

MOPAN ASSESSMENT GUIDANCE

MOPAN Adapted Framework for MOs working in Crises

This report is published under the responsibility of the Multilateral Organisation Performance Assessment Network (MOPAN). MOPAN is an independent body that is governed by a Steering Committee composed of representatives of all of its member countries and served by a permanent Secretariat. The Secretariat is hosted at the Organisation for Economic Co-operation and Development (OECD) and bound by its administrative rules and procedures and is independent in terms of financing and the content and implementation of its work programme.

This document, as well as any data and any map included herein, are without prejudice to the status of or sovereignty over any territory, to the delimitation of international frontiers and boundaries and to the name of any territory, city or area.

Please cite this publication as: Multilateral Organisation Performance Assessment Network (MOPAN), (2022), MOPAN Adapted Framework for MOs Working in Crises, Paris.

Acknowledgements

The design of this framework was conducted by the Multilateral Organisation Performance Assessment Network (MOPAN) under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Rachel Scott, Senior Policy Advisor.

The work was carried out under the guidance of the MOPAN Humanitarian Advisory Group, and the Secretariat is very grateful to this group for their advice and comments: Marc Banzet (Canada), Juan Luis Coderque Galligo (ICRC), Jean Marc Cordaro (UK), Marcus Cox (Agulhas Applied Knowledge), Susan Dragan (Canada), Edo Driessen (Netherlands), Susan Fraser (Ireland), Greg Garramore (US Department of State), Tessa Jean-Pierre (USAID), Ulan Kerimbaev (IOM), David Knight (IOM), Susan Kyle (US Department of State), Ashley McLaughlin (USAID), Alix Masson (NEAR), Vicki Metcalfe-Hough (ODI), Cindy Munroe (Canada) Mara Pilinger (USAID), Laura Powers (USAID), Cecilia Roselli (NRC), Marta Valdez (Oxfam), and Andri Van Mens (Netherlands).

Table of contents

| | |
|---|-----|
| Acknowledgements | iii |
| Acronyms and Abbreviations | 5 |
| Introduction | 7 |
| Process | 9 |
| Part 1: Full adapted framework | 12 |
| Performance Area 1: Strategic Management | 14 |
| Performance Area 2: Operational Management | 16 |
| Performance Area 3: Relationship management | 23 |
| Performance Area 4: Performance management | 28 |
| Performance Area 5: Results | 30 |
| Part 2: “Add on” indicator package | 34 |

Acronyms and Abbreviations

| | |
|----------------------|--|
| <i>AAP</i> | Accountability to Affected Populations |
| <i>COHAFA</i> | Committee on Humanitarian Aid and Food Aid (European Union) |
| <i>DAC</i> | Development Assistance Committee (of the OECD) |
| <i>EBRD</i> | European Bank for Reconstruction and Development |
| <i>EIB</i> | European Investment Bank |
| <i>FAO</i> | Food and Agriculture Organization of the United Nations |
| <i>HCT</i> | Humanitarian Country Team |
| <i>HDP</i> | Humanitarian Development Peace |
| <i>HQ</i> | Headquarters |
| <i>HR</i> | Human Resources |
| <i>IASC</i> | Inter Agency Standing Committee |
| <i>IDA19</i> | International Development Association 19 th replenishment |
| <i>IDP</i> | Internally Displaced Person (People) |
| <i>IFI</i> | International Financial Institution |
| <i>IMF</i> | International Monetary Fund |
| <i>KPI</i> | Key Performance Indicator |
| <i>MI</i> | Micro Indicator |
| <i>MO</i> | Multilateral Organisation |
| <i>MOPAN</i> | Multilateral Organisation Performance Assessment Network |
| <i>MPTF</i> | Multi Partner Trust Fund |

| | |
|---------------|--|
| NGO | Non-Governmental Organisation |
| ODA | Official Development Assistance |
| OECD | Organisation for Economic Co-operation and Development |
| RBM | Results Based Management |
| SEA | Sexual Exploitation and Abuse |
| SH | Sexual Harassment |
| SOP | Standard Operating Procedures |
| UN | United Nations |
| UNICEF | United Nations Children's Fund |
| USD | United States Dollar |

Introduction

Aspiration

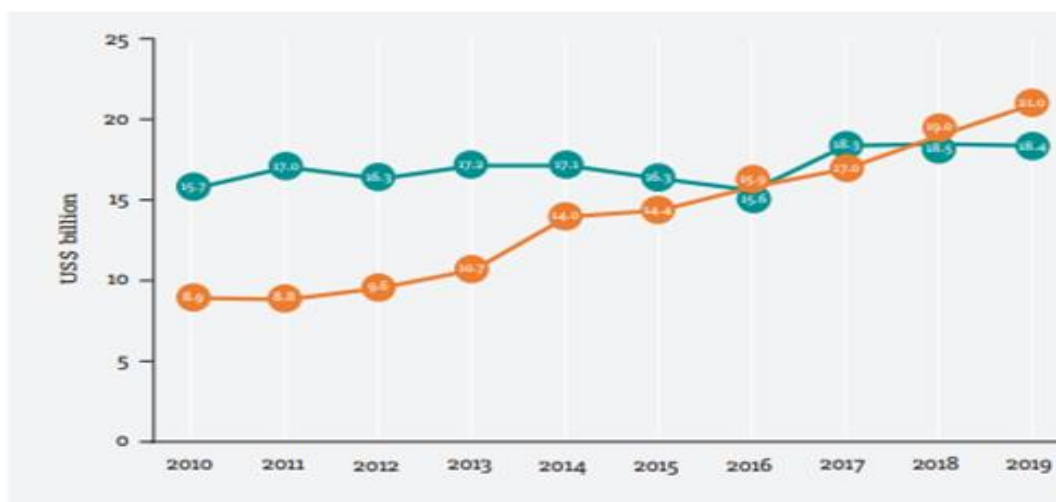
MOPAN's aspiration is to deliver a more fit for purpose assessment for multilateral organisations working in crisis contexts. The adapted framework that underpins that assessment – outlined in this document - should reflect the due diligence needs of MOPAN members, support cross-organisational learning for multilateral organisations, and take into account the nature of humanitarian operations and the practical requirements for working in high-risk, fast evolving crisis situations. This is adapted framework.

The aspiration is also to assess progress, and harvest learning, on how these organisations are delivering on relevant global policy commitments, including those made under the Grand Bargain. Selected global policy commitments have been inserted into the adapted framework as policy modules.

Scope of the Assessment

For UN system operations, humanitarian assistance funding – a proxy for where they work – has already surpassed development funding. By 2019 humanitarian assistance funding to UN operations amounted to USD 21 billion, compared to USD 18.4 billion for development assistance (Dag Hammarskjöld, UNMPTF Office, 2021^[1]) (Figure 1).

Figure 1. Total expenditure for development and humanitarian-related UN operational activities, 2010-2019 (US\$ billion)



Source: Dag Hammarskjöld, UNMPTF Office (2021)

For dual mandated UN organisations, the percentage share of humanitarian funding (and thus operations) is also increasing. For example, UNICEF received USD 2.2 billion of humanitarian funding in 2020, out of a total of USD 7.2 billion (or 31%) (UNICEF, accessed on 7 July 2022^[3]). In addition, for IFIs like the World Bank and IMF, crisis operations are becoming increasingly significant. Under IDA19, the Crisis Response Window is USD 3.3 billion, the Window for Host Communities and Refugees is USD 2.2 billion, and the Fragility, Crisis and Violence Envelope is USD 6.3 billion (Charles et al., 2019^[2]). Other Multilateral Development Banks – especially the African Development Bank, and now, following Russia’s invasion of Ukraine the EIB and EBRD – also have significant operations in crisis contexts.

