Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

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MOPAN

Appendices

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Appendix I Methodology

1.1 Introduction

This document describes the MOPAN Common Approach methodology for the 2012 assessment, those who participated in the study, and the data collection and analysis process for this year.

Background

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 16 donor countries[1] with a common interest in assessing the organisational effectiveness of the multilateral organisations they fund.

The MOPAN Common Approach methodology was developed to address the recognised need for a common comprehensive system to assess multilateral organisations. Its aim is to respond to the information needs of donors by producing information that would not be available otherwise about how an organisation is doing in areas that donors consider important.

The Common Approach aims to reduce the need for other assessment approaches by bilateral donors. It was derived from existing bilateral assessment tools and complements and draws on other assessment processes for development organisations – such as the bi-annual Survey on Monitoring the Paris Declaration on Aid Effectiveness and annual reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks.

Purpose

MOPAN assessments are intended to:

- Generate relevant, credible and robust information MOPAN members can use to meet their domestic accountability requirements and fulfil their responsibilities and obligations as bilateral donors.
- Provide an evidence base for MOPAN members, multilateral organisations and direct partners to discuss organisational effectiveness and, in doing so, build better understanding and improve organisational effectiveness and learning over time.
- Support dialogue between MOPAN members, multilateral organisations and their partners, with a specific focus on improving organisational effectiveness over time, both at country and headquarters level.

The MOPAN Common Approach does not compare multilateral organisations to one another as their mandates and structures vary too much in nature and scope. MOPAN assessments are repeated at intervals and therefore can help determine whether a multilateral organisation's performance is perceived to have changed over time in the areas examined by the MOPAN Common Approach. It is important to note, however, that as MOPAN continues to improve the methodology for the Common Approach from year to year, comparisons of this year's results with those of previous years should be handled cautiously.

Evolution

The MOPAN Common Approach methodology evolves in response to what is learned from year to year, and to accommodate multilateral organisations with different mandates.

[1] MOPAN members in 2012: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, the Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, and the United Kingdom.

The MOPAN methodology was initially designed to assess the organisational effectiveness of multilateral organisations, which MOPAN defines as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates. Given this focus, MOPAN assessments emphasised the organisational practices, systems, and behaviours that MOPAN believes are important for multilateral organisations in managing for development results.

In 2011, MOPAN began exploring options for expanding its assessment framework to include a review of the results achieved by multilateral organisations, including collaboration with the OECD DAC Evaluation Network. In 2012, MOPAN tested an approach to assessing the key results of multilateral organisations.

2. MOPAN Common Approach Design

2.1 Evolution of MOPAN Assessment Framework

MOPAN continues to refine its assessment framework. In 2009, the MOPAN Common Approach replaced the Annual MOPAN Survey, which had been conducted since 2003.

The MOPAN Common Approach is broader and deeper than the previous surveys and includes the following components:

- Expanded survey – The MOPAN survey now brings in the views of direct partners or clients of multilateral organisations and those of donors, that is, MOPAN members at both headquarters and country level.
- Document review – Since 2010, survey data are complemented by a review of documents prepared by the multilateral organisations being assessed and other sources.
- Interviews – In 2012, MOPAN will complement survey data and document review with consultations and interviews at the headquarters of multilateral organisations assessed.

In 2012 MOPAN tested a new component to assess the results of multilateral organisations.[2]

2.2 Performance Areas and Indicators

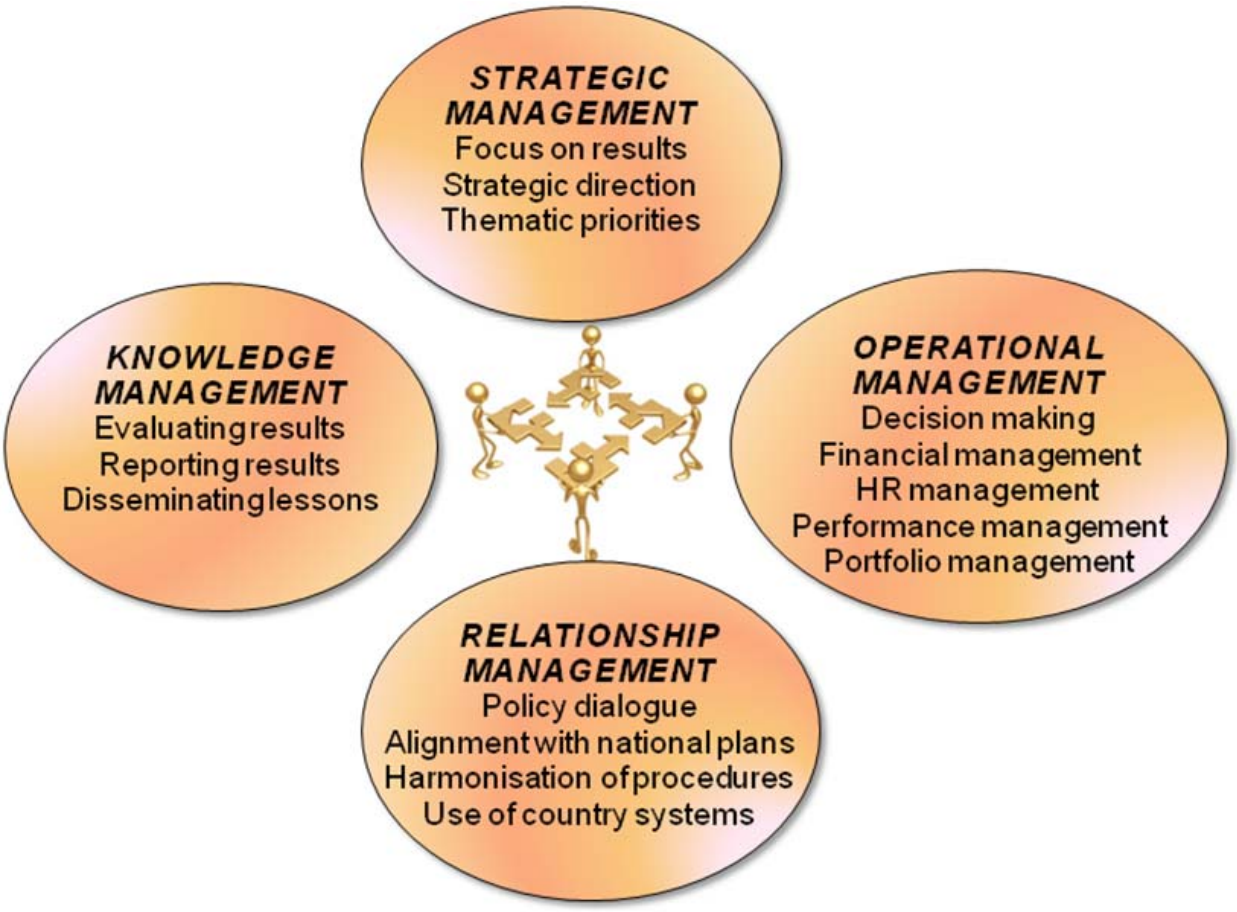
The MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results at the country level. The Common Approach framework groups these organisational capacities in four areas of performance:

- *Strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *Operational management*: managing operations in a way that is performance-oriented, thus ensuring organisational accountability for resources and results;
- *Relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and
- *Knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these definitions and performance areas are broadly applicable to a range of types of multilateral organisations (including those involved in humanitarian and normative work), the dimensions explored in the MOPAN Common Approach are adjusted as necessary to reflect the mandates of each organisation assessed.

[2] This component was tested in 2012 with the African Development Bank, UNICEF, UNDP, and the World Bank.

Dimensions of organisational effectiveness in the MOPAN Common Approach



Key Performance Indicators and Micro-Indicators

Within each performance area, organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in a series of micro-indicators (MIs).

The 2012 assessment draws on indicators that MOPAN has developed since 2007 (see sidebar) and tailors them, as required, for each of the organisations being assessed.

Evolution of MOPAN Indicators

2007: In an initial mapping exercise of existing bilateral donor assessment tools, MOPAN identified 250 indicators, many of which were overlapping.

2008: MOPAN reduced these to 35 key performance indicators (KPI) and 120 micro-indicators (MI)

2009 – 2011: MOPAN assessments included between 18 and 21 key performance indicators and between 60 and 75 micro-indicators, depending on the nature of the organisation and its mandate.

2.3 Multilateral Organisation Selection

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

- Perceived importance and interest to all MOPAN members
- Medium-term strategic planning (or equivalent) and replenishment cycles – with a view to assessing organisations prior to the planning process or the start of the replenishment negotiation process
- A mix of international financial institutions (IFI); UN funds, programmes, and specialised agencies; and humanitarian organisations.

On the basis of these criteria MOPAN aims to assess multilateral organisations on a 3-5 year cycle.

In 2012, MOPAN assessed six organisations: the African Development Bank (AfDB), the *GAVI* Alliance (formerly the Global Alliance for Vaccines and Immunisation), the Joint United Nations Programme on HIV/AIDS (UNAIDS), the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF), and the World Bank. Four of these organisations were assessed by MOPAN in 2009 (AfDB, UNDP, UNICEF, and the World Bank).

2.4 Country Selection

Each year countries are selected for the MOPAN assessment based on the following criteria:

- multilateral organisation presence in-country
- presence and availability of MOPAN members
- no recent inclusion in the survey
- the need for geographical spread
- a mix of low income and middle income countries (middle income countries being subdivided into lower middle and upper middle).

The assessment in 2012 was conducted in Cambodia, Democratic Republic of Congo, Ghana, Honduras, Philippines, Morocco, Niger, Nigeria, and Zimbabwe.

3. Survey

3.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and in-country) and other key stakeholders of the multilateral organisations under review, including direct partners or clients, peer organisations, and host or recipient government representatives. The number and type of respondent groups may vary for each organisation and additional respondent types may be included.

The main instrument for conducting the survey is an online survey. Respondents are able to complete the web-based survey in English, French, or Spanish.[3] When it is not possible for respondents to complete the online survey, off-line methods are used. Respondents may fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that is sent by email, or participate in a structured interview either in person or by telephone.

In order to ensure confidentiality, consultants (independent of MOPAN) manage the survey process and carry out the interviews.

[3] A paper version of the questionnaire is translated into local languages, as required.

Respondent Types

To gather diverse perspectives on the multilateral organisations being assessed, MOPAN generally seeks the perceptions of the following primary respondent groups:

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):**[4] Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of "direct partner" varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.

For some organisations, other respondent categories are also used, such as peer organisations, co-sponsoring agencies, or recipient/host governments.

3.2 Sampling and Response Rates

Sampling

The Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed.

The identification process, which involves all MOPAN members in collaboration with the multilateral organisations assessed, results in a list of the population (all potential respondents) for each of the multilateral organisations.

Individuals are invited to complete the survey for each organisation for which they have functional responsibility and sufficient knowledge.[5] This is confirmed through a screening question that asks respondents to indicate their level of familiarity with the multilateral organisation being assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents can continue the survey only if they indicate they are familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5).

The sample size is taken into account when deciding how to present survey data at the country level. If a threshold of respondents is not met, data summaries exclude the respondent group.

Response rate

MOPAN aims to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate from all other target groups, which is considered acceptable for a survey of

[4] In the context of IFIs, these are referred to as "clients" and some organisations refer simply to "partners."

[5] Each individual respondent is provided with a unique link that reflects the respondent type and the multilateral organisation(s) they have been assigned to. Some individuals, particularly MOPAN members, may complete surveys on more than one organisation.

respondents who need to have detailed knowledge about the organisation in order to participate.

During the survey period, response rates are monitored regularly. Respondents who do not access the survey or who do not complete it receive reminders from a range of sources:

- Email reminders from the survey consultant
- MOPAN country office and headquarter respondents will receive reminders from their MOPAN Focal Point
- Direct partners will receive reminders from the local survey consultant.

Responses provided through all off-line methods (including paper-based surveys, surveys in MS Word provided by email, and surveys completed through structured interviews) are entered into the online instrument using a separate link to the survey instrument. Data for online and off-line responses are merged only after quality control measures such as confirming correct type of stakeholder, country, etc are performed.

3.3 Survey Instrument

Survey Customisation

The survey instrument draws on the existing set of indicators and is customised for each multilateral organisation assessed, to reflect both the type of organisation and the types of respondents. This is done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who are familiar with these organisations.

A core set of questions is developed for all respondents and additional questions are designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, are asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems, are asked only of donors in-country and clients/direct partners of multilateral organisations. Some questions are adjusted to reflect the nature of the multilateral organisation (e.g., cross-cutting thematic priorities).

Survey Instrument

At the beginning of the survey, respondents are invited to assess the organisational effectiveness of the multilateral organisation and are also asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, respondents are invited to provide comments on each of the four dimensions of effectiveness.

The main part of the survey consists of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Respondents are presented with a statement describing an organisational practice, system, or behaviour and asked to rate the organisation's performance on a scale of 'very weak' to 'very strong' as shown below. There is also a 'don't know' option.

Score	Rating	Definition
1	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	Weak	The multilateral organisation has this system but there are important deficiencies.
3	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.

Score	Rating	Definition
4	Adequate	The multilateral organisation's system is acceptable in this area.
5	Strong	The multilateral organisation's system is more than acceptable, yet without being "best practice" in this area.
6	Very Strong	The multilateral organisation's system is "best practice" in this area.

3.4 Survey Data Analysis

SPSS and Stata statistical software are used to analyse survey responses.

First level data analysis

First level survey data analysis includes calculations of mean scores, medians, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions.

Frequency Calculation: Frequencies are calculated on both a weighted and un-weighted basis (see below for further explanation of our approach to weighting). Frequencies are calculated based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses are calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies are translated into percentages for ease of interpretation.

Mean Score Calculation: Scores are calculated based on answers to survey questions corresponding to micro-indicators. Mean scores are calculated on a weighted basis only, based on the number of valid responses to each question. Valid responses exclude 'don't know' responses and missing data (i.e., where respondents decide not to answer, or do not conform to required criteria such as location of work).

Mean scores are calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight is applied to each MI. For example, a KPI consisting of three micro-indicators that individually score 2, 3, and 4 will have a KPI mean of 3. In cases where multiple survey questions are needed to develop a concept, micro-indicators are composed of multiple sub-indicators. In such cases, the mean score of the sub-indicators is used to calculate the score for that particular MI.

A weighting scheme is applied to ensure that no single respondent group or country is under-represented in the analysis. The weighting is intended to correct for discrepancies/variation in:

- The number of individuals in each respondent group [6]
- The number of countries where the survey took place
- The numbers of donors in-country, direct partners, and other respondent groups within each country where the survey took place.[7]

[6] To account for the different numbers of respondents in each respondent group, individual weights are applied to each group.

[7] Weights for these groups are determined by the total number of respondents from each group who answer in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

A weight is calculated for each multilateral organisation using the following equation:

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

Where:

W = weight factor for a given respondent group set for the multilateral organisation

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

Weighted figures are carefully reviewed and analysed before inclusion in the multilateral organisation reports.

Converting Individual Scores to Group Ratings

A mean score is calculated for each respondent group (e.g., donors at HQ). Since mean scores are not necessarily whole numbers (from 1 to 6) MOPAN assigns numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

Range of the mean scores	Rating
1 to 1.49	Very Weak
1.50 to 2.49	Weak
2.50 to 3.49	Inadequate
3.50 to 4.49	Adequate
4.50 to 5.49	Strong
5.50 to 6.00	Very Strong

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

Second level analysis

Second level analysis examines differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis are applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance is adopted ($p \leq .05$) and these are reported where significant differences are found.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

4. Document Review

4.1 Overview

Through an examination of publicly available documents,[8] the MOPAN document review explores evidence that multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's effectiveness.

The document review considers three types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators. The organisations help to identify these documents.
- Organisational reviews or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies are either found on the organisation's web site or are provided by the organisation.
- External assessments such as the Survey on Monitoring the Paris Declaration (2011), the Common Performance Assessment (COMPAS) report (2010), and previous MOPAN surveys.[9]

4.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents follows a number of overall principles to ensure consistency and focus the sampling process.

All documents, regardless of type or level within the organisation, should be approved by the relevant authority (e.g., organisation-wide documents are usually approved by the multilateral organisation's Executive Management or Board).[10]

All documents (including policies, guidelines, strategies, thematic documents and web site information) are selected at least in part based on the requirements noted below.

- Policies or guidelines, at any level within the multilateral organisation, are selected only if they are in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, are selected only if they are being implemented within the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, are selected based on a principle of reviewing a mix of thematic areas.
- Any information presented on the multilateral organisation's web site (i.e., the text from a page on this site, not a downloadable document available on the site) is retrieved within the year of assessment, and is assumed to be current unless the web page itself states otherwise.

[8] Documents are considered to be "publicly available" if they are on the organisation's web site or if the organisation is able to provide them upon request for the purpose of assessing the micro-indicators.

[9] If data from these sources are not available for the multilateral organisations participating in this year's survey, either an alternate approach is developed or the micro-indicators are not assessed.

[10] This is intended to ensure that documents reviewed are final documents (rather than drafts) and that they are providing guidance for organisational behaviour.

- All documents (except for policies, guidelines and strategies) should be published within the following timelines:
  - Project/programme level documents: the current or previous year
  - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- When specific MIs require a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach is developed and tailored for each multilateral organisation.

4.3 Document Collection

The collection of documents follows the general steps outlined below, although it is not a linear process:

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

Once the document list is finalised and the document review has commenced, further documentation needed to fill any gaps in information for certain indicators is requested from the multilateral organisation. If the documents obtained from the third request do not contain the information needed, the consultant team makes the assessment based on the information available.

Other external assessments

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

Common Performance Assessment System (COMPAS) report, 2009 and 2010

COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The annual COMPAS report provides data in four categories (Country Strategies, Managing for Development Results through the Project Cycle, Corporate Results Reporting, Private Sector Development and Operations) that are relevant to the MDBs' implementation of the MfDR agenda. The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR. For the IFIs, MOPAN focuses primarily on the following indicators from the COMPAS report: B. Managing for Development Results through the Project Cycle

- Implementation performance
  - B. 8. Number and percentage of projects that were unsatisfactory in FY08 and that became satisfactory in FY09.
- Project completion reporting and evaluation
  - B. 11. Number of projects independently reviewed ex post during FY09, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on Monitoring the Paris Declaration, 2008 and 2011

The two most recent monitoring surveys (2008 and 2011), managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching the targets established by the Paris Declaration. Since a number of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C of

the monitoring survey report, entitled "Donor Data"[11], for the following indicators, when applicable:

- Indicator 3: Aid flows aligned on national procedures
- Indicator 4: Strengthen capacity by co-ordinated support
- Indicator 5 a and b. Use of country public financial systems and use of country procurement systems
- Indicator 6: Strengthen capacity by avoiding parallel implementation structures
- Indicator 7: Aid is more predictable
- Indicator 9: Use of common arrangements or procedures
- Indicator 10a: Joint missions

The OECD survey reports data for the United Nations as a whole, thus MOPAN relies on UN organisations to provide their data as input for these indicators. Other data sources will also be consulted to complement the OECD survey reports.

