum of the data points. This approach is highly consultative (with institutional advisors, a panel of experts and the MOPAN network) and relies on consensus in the determination of ratings.</i> The problem is that this best fit process is not systematically documented, and therefore the basis for getting from the individual ratings to the composite KPI rating is untransparent.</p> <p>UNHCR raised a number of issues in their comments on the draft of the report related to clarity of analysis and presentation with particular reference to documentary reviews being based on outdated documents that were not first confirmed as current with UNHCR officials.<sup>37</sup></p> <p><b>Conclusion: Mostly meets the standard, but note that instances of a lack of clarity at key stages in the analysis</b></p>
<p><b>7. Acknowledgement of Changes and Limitations</b></p>	<p><b>Standard assessed against:</b> <i>The report explains any limitations in process, methodology or data, and discusses validity and reliability. It indicates any obstruction of a free and open process which may have influenced the findings. Any discrepancies between the planned and actual implementation and products are explained.</i></p> <p><b>Evidence:</b> In cases for the documentary review where there was insufficient data to provide a rating, this has been clearly stated in discussion of the relevant KPI. The report also flags instances where the number of don’t know responses was particularly significant. There was no discussion of whether there was any obstruction to a free and open process which may have influenced the findings, although review of the background documentation suggests that this was not an issue. The report includes no discussion of whether implementation issues had any effect upon the assessment or what was produced.</p> <p><b>Conclusion: Mostly met but instances where not met may simply reflect fact that not required of the authors.</b></p>
<p><b>8. Acknowledgement of Disagreements within the Team</b></p>	<p><b>Standard assessed against:</b> <i>Team members have the opportunity to dissociate themselves from particular judgements and recommendations on which they disagree. Any unresolved differences of opinion within the team are acknowledged in the report.</i></p> <p><b>Evidence:</b> Those drafting the report were not explicitly asked to record this, if it</p>

<sup>37</sup> See Response To UNHCR’s Detailed Comments On The Mopan Draft Report



Criteria for assessment	Standard for assessment, evidence, and conclusion
	<p>happened.</p> <p><b>Conclusion: Not met, but may reflect fact that not required of authors.</b></p>
<p><b>9. Incorporation of Stakeholders' Comments</b></p>	<p><b>Standard assessed against:</b> <i>Relevant stakeholders are given the opportunity to comment on the draft report. The final evaluation report reflects these comments and acknowledges any substantive disagreements. In disputes about facts that can be verified, the evaluators investigate and change the draft where necessary. In the case of opinion or interpretation, stakeholders' comments are reproduced verbatim, in an annex or footnote, to the extent that this does not conflict with the rights and welfare of participants.</i></p> <p><b>Evidence:</b> UNHCR highlighted fifteen sets of issues concerning the analysis and provided seventeen supporting annexes detailing revised documentation or explain issues that they felt had not been fully understood. A document detailing responses by the Assessment team indicates how each point was dealt with. There is no evidence of subsequent dissatisfaction with the Assessment and the edited or footnoted changes</p> <p><b>Conclusion: Fully met.</b></p>