This matters for MOPAN’s adapted framework because:

- MOPAN will need to assess dual mandated MOs on their performance in both crisis and “stable” situations. Organisations that are primarily development actors but also operate in high risk, volatile crisis contexts will need to shift to adapted business models if they are to deliver results in these complex operating environments, especially as the share of operations in crisis contexts increases.
- Funding for crisis situations tends to be more heavily earmarked. This means that the focus in crisis contexts is on absorption, disbursement and delivery of context specific results, rather than on the implementation of a core organisational strategy.
- Major UN agencies – mostly dual mandated - have formally committed to delivering nexus approaches. Seven UN agencies¹ have committed to working across the humanitarian development peace nexus² in crisis contexts and thus cannot solely be assessed on their humanitarian programming components in these places.
- In practical terms, MOPAN assessments should not create more administrative burden for dual-mandated organisations. Nor should these assessments require significant additional financial resources to deliver.

Therefore, it was agreed to initially develop two frameworks for multilateral organisations working in crisis contexts:

- One fully adapted framework for multilateral organisations working predominantly in crisis contexts, covering their humanitarian, development and peace programming (as relevant) in those places; and
- One set of “add on” Micro Indicators and Elements which would be added to the standard MOPAN Framework, for multilateral organisations with significant operations in crisis contexts, added on as KPI 13.

Progress against Global Policy Commitments

MOPAN’s study on *Rethinking Effective Humanitarian Organisations* found that simply signing up to humanitarian reform commitments (or any policy commitment) is not enough, unless the multilateral organization also hardwires those commitments into their organisational structures and business models (MOPAN, 2022^[4]).

¹ UNICEF, UNHCR, UNFPA, IOM, UNDP, UN-Habitat, WFP

² More on the humanitarian development peace nexus available here: [humanitarian development peace nexus](#)

Further consultations with major stakeholders, including MOPAN members, the DAC-UN Dialogue Group³ and the Grand Bargain signatories⁴, uncovered significant appetite for MOPAN to either assess, or at least promote learning, on progress towards these global policy commitments with a particular focus on organizational change management and the right business models.

MOPAN, together with the Humanitarian Advisory Group, therefore considered:

- The list of global policy issues and thematics to be covered as “deep dives” during the assessments of multilateral organisations working in crises.
- Whether policy issues and thematics should be tailored to each individual organisation, or a standard set of issues to be applied to all multilateral organisations.
- The trade-off between assessing progress and promoting learning. No multilateral organization has yet fully recalibrated its business model to deliver on the policy commitments. Hence it would be useful to set up the MOPAN assessment framework to allow cross-organisational learning, alongside the rating.

The Advisory Group decided that a short-list of five policy areas will be chosen, and that these policy areas will be applied consistently to all multilateral organisations working in crises. A MOPAN rating will be given, based on progress, while noting good practices and learning in adapting business models to enable this progress. MOPAN should then make the most of this information on business models to convene and promote cross-organisation learning.

The policy areas chosen are:

1. Gender, and gender based violence prevention and response (inserted under KPI 2)
2. Climate action and environmental sustainability (inserted under KPI 2)
3. Localisation (inserted under KPI 5), and accountability to affected populations (inserted under KPI 6)
4. Response to IDP situations (inserted under KPI 5)
5. The humanitarian-development-peace nexus, with a focus on commitments under the DAC Recommendation for the adherents (inserted under KPI 5)

Process

Decision process for determining which framework to use for an assessment

The Advisory Group determined that the following criteria should be considered when determining which framework to use for an assessment:

- **Self-identification:** the multilateral organisation self-identifies as predominantly working in crisis contexts, through its mandate, web presence and communications, etc.
- **Significant to the organisation:** the multilateral organisation has at least half of its operations in crisis and fragile contexts (measured by budget volume).

³ Brings together Development Assistance Committee donors and the UN agencies in note 1, to deliver on their common obligations related to the humanitarian development peace nexus.

⁴ More on the Grand Bargain at <https://interagencystandingcommittee.org/grand-bargain>

- **Significant to the response effort:** the multilateral organisation is often amongst the largest actors in a range of crisis and fragile contexts (measured by Official Development Assistance or ODA disbursements).
- **Crisis architecture:** the multilateral organisation is a member of the Inter Agency Standing Committee (IASC) or other crisis mechanisms

The Secretariat will prepare a short analysis paper based on these criteria to support decision making.

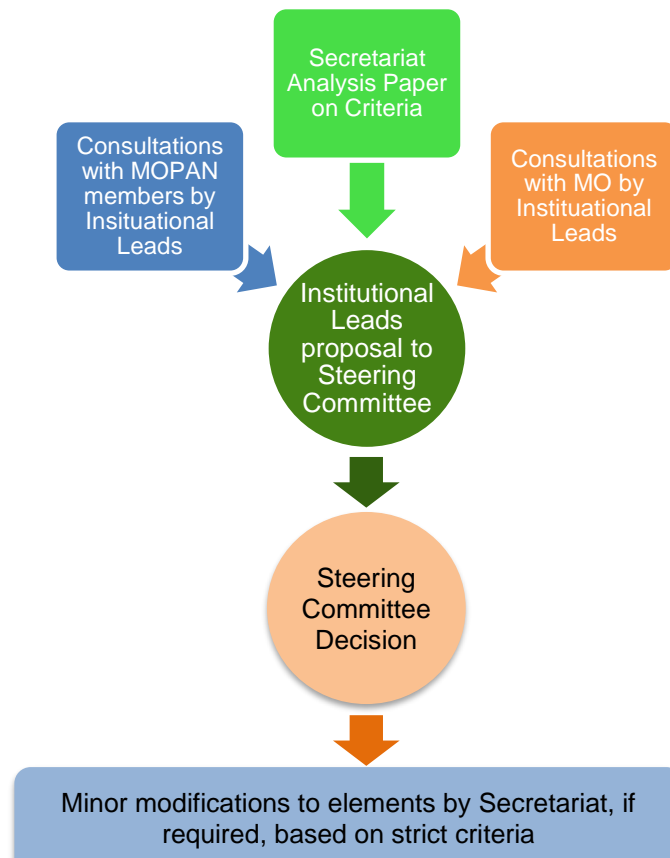
Institutional Leads for the assessment will then consult with the multilateral organisation and with MOPAN members. These consultations, together with the Secretariat analysis paper, will inform the Institutional Leads' proposal to the MOPAN Steering Committee on which framework to use for the assessment.

The MOPAN Steering Committee will take the final decision on which framework to use for each assessment. At the same time, the Institutional Leads will inform the Steering Committee of the major risks and trends that have been identified to guide the assessment.

Further tailoring of the framework can be made by the Secretariat, under the guidance of the Institutional Leads, but only at element level (not to micro indicators or KPIs). This tailoring will be on the following basis:

- Assessments must remain fair, rigorous and comparable
- Elements will only be modified to ensure that the framework is relevant for mandate, context and operations of the MO, and to respond to major risks and learning opportunities
- There should be no opt outs from elements, only adaptations.

Figure.2. Process for determining which framework should be used for individual MOPAN assessments



Process to maximise opportunities for learning and dissemination

MOPAN will work to actively disseminate the findings from assessments, and to promote cross-organisation learning. This will include:

- **Dissemination through relevant multilateral crisis policy mechanisms.** These may include the Inter Agency Standing Committee, the Grand Bargain process, the European Union’s Committee on Humanitarian Aid and Food Aid (COHAFA), the Good Humanitarian Donorship Initiative, NGO forums, and relevant OECD Development Assistance Committee sub-bodies, including the International Network on Conflict and Fragility.
- **Dissemination to the multilateral organisation’s direct stakeholders,** including MOPAN members. This may include donor support groups, Executive Boards, the organisation’s internal audit bodies and relevant staff forums, and to MOPAN member staff at headquarters and working in crisis contexts,
- **Promoting good practices.** This will involve highlighting good organisational practices from each assessment, and actively sharing those practices, including through the MOPAN website.
- **MOPAN facilitated learning.** Learning can be conducted privately between peer organisations, those assessed as “highly satisfactory” in a particular area, such as human resource management, and those who have been assessed as “unsatisfactory” or “highly unsatisfactory”, potentially also bringing in private sector professionals in that particular performance area. Other learning products could also be developed, depending on need.