4.4 Document Analysis

The multilateral organisations are assessed on relevant micro-indicators in the Common Approach document review framework.[12] The document review ratings build on the definitions and scale used in the survey, as described in section 3.3 above.[13] The document review ratings range from 1 (Very Weak) to 6 (Very Strong).

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, taking into account all the evidence in the assessment, and the Assessment Team's judgment.

Document review criteria and rating

Number of criteria met	Descriptors	Definitions
No criteria met (or required document(s) do not exist)	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place.
One criterion met	Weak	The multilateral organisation has this system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation's system is acceptable in this area.

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

[12] Not all MOPAN micro-indicators are identified for document review.

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

Number of criteria met	Descriptors	Definitions
Four criteria met	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
All five criteria met	Very Strong	The multilateral organisation's system is "best practice" in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source,[14] follow a different rating method. In these cases, ratings are established on a case-by-case basis according to three descriptive criteria – 'inadequate', 'adequate' and 'strong'.

Ratings for key performance indicators (KPIs) are based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating is calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI rounded to the nearest whole number. This number is given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator are highly divergent (i.e., if there are two micro-indicators, and one is rated as "very weak" while the other is rated as "very strong"), this is noted in the narrative of the report.

Content Analysis

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

The analysis includes an examination of four broad areas:

- **Quality:** Documents are assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document are examined, such as evidence from budget documents that a certain policy or priority area is being financed, or evidence from evaluations that show implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type are examined (such as country strategies in different countries) to assess the extent to which criteria are met consistently across the organisation.
- **Improvement over time:** In some cases, documents are examined over several years to assess the extent to which progress can be seen over time.

Documents are also used to aid in the understanding of the context in which the multilateral organisations work.

[14] Paris Declaration Survey data will be the primary, but not the only, source for those MIs that are based on Paris Declaration indicators.

5. Interviews

As of 2012, interviews are conducted at the headquarters of multilateral organisations with individuals who are knowledgeable in areas that relate to the MOPAN assessment.

Interviewees are asked to provide knowledge, insight, and contextual information that could assist the MOPAN Assessment Team in analysing document review data, and to identify other relevant documents for the Assessment Team to consider. This helps ensure that the Assessment Team has all the appropriate and necessary documents, enhances the Team's ability to triangulate data from various sources, and assists the Assessment Team in the analysis of the key performance indicators by providing contextual information.

Interviews are conducted with a small number of staff who work in the primary units that relate to areas of the MOPAN assessment (e.g., strategy and planning, human resources, RBM, and evaluation). Interviewees are identified by the multilateral organisation in conjunction with the Assessment Team and MOPAN.

Interviews are semi-structured but flexible, allowing new questions to be brought up during the interview as a result of what the interviewee says. This type of interview does not follow a tightly prescribed questionnaire, but does require prior preparation of the key interview themes. The interview themes and questions are shaped by the MOPAN assessment framework and are tailored for each of the respondents according to his/her functional responsibility. An interview guide is prepared and interviewees are advised of the content areas beforehand.

Interviews are intended to provide several benefits to the MOPAN assessment. First, they provide the multilateral organisation with a better understanding of the types of documented data that are required for the MOPAN assessment so that they can fill in any gaps in the documentation required for the document review. Second, they provide the MOPAN Assessment Team an opportunity to better understand the multilateral organisation's practices and systems.

Data gathered during interviews is used as background information on the various areas being assessed – specifically, to understand the context in which the agency is working, as well as how decisions are made. In the event that survey data presents a picture that is very different from the assessment made in the document review, information from the interviews can help clarify how the multilateral organisation approached a certain issue.

The interviews are conducted after the Assessment Team has conducted a preliminary review of documents and are scheduled primarily during the months of April and May. If the multilateral organisation and MOPAN agree, the interviews are conducted in person during visits to the headquarters of the multilateral organisations. Alternatively, interviews are carried out by telephone or via video-conference.

6. Basis for Judgment

From 2003 to 2009, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. With the introduction of the document review in 2010 and interviews in 2012, judgments now draw on a variety of sources that can be compared and triangulated.

- **Survey**: Survey respondent perceptions are still an important component of the judgments on multilateral organisation performance and now include a broader range of stakeholders.
- **Document Review**: The document review process is guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g., OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach.

- **Interviews**: The interviews are used to triangulate data with the other two data sources. The MOPAN Assessment Team explores the convergence (or non-convergence) of the data, and when there is no convergence the team relies on expert judgment.

To the extent possible, the assessment standards and criteria are tailored to reflect the nature and operating environment of the multilateral organisations under review.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias, and detect errors or anomalies.[15] In the Common Approach, triangulation is done in a number of ways:

- Document review ratings are presented separately from survey results in order to illustrate convergence with or divergence from them.
- Additional assessments of the organisations are reviewed to help to validate or question the findings.
- Interviews are conducted to provide additional data and contextual information.
- The findings are widely vetted within the MOPAN network and revised based on feedback from members.
- The reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

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

7. Reporting

7.1 Institutional Reports

Individual institutional reports are produced for the multilateral organisations assessed. Survey results are reported using means and frequencies. At the organisation-wide level, mean scores are predominantly used to report results from micro-indicators.

The results of the document review are presented alongside the survey results and discussed in light of the perception-based scores and interviews, in order to further substantiate and contextualise the overall findings.

7.2 Country Data Summaries

A short summary of the results of the survey is produced for each of the MOs in each of the countries surveyed where sufficient survey data exists. Country data summaries (CDS) include a short analysis of micro-indicators rated by MOPAN members, direct partners and other survey respondents at the country level.

Country Data Summaries are prepared in order to provide feedback to those who participated in the MOPAN assessment and to provide input for a dialogue process. These summaries highlight main strengths and areas for improvement as perceived by survey respondents in each country. The data summaries are based on the perceptions of a range of stakeholders depending on the multilateral organisation assessed (MOPAN donors, clients/direct partners, peer organisations, etc.). They also describe differences in ratings between the different countries in which an organisation was assessed.

[15] Wholey, J.S., Hatry, H.P., Newcomer, K.E. Eds (2010) Handbook of Practical Program Evaluation (Third Edition), San Francisco, California: Jossey-Bass, p. 446-447.

There are, however, some limitations to the MOPAN assessment at the country level. One relates to achieving an adequate response rate from each of the respondent groups and another is the sometimes high level of "don't know" responses on the survey questions, particularly from MOPAN donors. The Assessment Team together with MOPAN takes these limitations into account when deciding what Country Data Summaries to prepare, and which respondent groups to include in the analysis.

Country Data Summaries are not published and are shared only with individuals who attend the country workshop on the MOPAN assessment findings, which takes place in the first quarter of the year following the assessment.

8. Strengths and Limitations of the Common Approach

MOPAN continues to improve methodology based on the experience of each year of implementation. The following strengths and limitations should be considered when reading MOPAN reports.

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools. In the long term, the intent is to replace or reduce the need for other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN donors (at headquarters and in-country), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, and the Busan High Level Forum regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review and interviews, thus using multiple sources of data. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data.
- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations.

Limitations

MOPAN Framework

- The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations.
- 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.

Data sources

- 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.

- 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.

Data Collection Instruments

- 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.
- 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. 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.
- 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.

Data Analysis

- While the document review can serve to evaluate the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).
- Mean scores are used in the MOPAN reports to provide central tendency values of the survey results. The mean has the advantage of being the most commonly understood measure of central tendency, however, there is a disadvantage in using the mean because of its sensitivity to extreme scores (outliers), particularly when population samples are small. The assessment team reviewed the median and standard deviations in analysing the survey results. Volume II, Appendix V provides the standard deviations for each survey question.

Basis for Judgment

- Although MOPAN uses recognised standards and criteria for what constitutes good practice for a multilateral organisation, such criteria do not exist for all MOPAN indicators. As a result, many of the criteria used in reviewing document content were developed by MOPAN in the course of the assessment process. The criteria are a work in progress and should not be considered definitive standards.
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide general indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and other stakeholders, including direct partners.

Despite some limitations, the Assessment Team believes that the MOPAN reports generally provide a reasonable picture of systems associated with the organisational effectiveness of multilateral organisations.

Appendix II MOPAN Common Approach Survey for UNAIDS 2012

Note: This is the survey used to assess UNAIDS in 2012. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Welcome to the Survey for the MOPAN Common Approach in 2012 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions and knowledge of the Joint United Nations Programme on HIV/AIDS (UNAIDS). Your perceptions may be shaped by your experience with and exposure to UNAIDS.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take approximately 45 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please note: It would be ideal if you would complete the survey in one session; however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey, please contact mopan2012@epinion.dk. You can move back and forth in the questionnaire at any point if you would like to change a response or a comment.

Your time spent contributing to the Common Approach is very much appreciated.

Please click the 'Start' button below to begin.

[1 - Samplegroup - single]

Samplegroup - Auto answered

❒ 1. HQ
❒ 2. CO
❒ 3. DP
❒ 4. CS

[2 - single]

You have been identified to assess the organisational practices, systems and behaviours of the Joint United Nations Programme on HIV/AIDS (UNAIDS). However, before answering the questionnaire we would like to know how familiar you are with UNAIDS and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is "Very familiar" and 1 is "Not at all familiar".

❒ 1. Not at all familiar
❒ 2.
❒ 3.
❒ 4.
❒ 5. Very familiar

[Condition 2= 1]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer, or hit 'Next' to exit the survey.

[3 - single]

Fake

❒ 1. Fake [Filtered]

[4 - single]

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

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

[Condition 4= 5]

You indicated that you never have contact with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer, or hit 'Next' to exit the survey.

[5 - single]

Fake

❒ 1. Fake [Filtered]

Thank you very much for taking the time to fill out this survey. On the basis of the answers you have provided, we understand that you are not sufficiently familiar with the organisation to respond to further questions. We will therefore not ask you to complete the rest of the survey. The types of questions asked require a certain level of familiarity with UNAIDS. Please contact mopan2012@epinion.dk if you think you have been screened out of the survey by mistake.

[Overall Performance]

Overall Performance

We would like to ask you a few questions about the effectiveness of UNAIDS, its strengths and its areas for improvement. Unless otherwise specified, UNAIDS refers to the Joint United Nations Programme on HIV/AIDS and thus refers to all the Co-sponsors and the Secretariat. Only certain questions refer specifically to UNAIDS' Secretariat.

[6 - single]

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

Please type your answer into the box below:

❒ 1. Note:

[7 - single]

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

Please type your answer into the box below:

❒ 1. Note:

[Q7]

[8 - single]

How would you rate the overall organisational effectiveness of UNAIDS?

Please use the scale below, where 6 means "Very effective" and 1 means "Not effective at all".

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

DEFINITION:

Organisational effectiveness = Being organised to support direct partners to produce and deliver expected development results.

We would like to ask you some questions about specific aspects of UNAIDS' performance. In thinking about these questions, please consider everything that you know about UNAIDS.

[Performance Areas]

Performance areas

You will see a series of statements that describe the practices, systems or behaviours in any multilateral organisation. Please rate how you think UNAIDS performs in those areas. Unless otherwise specified, UNAIDS refers to the Joint United Nations Programme on HIV/AIDS and thus refers to all the Co-sponsors and the Secretariat. Only certain questions refer specifically to UNAIDS' Secretariat. You will see a six-point scale as described below. The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

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

2 - Weak = UNAIDS has this practice, behaviour or system, but there are important deficiencies.

3 - Inadequate = UNAIDS' practice, behaviour or system in this area has deficiencies that make it less than acceptable.

4 - Adequate = UNAIDS' practice, behaviour or system is acceptable in this area.

5 - Strong = UNAIDS' practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

6 - Very strong = UNAIDS' practice, behaviour or system is "best practice" in this area.

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, Knowledge Management.

[Strategic Management]

Strategic Management

First of all, we would like to ask you about Strategic Management.

[Condition 1= 1 OR 1= 2 OR 1= 3]

[Corporate Governance]

Providing Direction for Results

To start with, we would like to ask you some questions related to UNAIDS' Secretariat's ability to provide direction for results. According to what you know, how do you think UNAIDS' Secretariat performs in relation to the practices, systems or behaviours described in the following statements?

[9 - single]

UNAIDS' Secretariat's institutional culture reinforces a focus on results.

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

[10 - single]

UNAIDS' Secretariat's institutional culture is partner-focused.

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

[Condition 1= 1]

[11 - single]

UNAIDS' Secretariat's senior management shows leadership on results management.

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

[12 - single]

UNAIDS' Secretariat makes key documents readily accessible to the public.

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

DEFINITIONS:

[DEFINITION 1]

Partner-focused = Emphasis on the organisations that receive a direct transfer of finances or technical assistance from a multilateral organisation - such as national government departments, civil society organisations and private entities.

[Condition 1= 1]

[DEFINITION 2]

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

[DEFINITION 3]

Key documents = Documents that describe strategies, policies, key financial information, and other types of reports at organisation-wide, country, and/or project/programme level.

[Condition 1= 1 OR 1= 2 OR 1= 3]

[13 - single]

Do you have any additional comments on UNAIDS' Secretariat's institutional culture and values in providing direction for results?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1]

[Corporate Strategy1]

Corporate Strategy

Still thinking about Strategic Management, but now about corporate strategies, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in each of the following statements?

[14 - single]

UNAIDS has a clear mandate.

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

[15 - single]

UNAIDS' strategic plan is aligned with its mandate.

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

[16 - single]

UNAIDS' structure is suited to its mandate.

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

[17 - single]

UNAIDS' structure is suited to the achievement of results.

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

[18 - single]

UNAIDS has tools in place to ensure the application of results management.

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

[19 - single]

UNAIDS' strategy contains explicit management results.

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

[20 - single]

UNAIDS's strategy contains explicit development results.

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

[21 - single]

UNAIDS' results framework (UBRAF) includes causal links from outputs through to outcomes and impact.

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

[22 - single]

UNAIDS' results framework includes measurable indicators at output and outcome levels.

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

DEFINITIONS:

Strategic plan(s) = High level document(s) that guide and direct the operations of the multilateral organisation.

Results management = A description (in tabular, chart or narrative form) of management (in-house/business focused) results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Development results = A description (in tabular, chart or narrative form) of development, beneficiary/stakeholder focused results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Causal links = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

[Condition 1= 1 OR 1= 2 OR 1= 3]

[Corporate Strategy2]

Cross-cutting Priorities

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

[23 - single]

UNAIDS sufficiently promotes gender equality in its work.

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

[24 - single]

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

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

[25 - single]

UNAIDS sufficiently applies human rights-based approaches (HRBA) to development in its programmatic work.

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

[Condition 1= 1]

[26 - single]

Do you have any additional comments on UNAIDS' corporate strategy?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 2 OR 1= 3 OR 1= 4]

[Strategies-Country,Regional]

Strategies - Country, Regional, Thematic

We would like to ask you about strategies at the country, sector and thematic levels. Thinking now about UNAIDS' strategies, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in each of the following statements?

[27 - single]

UNAIDS links results from project, sector and country levels.

(SEE DEFINITION BELOW)

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

[28 - single]

UNAIDS includes indicators at all levels (country, sector, and project/programme).

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

[29 - single]

UNAIDS contains statements of expected results consistent with national HIV strategies.

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

[30 - single]

UNAIDS' Secretariat consults with co-sponsors and partners to develop its expected results.

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

[31 - single]

UNAIDS includes results related to cross-cutting priorities, such as gender and human rights.

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

DEFINITIONS:

Country level = This question may refer to an organisation's country strategy.

National HIV strategies = National plans or strategies that set out the country's development priorities related to HIV and AIDS.

Co-sponsors = One of the ten UN organisations who, together with the Secretariat, form UNAIDS.

Partners = Organisations that receive a direct transfer from UNAIDS or have direct interaction with them at the country level. Transfers include financial assistance, capacity building, policy advice, etc. Direct partners can be governmental (ministries, departments, agencies, etc.), non-governmental (associations, non-profits, co-operatives, institutes, etc.) or private sector corporations.

[Condition 1= 2 OR 1= 3 OR 1= 4]

[32 - single]

Do you have any additional comments on UNAIDS' country strategies?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[33 - single]

Is there anything further you would like to say about UNAIDS' Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Operational Management]

Operational Management

We would like to know what you think about Operational Management within UNAIDS.

[Financial Resources1]

Financial Resources and Risk Management

We would first like to ask you some questions about UNAIDS' financial resources and risk management. According to what you know about UNAIDS, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1 OR 1= 2 OR 1= 3]

[34 - single]

UNAIDS' Secretariat makes readily available its criteria for allocating Unified Budget and Workplan (UBW)/Unified Budget Accountability and Results Framework (UBRAF) resources.

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

[Condition 1= 1 OR 1= 2 OR 1= 3]

[35 - single]

UNAIDS' Secretariat allocates Unified Budget and Workplan (UBW)/Unified Budget Accountability and Results Framework (UBRAF) resources according to the criteria mentioned above.

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

[36 - single]

UNAIDS releases Unified Budget and Workplan (UBW)/Unified Budget Accountability and Results Framework (UBRAF) resources according to agreed schedules.

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

[Condition 1= 1]

[37 - single]

UNAIDS links budget allocations to expected results.

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

[Condition 1= 1]

[38 - single]

UNAIDS' reports on results include the amount disbursed to achieve those results.

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

[Financial Resources2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management,

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

[Condition 1= 1]

[39 - single]

UNAIDS' Secretariat's external financial audits are meeting the needs of donors.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[40 - single]

UNAIDS' Secretariat regional or country-level operations are appropriately audited by an external body.

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

[Condition 1= 1 OR 1= 2 OR 1= 3]

[41 - single]

UNAIDS' Secretariat appropriately follows up on financial irregularities, including fraud and corruption.

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

[Condition 1= 1]

[42 - single]

UNAIDS' Secretariat conducts internal financial audits to provide credible information to its Governing Bodies.

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

[Condition 1= 1 OR 1= 2 OR 1= 3]

[43 - single]

UNAIDS' Secretariat's procurement and contract management processes for the provision of services or goods are effective. (SEE DEFINITION BELOW)

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

[Condition 1= 1]

[44 - single]

UNAIDS' Secretariat has appropriate strategies and plans for risk management. (SEE DEFINITION BELOW)

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

[Condition 1= 1 OR 1= 2 OR 1= 3]

DEFINITIONS:

[Condition 1= 1 OR 1= 2 OR 1= 3]

[DEFINITION 1]

Effective procurement / contract management processes = Procurement or contract management processes are carried out in an efficient manner and the objectives are met.

[Condition 1= 1]

[DEFINITION 2]

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

[45 - single]

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

❒ 1. Yes, please note:
❒ 2. No

[Performance Management]

Performance Management

We would like you to think about performance management - the way UNAIDS manages the performance of its operations. According to what you know about UNAIDS, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[46 - single]

UNAIDS uses project/programme, sector and country information on performance to revise corporate policies.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[47 - single]

UNAIDS uses evidence from projects, programmes and/or initiatives to plan new areas of cooperation at country level.

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

[Condition 1= 2 OR 1= 3]

[48 - single]

Poorly performing projects or initiatives of the Joint Programme are addressed.

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

[Condition 1= 1]

[49 - single]

UNAIDS appropriately tracks implementation of evaluation recommendations reported to its Governing Bodies.