Accordingly, this document – the adapted framework for multilateral organisations working in crises – is organised as follows:

- Part 1: **Full adapted framework** for multilaterals who work predominantly in crisis contexts. This framework **includes the deep dive policy modules**
- Part 2: **Indicators to be added-on to the standard MOPAN framework as KPI 13** for multilaterals who have significant operations and investments in crisis contexts, but predominantly work in more stable environments.

Part 1: Full adapted framework

Scope

This adapted framework applies to MOPAN assessments of multilateral organisations who primarily work in crisis contexts. The decision on whether to apply this framework to an individual multilateral organisation will be taken by the MOPAN Steering Committee, based on a proposal by that assessment's designated Institutional Leads.

Theory underpinning the adapted framework

The adapted framework for multilaterals working in crisis contexts is aligned to MOPAN's overall theory of change (Figure 3).

Figure 3. MOPAN's theory of change



Source: (MOPAN, 2020^[5])

The adapted framework is also aligned to the MOPAN 3.1 performance areas. Four performance areas - Strategic, Operational, Relationship and Performance Management - relate to organisational effectiveness, while the fifth reports on achievement of Results, in relation to the mandate of the organisation (Figure 4).

Figure 4. MOPAN 3.1 Performance Areas



Source: (MOPAN, 2020^[5])

Under each of these performance areas sit a set of Key Performance Indicators (KPIs) and their subset Micro Indicators (MIs). Elements are set out to guide evidence-based judgements and ratings based on a standard scoring system (Figure 5).

Figure 5. MOPAN Rating Scale

| Score range | Rating MOPAN 3.1 |
|-------------|-----------------------|
| 3.00 – 4.00 | Highly satisfactory |
| | Satisfactory |
| 2.00 – 3.00 | Unsatisfactory |
| | Highly Unsatisfactory |
| 1.00 – 2.00 | |
| 0.00 – 1.00 | |

The adapted framework aligns to the five MOPAN performance areas, keeping the standard KPIs so that there is some high-level comparability with dual mandate and other more developmentally focused multilaterals.

However, the micro indicators (MIs) have been adapted to ensure that they reflect the due diligence and learning needs of MOPAN members and multilateral organisations, as outlined in the *User Study: What do humanitarian donors want from MOPAN assessments?* while taking into account the nature of humanitarian operations and the practical requirements for working in high-risk, fast evolving crisis situations. Accordingly, the Elements to guide the rating against the MOPAN rating scale have also been adapted to fit these MIs.

Performance Area 1: Strategic Management

KPI 1: Organisational Architecture and Financial Framework enable mandate implementation and achievement of expected results

| Micro Indicator | Elements |
|--|--|
| 1.1 Strategic plan is based on clear comparative advantage and addresses global commitments and need in the crises of today and tomorrow | <p>1. A publicly available people-centered strategic plan (or equivalent) focuses on global commitments and addressing, with a view to ending, humanitarian need in the crises of today, and preventing (where appropriate) and anticipating the crises of tomorrow, and is aligned with humanitarian principles and International Humanitarian Law</p> <p>2. The strategic vision is based on a clear analysis and articulation of comparative advantage including how the organisation fits into the international humanitarian and crisis response system.</p> <p>3. The strategic vision is accompanied by an operational plan that identifies intended results, and assigns clear responsibility for their achievement</p> <p>4. The strategic vision is prioritised against a realistic assessment of available resources.</p> <p>5. Strategic vision and operating framework are regularly reviewed and revised as needed to ensure continued relevance, paying attention to emerging and escalating crisis risks</p> |
| 1.2 Organisational structure and governance arrangements are set up to deliver on the strategic plan | <p>1. Organisational architecture is aligned to the strategic vision, promotes and incentivises strong co-operation across the organisation, including field-regional-headquarters, and across thematic areas.</p> <p>2. Governance structures provide adequate oversight and do not allow for abuse of power at any level</p> <p>3. Internal oversight capacity is right-sized – focused on ensuring good governance and the delivery of effective and efficient results, and avoiding disincentives that may cause harm either to the operating context, to the programme, or to the organisation</p> <p>4. Organisational structure provides flexibility for adaptation as contexts and risks evolve</p> |
| 1.3 Financial framework supports mandate implementation | <p>1. A single integrated budgetary framework brings together core-funded priorities and programming under earmarks, ensures transparency, and has clear needs based criteria for core funding allocations</p> <p>2. The organisation is financially stable – based on liquidity, level and diversity of funding sources, core vs earmarked funding ratio, asset and inventory management, surplus/deficit, financial reporting (internal and external), and financial risk management.</p> <p>3. Financing provisions are in place for anticipatory actions and for contingencies arising from sudden onset and emerging crisis situations, including concurrent large-scale crises</p> |

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross cutting issues at all levels

| Micro Indicator | Elements |
|---|---|
| <p>2.1 Appropriate safeguards are in place, and respected, to ensure the respect of humanitarian principles in all aspects of operations</p> | <ol style="list-style-type: none"> 1. Humanitarian principles are explicitly referenced in strategic plans, job descriptions, programming documents, contingency plans and other relevant documents. 2. Mandatory training programmes are in place for all front-line staff on humanitarian principles 3. Systems or spaces for dialogue and debate are in place to support decisions on applying humanitarian principles in practice, particularly in complex dilemmas 4. Mechanisms are in place to regularly track the implementation of humanitarian principles and International Humanitarian Law in all aspects of the MO's work in crises, to reflect and learn, and to implement course corrections when required. |
| <p>2.2 There are systems and processes in place, and respected, to ensure that protection, including child protection, and human rights are at the centre of all operations⁵</p> | <ol style="list-style-type: none"> 1. Guidance, processes and/or other systems and checks are in place to ensure that the most critical protection and human rights concerns are addressed in a given context. 2. Analysis of protection and human rights issues is part of MO standard needs and risk analyses. 3. Guidance and good practice are in place on how to resolve protection and human rights dilemmas into operations 4. Practical actions are in place to target and support the most vulnerable groups and individuals, and is sufficiently resourced |
| <p>2.3 Organisation is set up to deliver gender outcomes, including at global level⁶</p> | <ol style="list-style-type: none"> 1. Dedicated policy statement on gender equality and women's empowerment available and showing evidence of application, including on sexual and gender based violence 2. Gender indicators and targets including the IASC and OECD gender marker, and sex- and age-disaggregated data are fully integrated into the MO's strategic vision and corporate objectives, and systematically measured, from baselines to results 3. An assessment of the gender context, including an overview of gender relationships and coping strategies of women, girls, men and boys is used to inform programme design 4. Programming supports gender equality in participation, leadership and access to resources, and guards against unintended results 5. Human, financial and training resources are available and used to address gender equality issues |

⁵ Elements are in line with the guidance provided by the [Global Protection Cluster](#)

⁶ Elements are in line with the guidance provided by the [IASC Gender Handbook for Humanitarian Action](#)

| | |
|---|--|
| | 6. Gender balance and participation is taken into account across all aspects of the programming cycle, including a systemic approach to disaggregated data, and key gender stakeholders are systematically consulted and participate, including in feedback mechanisms |
| 2.4 Organisation is set up to deliver results on global commitments for the environment and climate change ⁷ | 1. Dedicated policy statements on environment and climate change available and showing evidence of application |
| | 2. Commitments on environment and climate change are delivered by empowering and investing in local action |
| | 3. Appropriate and informed investments are made in climate and disaster risk management |
| | 4. Recovery from crises and shocks includes efforts to green and promote a more resilient future |
| | 5. Environmental protection mechanisms and climate adaptation are part of programming systematically |
| | 6. The organisation is promoting efforts to green its own operations |