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

[50 - single]

Do you have any additional comments on UNAIDS' performance management?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 2 OR 1= 3]

[Human Resources Management]

Human Resources Management

We would like you to think about the way UNAIDS' Secretariat handles human resources. According to what you know about UNAIDS, how do you think UNAIDS' Secretariat performs in relation to the practices, systems or behaviours described in the following statement(s)?

[Condition 1= 1]

[51 - single]

UNAIDS' Secretariat uses results-focused performance assessments for senior staff.

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

[Condition 1= 1]

[52 - single]

UNAIDS' Secretariat uses a transparent system to manage staff performance.

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

[Condition 1= 2 OR 1= 3]

[53 - single]

UNAIDS' Secretariat keeps deployed international staff in country for a sufficient time to maintain effective partnerships at country level.

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

[Condition 1= 1 OR 1= 2 OR 1= 3]

[54 - single]

Do you have any additional comments on how UNAIDS' Secretariat handles human resources?

❒ 1. Yes, please note:
❒ 2. No

[Portfolio Management]

Portfolio Management

We would like you to think about portfolio management. According to what you know about UNAIDS, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in each of the following statement(s)?

[Condition 1= 1 OR 1= 4]

[55 - single]

UNAIDS subjects new programming initiatives to evidence-based analysis.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[56 - single]

Targets are set to enable monitoring of progress in Joint Programme implementation at country level.

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

[Condition 1= 3 OR 1= 4]

[57 - single]

The Division of Labour is respected at the country level.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[58 - single]

The Joint Programme is managed at the country level.

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

[59 - single]

Do you have any additional comments on UNAIDS' portfolio management?

❒ 1. Yes, please note:
❒ 2. No

[60 - single]

Before moving on to the next section, is there anything further you would like to say about UNAIDS' Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Relationship Management]

Relationship Management

We would like to ask you about some aspects of Relationship Management,

particularly UNAIDS' relationship with its direct partners and other stakeholders.

[Condition 1= 2 OR 1= 3 OR 1= 4]

[Ownership]

Ownership

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

[61 - single]

UNAIDS Secretariat supports funding proposals designed and developed by the national government, co-sponsors or other partners.

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

[62 - single]

UNAIDS uses procedures that can be easily understood and followed by partners.

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

[63 - single]

The length of time it takes to complete UNAIDS' procedures does not affect implementation.

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

[64 - single]

UNAIDS adjusts its overall portfolio in country quickly, to respond to changing circumstances.

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

[65 - single]

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

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[66 - single]

Do you have any additional comments on UNAIDS' efforts to support country ownership?

❒ 1. Yes, please note:
❒ 2. No

[Alignment]

Alignment

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

[Condition 1= 4]

[67 - single]

UNAIDS relies on existing systems and partners.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[68 - single]

UNAIDS encourages mutual accountability assessments of the Paris Declaration and Accra Agenda for Action commitments.

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

[69 - single]

UNAIDS provides valuable inputs to policy dialogue.

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

[70 - single]

UNAIDS respects the views of partners when it undertakes policy dialogue.

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

[71 - single]

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

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 2 OR 1= 3 OR 1= 4]

[Harmonisation]

Harmonisation

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

[Condition 1= 2 OR 1= 4]

[72 - single]

UNAIDS coordinates and participates in joint missions, as appropriate.
(SEE DEFINITION BELOW)

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

[73 - single]

UNAIDS' technical assistance is provided through coordinated programmes in support of capacity development.

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

[74 - single]

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

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

[75 - single]

UNAIDS builds on or reinforces synergies and strengths of the co-sponsors.

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

DEFINITIONS:

[Condition 1= 2 OR 1= 4]

[DEFINITION 1]

Joint missions = Missions/visits to or in country/ies that are carried out jointly by UNAIDS' Secretariat, the co-sponsors and partners.

[Condition 1= 2 OR 1= 3 OR 1= 4]

[DEFINITION 2]

Programme-based approaches (PBAs) = A way of engaging in development co-operation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation.

[Condition 1= 2 OR 1= 3 OR 1= 4]

[76 - single]

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

❒ 1. Yes, please note:
❒ 2. No

[77 - single]

Before moving on to the next section, is there anything further you would like to say about UNAIDS' Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Knowledge Management]

Knowledge Management

In this last section, we would like to ask you about Knowledge Management within UNAIDS.

[Performance Evaluation]

Performance Evaluation

We would like to ask you about performance evaluation. According to what you know about UNAIDS, how do you think UNAIDS performs in relation to the practices, systems or behaviours described in the following statement?

[Condition 1= 1]

[78 - single]

UNAIDS uses evaluation findings in its decisions on programming, policy and strategy.

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

[Condition 1= 2 OR 1= 3 OR 1= 4]

[79 - single]

UNAIDS involves partners and beneficiaries in evaluations of its projects or programmes.

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

[80 - single]

Do you have any additional comments on UNAIDS' performance evaluation?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1]

[Performance Reporting]

Performance Reporting

Please think now about performance reporting.

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

[81 - single]
UNAIDS' reports to governing bodies provide clear measures of achievement of outcomes.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate

❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[82 - single]

UNAIDS reports adequately against its corporate/organisation-wide strategy.

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

[83 - single]

UNAIDS reports to its governing body on the mutual accountability of the Joint Programme.

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

[Condition 1= 1]

[84 - single]

Do you have any additional comments on UNAIDS' performance reporting?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 4]

[Dissemination]

Dissemination

We would like you to think about how UNAIDS disseminates lessons learned.

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

[85 - single]

UNAIDS identifies and disseminates lessons learned from performance information.

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

[86 - single]

UNAIDS provides opportunities throughout the organisation to share lessons from practical experience.

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

[Condition 1= 1 OR 1= 4]

[87 - single]

Do you have any additional comments on how UNAIDS disseminates lessons learned?

❒ 1. Yes, please note:
❒ 2. No

[88 - single]

Is there anything further you would like to say about UNAIDS' Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Background Questions]

[Condition 1= 1 OR 1= 2]

[89 - single]

Background Questions

What MOPAN member country do you work with?

❒ 1. Australia
❒ 2. Austria
❒ 3. Belgium
❒ 4. Canada
❒ 5. Denmark
❒ 6. Finland
❒ 7. France
❒ 8. Germany
❒ 9. Ireland

❒ 10. Republic of Korea
❒ 11. The Netherlands
❒ 12. Norway
❒ 13. Spain
❒ 14. Sweden
❒ 15. Switzerland
❒ 16. United Kingdom

[Condition 1= 1]

[90 - single]

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

❒ 1. MOPAN member organisation, in offices in the capital
❒ 2. MOPAN member organisation, in the permanent mission or executive board office at the multilateral organisation
❒ 3. Other:

[Condition 1= 2]

[91 - single]

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

❒ 1. MOPAN member organisation, in country office (including embassies)
❒ 2. Other:

[Condition 1= 3]

[92 - single]

Background Questions

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

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

[Condition 1= 4]

[93 - single]

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

❒ 1. UNHCR
❒ 2. UNICEF
❒ 3. WFP
❒ 4. UNDP
❒ 5. UNFPA
❒ 6. UNODC
❒ 7. ILO
❒ 8. UNESCO
❒ 9. WHO
❒ 10. World Bank

[94 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

❒ 1. Senior-level professional
❒ 2. Mid-level professional
❒ 3. Junior professional

[ALMOST DONE]

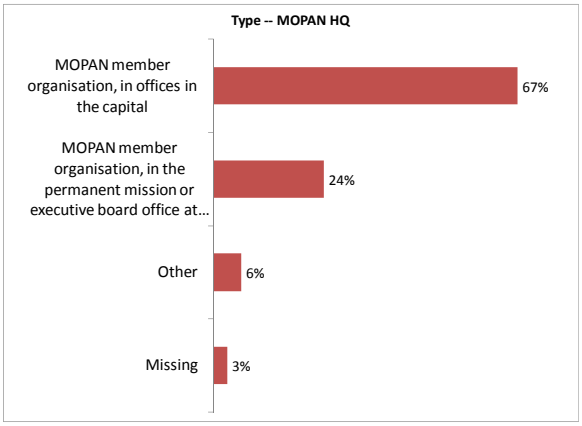
You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

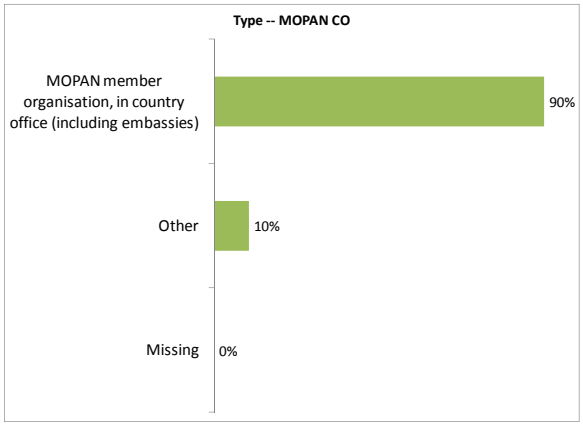
[End of Interview]

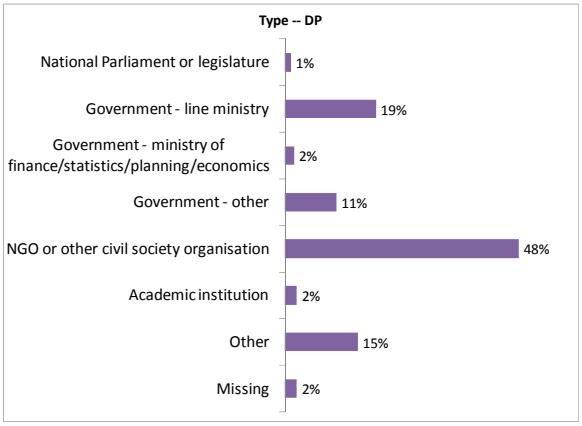
Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

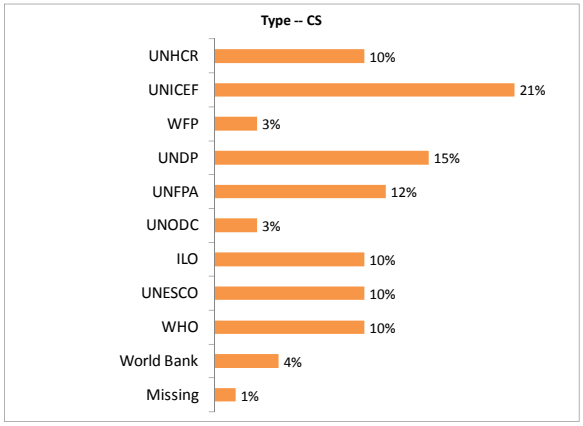
Appendix III Respondent Profile

Type of Respondents

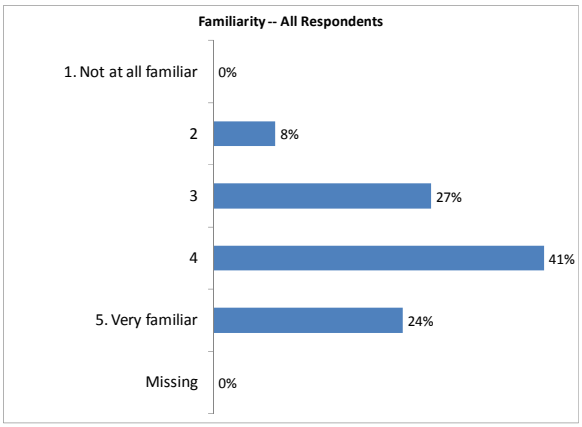


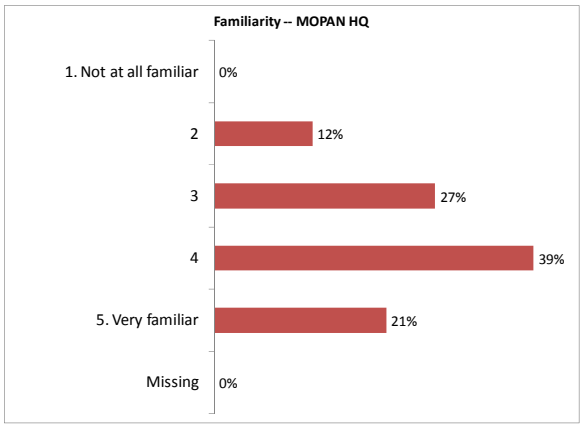


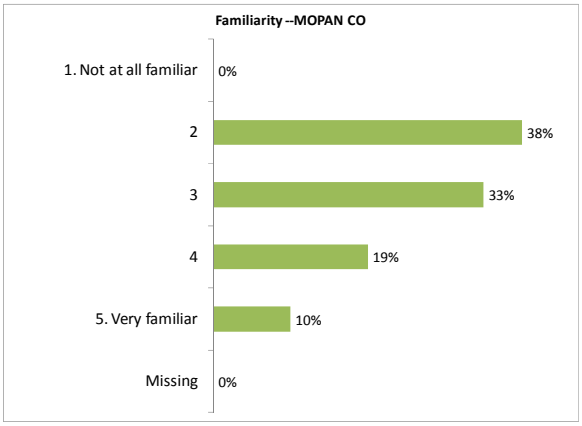


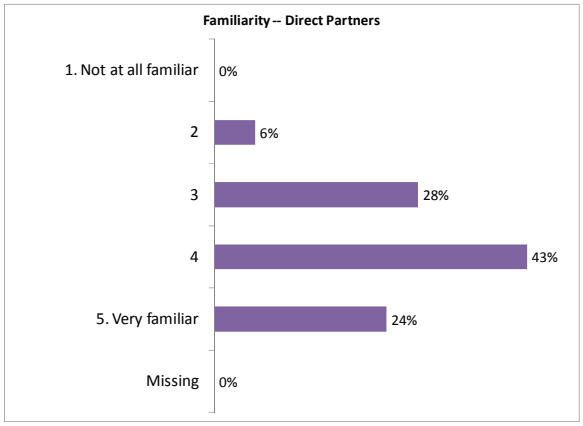


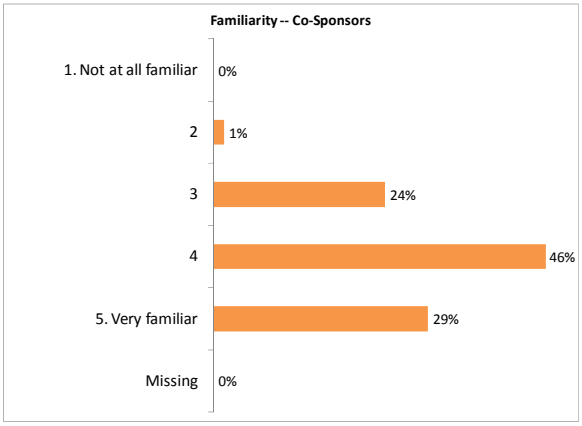
Respondent Familiarity with Multilateral Organisation



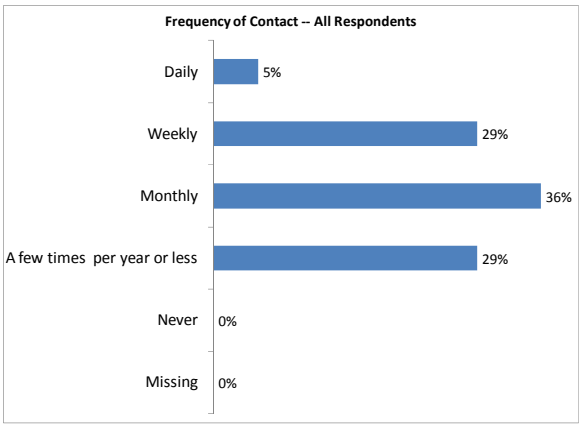


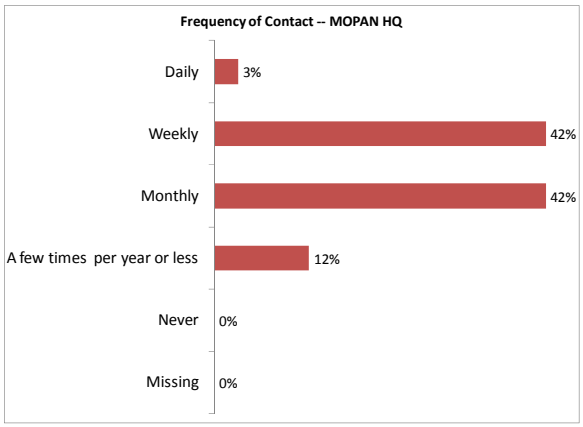


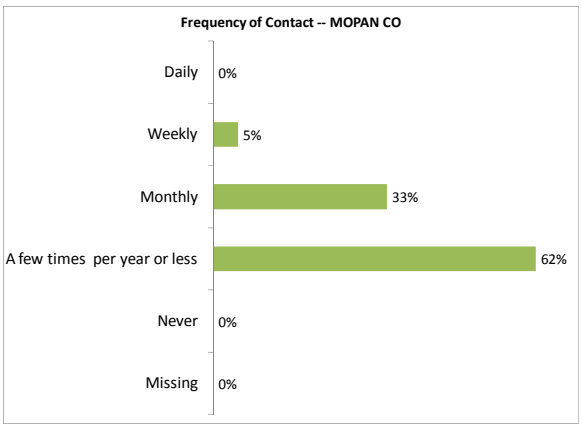


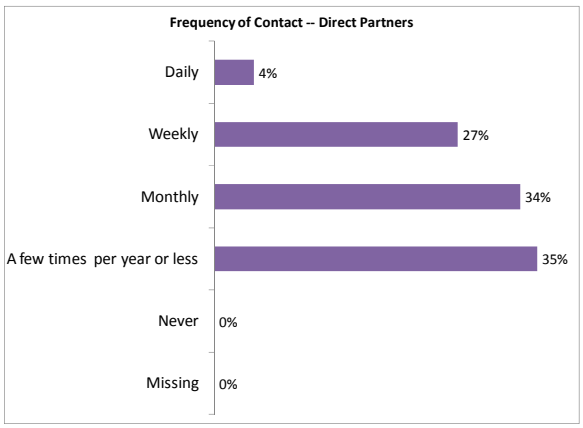


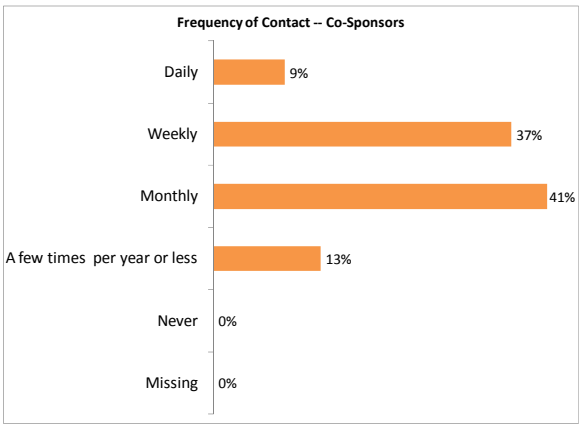
Respondent Frequency of Contact with Multilateral Organisation