Performance Area 2: Operational Management

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

| Micro Indicator | Elements |
|---|--|
| 3.1 The organisational structure, including decentralised approaches, is set up to deliver context-appropriate results | 1. The organisational structure, including decentralisation, helps enable appropriate planning and resourcing decisions, in line with overall organisation strategic directions and policies, and global commitments |
| | 2. Regional structures/offices enable collaboration across borders and appropriate engagement with regional issues and bodies, and provide appropriate oversight of field operations |
| | 3. Decision making authority is delegated sufficiently to empower staff, with safeguards to ensure that global organisational policy, guidance and international commitments are respected |
| | 4. Field level operations and contextual issues are fed back into organisational policy, standard setting and systems, and into global policy work |
| 3.2 Resource mobilisation and financing efforts ensure the organisation has the financing in place to deliver the strategic | 1. Financing strategies are in place, including for field offices and strategic priorities, to support more effective and rapid resource mobilisation |
| | 2. Appropriate capacity for donor/fundraising intelligence, engagement, visibility and communications is in place at all levels of the organisation |

⁷ Elements are in line with the guidance provided by the [IASC Key messages on climate change, humanitarian action and COVID-19](#)

| | |
|--|---|
| plan and work towards ending the greatest needs | <p>3. Approach to fundraising and partnerships with funders – including public, private, domestic and international sources – is sufficiently diversified to avoid dependency</p> <p>4. Processes are in place to monitor disbursements and ensure early engagement with donors regarding no-cost extensions on earmarked funding</p> <p>5. Appropriate engagement with innovative financing streams as a thought leader or user, depending on skills and comparative advantage, including efforts to adapt organisation systems and procedures to attract and absorb innovative finance.</p> |
| 3.3 The organisation has systems and processes in place to ensure that it has the right staff, with the right skills, in the right place, at the right time ⁸ | <p>1. Investments are made in the strong and fully capacitated leadership, especially at country level and in major crisis contexts</p> <p>2. Solutions and incentives are in place to reduce staff turnover, especially in hardship duty stations, and key staff are officials, rather than consultants. There is evidence of appropriate succession planning. Recruitment is conducted in a timely manner, gaps between staff are limited.</p> <p>3. Effective workforce planning processes are in place to ensure capacity needs are identified, and resources are allocated in line with organisation and contextual priorities.</p> <p>4. Appropriate staff rotation policies are in place to cross-fertilize headquarters to field knowledge and experience, as well as refreshing the staffing pool with external expertise and talent, including young professionals</p> <p>5. Sufficient attention is paid to build the capacity of local staff, enable a career path, and avoid the distortion of local labour markets, and to avoid the recruitment of key staff from local organisations</p> <p>6. A system is in place, and used, to require all staff, regardless of seniority, to undergo performance assessment. Effective procedures are in place, and used, to deal with issues of underperformance and cases of sexual exploitation and abuse, and sexual harassment.</p> <p>7. Duty of care, particularly around safety and security of staff, is prioritized, especially in high-risk environments</p> |
| 3.4 The organisation's logistics, procurement, equipment and information systems and procedures enable the delivery of timely and efficient results | <p>1. Operational planning and logistics maintain stock control, manage transport and creates a healthy supply chain for goods, ensuring timely delivery of appropriate relief and other items.</p> <p>2. The procurement system is fit for purpose for crisis contexts, enabling timely delivery, value for money and including anti-fraud and anti-corruption measures. Local procurement is used where possible, where that would not lead to market distortions, and care is taken to ensure that international procurement does not adversely impact local markets.</p> <p>3. All staff, especially those in the field, have the appropriate tools, equipment and energy supply to deliver results, and these are regularly maintained</p> |

⁸ Elements are in line with the guidance provided in [OECD Human Resource Management in States affected by Fragility and Conflict](#)

| | |
|--|---|
| | <p>4. Internal information systems, including data, workflow and decision making, and dashboards, are in place to enable efficient operations, and appropriate data protection measures are in place</p> <p>5. [UN] Common operations are used, where available, to drive greater cost-effectiveness</p> |
| <p>3.5 Financial and administrative processes are fit for purpose</p> | <p>1. Adaptive management techniques are deployed to respond to high risk fast evolving contexts</p> <p>2. Appropriate criteria are in place to guide resource trade-off decisions, prioritizing the greatest needs</p> <p>3. Simplified financial and administrative procedures – but with adequate safeguards – are in place to enable timely and appropriate disbursement in crisis contexts</p> <p>4. Appropriate internal control frameworks are in place, – in line with the Three Lines of Defence model⁹</p> |
| <p>3.6 Organisation can effectively scale up to deliver in new and escalating crises, including significant concurrent crises.</p> | <p>1. Appropriate criteria are in place, and followed, for determining when scale-up/surge is required.</p> <p>2. Fast track recruitment and back-up expert surge mechanisms are in place and functioning for new and escalating crises, including: senior leadership, appropriate sectoral experts, co-ordination experts (where required), assessment professionals, communications staff etc. – and provision is made for back-filling the positions these experts are temporarily vacating</p> <p>3. Safeguards are in place to ensure that new staff are well qualified and have no black marks against them related to Sexual Exploitation and Abuse. Systems are in place to track abusers and prevent their hire</p> <p>4. Dedicated funding windows are set aside for anticipatory action and major contingencies, including seed funding for new and escalating crises</p> <p>5. Simplified procurement, logistics and other administrative measures are in place for scale up situations</p> <p>6. Organisation effectively supports system wide approaches in scale up situations, including supporting leadership, co-ordination structures, common plans/appeals etc.</p> <p>7. Appropriate procedures, including triggers, are in place to transition out of surge/scale up processes towards regular operations</p> |

⁹ Element in line with guidance from the [Chartered Institute of Internal Auditors](#)

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

| Micro Indicator | Elements |
|--|--|
| <p>4.1 Policies, procedures and systems exist to prevent, detect, investigate and sanction cases of fraud, corruption, and other financial irregularities, as well as conflict of interest</p> | <p>1. A clear policy/guidelines on fraud, corruption and any other financial irregularities is/are available and made public. Ethics is a priority for the organization with a strong tone from the top, an appropriate code of conduct in place, and processes to prevent conflict of interest.</p> <p>2. The policy/guidelines clearly define/s the management and staff roles in implementing/complying with them, and the system is adequately resourced</p> <p>3. Mandatory staff training/awareness-raising is provided on policy/guidelines with additional more specialized trainings provided where appropriate.</p> <p>4. There is evidence of policy/guidelines implementation, e.g. appropriate measures are taken and reported and there are effective channels/mechanisms in place for reporting any suspicion of misuse of funds, evidence of timely investigations being undertaken, proportionate and dissuasive sanctions applied and recovery of defrauded funds.</p> <p>5. Cases of fraud and corruption are referred to national legal bodies under both criminal and civil liability.</p> <p>6. Appropriate reporting is taking place, including immediate reporting of cases to donors as well as frequent reporting on cases of fraud, corruption and other irregularities, including actions taken, and ensuring that the outcomes of investigations are made public.</p> |
| <p>4.2 Transparent decision making for resource allocation, consistent with priorities that may shift over time</p> | <p>1. Core/non-earmarked funding is allocated to priority themes/countries/ regions as set out in the strategic vision</p> <p>2. There is specific consideration and allocations for underfunded crises, and for the regional and cross-border impacts of crises</p> <p>3. Allocation criteria are flexible and allow for adaption as protracted crisis contexts evolve positively or negatively</p> <p>4. All resourcing, including resource allocation decisions from core or unearmarked funding, are made public, including through IATI and/or the OECD Creditor Reporting System.</p> <p>5. There is cost recovery from programme activities, sufficient to resource required programmatic oversight</p> |
| <p>4.3 Results based budgeting is in place, appropriate and used</p> | <p>1. Corporate budgets are organised by corporate objectives and outcome areas</p> <p>2. Budget allocation decisions are driven by strategic decisions around intended results under each corporate objective, informed by an understanding of trade-offs and opportunity costs. Consideration is given to the value of preventive action and investments in resilience, to minimise high-cost emergency response</p> |