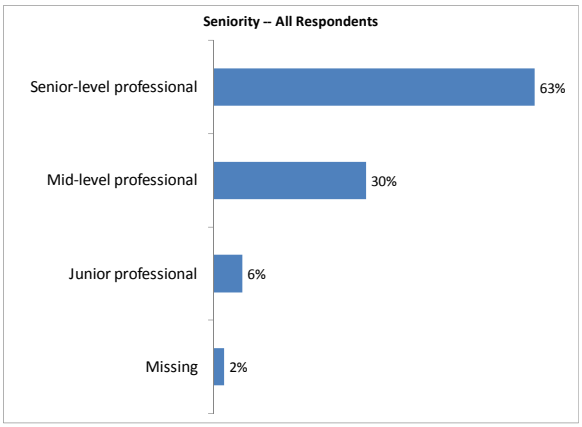


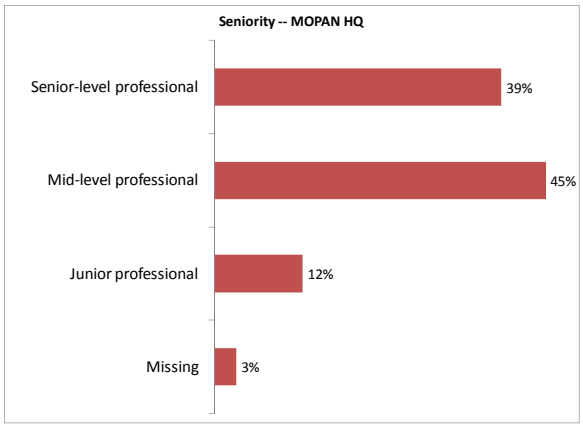


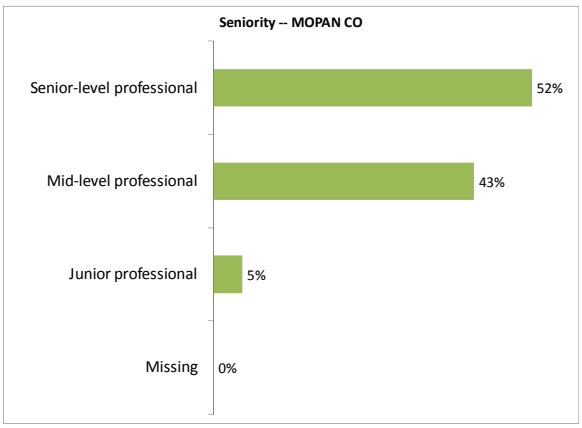


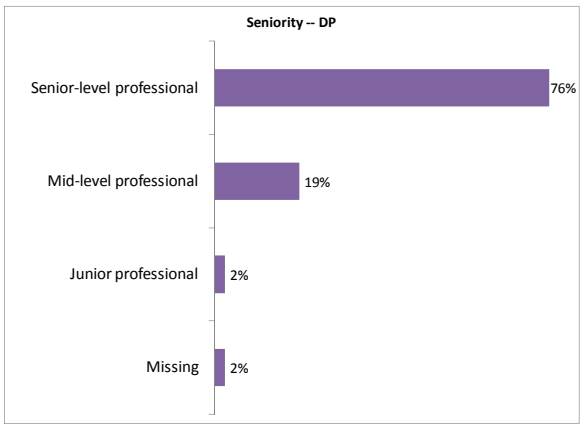


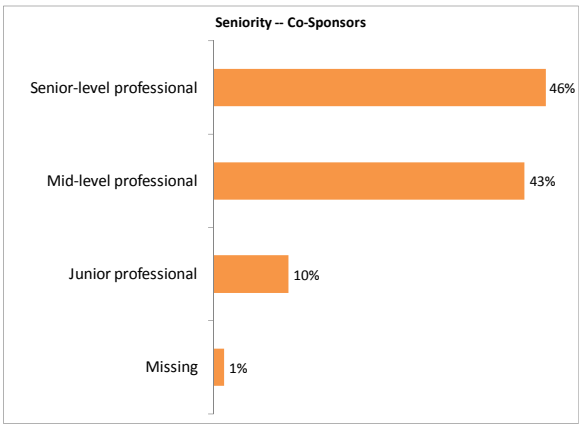
Respondent Level of Seniority











Appendix IV Base Size and Rate of "Don't Know" Responses

N (#) = number of respondents who were asked the question (un-weighted data).
% DK = percentage of respondents who indicated "Don't Know" to the question (weighted data).
"--" indicates that the question was not asked among a particular respondent group

I- Strategic Management

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 1	**The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results**	**154**	**4%**	**33**	**2%**	**21**	**12%**	**161**	**3%**	**--**	**--**
MI 1.1	The MO has a value system that supports a results-orientation and a partner focus	215	8%	33	5%	21	16%	161	4%	--	--
Sub-MI	i) UNAIDS Secretariat's institutional culture reinforces a focus on results [9]	215	9%	33	3%	21	20%	161	5%	--	--
Sub-MI	ii) UNAIDS Secretariat's institutional culture is partner-focused [10]	215	7%	33	6%	21	13%	161	2%	--	--
MI 1.2	The MO's Executive Management shows leadership on results management	33	0%	33	0%	--	--	--	--	--	--
MI 1.3	Key MO documents are available to the public	215	3%	33	0%	21	8%	161	2%		
KPI 2	**The MO's corporate strategies and plans are focused on the achievement of results**	**33**	**8%**	**33**	**8%**	**--**	**--**	**--**	**--**	**--**	**--**
MI 2.1	The MO's strategy is based on a clear definition of mandate	33	0%	33	0%	--	--	--	--	--	--
Sub-MI	(i) UNAIDS has a clear mandate [14]	33	0%	33	0%	--	--	--	--	--	--
Sub-MI	(ii) UNAIDS' strategic plan is aligned with its mandate [15]	33	0%	33	0%	--	--	--	--	--	--
MI 2.3	The MO's institutional architecture is suited to its mandate and the achievement of results	33	15%	33	15%	--	--	--	--	--	--

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	(i) UNAIDS structure is suited to its mandate [16]	33	15%	33	15%	--	--	--	--	--	--
Sub-MI	(ii) UNAIDS structure is suited to the achievement of results [17]	33	15%	33	15%	--	--	--	--	--	--
MI 2.4	The MO promotes results management	33	3%	33	3%	--	--	--	--	--	--
MI 2.5	Organisation wide plans and strategies contain frameworks of expected management and development results	33	0%	33	0%	--	--	--	--	--	--
Sub-MI	i) UNAIDS' strategy contains explicit management results [19]	33	0%	33	0%	--	--	--	--	--	--
Sub-MI	ii) UNAIDS' strategy contains explicit development results [20]	33	0%	33	0%	--	--	--	--	--	--
MI 2.6	Results frameworks have causal links from outputs through to impacts / final outcomes	33	15%	33	15%	--	--	--	--	--	--
MI 2.7	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	33	12%	33	12%	--	--	--	--	--	--
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**	**215**	**3%**	**33**	**2%**	**21**	**6%**	**161**	**3%**	**--**	**--**
MI 3.1	Gender equality	215	4%	33	0%	21	8%	161	3%		
MI 3.2	Environmental policy and environmental assessment practices	--	--	--	--	--	--	--	--	--	--
MI 3.3	Good Governance	215	4%	33	6%	21	4%	161	3%	--	--
MI 3.4	Human Rights based approaches	215	2%	33	0%	21	4%	161	2%	--	--
KPI 4	**The MO's country strategy is results-focused**	**250**	**8%**	**--**	**--**	**21**	**17%**	**161**	**4%**	**68**	**4%**
MI 4.1	Results frameworks link results at project, programme, sector, and country levels	250	7%	--	--	21	16%	161	2%	68	3%
MI 4.2	Frameworks include indicators at project, programme, sector, and country levels	250	11%	--	--	21	24%	161	4%	68	4%

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 4.3	Statements of expected results are consistent with those in national development strategies and UNDAF as appropriate	250	4%	--	--	21	8%	161	1%	68	3%
MI 4.4	Statements of expected results are developed through consultation with partners and beneficiaries	250	11%	--	--	21	17%	161	10%	68	6%
MI 4.5	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate)	250	9%	--	--	21	21%	161	3%	68	3%

II- Operational Management

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 5	**The MO makes transparent and predictable aid allocation decisions**	**238**	**33%**	**33**	**39%**	**21**	**34%**	**161**	**33%**	**68**	**13%**
MI 5.1	The MO's criteria for allocating funding are publicly available	215	28%	33	27%	21	27%	161	31%	--	--
MI 5.2	The MO's allocations follow the criteria	215	37%	33	39%	21	35%	161	36%	--	--
MI 5.3	Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	283	34%	33	52%	21	40%	161	32%	68	13%
KPI 6	**The MO's aid financial management is linked to aid performance management**	**33**	**26%**	**33**	**26%**	**--**	**--**	**--**	**--**	**--**	**--**
MI 6.1	Budget allocations are linked to expected development results	33	21%	33	21%	--	--	--	--	--	--
MI 6.2	Financial disbursements are linked to reported results	33	30%	33	30%	--	--	--	--	--	--
KPI 7	**The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)**	**130**	**42%**	**33**	**41%**	**21**	**46%**	**161**	**49%**	**68**	**58%**
MI 7.1	External financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors)	33	18%	33	18%	--	--	--	--	--	--
MI 7.2	External financial audits meeting recognised international standards are performed at the regional or country level	250	56%	--	--	21	51%	161	60%	68	58%
MI 7.3	The MO has a policy on anti-corruption	--	--	--	--	--	--	--	--	--	--
MI 7.4	Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	215	46%	33	39%	21	47%	161	53%	--	--
MI 7.5	Internal financial audit processes are used to provide management / governing bodies with credible information	33	30%	33	30%	--	--	--	--	--	--

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 7.6	The MO's procurement and contract management processes for the provision of services or goods are effective	215	47%	33	67%	21	40%	161	33%	--	--
MI 7.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting	33	52%	33	52%	--	--	--	--	--	--
KPI 8	**Performance information on results is used by the MO for:**	**125**	**24%**	**33**	**29%**	**21**	**27%**	**161**	**14%**	**68**	**1%**
MI 8.1	Revising and adjusting policies	33	30%	33	30%	--	--	--	--	--	--
MI 8.2	Planning new interventions	250	9%	--	--	21	17%	161	9%	68	1%
MI 8.3	Proactive management of poorly performing programmes, projects, and/or initiatives of the Joint Programme	182	28%	--	--	21	38%	161	19%	--	--
MI 8.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	33	27%	339	27%	--	--	--	--	--	--
KPI 9	**The MO manages human resources using methods to improve organisational performance**	**83**	**43%**	**33**	**56%**	**21**	**20%**	**161**	**15%**	**--**	**--**
MI 9.1	Results-focused performance systems are in place for senior staff (including Country Directors)	33	58%	33	58%	--	--	--	--	--	--
MI 9.2	There is a transparent system in place to manage staff performance	33	55%	33	55%	--	--	--	--	--	--
MI 9.3	The `time in post` / speed of staff rotation in post is adequate for the development of effective country level partnerships	182	17%	--	--	21	20%	161	15%	--	--
KPI 10	**Country programming processes are performance oriented**	**176**	**10%**	**33**	**15%**	**21**	**20%**	**161**	**8%**	**68**	**2%**
MI 10.1	Prior to approval, new initiatives are subject to evidence-based analysis	101	10%	33	15%	--	--	--	--	68	5%
MI 10.2	Milestones / targets are set to rate the progress of (project) implementation	250	9%	--	--	21	20%	161	8%	68	0%

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 11	**The MO delegates decision-making authority (to the country or other levels)**	**240**	**9%**	**--**	**--**	**21**	**20%**	**161**	**11%**	**68**	**3%**
MI 11.1	Roles and responsibilities at the country level are clearly defined according to the Division of Labour	229	9%	--	--	--	--	161	14%	68	3%
MI 11.2	Operational decisions can be made locally	250	10%	--	--	21	20%	161	8%	68	2%

III- Relationship Management

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 12	**The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans**	**250**	**10%**	**--**	**--**	**21**	**16%**	**161**	**7%**	**68**	**6%**
MI 12.1	Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself	250	10%	--	--	21	16%	161	7%	68	6%
KPI 13	**The MO's procedures take into account local conditions and capacities**	**250**	**15%**	**--**	**--**	**21**	**23%**	**161**	**11%**	**68**	**10%**
MI 13.1	The procedures of the MO can be easily understood and completed by partners	250	10%	--	--	21	17%	161	6%	68	9%
MI 13.2	The length of time for completing MO procedures does not have a negative effect on implementation	250	20%	--	--	21	36%	161	10%	68	13%
MI 13.3	The MO has the operational agility to respond quickly to changing circumstances on the ground	250	16%	--	--	21	24%	161	16%	68	9%
MI 13.4	The MO has operational flexibility in the way it implements programmes / project and deals with budget issues (during implementation)	250	13%	--	--	21	17%	161	13%	68	10%
KPI 14	**The MO uses country systems for disbursement and operations**	**159**	**14%**	**--**	**--**	**21**	**27%**	**161**	**30%**	**68**	**8%**
MI 14.1	The MO avoids parallel implementation structures	68	5%	--	--	--	--	--	--	68	5%
MI 14.2	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	250	23%	--	--	21	27%	161	30%	68	12%
KPI 15	**The MO adds value to policy dialogue with its direct partners**	**283**	**6%**	**33**	**8%**	**21**	**8%**	**161**	**4%**	**68**	**5%**
MI 15.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	283	6%	33	6%	21	8%	161	4%	68	4%

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 15.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	283	7%	33	9%	21	8%	161	4%	68	6%
KPI 16	**The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate**	**210**	**10%**	**--**	**--**	**21**	**19%**	**161**	**4%**	**68**	**5%**
MI 16.1	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	89	13%	--	--	21	19%	--	--	68	7%
MI 16.2	The extent to which MO technical cooperation is disbursed through coordinated programmes	250	6%	--	--	21	17%	161	1%	68	2%
MI 16.3	% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	250	13%	--	--	21	24%	161	6%	68	10%
MI 16.4	The extent to which the Joint Programme builds on and/or reinforces synergies, complimentarities and strengths of the co-sponsors.	250	8%	--	--	21	17%	161	6%	68	2%

IV- Knowledge Management

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 17	**The MO consistently evaluates its delivery and external results**	**142**	**14%**	**33**	**15%**	**21**	**20%**	**19**	**12%**	**68**	**9%**
MI 17.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	--	--	--	--	--	--	--	--	--	--
MI 17.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc)	--	--	--	--	--	--	--	--	--	--
MI 17.3	The MO ensures quality of its evaluations	--	--	--	--	--	--	--	--	--	--
MI 17.4	Evaluation findings are used to inform decisions on programming, policy, and strategy	33	15%	33	15%	--	--	--	--	--	--
MI 17.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	250	14%			21	20%	161	12%	68	9%
KPI 18	**The MO presents performance information on its effectiveness**	**33**	**12%**	**33**	**12%**	**--**	**--**	**--**	**--**	**--**	**--**
MI 18.1	Reports on the achievement of outcomes, not just inputs, activities and outputs	33	9%	33	9%	--	--	--	--	--	--
MI 18.2	Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--
MI 18.3	Reports against its strategy, including expected management and development results	33	9%	33	9%	--	--	--	--	--	--
MI 18.4	Reports against its Paris Declaration commitments using indicators and country targets	33	18%	33	18%	--	--	--	--	--	--
MI 18.5	Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--	--	--
MI 18.6	Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--	--	--

		Total		HQ		CO		Direct Partners		Co-Sponsors	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 19	**The MO encourages identification, documentation and dissemination of lessons learned and/or best practices**	**101**	**13%**	**33**	**18%**	**--**	**--**	**--**	**--**	**68**	**8%**
MI 19.1	Reports on lessons learned based on performance information	101	8%	33	9%	--	--	--	--	68	7%
MI 19.2	Learning opportunities are organised to share lessons at all levels of the organisation	101	19%	33	27%	--	--	--	--	68	10%

Appendix V KPI and MI Data by Quadrant

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

a) equal weight is given to the views of each of the five respondent groups;

b) equal weight is given to each of the countries where the survey took place;

c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted.[16] Total – includes all respondents. "--" indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)

I- Strategic Management

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
	Base (un-weighted)	***283***	***33***	***21***	***161***	***68***	***283***	***33***	***21***	***161***	***68***
KPI1	**The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results**	**4.63**	**4.72**	**4.27**	**4.77**		**0.92**	**0.77**	**1.07**	**1.06**	
MI	The MO has a value system that supports a results-orientation and a partner focus	4.46	4.49	4.11	4.72		0.89	0.60	0.93	1.00	
Sub-MI	i) UNAIDS Secretariat's institutional culture reinforces a focus on results [9]	4.33	4.34	3.88	4.69		0.91	0.60	0.96	0.98	
Sub-MI	ii) UNAIDS Secretariat's institutional culture is partner-focused [10]	4.59	4.65	4.35	4.76		0.87	0.60	0.90	1.02	
MI	The MO's Executive Management shows leadership on results management	4.67	4.67				0.77	0.77			
MI	Key MO documents are available to the public	4.76	5.00	4.43	4.81		1.10	0.93	1.20	1.11	
KPI 2	**The MO's corporate strategies and plans are focused on the achievement of results**	**4.52**	**4.52**				**0.70**	**0.70**			
MI	The MO's strategy is based on a clear definition of mandate	5.06	5.06				0.68	0.68			

[16] For a description of weighting, please see the Methodology in Appendix I.

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
Sub-MI	(i) UNAIDS has a clear mandate [14]	5.03	5.03				0.68	0.68			
Sub-MI	(ii) UNAIDS' strategic plan is aligned with its mandate [15]	5.09	5.09				0.67	0.67			
MI	The MO's institutional architecture is suited to its mandate and the achievement of results	4.23	4.23				0.47	0.47			
Sub-MI	(i) UNAIDS structure is suited to its mandate [16]	4.21	4.21				0.49	0.49			
Sub-MI	(ii) UNAIDS structure is suited to the achievement of results [17]	4.25	4.25				0.44	0.44			
MI	The MO promotes results management	4.41	4.41				0.71	0.71			
MI	Organisation wide plans and strategies contain frameworks of expected management and development results	4.55	4.55				0.76	0.76			
Sub-MI	i) UNAIDS' strategy contains explicit management results [19]	4.48	4.48				0.83	0.83			
Sub-MI	ii) UNAIDS' strategy contains explicit development results [20]	4.61	4.61				0.70	0.70			
MI	Results frameworks have causal links from outputs through to impacts / final outcomes	4.32	4.32				0.81	0.81			
MI	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	4.55	4.55				0.78	0.78			
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**	**4.66**	**4.93**	**4.12**	**4.92**		**0.97**	**0.77**	**0.80**	**1.05**	
MI	Gender equality	4.68	4.94	4.20	4.86		1.01	0.96	0.85	1.06	
MI	Environmental policy and environmental assessment practices										
MI	Good Governance	4.38	4.48	3.78	4.87		1.03	0.72	0.97	1.06	
MI	Human Rights based approaches	4.93	5.36	4.38	5.04		0.87	0.65	0.57	1.03	
KPI 4	**The MO's country strategy is results-focused**	**4.78**		**4.31**	**4.92**	**5.06**	**0.93**		**0.86**	**0.95**	**0.79**
MI	Results frameworks link results at project, programme, sector, and country levels	4.63		4.09	4.74	4.99	0.97		0.99	0.93	0.78
MI	Frameworks include indicators at project, programme, sector, and country levels	4.74		4.37	4.86	4.91	0.87		0.76	0.97	0.77

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
MI	Statements of expected results are consistent with those in national development strategies and UNDAF as appropriate	4.94		4.51	5.04	5.24	0.90		0.85	0.96	0.74
MI	Statements of expected results are developed through consultation with partners and beneficiaries	4.81		4.21	4.99	5.19	1.03		1.04	0.95	0.84
MI	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate)	4.78		4.36	4.95	4.95	0.85		0.67	0.91	0.80

II- Operational Management

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
	Base (un-weighted)	***283***	***33***	***21***	***161***	***68***	***283***	***33***	***21***	***161***	***68***
KPI 5	**The MO makes transparent and predictable aid allocation decisions**	**4.21**	**4.36**	**4.03**	**4.23**	**4.36**	**0.83**	**0.50**	**0.47**	**1.20**	**0.95**
MI	The MO's criteria for allocating funding are publicly available	4.18	4.38	3.99	4.18		0.83	0.49	0.58	1.21	
MI	The MO's allocations follow the criteria	4.16	4.20	3.98	4.30		0.78	0.52	0.50	1.13	
MI	Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	4.29	4.50	4.12	4.21	4.36	0.89	0.51	0.33	1.26	0.95
KPI 6	**The MO's aid financial management is linked to aid performance management**	**3.98**	**3.98**				**0.76**	**0.76**			
MI	Budget allocations are linked to expected development results	4.27	4.27				0.66	0.66			
MI	Financial disbursements are linked to reported results	3.70	3.70				0.87	0.87			
KPI 7	**The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)**	**4.22**	**4.02**	**4.13**	**4.65**	**5.02**	**0.80**	**0.55**	**1.10**	**1.14**	**0.77**
MI	External financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors)	4.07	4.07				0.47	0.47			
MI	External financial audits meeting recognised international standards are performed at the regional or country level	4.52		3.98	4.65	5.02	1.15		1.17	1.21	0.77
MI	The MO has a policy on anti-corruption										
MI	Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	4.11	3.85	4.00	4.59		1.05	0.66	1.14	1.21	
MI	Internal financial audit processes are used to provide management / governing bodies with credible information	4.26	4.26				0.53	0.53			
MI	The MO's procurement and contract management processes for the provision of services or goods are effective	4.44	4.00	4.40	4.71		0.94	0.44	0.98	1.01	

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
MI	The MO has strategies in place for risk identification, mitigation, monitoring and reporting	3.94	3.94				0.67	0.67			
KPI 8	**Performance information on results is used by the MO for:**	**4.41**	**4.40**	**3.95**	**4.76**	**4.75**	**0.90**	**0.70**	**1.00**	**1.10**	**0.92**
MI	Revising and adjusting policies	4.39	4.39				0.58	0.58			
MI	Planning new interventions	4.69		4.29	4.99	4.75	0.97		0.78	1.06	0.92
MI	Proactive management of poorly performing programmes, projects, and/or initiatives of the Joint Programme	4.12		3.62	4.52		1.25		1.21	1.14	
MI	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	4.42	4.42				0.82	0.82			
KPI 9	**The MO manages human resources using methods to improve organisational performance**	**4.07**	**3.93**	**4.16**	**4.55**		**0.60**	**0.36**	**0.86**	**1.20**	
MI	Results-focused performance systems are in place for senior staff (including Country Directors)	4.00	4.00				0.38	0.38			
MI	There is a transparent system in place to manage staff performance	3.87	3.87				0.35	0.35			
MI	The `time in post` / speed of staff rotation in post is adequate for the development of effective country level partnerships	4.36		4.16	4.55		1.06		0.86	1.20	
KPI 10	**Country programming processes are performance oriented**	**4.80**	**4.71**	**4.29**	**4.85**	**4.99**	**0.98**	**0.89**	**1.16**	**1.05**	**0.88**
MI	Prior to approval, new initiatives are subject to evidence-based analysis	4.84	4.71			4.95	0.91	0.89			0.92
MI	Milestones / targets are set to rate the progress of (project) implementation	4.75		4.29	4.85	5.03	1.06		1.16	1.05	0.84
KPI 11	**The MO delegates decision-making authority (to the country or other levels)**	**4.77**		**4.29**	**4.73**	**4.99**	**1.00**		**0.96**	**0.99**	**0.96**
MI	Roles and responsibilities at the country level are clearly defined according to the Division of Labour	4.80			4.66	4.92	1.01			0.99	1.02
MI	Operational decisions can be made locally	4.75		4.29	4.80	5.07	0.99		0.96	0.99	0.89

III- Relationship Management

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
	Base (un-weighted)	***283***	***33***	***21***	***161***	***68***	***283***	***33***	***21***	***161***	***68***
KPI 12	**The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans**	**4.66**		**4.21**	**4.81**	**4.92**	**1.04**		**0.77**	**1.19**	**0.96**
MI	Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself	4.66		4.21	4.81	4.92	1.04		0.77	1.19	0.96
KPI 13	**The MO's procedures take into account local conditions and capacities**	**4.30**		**3.91**	**4.38**	**4.57**	**1.05**		**0.87**	**1.07**	**1.04**
MI	The procedures of the MO can be easily understood and completed by partners	4.43		3.77	4.65	4.80	1.04		0.92	0.98	0.93
MI	The length of time for completing MO procedures does not have a negative effect on implementation	4.23		3.93	4.25	4.44	1.09		0.84	1.13	1.17
MI	The MO has the operational agility to respond quickly to changing circumstances on the ground	4.25		3.96	4.14	4.60	1.08		0.91	1.11	1.11
MI	The MO has operational flexibility in the way it implements programmes / project and deals with budget issues (during implementation)	4.31		3.99	4.47	4.44	0.98		0.84	1.07	0.97
KPI 14	**The MO uses country systems for disbursement and operations**	**4.74**		**3.80**	**4.54**	**4.95**	**1.08**		**1.51**	**0.97**	**0.97**
MI	The MO avoids parallel implementation structures	5.07				5.07	0.90				0.90
MI	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	4.41		3.80	4.54	4.83	1.26		1.51	0.97	1.04
KPI 15	**The MO adds value to policy dialogue with its direct partners**	**4.83**	**4.96**	**4.19**	**4.94**	**5.20**	**0.97**	**0.72**	**0.89**	**1.02**	**0.93**
MI	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.88	5.16	4.20	4.91	5.22	1.01	0.73	0.95	1.05	0.95
MI	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.77	4.77	4.17	4.96	5.18	0.94	0.72	0.82	0.98	0.91

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
KPI 16	**The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate**	**4.50**		**3.81**	**4.83**	**4.89**	**1.20**		**1.16**	**1.09**	**1.00**
MI	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	4.32		3.79		4.78	1.29		1.23		1.16
MI	The extent to which MO technical cooperation is disbursed through coordinated programmes	4.55		4.00	4.78	4.78	1.11		1.06	1.11	0.99
MI	% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	4.62		3.94	4.88	4.92	1.15		1.22	1.09	0.90
MI	The extent to which the Joint Programme builds on and/or reinforces synergies, complimentarities and strengths of the co-sponsors.	4.52		3.51	4.83	5.08	1.23		1.12	1.05	0.94

IV- Knowledge Management

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
	Base (un-weighted)	***283***	***33***	***21***	***161***	***68***	***283***	***33***	***21***	***161***	***68***
KPI 17	**The MO consistently evaluates its delivery and external results**	**4.45**	**4.56**	**3.78**	**4.48**	**4.72**	**0.97**	**0.69**	**1.26**	**1.27**	**1.04**
MI	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board										
MI	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc)										
MI	The MO ensures quality of its evaluations										
MI	Evaluation findings are used to inform decisions on programming, policy, and strategy	4.56	4.56				0.69	0.69			
MI	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.34		3.78	4.48	4.72	1.25		1.26	1.27	1.04
KPI 18	**The MO presents performance information on its effectiveness**	**4.19**	**4.19**				**0.74**	**0.74**			
MI	Reports on the achievement of outcomes, not just inputs, activities and outputs	4.24	4.24				0.68	0.68			
MI	Reports performance using data obtained from measuring indicators										
MI	Reports against its strategy, including expected management and development results	4.28	4.28				0.59	0.59			
MI	Reports against its Paris Declaration commitments using indicators and country targets	4.04	4.04				0.95	0.95			
MI	Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information										
MI	Reports on country (or other) level programming adjustments made or recommended based on performance information										

		Mean Score					Standard Deviation				
		Total	HQ	CO	DP	CS	Total	HQ	CO	DP	CS
KPI 19	**The MO encourages identification, documentation and dissemination of lessons learned and/or best practices**	**4.61**	**4.44**			**4.75**	**0.99**	**0.85**			**1.08**
MI	Reports on lessons learned based on performance information	4.59	4.45			4.73	0.95	0.86			1.02
MI	Learning opportunities are organised to share lessons at all levels of the organisation	4.63	4.43			4.78	1.02	0.83			1.13

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

QUADRANT I – STRATEGIC MANAGEMENT

KPI 1. The MO's Executive Management provides direction for the achievement of external / beneficiary focused results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
1.3. Key MO documents are available to the public.	More than half of the documents in the sample (excluding the disclosure policy) are available on the public website.	MET	Programme Coordinating Board (PCB) Meeting Archive: http://www.unaids.org/en/aboutunaids/unaidsprogrammecoordinatingboard/pcbmeetingarchive/ UNAIDS Annual Report 2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_en.pdf UNAIDS Mission Statement http://www.unaids.org/en/aboutunaids/ 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework-Part One, Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 26th Meeting of the UNAIDS Programme Coordinating Board-Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf UNAIDS Report on the Global AIDS Epidemic 2010 http://www.unaids.org/globalreport/Global_report.htm Global HIV/AIDS Response-Progress Report 2011 http://www.unaids.org/en/resources/publications/unaidspublications/2011/ Middle East and North Africa: Regional Report on AIDS 2011 http://www.unaids.org/en/resources/publications/unaidspublications/2011/ Privacy and Use of Data Statement http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_en.pdf Five-Year Evaluation of UNAIDS-Final Report (2002) http://www.unaids.org/en/media/unaids/contentassets/dataimport/governance/pcb03/pcb_13_02_02_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If first criterion met) all of the documents in the sample (excluding the disclosure policy) are available on the public website.	MET	See above
	(If first criterion met) More than 50% of the documents in the sample are available on the public website in multiple languages in keeping with the organisation's policies.	MET	Programme Coordinating Board (PCB) Meeting Archive: http://www.unaids.org/en/aboutunaids/unaidsprogrammecoordinatingboard/pcbmeetingarchive/ Archives CCP: http://www.unaids.org/fr/aboutunaids/unaidsprogrammecoordinatingboard/pcbmeetingarchive/ UNAIDS Annual Report 2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_en.pdf UNAIDS Rapport Annuel 2009 : http://data.unaids.org/pub/Report/2010/2009_annual_report_fr.pdf Informe Annual de ONUSIDA 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_es.pdf UNAIDS Mission Statement: http://www.unaids.org/en/aboutunaids/ La Mission de l'ONUSIDA: http://www.unaids.org/fr/aboutunaids/ Misión de ONUSIDA: http://www.unaids.org/es/aboutunaids/ 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf Stratégie de l'ONUSIDA 2011-2015: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/pcb27_unaids_strategy_fr.pdf Strategia de ONUSIDA para 2011-2015: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/JC2034_UNAIDS_Strategy_es.pdf UNAIDS Annual Report 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_en.pdf l'ONUSIDA Rapport Annuel 2009: http://data.unaids.org/pub/Report/2010/2009_annual_report_fr.pdf Informe Anual des ONUSIDA 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_es.pdf 26th Meeting of the UNAIDS Programme Coordinating Board-Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			26ème réunion du Conseil de Coordination du Programme de l'ONUSIDA Rapport financier et comptes audités de l'exercice biennal compris entre le 1er janvier 2008 et le 31 décembre 2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20082009financialreport_fr.pdf Privacy and Use of Data Statement: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_en.pdf Déclaration de confidentialité et conditions d'utilisation des données: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_fr.pdf Declaración de privacidad y de uso de datos: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_es.pdf
	A disclosure / access to information policy exists and is available on the MO website	NOT MET	Privacy and Use of Data Statement: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_en.pdf Déclaration de confidentialité et conditions d'utilisation des données: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_fr.pdf Declaración de privacidad y de uso de datos: http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/workingwithunaids/UNAIDSPrivacyUseDataStatement_es.pdf
	Clear procedures exist to contact the MO and receive a timely reply.	MET	Contact UNAIDS http://www.unaids.org/en/aboutunaids/contactunaids/ Contacter l'ONUSIDA http://www.unaids.org/fr/aboutunaids/contactunaids/ Pongase en contacto con el UNOSIDA http://www.unaids.org/es/aboutunaids/contactunaids/
	Overall Score MI 1.3	Strong	

KPI 2. The MO's corporate strategies and plans are focused on the achievement of results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.1. The MOs organisation wide strategy is based on a clear definition of mandate.	The necessary periodic revisions of the MO mandate are made so it has continuing relevance.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf Second Independent Evaluation of UNAIDS Implementation plan http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100317_sie_implementation_plan_en.pdf 26th Meeting of the UNAIDS Programme Coordinating Board Follow up to the Second Independent Evaluation of UNAIDS: Progress Report on Implementation http://data.unaids.org/pub/BaseDocument/2010/pcbsieprogressreport_final_en.pdf Second Independent Evaluation of UNAIDS Annex 2 Methodology http://data.unaids.org/pub/BaseDocument/2009/sie_final_report_annex_2_en.pdf The Governance Handbook (2010) http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/manual/2009/jc1682_governancehandbook_lr_en.pdf ECOSOC Resolution 1994/24 Establishing UNAIDS: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/externaldocument/1994/ecosoc_resolutions_establishing_unaids_en.pdf
	The organisational strategic plan articulates goals & focus priorities.	MET	2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf 23rd Meeting of the Programme Coordinating Board-2007-2011 Strategic Framework for UNAIDS support to countries' efforts to move towards universal access to prevention, treatment, care and support: http://data.unaids.org/pub/InformationNote/2008/20081031_strategicframework_final_en.pdf
	The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a	MET	See above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	certain period.		
	(If criteria two and three are met) there is an implicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	MET	ECOSOC Resolution 1994/24 Establishing UNAIDS: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/externaldocument/1994/ecosoc_resolutions_establishing_unaids_en.pdf 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
	(If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	MET	ECOSOC Resolution 1994/24 Establishing UNAIDS: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/externaldocument/1994/ecosoc_resolutions_establishing_unaids_en.pdf 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
Overall Score MI 2.1		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.2. The MO's institutional architecture is suited to its mandate and the achievement of results	A clear definition of the organisational structure and division of labour exists	MET	Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf Second Guidance Paper Joint UN programmes and teams on AIDS http://data.unaids.org/pub/Manual/2008/jc1512_second_guidance_paper_en.pdf Summary Division of Labour Guidance Note http://www.unaids.org/en/media/unaids/contentassets/documents/document/2011/20110304_DoL_GuidanceNote_Summary_en.pdf United Nations Resolution 1994/24 Economic and Social Council

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/externaldocument/1994/ecosoc_resolutions_establishing_unaids_en.pdf
	A clear definition of results to be achieved by all members exists	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_201011ubw_pmf_final_en.pdf
	A system exists for vertical and horizontal interaction of members at various levels (e.g. global, regional, national).	MET	Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf
	Sufficient resources exist for the achievement of results.	MET	30th Meeting of the UNAIDS Programme Coordinating Board Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011 Internal document 30th Meeting of the UNAIDS Programme Coordinating Board Interim financial management update for the 2012–2013 biennium for the period 1 January 2012 to 31 March 2012 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_Interim_Fin_MGT_update_en.pdf 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
	A functioning accountability	MET	30th Meeting of the UNAIDS Programme Coordinating Board Report by the Committee of Cosponsoring Organisations

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	mechanism to ensure the achievement of results exists.		http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
Overall Score MI 2.2		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.3 The MO promotes an organisation-wide policy on results management	An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for development results (MfDR) in the organisation is corporately approved (alternatively, the approach to RBM/MfDR may be described in the context of a strategic plan and further operationalised	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document 2007-2011 Strategic Framework for UNAIDS support to countries' efforts to move towards Universal Access to HIV prevention, treatment, care and support http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2008/20081031_strategicframework_final_en.pdf 26th Meeting of the UNAIDS Programme Coordinating Board 2008-2009 Unified Budget and Workplan Report Technical Supplement

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	through other documents).		http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf Results-Based Management Handbook: Strengthening RBM harmonization for improved development results (http://www.un.cv/files/UNDG%20RBM%20Handbook.pdf)
	The MO has guidelines on RBM/MfDR, either in hard copies or online.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Development of the new 2012-2015 Unified Budget and Accountability Framework Country and Regional inputs - Guidance note Internal document
	The MO provides opportunities for capacity building of staff on RBM/MfDR	MET - improvement	People Development and Performance Policy and Guidelines for the UNAIDS Secretariat Internal document
	There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM/MfDR to ensure its adequate implementation.	MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Response to the Report of the Second Independent Evaluation of UNAIDS http://data.unaids.org/pub/informationnote/2009/20091030_unaids_sie_response_final_en.pdf 27th Meeting of the UNAIDS Programme Coordinating Board Follow up to the Second Independent Evaluation of UNAIDS: Progress Report on Implementation http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2010/pcb27_sie_progress_report_en.pdf Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document
	There is evidence that the MO holds its partners accountable for results-based management (e.g. proposal and report formats require results-based formulations)	NOT MET	UNAIDS Division of Labour-Consolidated Guidance Note 2010: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board Report by the Committee of Cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board Report of the Committee of Cosponsoring Organisations « 84 - CCO report final - 23.05.2011» UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 « 50 - Performance Monitoring Report final - 07.06.2011» Second Guidance Paper Joint UN programmes and teams on AIDS http://data.unaids.org/pub/Manual/2008/jc1512_second_guidance_paper_en.pdf UNAIDS 2012-2015 Unified Budget, Results & Accountability Framework: http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111215_29th%20PCB%20UBRAF%20matrix.pdf
Overall Score MI 2.3		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.4 Organisation wide plans and strategies contain frameworks of expected management and development results	A corporate management results framework (MRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	A development results framework (DRF) exists, either contained within the strategic plan or as a separate document which is referred to by the	MET	See above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	strategic plan.		
	(If either first or second criterion met) at least one results framework (MRF or DRF) contains both statements of outputs and expected outcomes.	MET	See above
	(If third criterion met) in the same results framework as #3, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Not MET	See above
	(If most above criteria met) all above criteria are met for both MRF and DRF.	Not met	
Overall Score MI 2.4		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.5. Results frameworks have causal links from outputs through to impacts / final outcomes	At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF).	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			_en.pdf
	(If first criterion is met) there is either an *implicit or explicit* description in the DRF (or in the strategic plan) of the results chain – that is, how the outputs in the results framework(s) are linked to the expected outcomes.	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2010-2011 Unified Budget and Workplan http://data.unaids.org/pub/InformationNote/2009/20090515_20102011_ubw_final_en.pdf 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
	In the DRF, there is a clear and logical progression from outcomes to impact.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2010-2011 Unified Budget and Workplan http://data.unaids.org/pub/InformationNote/2009/20090515_20102011_ubw_final_en.pdf
	(If first three criteria are met) there is either an *implicit or explicit* description in the MRF of the results chain at the level of outputs and outcome.	MET	2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			_en.pdf
	(If first four criteria are met) there is a clear and logical progression from outcomes to impact in the MRF.	MET	
	Overall Score MI 2.5	Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.6. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	A development results framework exists at the organisation-wide level and contains adequate performance indicators at both the output and outcome levels.	NOT MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 2012-2015 UBRAF – Appendix 3 Results and Accountability Matrix http://www.unaids.org/en/media/unaids/contentassets/documents/document/2011/ubraf/Appendix3_ResultsAccountabilityMatrix_12042011.pdf 30th Meeting of the UNAIDS Programme Coordinating Board Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board Technical Supplement UNAIDS performance monitoring report 2010-2011