| | |
|--|---|
| | 3. Each spending programme is aligned with a corporate objective and outcome area in the RBM system. This drives aggregation of expenditure to outcomes and objectives, for budget reporting |
| 4.4 Effective independent mechanisms ensure appropriate oversight and provide assurance to management, governing bodies and other stakeholders | <p>1. Oversight and judicial bodies are truly independent, with no relationship with the organisation or broader system.</p> <p>2. Oversight and judicial bodies are adequately resourced to fulfill their mandate.</p> <p>3. Oversight, investigations and judicial staff are hired by an independent body, their terms are fixed and there are processes to ensure there is no possibility of employment or reemployment for these staff or their family members. These staff have the right specialist expertise, particularly regarding SEA investigations</p> <p>4. External audit and other reviews, [UN] including OIOS and UN system audits and the Joint Inspection Unit, are regularly conducted and confirm compliance with internationally accepted standards.</p> <p>5. Internal audit function is independent, adequately resourced, meets internally accepted standards has an appropriate and risk-based audit plan in place, is delivering adequate audit coverage, regularly conducted, and does not disincentivise staff from taking measured programming risks and taking forward innovative approaches. The internal audit function meets transparency expectations from all stakeholders.</p> <p>6. Issues identified by external and internal reviews and processes are followed up and deficiencies corrected in a timely manner. Criminal actions are immediately referred to national authorities, and are not considered covered by diplomatic immunity.</p> |
| 4.5 The organisation provides value for money ¹⁰ | <p>1. There is a clear definition, agreed with stakeholders, of what value for money means for the organisation, to avoid expectation gaps</p> <p>2. Economy – there are processes in place to ensure cost minimisation in all budgeting and programming. Budget variance analysis is in place.</p> <p>3. Economy - there is a clear and regularly reviewed justification for the overhead cost rate applied to grants. Headquarters costs funded from overhead costs recovery provide value for money.</p> <p>4. Efficiency – Value for Money audits are correctly scoped and regularly conducted (also called performance audits, technical audits, procurement audits, system audits, process audits)</p> <p>5. Effectiveness – Value for money is part of the planning process. The MOPAN survey and other organizational tools and reviews demonstrate the effectiveness of the delivery of valuable outputs versus the cost of those outputs. Plans are reviewed based on lessons learnt.</p> <p>6. Equity – the approach to value for money incorporates a commitment to reaching marginalized groups and those most at risk, (even when costs to deliver to this population may be higher), and harder to measure activities are not disadvantaged.</p> |

¹⁰ Elements are in line with the guidance contained in the [United Kingdom's Value for Money Framework](#)

| | |
|---|---|
| <p>4.6 Organisation complies with counterterrorism, relevant anti-money laundering and terrorist financing laws and regulations and other sanctions related restrictions.</p> | <p>1. Organisation is aware of relevant counter-terrorism and other sanctions related and legal restrictions, and can demonstrate how it is actively applying these to programming and operations decisions</p> |
| <p>4.7 Organisation manages data and information responsibly</p> | <p>1. Organisation complies with data responsibility, including organisation-level data responsibility diagnostics, maintaining an organisation-level data asset registry, contributing to data ecosystem mapping exercises, conducting data impact assessments, incorporates data responsibility into data management activities, establishes data sharing agreements to govern the transfer of personal and sensitive data, and enforces SOPs for data incident management.¹¹</p> <p>2. Organisation's approach to mis- and disinformation is embedded in its communication strategies, process and online and offline engagement with affected communities.</p> |
| <p>4.8 Whistle-blowers are protected¹²</p> | <p>1. There is a dedicated whistleblower protection policy to protect reporting and prevent retaliation against whistleblowers, enforced by an independent body. The policy outlines scope of protection (all forms of wrongdoing including abuse of power), outlines simplified processes for disclosing wrongdoing and provides remedies for victims of retaliation. A reversed burden of proof is in place in cases of alleged retaliation.</p> <p>2. There is an independent, full time, and appropriately resourced, ethics office.</p> <p>3. There are appropriate incentives in place for whistleblowing, potentially including monetary rewards or compensation, restoration of employment and promotion as well as clear sanctions on wrongdoers, and clear follow-up mechanisms for whistleblowing actions, including timelines.</p> <p>4. All staff – including management and oversight/governance staff – are aware of their rights and responsibilities and the resources available to them to support the whistleblowing process. Regular awareness campaigns and trainings are conducted. Staff are sanctioned for non-compliance.</p> <p>5. Data, benchmarks and indicators relative to whistle-blower protection systems are in place to ensure effectiveness and monitor performance, including anonymized data on the number and nature of complaints of retaliation received, the number upheld, the number of staff sanctioned for wrongdoing or retaliation as a result, and the results of surveys on the satisfaction of the whistle-blower with remedies.</p> |
| <p>4.9 Appropriate safeguards are in place and enforced to prevent</p> | <p>1. Organisation-specific dedicated policy statement(s), action plan and/ or code of conduct that address SEA are available, aligned to international standards, and applicable to all categories of personnel</p> |

¹¹ Element complies with [IASC Operational Guidance on Data Responsibility in Humanitarian Action](#)

¹² Elements are in line with the guidance contained in [OECD Committing to Effective Whistle-blower Protection](#)

| | |
|--|--|
| sexual exploitation and abuse | <p>2. Mechanisms are in place to regularly track the status of implementation of the SEA policy at HQ and at field levels</p> <p>3. Dedicated resources and structures are in place to support implementation of policy and/or action plan at HQ and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services)</p> <p>4. Quality training of personnel / awareness-raising on SEA policies is conducted with adequate frequency</p> <p>5. The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA</p> <p>6. The organisation can demonstrate its contribution to interagency efforts to prevent and respond to SEA at field level, and SEA policy/best practice coordination fora at HQ</p> <p>7. Actions taken on SEA allegations are timely and their number related to basic information and actions taken / reported publicly</p> <p>8. The MO adopts a victim-centered approach to SEA and has a victim support function in place (stand-alone or part of existing structures) in line with its exposure/risk of SEA</p> |
| 4.10 Appropriate safeguards are in place and enforced to prevent sexual harassment | <p>1. Organisation-specific dedicated policy statements and/or codes of conduct that address SH available, aligned to international standards and applicable to all categories of personnel</p> <p>2. Mechanisms are in place to regularly track the status of implementation of the policy on SH at HQ and at field levels</p> <p>3. The MO has clearly identifiable roles, structures and resources in place for implementing its policy/guidelines on SH at HQ and in the field: support channel for victims, a body coordinating the response, and clear responsibilities for following up with victims</p> <p>4. All managers have undergone training on preventing and responding to SH, and all staff have been trained to set behavioural expectations (including with respect to SH)</p> <p>5. Multiple mechanisms can be accessed to seek advice, pursue informal resolution or formally report SH allegations</p> <p>6. The organisation ensures that it acts in a timely manner on formal complaints of SH allegations</p> <p>7. The organisation transparently reports the number and nature of actions taken in response to SH in annual reporting and feeds into inter-agency HR mechanisms</p> |

Performance Area 3: Relationship management

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

| Micro Indicator | Elements |
|---|---|
| 5.1 Strategies and programming target the greatest need and people most left behind | 1. In-depth assessments and multidimensional analysis – joint or shared where possible – are conducted to inform programme design and are monitored and updated regularly. As part of this, there is a clear evidence base and baseline around needs, special groups such as women and the disabled, and people most left behind, including poorest of poor, but also elderly, disabled, and other marginalized groups. |
| | 2. Specialized staff are available and used from the outset to support planning processes, especially on thematic and sector specific issues |
| | 3. There are clear criteria for prioritization and ranking the severity of needs and crises |
| | 4. Downstream and cross-border impacts of crises are assessed or projected and factored into programming |
| | 5. All evidence bases contain disaggregated data, including by sex, age and disability. Data from local actors and other key stakeholders is integrated into needs analysis and programme design. |
| 5.2 Conflict sensitivity applied to programming to avoid unintended negative impacts and do no harm ¹³ | 1. Conflict analysis is systematically undertaken, and the findings are used to inform project design, implementation, monitoring and evaluation |
| | 2. Conflict analysis is regularly updated, and programmes adapted accordingly |
| | 3. Conflict sensitivity is also applied to organisation policies and processes, especially those related to human resources, procurement and communications |
| 5.3 Risk assessment, monitoring and management drives more relevant and agile programming ¹⁴ | 1. Organisation has, and uses, a system to identify, monitor and manage risks, with clear lines of responsibility for decision making and accountability, including effective escalation processes |
| | 2. Risks covered by the system include contextual, programmatic and institutional risks |
| | 3. Risk tolerance/appetite levels are set at appropriate level, monitored, and used effectively to inform risk management and escalation. The organisation's risk tolerance/appetite is communicated to all staff |
| | 4. The risk management process also factors in “the risk of doing nothing” and does not lead to risk adversity |