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf
	In the DRF, more than half of the performance indicators are relevant to the results they are associated with in the framework(s).	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	In the DRF, more than half of the performance indicators are clear (i.e. it is clear what is to be measured).	NOT MET	See above
	In the DRF, more than half of all indicators (most likely at the outcome level) include targets with clear dates for achievement.	NOT MET	See above
	(All above criteria met) in both an MRF and DRF.	NOT MET	See above
	Overall Score MI 2.6	WEAK	

KPI 3. The MO maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.1. Gender equality	The organisation has developed a policy or strategic framework on the mainstreaming of gender.	MET	Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV Operational plan for UNAIDS Action Framework: addressing women, girls, gender equality and HIV http://www.unfpa.org/hiv/docs/unaids_operationalplan.pdf 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of gender.	MET	Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV Operational plan for UNAIDS Action Framework: addressing women, girls, gender equality and HIV http://www.unfpa.org/hiv/docs/unaids_operationalplan.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	NOT MET	Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV Operational plan for UNAIDS Action Framework: addressing women, girls, gender equality and HIV http://www.unfpa.org/hiv/docs/unaids_operationalplan.pdf
	The organisation has functioning systems (organisational and	MET	Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV Operational plan for UNAIDS Action Framework: addressing women, girls, gender equality and HIV

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	programmatic) and relevant capacities (e.g. planning, human resources, budgeting, etc.) to ensure effective mainstreaming.		http://www.unfpa.org/hiv/docs/unaids_operationalplan.pdf UNAIDS Second Independent evaluation 2002-2008 Country Visit to Vietnam http://data.unaids.org/pub/BaseDocument/2009/20090515_sie_countrysummaryreport_vietnam_en.pdf 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
	The organisation has defined accountability mechanisms, both programmatic and operational, to ensure monitoring and continuous improvement of mainstreaming efforts.	MET	Scorecard on Gender Equality in National HIV Responses Documenting Country Achievement and the Engagement of Partners under the UNAIDS Agenda for Women, Girls, Gender Equality and HIV Internal document Agenda for Accelerated Country Action for Women, Girls, Gender Equality and HIV Operational plan for UNAIDS Action Framework: addressing women, girls, gender equality and HIV http://www.unfpa.org/hiv/docs/unaids_operationalplan.pdf 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
	Overall Score MI 3.1	STRONG	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.2 Environmental policy and environmental assessment practices	The organisation has undertaken a situation analysis and planning related to the mainstreaming of environmental issues.	NOT MET	
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of environmental issues.	NOT MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	NOT MET	
	The organisation has integrated institutional systems and associated capacities (e.g. policy, planning, human resources, budgeting, etc.) to ensure effective mainstreaming.	NOT MET	
	The organisation has defined accountability mechanisms to ensure monitoring and continuous improvement of mainstreaming efforts (feedback loops).	NOT MET	
	Overall Score MI 3.2	VERY WEAK	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.3 Good Governance	The organisation-wide strategic plan identifies good governance as a cross-cutting priority or focus area.	MET	2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
	(If the first criterion is	MET	2011-2015 Strategy 'Getting to Zero':

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	met) the organisation has defined results related to good governance principles either in the organisation-wide strategic plan or in a separate policy document.		http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	The organisation has a separate policy or strategy that describes how it promotes good governance in its programming.	MET	"Three Ones" key principles "Coordination of National Responses to HIV/AIDS" / Guiding principles for national authorities and their partners http://data.unaids.org/una-docs/three-ones_keyprinciples_en.pdf
	There is evidence that the organisation supports good governance activities through the allocation of resources (financial, human, etc) as part of its programming(in reports to the Board, evaluations, etc.)	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	An organisation-wide evaluation or review has been undertaken that documents progress in implementing the commitment to promoting good governance	MET	PCB Task Force on SIE Follow-up related to all Aspects of Governance Summary Report http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/agenda/2010/20100225_pcb_tf_mtg1_nfr_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	Overall Score MI 3.3	Very strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.4 Human rights-based approaches	The organisation has undertaken a situation analysis and planning related to the mainstreaming of human rights-based approaches.	MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf The People Living with HIV Stigma Index; An index to measure the stigma and discrimination experienced by people living with HIV User Guide Internal document 2011-2015 Strategy 'Getting to Zero': http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2010/20101221_JC2034E_UNAIDS-Strategy_en.pdf
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of human rights-based approaches.	MET	Issue paper for the Session: Possible Components of a UNAIDS Strategy on Human Rights Internal document 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf Issue paper for the Session: Possible Components of a UNAIDS Strategy on Human Rights Internal document A new investment framework for the global HIV response Internal document
	The organisation has integrated institutional systems and	MET	Issue paper for the Session: Possible Components of a UNAIDS Strategy on Human Rights Internal document

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	associated capacities (e.g. policy, planning, human resources, budgeting, etc.) to ensure effective mainstreaming.		
	The organisation has defined accountability mechanisms to ensure monitoring and continuous improvement of mainstreaming efforts (feedback loops).	MET	See above
	Overall Score MI 3.4	Strong	

KPI 4. MO's country strategy is results-focused

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.1 Results frameworks that link results at project, programme, sector, and country levels	At least half of the countries surveyed have strategies that include statements of expected results articulated at output and outcome levels.	MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013 Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013 Internal document Niger UCO Annual workplan 2012-2013

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document Proposed Working Mechanisms for Joint UN Teams on AIDS at Country Level http://data.unaids.org/pub/Manual/2007/jc1325_jointu_teams_en.pdf
	(If first criterion met) in more than half of the country strategies, almost all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	NOT MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If first criterion is met) more than half of the country strategies sampled explicitly link expected results of the MO's projects/programmes and/or initiatives to the MO's expected results at country level.	MET	Same as above
	(If first criterion is met) at least two of the country strategies sampled explicitly link expected results of the MO's sector strategies to the MO's expected results at country level.	NOT MET	Same as above
	(If all above criteria are met) all of the above criteria are met for all country strategies sampled.	NOT MET	Same as above
	Overall Score MI 4.1	Inadequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.2 Frameworks include indicators at project, programme, sector, and country levels	More than half of the country strategies sampled have the following characteristics: More than half of the performance indicators are *adequate* (i.e.	NOT MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	provide a sufficient basis to assess performance).		Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013 Internal document Niger UCO Annual workplan 2012-2013 Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document
	More than half of the performance indicators are *relevant* to the results they are associated with in the country strategies.	NOT MET	Same as above
	More than half of the	NOT MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	performance indicators are *clear* (i.e. it is clear what is to be measured).		
	Data sources and data collection methods are appropriate for more than half of the performance indicators.	NOT MET	Same as above
	More than half of the performance indicators are monitorable (i.e. they have targets set for them, and the date(s) for target achievement is clear).	NOT MET	Same as above
	Overall Score MI 4.2	very weak	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.3 Statements of expected results consistent with those in national development strategies and UNDAF as appropriate.	At least half of the country strategies sampled contain statements of expected results	MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013 Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013 Internal document

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Niger UCO Annual workplan 2012-2013 Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document
	At least half of the country strategies contain reference to the country's national development strategies (e.g. PRSP) as applicable	MET	Same as above
	(If first two criteria are met) in at least half of the cases, the link between the MO's expected results and those identified in the national development	MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	strategies (e.g. PRSP) is implicit		
	(If all above criteria are met) at least half of the country strategies *explicitly* demonstrate how the MO's expected results are consistent with those in the national development strategies (e.g. PRSP)	MET	Same as above
	(If all above criteria are met) all above criteria are met for all country strategies sampled	NOT MET	Same as above
	Overall Score MI 4.3	Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.5 Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment, good governance, human rights-based approaches.	More than half of the country strategies sampled identify (at least briefly mention) at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 3)	MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013 Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013 Internal document Niger UCO Annual workplan 2012-2013

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document
	More than half of the country strategies sampled identify (at least briefly mention) all of the key cross-cutting themes for the organisation being assessed	Not MET	Same as above
	(If first criterion is met) more than half of country strategies sampled identify results that integrate at least two of the issues / themes, as relevant	MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If first criterion is met) more than half of the country strategies sampled provide evidence of strategies and approaches to address or apply the cross-cutting issue / theme.	NOT MET	Same as above
	(If first criterion met) *all* country strategies sampled meet criteria 2-4.	NOT MET	Same as above
	Overall Score MI 4.5	weak	

QUADRANT II – OPERATIONAL MANAGEMENT

KPI 5. The MO makes transparent and predictable aid allocation decisions

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
5.1 The MO's criteria for allocating funding are publicly available.	A policy for the allocation of resources to country programmes exists	MET	Report of the PCB Task Force on SIE Follow-Up Related to All Aspects of Governance (2010), http://data.unaids.org/pub/Report/2010/20100427_pcbsietaskforce_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2010-2011 Unified Budget and Workplan http://data.unaids.org/pub/InformationNote/2009/20090515_20102011_ubw_final_en.pdf 29th Meeting of the UNAIDS Programme Coordinating Board - Second Independent Evaluation of UNAIDS http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111122_PCB%2029%20SIE.pdf Mulitlateral AID Review: Assessment of the Joint United Nations Programme on HIV/AIDS (UNAIDS), February 2011: http://www.dfid.gov.uk/Documents/publications1/mar/UNAIDS.pdf Joint United Nations Programme on HIV/AIDS (UNAIDS) Response to the UK Multilateral Aid Review March 2011, Strategic and Performance Management section: http://www.dfid.gov.uk/Documents/MAR/unaids-response.pdf UNAIDS 2012-2015 Unified Budget, Results & Accountability Framework, p. 37 and 38: http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111215_29th%20PCB%20UBRAF%20matrix.pdf
	The policy is reviewed on at least a 5-year cycle.	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	There is evidence of the application of this policy.	MET	Same as above
	The policy is available on the agency's public website	MET	Same as above
	The policy is available in more than one of the	MET	Same as above

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
	UN official languages.		
	Overall Score MI 5.1	Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
5.3 Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Evidence of improved predictability in scheduling	MET	30th Meeting of the UNAIDS Programme Coordinating Board Interim financial management update for the 2012–2013 biennium for the period 1 January 2012 to 31 March 2012 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_Interim_Fin_MGT_update_en.pdf IHP Partner Scorecard for UNAIDS http://ihpresults.net/django/media/scorecards/partner-scorecard-UNAIDS-en.pdf 29th Meeting of the UNAIDS Programme Coordinating Board - Second Independent Evaluation of UNAIDS http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111122_PCB%2029%20SIE.pdf Interim financial management update for the 2010–2011 biennium for the period 1 January 2010 to 31 March 2010 http://data.unaids.org/pub/BaseDocument/2010/20100331_interim_financialmgt_update_en.pdf
	Evidence of improved delivery of scheduled aid (or evidence of attempts made to deliver scheduled aid, depending on the context)	MET	Same as above 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	Overall Score MI 5.3	Strong	

KPI 6. The MO's aid financial management is linked to aid performance management

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
6.1 Budget allocations are linked to expected development results	In the most recent annual or multi-year organisation-wide budget, budget information is presented in a results-oriented way.	MET	24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2010-2011 Unified Budget and Workplan http://data.unaids.org/pub/InformationNote/2009/20090515_20102011_ubw_final_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board 5-7 June 2012 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf
	Some output costs and/or outcome costs in the DRF and MRF are presented in the budget document.	MET	24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2010-2011 Unified Budget and Workplan http://data.unaids.org/pub/InformationNote/2009/20090515_20102011_ubw_final_en.pdf
	Most output costs and/or outcome costs in the DRF and MRF are presented in the budget document.	MET	Same as above
	There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system).	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf
	There is evidence (from evaluations or audits conducted in this area) of a system	NOT MET	UNAIDS Accountability Enhancement Review of Country Offices Report for Cambodia Office May 2008 Internal document UNAIDS Office in Democratic Republic of Congo Report No. 06

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
	that allows the organisation to track costs from activity through to outcome.		Date Issued: 15 May 2008 Internal document Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Financial Management and Accountability department (FMA) SAS roll out training Internal document
	Overall Score MI 6.1	Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
6.2 Financial disbursementare linked to expected development results	The most recent annual reports show financial disbursements aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	MET	30th Meeting of the UNAIDS Programme Coordinating Board Conference Room Paper Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 2008 UNAIDS Annual Report Towards Universal Access http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2009/jc1736_2008_annual_report_en.

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			pdf Annual Report 2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/2009_annual_report_en.pdf Delivering Results in Transformative Times Report of the Executive Director 26th Meeting of the Programme Coordinating Board 22 June 2010 http://data.unaids.org/pub/SpeechEXD/2010/20100623_pcb_speech_en.pdf Value for money: now more than ever Report of the Executive Director 27th Meeting of the Programme Coordinating Board December 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2010/20101206_27PCB_EXDreport_en.pdf A Game-Changing Moment Report of the Executive Director 28th Meeting of the Programme Coordinating Board 21 June 2011 http://www.unaids.org/en/media/unaids/contentassets/documents/speech/2011/20110621_SP_EXD_28thPCB_en.pdf Getting to zero: Time to shape our destiny http://www.unaids.org/en/media/unaids/contentassets/documents/speech/2011/20111213_sp_exd_29pcb_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board Report of the Committee of Cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110523_cco%20report_final_200511_REVISED.pdf UNAIDS Secretariat Country Programme Assessments Assessment Report Zimbabwe Internal document Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document
	In the most recent annual reports, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.	MET	30th Meeting of the UNAIDS Programme Coordinating Board Conference Room Paper Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf
	In the most recent annual reports, variances in operational expenditure and results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	MET	30th Meeting of the UNAIDS Programme Coordinating Board Conference Room Paper Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf Financial Management and Accountability department (FMA) / SAS roll out training Internal document Getting started with the ERP Internal document ERP Module 1: Employee Self Service Applications Internal document ERP End-to-End *(E2-E)* Process Flows: Summary

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Approval Processes in ERP eLearning Module Content Internal document
	(If the third criterion is met) In the most recent annual reports, variance in operational expenditure and results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	NOT MET	Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf Getting started with the ERP Internal document ERP Module 1: Employee Self Service Applications Internal document ERP End-to-End *(E2-E)* Process Flows: Summary Internal document Approval Processes in ERP eLearning Module Content Internal document Financial Management and Accountability department (FMA) / SAS roll out training Internal document
	There is evidence of improvement over time.	Not MET	Getting started with the ERP Internal document ERP Module 1: Employee Self Service Applications Internal document ERP End-to-End *(E2-E)* Process Flows: Summary Internal document Approval Processes in ERP eLearning Module Content Internal document Financial Management and Accountability department (FMA) / SAS roll out training Internal document
	Overall Score MI 6.2	Strong	

KPI 7. The MO has policies and processes for financial accountability (risk management, anti-corruption)

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
7.1 External financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors)	Annual organisation-wide reports on financial performance exist. (In the case of some UN organisations	MET	UNAIDS Annual Financial Reports: http://www.unaids.org/en/ourwork/managementandexternalrelationsbranch/financialmanagementandaccountabilitydepartment/financialreports/ **30th Meeting of the UNAIDS Programme Coordinating Board** **Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011** http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_2011_Financial_Report_AuditedStatements_en.pdf **Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009:** http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf
	(If first criterion is met) the most recent annual financial report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report and/or audit opinion comes from the Board of Auditors	MET	**Same as above**
	(If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (In case of UN	NOT MET	**30th Meeting of the UNAIDS Programme Coordinating Board** **Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011** http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_2011_Financial_Report_AuditedStatements_en.pdf **Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009:** http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf

Micro-Indicator	Criteria	Status)	Document consulted (Title and Hyperlink if available)
	Agencies audited by BOA		**UNAIDS Oversight and External Audit principles** Internal document
	(If first criterion is met) *all* annual financial reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report /audit opinion comes from the Board of Auditors	MET	**30th Meeting of the UNAIDS Programme Coordinating Board** **Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011** http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_2011_Financial_Report_AuditedStatements_en.pdf **Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009:** http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf UNAIDS Annual Financial Reports: http://www.unaids.org/en/ourwork/managementandexternalrelationsbranch/financialmanagementandaccountabilitydepartment/financialreports/
	(If criterion 4 is met) in *all* financial reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	NOT MET	**30th Meeting of the UNAIDS Programme Coordinating Board** **Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011** http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_2011_Financial_Report_AuditedStatements_en.pdf Financial Report and Audited Financial Statements for the Financial Period 1 January 2008 to 31 December 2009: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2010/20100527_20082009_financial_report_en.pdf
	Overall Score MI 7.1	Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.2 External financial audits meeting recognised international standards are performed at the regional or country level	The documents available provide evidence that audits are performed at regional, country, or project levels (as appropriate)	NOT MET	Intervention Summary - UNAIDS Voluntary Core Funding 2011 - 14 http://www.google.ca/url?sa=t&rct=j&q=&esrc=s&frm=1&source=web&cd=9&ved=0CFwQFjAI&url=http%3A%2F%2Fprojects.dfid.gov.uk%2FIATI%2Fdocument%2F3212638&ei=d8rAT4XsGofB6AGsqLCfCg&usg=AFQjCNFoRFxaoI-a488q4swe5aVh14UPsg
	There are established rules/procedures for the conduct of audits in the organisation.	MET	The Audit Function in UNAIDS Internal document **UNAIDS Oversight and External Audit principles** Internal document Accountability in UNAIDS Internal document
	The rules/procedures ensure ample audit coverage of the organisation's programmes and operations.	MET	The Audit Function in UNAIDS Internal document
	The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures.	MET	The Audit Function in UNAIDS Internal document **UNAIDS Oversight and External Audit principles** Internal document
	External financial audit reports at country/project/regional level are made available to the public by the MO.	NOT MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	Overall Score MI 7.2	Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.3 The MO has a policy on anti-corruption	Guidelines, policy or a framework on anti-corruption are corporately approved (in other words, not in draft form).	MET	UNAIDS GUIDE to ETHICS / Values, Policies and Practices Internal document Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines effective April 2005 Internal document Fraud Prevention Policy Internal document Accountability in AIDS Internal document
	(If first criterion is met) the document includes operational policy measures which pro-actively support solutions to counter corruption at the local level (e.g. training, incentive and reward structures for staff, complaint and advocacy mechanisms, whistle blowing mechanisms, etc.).	MET	Same as above
	(If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and	MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	corruption.		
	(If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy.	MET	
	(If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	MET	
	OR, if the first criterion is NOT met: At least one policy on anti-corruption exists at the country, regional or other level (it could also be a policy on fraud, which is one type of corruption).		
	(If the sixth criterion met) at least one policy meets criteria 2 through 5, above.		
Overall Score MI 7.3		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.4 Systems are in place for immediate measures against irregularities identified at the country (or other) level	There is a policy on financial audit that refers to measures to be taken against irregularities.	MET	Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines effective April 2005 Internal document The Audit Function in UNAIDS Internal document Accountability in AIDS Internal document 28th Meeting of the UNAIDS PCB, 21-23 June 2011 Interim financial management update for the 2010-2011 biennium for the period 1 January 2010 to 31 March 2011: http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110519_Interim%20MGT%20update%2031%20March%202011_final.pdf 29th Meeting of the Programme Coordinating Board, 13-15 December 2011, Report of the 28th Meeting of the Programme Coordinating Board http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110519_Interim%20MGT%20update%2031%20March%202011_final.pdf
	Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit.	MET	The Audit Function in UNAIDS Internal document
	(If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time).	NOT MET	The Audit Function in UNAIDS Internal document
	There is evidence (in	MET	28th Meeting of the UNAIDS PCB, 21-23 June 2011

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	audit reports to the Board or other documents) that audit recommendations are followed up by management.		Interim financial management update for the 2010-2011 biennium for the period 1 January 2010 to 31 March 2011: http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110519_Interim%20MGT%20update%2031%20March%202011_final.pdf 29th Meeting of the Programme Coordinating Board, 13-15 December 2011, Report of the 28th Meeting of the Programme Coordinating Board http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110519_Interim%20MGT%20update%2031%20March%202011_final.pdf 26th Meeting of the UNAIDS PCB, 22-24 June 2010, Interim Financial Management Update for the period 1 January 2010 to 31 March 2010, p.1: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100331_interim_financialmgt_update_en.pdf 27th Meeting of the UNAIDS PCB, 6-8 December 2010, Report of the 26th Meeting of the PCB, para.40: http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2010/pcb27_20101105_pcb_report_26_en.pdf
	Major or systemic irregularities are reported to the board/governing body, as appropriate.	MET	Joint United Nations Programme on HIV/AIDS (UNAIDS) Response to the UK Multilateral Aid Review March 2011: http://www.dfid.gov.uk/Documents/MAR/unaids-response.pdf
Overall Score MI 7.4		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.5 Internal financial audit processes are used to provide management / governing bodies with credible information	There is evidence of practice of internal financial audits in the organisation.	MET	The Audit Function in UNAIDS Internal document Accountability in UNAIDS Internal document
	(If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	MET	See above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If first criterion is met) there is evidence in these documents that the internal audit function is separate from the programming areas, enabling it to provide an "independent" audit opinion. The key is that internal auditors are not influenced by the programs they are auditing.	MET	See above
	There is evidence in these documents that the internal audit function reports directly to the Executive Board, thus providing maximum assurance of its independence from programming.	MET	See above
	Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information.	MET	Report of the Internal Auditor for 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120510_2011_Financial_Report_AuditedStatements_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board Financial report and audited financial statements for the financial period 1 January 2010 to 31 December 2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120427_2011_Financial_Report_AuditedStatements_en.pdf
Overall Score MI 7.5		Very strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.7 The MO has strategies in place for risk identification, mitigation, monitoring and reporting	An organisation-wide policy, strategy, framework or guideline on risk management is corporately approved.	NOT MET	UNAIDS Workshop on Risk Identification: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidsrfp/2011/rfp-2011-06/Report_ERM_workshop2010.pdf Development of a Risk Management Strategy and Framework for UNAIDS-Request for Proposal RFP-2011-06: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidsrfp/2011/rfp-2011-06/RFP-2011-06_Request_for_Proposal.pdf Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines effective April 2005 Internal document UNAIDS Risk Management Vision DRAFT (For Discussion Only) v0.7 Internal document UNAIDS Risk Governance Model DRAFT (For Discussion Only) Internal document Deloitte Enterprise Risk Management Framework & Strategy @ UNAIDS Project Charter v 0.52 Internal document UNAIDS Risk Management Framework Draft (For Discussion Only) Internal document Deloitte ERM gap assessment report UNAIDS Draft – For internal discussion purposes Internal document UNAIDS risk culture survey: Results and analysis Draft – For internal discussion purposes Internal document
	(If first criterion is met) this document follows international standards	NOT MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	on managing risk, including a description of roles and responsibilities of key actors.		
	(If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels.	NOT MET	Same as above
	(If first criterion is met) major risk analysis (significant programs, projects, etc) is presented to the Board.	NOT MET	Same as above
	(If first criterion is met) management and/or Board documents demonstrate utilisation of risk management policy and procedures.	NOT MET	Same as above
Overall Score MI 7.7		very weak	

KPI 8. Performance information on results is used by the MO for:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.1 Revising and adjusting policies	Information on organisation-wide performance (i.e., progress towards	MET	UNAIDS Second Independent Evaluation 2002-2008 Final Report: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2009/20091002_sie_final_report_en.pdf UNAIDS Performance Monitoring Report for 2008:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	outcomes) is available, for instance in annual performance reports, or from an organisation-wide evaluation or audit.		http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf
	(If first criterion is met) There is evidence that the MO analyses/assesses its performance in a systematic manner and takes into account recommendations from organisation-wide audits, performance reports and/or evaluations.	MET	The Audit Function in UNAIDS Internal document **UNAIDS Oversight and External Audit principles** Internal document
	(If the first two criteria are met) There is evidence that the MO takes steps to respond to the *specific* performance-related problems highlighted in audits, performance reports and/or evaluations.	MET	29th Meeting of the UNAIDS Programme Coordinating Board - Second Independent Evaluation of UNAIDS http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111122_PCB%2029%20SIE.pdf UNAIDS Second Independent Evaluation 2002-2008 Final Report: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2009/20091002_sie_final_report_en.pdf Follow up to the Second Independent Evaluation of UNAIDS-Progress Report on Implementation (2010) http://data.unaids.org/pub/BaseDocument/2010/pcbsieprogressreport_final_en.pdf The Audit Function in UNAIDS Internal document
	(If the first two criteria are met) there is evidence that the MO revises and adjusts its *broader* programming and policies in response to performance issues raised in audits,	MET	UNAIDS Second Independent Evaluation Implementation Plan http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100317_sie_implementation_plan_en.pdf 29th Meeting of the UNAIDS Programme Coordinating Board Second Independent Evaluation of UNAIDS http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111122_PCB%2029%20SIE.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	performance reports and /or evaluations (problems and successes).		
	(If criterion 4 is met) There is evidence that the MO systematically evaluates and audits its policies, procedures and practices so as to ensure continuous learning and improvement of processes and performance.	MET	Same as above
Overall Score MI 8.1		Very strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.2 Planning new interventions	Information on the MO's performance in the country (i.e., progress towards outcomes) is available.	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document UCO Workplan Results 2012-2013 – Cambodia (FINAL) Internal document UCO Workplan Results 2012-2013 –DRC (FINAL) Internal document UCO Workplan Results 2012-2013 –Ghana (FINAL) Internal document UCO Workplan Results 2012-2013 –Honduras (FINAL) Internal document UCO Workplan Results 2012-2013 –Morocco (FINAL) Internal document UCO Workplan Results 2012-2013 –Niger (FINAL)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document UCO Workplan Results 2012-2013 –Nigeria (FINAL) Internal document UCO Workplan Results 2012-2013 –Philippines (FINAL) Internal document UCO Workplan Results 2012-2013 –Zimbabwe (FINAL) Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: CAMBODIA Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: DR Congp Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Ghana Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Honduras Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Morocco Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Niger Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Nigeria Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Philippines Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Zimbabwe

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Internal document UNAIDS Secretariat Country Programme Assessments Assessment Report Cameroon Internal document UNAIDS Secretariat Country Programme Assessments Assessment Report Zimbabwe Internal document Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document
	(If first criterion is met) for at least half of the countries, there is evidence of an analysis/assessment of performance (problems as well as successes).	MET	Same as above
	(If second criterion is met) There is evidence of an analysis of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed in response to the	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	performance information).		
	(If all above criteria are met) for at least half of the countries, there is evidence from country strategies or reports that new interventions have been introduced in response to the performance information.	MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013 Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013 Internal document Niger UCO Annual workplan 2012-2013 Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document
	(If all above criteria are met) all criteria met for all countries.	NOT MET	
Overall Score MI 8.2		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.3 Proactive management of poorly performing programmes, projects, and/or initiatives of the Joint Programme	The MO has a process for reviewing the performance of its programmes, projects or initiatives.	MET	Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	There is evidence that the MO is implementing this process.	NOT MET	UNAIDS Secretariat Country Programme Assessments Assessment Report Cameroon Internal document UNAIDS Secretariat Country Programme Assessments Assessment Report Zimbabwe Internal document
	The MO has a specific process for reviewing poorly performing programmes, projects	MET	Mulitlateral AID Review: Assessment of the Joint United Nations Programme on HIV/AIDS (UNAIDS): http://www.dfid.gov.uk/Documents/publications1/mar/UNAIDS.pdf UNAIDS Secretariat Country Programme Assessments

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	or initiatives		Assessment Report Cameroon Internal document UNAIDS Secretariat Country Programme Assessments Assessment Report Zimbabwe Internal Document Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document
	The MO has a way of following up on poorly performing programmes, projects or initiatives.	NOT MET	
	There is evidence that changes to poorly performing programmes, projects or initiatives are being implemented.	NOT MET	
Overall Score MI 8.3		Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.4 Evaluation recommendations reported to the Executive Committee/Board are acted upon by the responsible units	MO Evaluation Policy or guidelines exist and include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations).	NOT MET	Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document UNAIDS Second Independent Evaluation Implementation Plan http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100317_sie_implementation_plan_en.pdf
	MO Evaluation Policy outlines a process for tracking the implementation of accepted evaluation recommendations.	NOT MET	
	There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	MET	24th Meeting of the UNAIDS Programme Coordinating Board / 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf UNAIDS Second Independent Evaluation Implementation Plan http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100317_sie_implementation_plan_en.pdf
	There is evidence of periodic reports on the status of the implementation of these evaluation recommendations	MET	Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document 27th Meeting of the UNAIDS Programme Coordinating Board

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	accepted by management/governing body.		Follow up to the Second Independent Evaluation of UNAIDS: Progress Report on Implementation http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2010/pcb27_sie_progress_report_en.pdf UNAIDS Second Independent Evaluation Implementation Plan http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100317_sie_implementation_plan_en.pdf
	There is evidence of a systematic process for follow-up on the evaluation of the recommendations accepted by management/governing body (regularly on the agenda of the Executive Board; reports or presentations to Board illustrate regular tracking of follow up).	MET	Same as above
Overall Score MI 8.4		Adequate	

KPI 9. The MO manages human resources using methods to improve organisational performance

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
9.1 Results-focused performance assessment systems are in place for senior staff (Including Country Directors)	There is evidence in the documents reviewed that a system is in place that requires performance assessments for certain staff#-f.	MET	UN Secretariat. Administrative instruction: Performance Management and Development System. (2010) http://www.unescap.org/asd/hrms/odlu/files/ST_AI_2010_5.pdf Senior Officials of the United Nations and Officers of Equivalent Rank Whose Duty Station is New York (2012) http://www.un.int/protocol/documents/ListofUNSeniorOfficials.pdf UNAIDS Performance Appraisal System Guidelines and Reference Material Internal document
	The evidence suggests that this applies to	MET	UNAIDS Secretariat Strategy on Human Resources 2011-2015 Internal document

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	senior staff (e.g., president/CEO, vice presidents, sector/programme/division directors, country representatives, country directors) and/or that the MO has a specific performance assessment system for senior staff.		
	The system includes a description of the approach to creating performance assessments and the content of those assessments.	MET	UNAIDS Performance Appraisal System Guidelines and Reference Material Internal document
	There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff.	MET	UNAIDS Performance Appraisal System Guidelines and Reference Material Internal document UNAIDS Secretariat Competency Framework http://www.unaids.org/en/media/unaids/contentassets/documents/unaidsrfp/2010/RFP-2010-29_Annex%201-%20UNAIDS%20Secretariat%20Competency%20Framework.pdf UNAIDS Secretariat Strategy on Human Resources 2011-2015 Internal document
	(If the first two criteria are met) There is evidence of compliance with the performance assessment system. In other words, there are management indicators that monitor the application of the performance assessment system, or	Not met	29th Meeting of the UNAIDS Programme Coordinating Board Unified Budget, Results and Accountability Framework Revised results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111125_UBRAF%20matrix_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	there are other sources – newsletters, reports etc—that comment on how many senior staff go through this system every year.		
Overall Score MI 9.1		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
9.2 There is a transparent incentive and reward system for staff performance	There is evidence (either in a HR policy or through various documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	MET	UNAIDS Performance Appraisal System Guidelines and Reference Material Internal document
	There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from partner agencies or other organisations, etc).	MET	UNAIDS Secretariat Strategy on Human Resources 2011-2015 Internal document 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
	There is an explicit	MET	UNAIDS Performance Appraisal System Guidelines and Reference Material

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	effort to explain how performance of staff relates to promotion (advancing from one grade to the next).		Internal document
	There is an explicit description of the relationship between staff performance and rewards.	NOT MET	UNAIDS Performance Appraisal System Guidelines and Reference Material Internal document UNAIDS Secretariat Strategy on Human Resources 2011-2015 Internal document
	There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards.	NOT MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
Overall Score MI 9.2		Adequate	

KPI 10. Country / regional programming processes are performance oriented.

Micro-Indicator	Criteria	Statu	Document consulted (Title and Hyperlink if available)
10.1 Prior to approval, new initiatives are subject to evidence-based analysis	There is a policy that requires an impact/benefits analysis to be conducted prior to initiating new programmes/projects/initiatives.	MET	The UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Guidance Notes for UNAIDS Programme Acceleration Funds (PAF)-2004/05 http://data.unaids.org/una-docs/paf_guidance-notes-2004-05_en.pdf Annex III: 2012-13 Workplan Development Lessons learnt in rolling out Quality Assurance processes
	There are guidelines for staff on the types of	MET	Same as above

Micro-Indicator	Criteria	Statu	Document consulted (Title and Hyperlink if available)
	analysis to be carried out.		
	There is evidence that the MO's staff are informed about and trained on the guidelines.	MET	2012-13 Workplan Development: Lessons learnt in rolling out Quality Assurance processes (internal document)
	There is evidence that the guidelines are implemented.	MET	Same as above
	There is evidence that benefits/impact analysis is used for decision-making in the sample of projects/initiatives reviewed.	NOT MET	
Overall Score MI 10.1		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
10.2 Milestones / targets are set to rate the progress of (project) implementation	At least two of the project implementation plans, country or other work plans sampled contain a description of milestones and/or targets for project/programme implementation.	MET	Cambodia UCO Annual workplan 2012-2013 Internal document DRC UCO Annual workplan 2012-2013 Internal document Ghana UCO Annual workplan 2012-2013 Internal document Honduras UCO Annual workplan 2012-2013 Internal document Morocco UCO Annual workplan 2012-2013 Internal document Nigeria UCO Annual workplan 2012-2013

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Internal document Niger UCO Annual workplan 2012-2013 Internal document Zimbabwe UCO Annual workplan 2012-2013 Internal document Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document
	(If first criterion is met) in most cases, baseline values have been established for each indicator used to measure the progress of project/programme implementation.	NOT MET	Same as above
	(If first criterion is met) in most cases, the milestones/targets provided are	MET	Same as above

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	appropriate to the activities described in the project/programme implementation document.		
	(If first criterion is met) dates are established for the milestones/targets, in more than half of the project implementation plans, country or work plans sampled.	MET	Same as above
	(If all above criteria are met) all above criteria are met for all PIPs/country or other work plans sampled.	NOT MET	
Overall Score MI 10.2		Inadequate	

KPI 11. The MO delegates decision-making authority (to the country or other levels)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
11.2 Operational decisions can be made locally	An organisation-wide policy or guidelines exist and is corporately approved that describes the extent to which new programmes/projects can be proposed at different levels within the organisation.	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf Second Guidance Paper Joint UN programmes and teams on AIDS http://data.unaids.org/pub/Manual/2008/jc1512_second_guidance_paper_en.pdf Summary Division of Labour

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Guidance Note http://www.unaids.org/en/media/unaids/contentassets/documents/document/2011/20110304_DoL_GuidanceNote_Summary_en.pdf Resource Guide for UN Theme Groups on HIV/AIDS http://data.unaids.org/publications/irc-pub06/jc1084-resourceguide_en.pdf
	(If first criterion is met) this policy or other documents provide sufficient evidence of the types of decisions about new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate).	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document (Policy Note 1: Budget, Finance and Administration (BAF/FIN/2008/1)
	(If first two criteria are met) in the documents available, it is possible to identify the parameters (e.g. budget ceilings or allocations) within which the local level does not require central level approval prior to making decisions on new initiatives.	MET	Internal document (Policy Note 1: Budget, Finance and Administration (BAF/FIN/2008/1)
	The organisation has made efforts to improve delegation of decision making to the country or other relevant levels.	MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
	An operational review/evaluation of	NOT MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	the MO comments positively on progress in the delegation of authority to the country or other relevant level		
Overall Score MI 11.2		Strong	

QUADRANT III – RELATIONSHIP MANAGEMENT

KPI 14 The MO uses country systems for disbursement and operations

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
14.1 The MO avoids parallel implementation structures	Target for 2010: Halve the gap – halve the proportion of aid flows to government sector not reported on government budget(s) (with at least 85% reported on budget)		Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf OECD-Aid Effectiveness 2005-2010-Progress in Implementing the Paris Declaration: http://www.oecd.org/dataoecd/25/30/48742718.pdf UNAIDS Guidance document | 2011 / UNAIDS guidance for partnerships with civil society, including people living with HIV and key populations http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2012/JC2236_guidance_partnership_civilsociety_en.pdf 2nd Multi-stakeholder consultation on the 2012-2015 Unified Budget, Results and Accountability Framework http://www.unaids.org/en/media/unaids/contentassets/documents/document/2011/ubraf/20110418_UBRAF_MultistakeholderReport_en.pdf Enhancing Results by Applying the Paris Declaration at Sector Level-Progress Update and Lessons Learnt from AIDS Effectiveness in AIDS Responses: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2008/20081023_accraprogressupdate_en.pdf Joint Evaluation of the UNDG Contribution to the Paris Declaration on Aid Effectiveness / First Phase: http://web.undp.org/execbrd/pdf/Joint%20report%20of%20the%20UNDG%20contribution%20to%20Paris%20Declaration.pdf
Overall Score MI 14.1		N/A	

KPI 16 The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies, etc) as appropriate