¹³ Elements are in line with the guidance provided in [Global Affairs Canada's Conflict Sensitivity Tip Sheet](#)

¹⁴ Elements are in line with [OECD Development Assistance and Approaches to Risk in Fragile and Conflict Affected States](#)

| | |
|--|---|
| <p>5.4 Organisation contributes to the overall response effort, according to its comparative advantage</p> | <ol style="list-style-type: none"> 1. Organisation actively participates in country co-ordination efforts, including IASC, HCT, Clusters and other structures. Adequate human and other resources are deployed to support cluster and other co-ordination responsibilities fully. 2. Organisation actively participates in joint risk and needs assessments exercises, to ensure that the response is focused on the needs of the most vulnerable. 3. Organisation participates and shares data, information and analysis - respecting privacy and protection considerations - with common assessment processes and relevant partners 4. Country, regional and/or sector strategies identify the organisation's comparative advantage to ensure potential synergies (advocacy, knowledge and skills etc.) and integrated responses (joint programming, warm handoffs, cost savings and efficiencies etc.) with partners. 5. In protracted crisis settings, the organisation develops multi-year planning and programming approaches. 6. Organisation demonstrates how it applies comparative advantage to contribute to the overall response in each context. |
| <p>5.5 Intervention designs include an analysis of cross-cutting issues (as defined in KPI 2)</p> | <ol style="list-style-type: none"> 1. Approval procedures require an assessment of the extent to which cross-cutting issues have been integrated in the design 2. Plans for intervention monitoring and evaluation include attention to cross-cutting issues |
| <p>5.6 There are systems in place for anticipatory responses</p> | <ol style="list-style-type: none"> 1. Early warning systems and structures are in place and used, and warnings are heeded and acted upon in a timely manner 2. Contingency planning is in place and regularly updated in emergency and protracted crisis settings. Contingency plans are used should they be triggered. 3. Funding envelopes or instruments are in place to ensure timely anticipatory responses, where needed |
| <p>5.7 The organisation is set up to deliver accountability to affected populations¹⁵</p> | <ol style="list-style-type: none"> 1. The organisation has set out the AAP commitments that it will be held accountable for, and how they will be delivered, including through recruitment and training, partnership agreements, Terms of Reference etc. 2. AAP is effectively integrated into country strategies, programme design, monitoring and evaluation, recruitment, training and performance management, partnership agreements and highlighted in reporting 3. Accessible and timely information on organisational procedures, structures and processes that may impact communities is provided, and supports informed decisions and engagement with communities as dialogue |

¹⁵ Elements are in line with the guidance provided in [IASC Accountability to Affected Populations](#), the IASC [APP Operational Framework](#) and the [HAP Standard in Accountability and Quality Management](#).

| | |
|--|--|
| | <p>4. The views of communities are actively sought to improve policy and practice in programming. Feedback and complaints mechanisms are streamlined, appropriate and robust to handle complaints about breaches in policy and stakeholder dissatisfaction</p> |
| | <p>5. Clear guidelines and practices enable communities to play an active role in decisions that will impact their lives, including ensuring that the most marginalized and at risk are represented and have influence</p> |
| | <p>6. The goals and objectives of programmes are designed, monitored and evaluated with the involvement of affected populations, feeding learning back into the organisation on an on-going basis and reporting on progress</p> |
| <p>5.8 The organisation is set up to prevent, respond to and achieve durable solutions for internally displaced people (IDPs)¹⁶</p> | <p>1. Organisation has systems in place to advocate for, and support, the state in prioritising solutions for IDPs, including through local, national and regional actors</p> |
| | <p>2. Organisation has systems in place to ensure IDPs can exercise their rights in society and participate in decision making processes around questions that concern them. Protection is at the centre of all IDP responses.</p> |
| | <p>3. The organisation supports coordination efforts for IDP solutions,</p> |
| | <p>4. The organisation actively addresses the drivers of displacement and reduces displacement risks</p> |
| | <p>5. Resourcing for IDP situations is on an equal basis to other crisis contexts, including allocations from core funding.</p> |
| | <p>6. The organisation reports on action on internal displacement in its regular reporting, including to Executive Board</p> |
| <p>5.9 Where appropriate, the organisation enables national governments to discharge their duty of care towards people affected by crises.</p> | <p>1. The organisation has clear policies and practices regarding working with national governments, and in line with these, builds national capacity and aligns programming with national systems where appropriate.</p> |

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

| Micro Indicator | Elements |
|---|---|
| <p>6.1. Partnerships are based on an explicit statement of expected</p> | <p>1. The Principles of Partnership - Equality, Transparency, Result-oriented approaches, Responsibility and Complementarity - are respected in engagement with implementing partners and informed by appropriate due diligence</p> |

¹⁶ Elements are aligned to the [final report](#) of the High Level Panel on Internal Displacement

| | |
|--|--|
| <p>results and engagement, and are rooted in equality¹⁷</p> | <p>2. Key stakeholders are a key part of the organisation's programme cycle, both in global strategic planning but also related to country operations - including strategic advice, guidance, information and co-creation – while respecting humanitarian principles</p> <p>3. Downstream partnerships with international and local actors are selected based on a solid shared understanding of the capacity, limitations, expectations and interests of each partner.</p> <p>4. Where possible, partnerships start long before an emergency arises, and continue into recovery and development.</p> <p>5. Partnership agreements, including expected results and timeframes, clearly outline the roles, responsibilities and mutual benefits to each party – especially on fraud, corruption, safeguarding and financial and reporting arrangements and capacity needs - and uneven power dynamics are addressed</p> <p>6. Results reporting and monitoring ensures that partners are able to criticise one another, adapt, learn from one another, and continue working with positive outcomes.</p> |
| <p>6.2. Organisation passes on quality funding to partners</p> | <p>1. The organisation passes on a fair share of the quality funding it receives (e.g. multi-annual, flexible) to its partners, including local organisations</p> <p>2. Reasonable and justifiable overhead costs are allowed as part of the partnership funding arrangements</p> |
| <p>6.3 The organisation is set up to enable localisation ¹⁸</p> | <p>1. Processes are in place, and used, to first consider local capacity, including government, local authorities and local organisations, including women led organisations, and to build on existing structures and capacities rather than establishing parallel international mechanisms.</p> <p>2. Local and national partners are included in emergency preparedness, needs assessment and analysis, and planning, implementation and monitoring/feedback processes</p> <p>3. The organisation shares risk with local partners in an ethical manner</p> <p>4. Localisation practices and strategies are explicitly referenced in planning documents</p> <p>5. Capacity strengthening strategies and activities for local and national partners and structures, including for governance and administration, and not just technical skills, are in place and implemented.</p> <p>6. The organisation passes on the same quality of funding it receives to its local partners</p> <p>7. Partnerships with local actors are based on equality, mutual respect and mutual accountability, including not passing on unreasonable safety and security risks to local partners, supporting local leadership, and giving visibility to local partners in reporting and public communications.</p> |

¹⁷ Elements are aligned with the [Principles of Partnership](#)

¹⁸ Elements are in line with the guidance provided by the [IASC Guidance on strengthening participation, representation and leadership of local and national actors in IASC humanitarian coordination mechanisms](#) and other resources from the [IASC Result Group 1 Sub-Group on Localisation](#)

| | |
|--|--|
| <p>6.4 Organisation works effectively across the humanitarian development peace nexus ¹⁹</p> | <p>1. The organisation has a strategy and/or procedure for nexus approaches [UN Adherents] and delivering on the DAC Recommendation on the HDP Nexus, including a common understanding of what the nexus means for the organisation and how staff should engage in HDP nexus processes.</p> <p>2. The organisation proactively engages in joint analysis setting collective outcomes, including sharing its own data and analysis, and aligns its programming accordingly, and supports co-ordination across the nexus</p> <p>3. The organisation uses political engagement and other tools to prevent doing further harm or further eroding peace, and where its mandate allows, actively works to prevent crises, resolve conflicts and build peace</p> <p>4. Programming focuses on ending need of vulnerable people, prioritizes prevention and integrates peace aspects, where this is in line with its mandate</p> <p>5. Programming is conflict-sensitive and risk-informed and sufficiently flexible to evolve with the risk environment - and uses humanitarian, development and/or peace approaches in the right way to ensure a focus on ending need</p> <p>6. National and local capacities are systematically used to set priorities, design and implement programmes</p> <p>7. Monitoring, evaluation, learning and evidence spans the nexus, and promotes learning across agencies working on the nexus</p> <p>8. The organisation contributes to financing strategies for collective outcomes, and develops instruments that span the nexus where relevant</p> |
| <p>6.5 Organisation engages in effective global policy efforts and advocacy, including towards ending need</p> | <p>1. Organisation engages in global policy efforts, global advocacy and for global public goods, related to its mandate</p> <p>2. Organisation actively participates in system-wide co-ordination – on policy, advocacy and operational issues - including leading these efforts when its mandate requires.</p> <p>3. Organisation's role in these global efforts reflects its comparative advantage – leading, enabling/catalyzing, contributing, and/or monitoring progress and learning as appropriate.</p> <p>4. There is a process to integrate global policy changes and commitments into the organisation's operating model and way of doing business</p> |

¹⁹ Elements are aligned to the [DAC Recommendation on the humanitarian development peace nexus](#)

Performance Area 4: Performance management

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

| Micro Indicator | Elements |
|---|--|
| 7.1 Systematic use of theory of change to link country, regional and global programming ²⁰ | 1. Corporate strategies set out theories of change that articulate how the organisation proposes to achieve its expected outcomes, linking activities and outputs to corporate objectives |
| | 2. Regional and country strategies set out more detailed, context and needs based theories of change, linked to global organizational objectives |
| | 3. Where necessary, organisational restructuring, including decentralisation and matrixing organisation structure, is planned or underway to facilitate horizontal working across outcome areas. |
| 7.2 Results architecture aligns country, regional and global results | 1. The RBM system mandates or encourages the use of standardised indicators, to facilitate aggregation of results |
| | 2. Menus of standard indicators are based on a smaller set of indicators, even if only a subset of results are aggregated |
| | 3. Individual programmes are permitted to use customised indicators to meet their own management and reporting needs |
| | 4. Standard indicators are backed with clear definitions and guidance and training on their accurate use, to minimise data cleaning requirements |
| | 5. Procedures are in place to capture the results from emergency humanitarian operations into the corporate RBM system at an appropriate point in the project cycle |
| 7.3 Results are communicated transparently | 1. Systems are in place to ensure that reporting to all stakeholders, including donors and funders, is timely and of the highest quality and includes disaggregated data – respecting protection concerns - including by sex, age and disability |
| | 2. Reporting includes any "failures" to enable learning from mistakes. |
| | 3. Appropriate visibility is given to donor funding, both in programming and in results reporting including for both core and earmarked funding, unless this would undermine staff, programme and affected people's safety and security |
| 7.4 Performance data transparently applied in | 1. Planning documents are clearly based on performance data |
| | 2. Proposed adjustments to interventions are clearly informed by performance data |

²⁰ Elements are in line with [MOPAN's Lessons in Multilateral Effectiveness: Rethinking Effective Humanitarian Organisations](#)

| | |
|------------------------------|---|
| planning and decision-making | 3. At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate |
| | 4. Performance data support dialogue in partnerships at global, regional and country levels |

KPI 8: The MO applies evidence based planning and programming

| Micro Indicator | Elements |
|--|--|
| 8.1. Evaluation functions are independent and effective in driving accountability and learning ²¹ | 1. The corporate evaluation function is independent (managerially, financially and operationally) from other functions. |
| | 2. The head of evaluation has structural independence and reports directly to the governing body of the organisation |
| | 3. The evaluation office has full discretion in deciding the evaluation programme. |
| | 4. Evaluators are able to conduct their work during the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (behavioral independence) |
| | 5. There is evidence that evaluations are being considered seriously and that recommendations are being implemented on a timely basis |
| | 6. Evaluations are systematically publically available |
| 8.2 Monitoring systems generate high-quality, useful performance data | 1. A monitoring system exists to identify poorly performing programmes and operations |
| | 2. Appropriate remote management systems are in place, where applicable |
| | 3. A process for addressing poor performance exists, including clear overall responsibility to take action, with evidence of its use |
| | 4. Lessons from monitoring are systematically integrated into programme adaptations |

²¹ Elements are in line with the guidance provided in [ALNAP's Evaluation of Humanitarian Action Guide](#) and the [OECD Evaluating Peacebuilding Activities in Settings of Conflict and Fragility](#)

Performance Area 5: Results

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

| Micro Indicator | Elements |
|---|---|
| <p>9.1 Interventions assessed as having achieved their objectives, and results (analysing differential results across target groups, and changes in national development policies and programs or system reforms)</p> | <p>4. Highly satisfactory: The organisation achieves all or almost all intended significant development, normative and/or humanitarian objectives at the output and outcome level. Results are differentiated across target groups.</p> |
| | <p>3. Satisfactory: The organisation either achieves at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives is achieved</p> |
| | <p>2. Unsatisfactory: Half or less than half of stated output and outcome level objectives is achieved</p> |
| | <p>1. Highly unsatisfactory: Less than half of stated output and outcome objectives has been achieved, including one or more very important output and/or outcome level objectives</p> |
| <p>9.2 Interventions assessed as having helped improve gender equality and women's empowerment</p> | <p>4. Highly satisfactory: Interventions achieve all or nearly all of their stated gender equality objectives</p> |
| | <p>3. Satisfactory: Interventions achieve a majority (more than 50%) of their stated gender objectives</p> |
| | <p>2. Unsatisfactory: Interventions either lack gender equality objectives or achieve less than half of their stated gender equality objectives. (Note: where a programme or activity is clearly gender-focused (maternal health programming for example) achievement of more than half its stated objectives warrants a rating of satisfactory)</p> |
| | <p>1. Highly unsatisfactory: Interventions are unlikely to contribute to gender equality or may in fact lead to increases in gender inequalities</p> |
| <p>9.3 Interventions assessed as having helped improve environmental sustainability/ tackle the effects of climate change</p> | <p>4. Highly satisfactory: Interventions include substantial planned activities and project design criteria to achieve environmental sustainability and contribute to tackle the effects of climate change. These plans are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change</p> |
| | <p>3. Satisfactory: Interventions include some planned activities and project design criteria to ensure environmental sustainability and help tackle climate change. Activities are implemented successfully and the results are environmentally sustainable and contribute to tackling the effects of climate change</p> |
| | <p>2. Unsatisfactory: EITHER Interventions do not include planned activities or project design criteria intended to promote environmental sustainability and help tackle the effects of climate change. There is, however, no direct indication that project or programme results are not environmentally sustainable. AND/OR The intervention includes planned activities or project design criteria</p> |

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

KPI 10: Interventions are relevant to the needs and priorities of affected people, as the organisation works towards results in areas within its mandate

| Micro Indicator | Elements |
|---|--|
| 10.1 Intervention objectives and design assessed as responding to global, regional and local risks and the needs of affected people, policies, and priorities (inclusiveness, equality and Leave No One Behind), and continuing to do so where circumstances change | 4. Highly satisfactory: Systematic methods are applied in intervention design (including needs assessment for humanitarian relief operations) to identify target group needs and priorities, including consultation with target groups, and intervention design explicitly responds to the identified needs and priorities |
| | 3. Satisfactory: Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group |
| | 2. Unsatisfactory: No systematic analysis of target group needs and priorities took place during intervention design or some evident mismatch exists between the intervention's activities and outputs and the needs and priorities of the target groups |
| | 1. Highly unsatisfactory: Substantial elements of the intervention's activities and outputs were unsuited to the needs and priorities of the target group |