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.1 The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Target for 2010: (a) 40% of donor missions to the field are joint.	STRONG	Consolidated Guidance Note 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf OECD-Aid Effectiveness 2005-2010-Progress in Implementing the Paris Declaration: http://www.oecd.org/dataoecd/25/30/48742718.pdf UNAIDS Guidance document | 2011 / UNAIDS guidance for partnerships with civil society, including people living with HIV and key populations http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2012/JC2236_guidance_partnership_civilsociety_en.pdf 2nd Multi-stakeholder consultation on the 2012-2015 Unified Budget, Results and Accountability Framework http://www.unaids.org/en/media/unaids/contentassets/documents/document/2011/ubraf/20110418_UBRAF_MultistakeholderReport_en.pdf Enhancing Results by Applying the Paris Declaration at Sector Level-Progress Update and Lessons Learnt from AIDS Effectiveness in AIDS Responses: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2008/20081023_accraprogressupdate_en.pdf Joint Evaluation of the UNDG Contribution to the Paris Declaration on Aid Effectiveness / First Phase: http://web.undp.org/execbrd/pdf/Joint%20report%20of%20the%20UNDG%20contribution%20to%20Paris%20Declaration.pdf
Overall Score MI 16.1			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.2 The extent to which the MO technical cooperation is disbursed through coordinated programmes.	Percentage (%) of technical assistance coordinated with country programmes		UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			"Three Ones" key principles http://data.unaids.org/una-docs/three-ones_keyprinciples_en.pdf Making the Money Work: UNAIDS Technical Support to Countries http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/jc1388-makingmoneywork_en.pdf Resource kit for Global Fund HIV Proposals – Round 11 http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/programmeeffectivenessandcountrysupportdepartment/gfresourcekit/20110815_toolkit_more.pdf OECD-Aid Effectiveness 2005-2010-Progress in Implementing the Paris Declaration: http://www.oecd.org/dataoecd/25/30/48742718.pdf Enhancing Results by Applying the Paris Declaration at Sector Level-Progress Update and Lessons Learnt from AIDS Effectiveness in AIDS Responses: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2008/20081023_accraprogressupdate_en.pdf Joint Evaluation of the UNDG Contribution to the Paris Declaration on Aid Effectiveness / First Phase: http://web.undp.org/execbrd/pdf/Joint%20report%20of%20the%20UNDG%20contribution%20to%20Paris%20Declaration.pdf
Overall Score MI 16.2		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.3 % of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAPs, basket funding, etc)	Percentage (%) of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAPs, basket funding, etc)		
Overall Score MI 16.3			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.4 The extent to which the Joint Programme builds on and/or reinforces synergies, complementarities and strengths of the co-sponsors.	The division of labour between the co-sponsors is clearly defined.	MET	United Nations Resolution 1994/24 Economic and Social Council: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/externaldocument/1994/ecosoc_resolutions_establishing_unaids_en.pdf UNAIDS Division of Labour-Consolidated Guidance Note 2010 : http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf UNAIDS Guidance document | 2011 / UNAIDS guidance for partnerships with civil society, including people living with HIV and key populations: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2012/JC2236_guidance_partnership_civilsociety_en.pdf
	The division of labour has been formally endorsed.	MET	UNAIDS Division of Labour-Consolidated Guidance Note 2010 : http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf 25th Meeting of the Programme Coordinating Board, December 2009, http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2009/20091211_25thpcb_decisions_final_en.pdf 27th Meeting of the UNAIDS PCB 6-8 December 2010, Report of the 26th Meeting of the PCBhttp://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2010/pcb27_20101105_pcb_report_26_en.pdf 28th Meeting of the UNAIDS PCB, 21-23 June 2011, Report of the 27th Meeting of the PCB http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110509_27th%20PCB%20draft%20report_FINAL.pdf 28th Meeting of the UNAIDS PCB, 21-23 June 2011, Report of the Committee of Co-sponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110523_cco%20report_final_200511_REVISED.pdf
	The division of labour is respected in the Joint Programme.	NOT MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board Report by the Committee of cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf UNAIDS Division of Labour-Consolidated Guidance Note 2010: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabou

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			r_en.pdf UNAIDS Division of Labour-Consolidated Guidance Note 2010: http://www.unaids.org/en/media/unaids/contentassets/documents/unaidspublication/2011/JC2063_DivisionOfLabour_en.pdf
	There is evidence of partnerships and complementarities in the implementation of the Joint Programme.	MET	Cambodia - HIV/AIDS Joint Support Programme and Operational Plan and Budget 2011-2015 Internal document RDC - Plan Conjoint d'Appui des Nations Unies à la réponse nationale au VIH/SIDA 2010 – 2011 Internal document Ghana - Joint UN HIV and AIDS Program of Support (JUNPS) Internal document Honduras - Plan Conjunto sobre VIH y Sida 2010 Internal document Morocco - Plan d'appui des Nations Unies à la riposte nationale au sida 2007-2011 Internal document Nigeria - The United Nations Joint Programme of Support on HIV and AIDS 2009-2012 Internal document Niger - Programme Commun du Système des Nations Unies sur le VIH 2009-2013 Internal document Zimbabwe – ZUNDAF Joint Implementation Matrix 2012-2015 Internal document 25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: NIGER Internal document 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf
	There is evidence of results achieved due to partnerships and	MET	Aid Effectiveness 2005-2010: Progress in Implementing the Paris Declaration

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	complementarities among the co-Sponsors in the implementation of the Joint Programme.		http://www.oecd.org/dataoecd/25/30/48742718.pdf
Overall Score MI 16.4		Strong	

QUADRANT IV – KNOWLEDGE MANAGEMENT

KPI 17. The MO consistently evaluates its delivery and external results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	An organisation-wide (central) evaluation unit or function exists.	MET	Institutional structure Internal document Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 25th Meeting of the UNAIDS Programme Coordinating Board Second Independent Evaluation of UNAIDS - Report of the Oversight Committee http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20091013_25th_pcb_oc_report_en.pdf PCB Second Ad Hoc Thematic Meeting, 9-11 December 1998, p.1: http://www.unaids.org/en/media/unaids/contentassets/dataimport/governance/pcb02/pcb_07_98_04_en.pdf Monitoring and Evaluation Reference Group: Terms of Reference http://www.unaids.org/en/media/unaids/contentassets/documents/unaidsrfp/2012/eoi-2012-08/EOI-2012-08_MERG-TOR.PDF
	An organisation-wide evaluation policy exists, which includes guidance on how the MO is to conduct independent evaluations.	NOT MET	PCB Second Ad Hoc Thematic Meeting, 9-11 December 1998, http://www.unaids.org/en/media/unaids/contentassets/dataimport/governance/pcb02/pcb_07_98_04_en.pdf UN Evaluation Group Norms and Standards for Evaluation in the UN System, April 2005: www.uneval.org Meeting of the UNAIDS Programme Coordinating Board, 2010-2011 Performance Monitoring Framework: http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_201011ubw_pmf_final_en.pdf 29th meeting of the UNAIDS Programme Coordinating Board-Second Independent Evaluation of UNAIDS, Paragraph 46 (2011): http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/12/20111122_PCB%2029%20SIE.pdf
	(If first criterion is met) there is evidence in reports being submitted by the organisation-wide	MET	25th Meeting of the UNAIDS Programme Coordinating Board Second Independent Evaluation of UNAIDS - Report of the Oversight Committee http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20091013_25th_pcb_oc_report_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	evaluation unit or function to Executive Management (Head of Organisation) or Board/committee responsible for independent evaluations.		
	(If first criterion is met), the organisation-wide evaluation unit has a direct reporting function to the Executive Management, but not the Board.	MET	Same as above
	The central evaluation unit has a direct reporting function to the MO's Board.	MET	Same as above
Overall Score MI 17.1		Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.2 The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc)	An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programmes.	NOT MET	24th Meeting of the UNAIDS Programme Coordinating Board, 2010-2011 Performance Monitoring Framework. http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf The evaluation policy of UNDP http://web.undp.org/evaluation/documents/Evaluation-Policy.pdf Programme Coordinating Board Report by the Committee of cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document 25th Meeting of the UNAIDS Programme Coordinating Board Second Independent Evaluation of UNAIDS - Report of the Oversight Committee http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20091013_25th_pcb_oc_report_en.pdf
	(If first criterion is met) this policy or plan defines the evaluation coverage of projects and programmes (i.e., the number or percent of projects/programmes requiring evaluations of *any type*) or it clearly explains how evaluations are planned and prioritised.	NOT MET	Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document
	(If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an *independent* evaluation.	NOT MET	
	Recent independent evaluation reports are available for *at least half of the* countries sampled.	NOT MET	UNAIDS Secretariat Country Programme Assessments Assessment Report Cameroon Internal document UNAIDS Secretariat Country Programme Assessments Assessment Report Zimbabwe Internal Document
	(If fourth criterion is met) reports of	NOT MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	independent evaluations exist for *all* countries sampled.		
Overall Score MI 17.2		very weak	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.3 The MO ensures quality of its evaluations	The MO has a policy/procedures for the quality control of their evaluations.	MET	The evaluation policy of UNDP http://web.undp.org/evaluation/documents/Evaluation-Policy.pdf
	The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	NOT MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Response to the Report of the Second Independent Evaluation of UNAIDS http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20091030_unaids_sie_response_final_en.pdf The evaluation policy of UNDP http://web.undp.org/evaluation/documents/Evaluation-Policy.pdf
	There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting relevant evaluation standards (e.g. UNEG standards, DAC standards, ECG standards) in its centralised and decentralised evaluations.	NOT MET	Guidelines for UNAIDS Secretariat Country Programme Assessments An introduction, methodology and tool-set for assessing the relevance, effectiveness and efficiency of UNAIDS Secretariat Country Programmes Internal document 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf
	The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations)	MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	cover organisation-wide, country and project level evaluations.		
	There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	NOT	
Overall Score MI 17.3		Inadequate	

KPI 18. The MO presents performance information on its effectiveness

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.1 Reports on the achievement of outcomes, not just inputs, activities and outputs	Annual performance reports exist at the organisation-wide level.	MET	Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Report of the Committee of Cosponsoring Organisations Programme Coordinating Board Report by the Committee of cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://data.unaids.org/pub/BaseDocument/2007/2008_2009_ubw_en.pdf 23rd Meeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan: Monitoring implementation and planning for the future 2007-2011 Strategic Framework for UNAIDS support to countries' efforts to move towards Universal Access to HIV prevention, treatment, care and support http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2008/20081031_strategicframework_final_en.pdf 26th Meeting of the UNAIDS Programme Coordinating Board 2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf
	(If first criterion is met) the most recent performance report sampled describes outputs achieved.	MET	Same as above
	(If first two criteria are met) the most recent performance report sampled discusses expected outcomes achieved.	MET	Same as above
	(If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between organisation-wide outputs and outcomes).	MET	Same as above
	(If all above criteria are met) all above criteria are met *for all performance reports sampled*.	NOT MET	Same as above
Overall Score MI 18.1		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.2 Reports performance using data obtained from measuring indicators	Annual performance reports exist at the organisation-wide level.	MET	Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf
	(If first criterion is met) the most recent performance report sampled specifies indicators for the reporting period that respect SMART or CREAM criteria for indicators.	NOT MET	Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 23rd Meeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan: Monitoring implementation and planning for the future 2007-2011 Strategic Framework for UNAIDS support to countries' efforts to move towards Universal Access to HIV prevention, treatment, care and support http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2008/20081031_strategicframework_final_en.pdf 26th Meeting of the UNAIDS Programme Coordinating Board 2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf Final Summary Report – 2010-11 End of Biennium Workplan Implementation UNAIDS Country Office: Midterm review Niger Midterm review Cambodia Midterm review Midterm review Ghana Midterm review Honduras Midterm review Morocco Midterm review Nigeria Midterm review Philippines Midterm review Zimbabwe Internal documents
	(If first criterion is met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years).	MET	Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf
	(If first criterion is met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	MET	28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf
	(If all above criteria are met) all above criteria are met for all performance reports sampled	NOT MET	
Overall Score MI 18.2		Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.3 Reports against its strategy, including expected management and development results	Annual performance reports exist at the organisation-wide level.	MET	2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf
	(If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF and MRF.	MET	Technical Supplement UNAIDS performance monitoring report 2010-2011 Selected achievements against indicators http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120515_CRP1_UBW%202010-11_PMR_Supplement_en.pdf 30th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010-2011 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120516_UBW_2010-11_PMR_report_en.pdf Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board Report of the Committee of Cosponsoring Organisations Programme Coordinating Board Report by the Committee of cosponsoring Organisations http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120523_ReportCCO_REV_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://data.unaids.org/pub/BaseDocument/2007/2008_2009_ubw_en.pdf 23rd Meeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan: Monitoring implementation and planning for the future 2007-2011 Strategic Framework for UNAIDS support to countries' efforts to move towards Universal Access to HIV prevention, treatment, care and support http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2008/20081031_strategicframework_final_en.pdf 26th Meeting of the UNAIDS Programme Coordinating Board 2008-2009 Unified Budget and Workplan Report Technical Supplement http://www.unaids.org/en/media/unaids/contentassets/documents/programmes/20100608_20082009ubwreport_crp_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subco

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			mmittee/20090515_201011ubw_pmf_final_en.pdf 26thMeeting of the UNAIDS Programme Coordinating Board The Unified Budget and Workplan Synthesis Report for 2008-2009 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/basedocument/2010/20100524_ubw_20082009_synthesisreport_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Performance Monitoring Report for 2008 http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/informationnote/2009/20090515_2008_performance_report_final_en.pdf Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document
	(If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and MRF, along with an explanation of any variances.	NOT MET	Same as above
	(If all above criteria are met) all above criteria are met for all performance reports sampled.	NOT MET	Same as above
	There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	MET	25th Meeting of the UNAIDS Programme Coordinating Board UNAIDS Second Independent Evaluation 2002-2008 Final Report http://data.unaids.org/pub/basedocument/2009/20091002_sie_final_report_en.pdf
Overall Score MI 18.3		Adequate	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.4 Reports against its Paris Declaration commitments using indicators and country targets	An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists (this may not be a separate report, but part of another report, such as the annual performance report).	NOT MET	Enhancing results by applying the Paris Declaration at sector level: Progress update and Lessons Learnt from Aid Effectiveness in AIDS Responses. http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2008/20081023_accraprogressupdate_en.pdf Joint Evaluation of the UNDG Contribution to the Paris Declaration on Aid Effectiveness http://web.undp.org/execbrd/pdf/Joint%20report%20of%20the%20UNDG%20contribution%20to%20Paris%20Declaration.pdf United Nations Results Report 2011 Survey on Monitoring the Paris Declaration http://www.undg.org/docs/12215/UNDG%20PD%20Survey%20Report_DUP_11-30-2011_01-10-55-498_AM.pdf
	(If the first criterion is met) the most recent report describes the extent of overall achievement to date on PD commitments, using indicators.	NOT MET	
	(If the first two criteria are met) the most recent report shows country targets for PD commitments.	NOT MET	
	(If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country.	NOT MET	
	(If all above criteria are met) all above criteria are met for all reports sampled.	NOT MET	
Overall Score MI 18.4		very weak	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.5 Reports on adjustments made or recommended to organisation-wide policies and strategies are based on performance information	The MO has a policy that defines how annual performance reporting will be carried out.	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf
	The MO has a policy that defines how annual performance reporting will be systematically used.	MET	2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust strategies/policies.	MET	2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subco

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			mmittee/20090515_201011ubw_pmf_final_en.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust budgets.	NOT MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	The Board receives annual reports on strategy and/or budgetary changes that are based on performance information.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
Overall Score MI 18.5		Strong	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.6 Reports on country (or other) level programming adjustments made or recommended based on performance nformation	The MO has a policy that defines how annual performance reporting will be carried out at the country level.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf 2008-2009 Unified Budget and Workplan Performance Monitoring and Evaluation Framework http://www.unaids.org/en/media/unaids/contentassets/dataimport/pub/report/2007/20071112_item3_performance_monitoring_final_en.pdf 24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf# Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document Update on indicators, monitoring and evaluation of the 2012-2015 Unified Budget, Results and Accountability Framework (UBRAF) http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2012/20120514_IndicatorsMEUpdates_en.pdf
	The MO has a policy that defines how annual performance reporting will be systematically used at the country level.	MET	Planning for Results UNAIDS Secretariat Workplanning, Monitoring and Reporting Guidelines Internal document UNAIDS Secretariat Country Programme Assessments Guidelines Internal document
	There is evidence that annual performance reviews (e.g. audits, evaluations) at the country level are	NOT MET	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	systematically used to adjust strategies/policies.		
	There is evidence that annual performance reviews (e.g. audits, evaluations) at the country level are systematically used to adjust budgets.	NOT MET	
	The Board receives annual reports on strategy and/or budgetary changes at the country level that are based on performance information.	NOT MET	
Overall Score MI 18.6		Adequate	

KPI 19. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
19.1 Reports on lessons learned based on performance information	There is evidence that the organisation is committed to the identification of lessons learned and/or best practices.	MET	24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf# 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS performance monitoring report 2010 http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110607_Performance%20Monitoring%20Report_final.pdf UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
	There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices.	MET	Institutional Structure Internal document
	The MO has a system for collecting and disseminating internal lessons learned and/or best practices.	MET	24th Meeting of the UNAIDS Programme Coordinating Board 2010-2011 Performance Monitoring Framework http://www.unaids.org/en/media/unaids/contentassets/documents/aboutunaids/programmecoordinatingboard/subcommittee/20090515_201011ubw_pmf_final_en.pdf#
	(If third criterion is met) The MO has an easily accessible system that collects and disseminates *both* internal *and* external lessons learned and/or best practices.	MET	Same as above
	There is evidence that the MO uses lessons learned and/or best practices based on performance to change management and programming practices.	MET	UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part I: Overview http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110526_UBRAF%20Part%201_final.pdf 28th Meeting of the UNAIDS Programme Coordinating Board UNAIDS 2012-2015 Unified Budget, Results and Accountability Framework Part II: Results, accountability and budget matrix http://www.unaids.org/en/media/unaids/contentassets/documents/pcb/2011/20110511_UBRAF%20Part%202_final_en.pdf
Overall Score MI 19.1		Strong	

Appendix VII UNAIDS – HQ Interviewees (No CO Interviews Carried Out)

Jan Beagle	Deputy Executive Director, Management and External Relations
Luiz Loures	Director, Executive Office
Tim Martineau	Chief of Staff
Dominique Mathiot	Team Leader, Programme Effectiveness and Country Support Dpmt
Joel Rehnstrom	Director, Financial Management and Accountability Dpmt
Jaleel Partow	Team Leader, Global Staff Support, Human Resources Management
Jacek Tyszko	Cosponsor Relations and Governance, Officer-in-Charge
Pradeep Kakkattil	Chief, Programme Effectiveness and Country Support Dpmt / Aid Effectiveness and Country Capacity Division
Bernhard Schwartländer	Director, Programme, Evidence Strategy and Results Department
Martin Good	Chief, Financial Management and Accountability Dpmt / Planning and Budget Division
Julian Fleet	Director, Management and External Relations, Organisational Development Department
Hedia Belhadj	Director, Liaison Coordination Office
Paul de Lay	Deputy Executive Director, Programme
Michel Sidibé	Executive Director