KPI 11: Results are delivered efficiently

| Micro Indicator | Elements |
|---|---|
| 11.1 Interventions/activities assessed as resource-/cost-efficient, while maintaining a focus on the most left behind | 4. Highly satisfactory: Interventions are designed to include activities and inputs that produce outputs in the most cost/resource efficient manner available at the time, while maintaining a focus on the most left behind |
| | 3. Satisfactory: Results delivered when compared to the cost of activities and inputs are appropriate even when the programme design process did not directly consider alternative delivery methods and associated costs, while maintaining a focus on the most left behind |
| | 2. Unsatisfactory: Interventions have no credible, reliable information on the costs of activities and inputs and therefore no data is available on cost/ resource efficiency, while maintaining a focus on the most left behind |
| | 1. Highly unsatisfactory: Credible information is provided which indicates that interventions are not cost/resource efficient, while maintaining a focus on the most left behind |
| 11.2 Implementation and results assessed as having been achieved on | 4. Highly satisfactory: All or nearly all the objectives of interventions are achieved on time or, in the case of humanitarian programming, a legitimate explanation exists for delays in achieving some outputs/outcomes |

| | |
|---|--|
| time (given the context, in the case of humanitarian programming) | 3. Satisfactory: More than half of the intended objectives of interventions are achieved on time, and this level is appropriate to the context that existed during implementation, particularly for humanitarian interventions. |
| | 2. Unsatisfactory: Less than half of the intended objectives are achieved on time but interventions have been adjusted to take account of the difficulties encountered and can be expected to improve the pace of achievement in the future. In the case of humanitarian programming, a legitimate explanation exists for delays |
| | 1. Highly unsatisfactory: Less than half of stated objectives of interventions are achieved on time, and no credible plan or legitimate explanation is identified that would suggest significant improvement in achieving objectives on time |

KPI 12: Results are sustainable

| Micro Indicator | Elements |
|---|---|
| 12.1 Results help build resilience to shocks and stressors and lay the groundwork for stability and development | 4. Highly satisfactory: Benefits from interventions are assessed as continuing, or likely to continue, after the completion of the programme, including through evaluations, and the Organisation can demonstrate how its results contribute to building capacity and resilience and ending need in different contexts. |
| | 3. Satisfactory: Benefits from interventions are assessed as continuing, or likely to continue, after the completion of the programme, including through evaluations, contexts. |
| | 2. Unsatisfactory: Evaluations assess as a low probability that the intervention will result in continued benefits for the target group after completion. Interventions meet immediate needs but do not systematically build resilience to future shocks and to address the drivers of crises. |
| | 1. Highly unsatisfactory: Evaluations find a very low probability that the programme programme/project will result in continued intended benefits for the target group after project completion, and there have been no efforts to build resilience to future shocks and to address the drivers of crises. |

Part 2: “Add on” indicator package

Scope

This section contains an “add on” Key Performance Indicator – KPI 13 - to supplement the standard MOPAN 3.1 framework for multilaterals who have significant operations and investments in crisis contexts, but predominantly work in more stable environments.

KPI 13: Organisation contributes to reducing the risk and impact of crises and shocks, and builds resilience to shocks, including through prevention

| Micro Indicator | Element |
|---|--|
| 13.1 Organisation has clear political directives and strategies for working in fragile contexts, preventing conflicts, reducing disaster risks, building resilience and sustainable peace, responding to crises and sustaining recovery | 1. Organisation contributes to global efforts to promote and sustain international peace and stability as well as disaster risk reduction in a way that is consistent with relevant international commitments. |
| | 2. Organisation’s policies articulate the member’s response to crises and its approach to managing disasters and crisis risks |
| | 3. Resources are allocated to the different components of the member’s engagement in crisis and fragile contexts in line with strategic objectives. |
| 13.2 Organisation’s programmes are designed coherently to address key drivers of fragility, conflict and disaster risks, and address the needs of the most at risk | 1. Organisation has a functioning mechanism to ensure coherence between its humanitarian, development and peace efforts to help prevent or respond to a crisis and sustain recovery, with a clear leadership structure |
| | 2. Organisation has mechanisms in place to analyse key drivers and risks of conflict and fragility, and to assess disaster risks. Where needed, the member’s analysis and early warning help to develop or adapt programmes in order to reduce the risks of instability, crisis or disasters |
| | 3. Organisation has an appropriate mix of instruments to support resilience to shocks, stabilisation and durable solutions for people affected by protracted crises, and countries’ recovery, through long-term programming, and humanitarian assistance when necessary. |

| | |
|---|--|
| | <p>4. Organisation helps to find durable, inclusive and conflict sensitive solutions for forcibly displaced persons according to international commitments and standards including in the member's country when relevant.</p> |
| | <p>5. Organisation takes into account and addresses the various gender aspects of conflict and disaster, including by supporting the participation of women in conflict prevention, and peacebuilding and mediation, and by helping to put an end to sexual and gender-based violence in all crisis contexts</p> |
| <p>13.3 Organisation's systems, processes and people work together effectively and efficiently in crisis contexts</p> | <p>1. Organisation's partnership modalities, including with international, national and local actors, are adapted to crises and fragile and conflict-affected contexts, and support peacebuilding. It has predictable, timely and flexible funding</p> <p>2. Organisation co-ordinates its engagement in fragile and crisis contexts including with local systems whenever relevant and possible. The member enhances local accountability and strengthens local capacities</p> <p>3. Organisation's processes, delivery mechanisms and people work together effectively along the nexus between peace, development co-operation and humanitarian assistance in crisis contexts. When relevant, the member ensures co-ordination between development actors and military according to respective mandates</p> |
| <p>13.4 Organisation has clear directives and strategies for humanitarian assistance</p> | <p>1. Organisation has a clear policy for humanitarian assistance, respecting humanitarian principles, and other relevant international agreements, This policy is accompanied by a realistic implementation plan</p> |
| <p>13.5 Programmes in crisis contexts target the highest risks to life and livelihood</p> | <p>1. Programmes are based on an objective need assessment and determination of the severity of each crisis, taking into account the capacity to address needs and deliver results. Decision-making process and criteria are transparent, and match the priorities set out in the humanitarian strategy.</p> <p>2. Organisation uses tools to increase and improve assistance delivered by local and national responders including disaster preparedness, response and coordination and enable community engagement as well as accountability to affected populations, including elements related to gender equality.</p> <p>3. Organisation monitors and reports on its objectives and strategies in an effective manner in crisis contexts. The member has tools to monitor partner progress and the impact of programmes and can accept common standard data for some reporting purposes.</p> |
| <p>13.6 Delivery modalities and partnerships help deliver quality assistance</p> | <p>1. Organisation has relevant mechanisms for rapid crisis response, including early warning and participatory mechanisms, emergency preparedness and civil protection.</p> <p>2. Organisation has relevant mechanisms to address protracted humanitarian need, including residual needs in post-crisis situations. The member co-ordinates its response with national and local systems as relevant, as well as with other donors and stakeholders in accordance with humanitarian principles</p> |

| | |
|--|--|
| | 3. Organisation has simplified administrative processes for partners in crises. Partnership includes regular dialogue and feedback mechanisms |
| 13.7 Organisation is fit for purpose in crisis contexts | 1. Organisation has sufficient skilled staff in headquarters and in the field to cope with workload expectations in crisis contexts throughout the programme cycle. The member provides staff with training on how to work effectively in fragile, conflict and crisis-affected situations, and provides capacity for monitoring programme implementation and results. |
| 13.8 Results from crisis contexts are communicated and transparent | 1. Organisation communicates objectives and results to major stakeholders (including donors, partners and affected communities). The member publishes timely, transparent, harmonised and open high-quality data on humanitarian results. |