



Capacity Development Evaluation

Tool Overview

Over the course of this grant period, Pact successfully conducted a pilot test of the reliability of the Organization Performance Index (OPI) in six country office settings. The OPI, designed in 2011 by Pact, was developed to

measure the change in partner performance, an outcome level change. The Index is based on the IDRC/Universalia Capacity Development Outcomes Framework, which includes four key metrics: Effectiveness - Achieving Results & Meeting Standards; Efficiency - Delivering Services & Increasing Reach; Relevance - Engaging Target Populations & Promoting Learning; and Sustainability - Mobilizing Resources & Increasing Social Capital¹. The OPI is designed to capture an organization's performance level with scores ranging from Level 1 (low performing) to Level 4 (high performing) under four prisms of performance. The OPI can be found in Annex 1. Please note that edits to the original tool, submitted to the Foundation in March 2012, are described under the Lessons Learned section below.

Pact envisioned this new and innovative tool filling a gap in traditional capacity development measurements which tend to focus on output level changes, such as the development of a financial management policy or the establishment of standard recruitment procedures. Further the tool creates a clearer linkage between the output change and the impact change, such as the reduction in maternal and neonatal fatality or the increase in household incomes. Figure 1 above demonstrates the linkage across the three levels of measurement.

Sampling and Methodology

Beginning in March 2012, Pact collaborated with its country programs in Ethiopia, Nigeria, South Sudan, Swaziland, Vietnam, and Zimbabwe to test the reliability of the OPI. The countries were selected based on their availability to support this research including their access to cost share resources, staff availability, and partner accessibility. Two original country offices selected, Kenya and Thailand, were later replaced by Ethiopia and Vietnam based on resource availability.

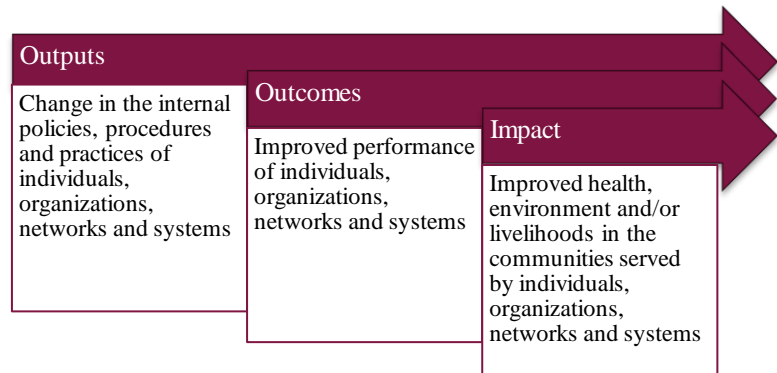


Figure 1: Pact Theory of Change for Capacity Development

¹ http://web.idrc.ca/es/ev-31556-201-1-DO_TOPIC.html

Figure 2: Countries and Projects Sampled			
Country	Programmatic Area	Number of Partners Assessed	Partner Category
Ethiopia	Health & Livelihoods	7	NGOs
Nigeria	Governance & Livelihoods	7	NGOs, FBOs, and formal networks
South Sudan	Governance & Livelihoods	9	CBOs
Swaziland	Health	5	NGOs, FBOs, and formal networks
Vietnam	Health, Livelihoods, & Natural Resource Management	6	NGOs
Zimbabwe	Governance	6	NGOs

Care was taken to ensure that country offices and partners selected represented a cross section of Pact’s programmatic areas. See Figure 2 which details the category of programming, number of partners assessed in each location, and category of partner. For the purposes of this reliability testing, Pact targeted NGOs, including small community based organizations (CBOs), faith-based organizations (FBOs), and national level NGOs, and in some cases formal networks.

In total, 40 partners were assessed, with each partner assessed independently by two trained Pact staff as well as assessed by the organization’s own staff. Pact staff was trained on the tool through organized webinars and conference calls, using standardized tools. In addition, the Ethiopia and South

Sudan teams were further trained through in-country support. Trained Pact staff then introduced and trained the selected organization on self-assessing.

The Pact staff scores were compared with the partner scores to assess the reliability of the overall index. Pact hypothesized that if reliable, both sets of Pact staff should assign the same organizational performance level and that there should also be little variation between Pact scores and partner scores. Cronbach’s Alpha was used to assess the reliability of the data. Reliability of .70 or higher was sought in the research.

Reliability Testing Results

Pact reviewed scores for 40 partners for a total of 120 OPI average scores (two sets of Pact scores per partner and 1 self-assessed score per partner). Figure 2 below highlights the alpha statistics for all three sets as well as the alpha statistic for the two Pact staff per country. The “single” columns assume that scoring in the future will be carried out by a single tester whereas the “average” column assumes future scoring will be averaged across several scorers.

Figure 3: OPI Reliability Testing by Country

Country	Cronbach's Alpha: All Scores		Cronbach's Alpha: Pact Scores Only	
	Single	Average	Single	Average
Ethiopia	0.684	0.867	0.872	0.932
Nigeria	0.654	0.850	0.686	0.814
South Sudan	0.764	0.907	0.840	0.913
Swaziland	0.701	0.875	0.737	0.849
Vietnam	0.744	0.897	0.944	0.971
Zimbabwe	0.765	0.907	0.658	0.794
All	0.783	0.894	0.810	0.895

As the Figure 3 shows, when OPI scores from all countries are taken together, the alpha statistic is uniformly above .70. Given that Pact proposes that future users have partners self-score and Pact verify the self-assessment, the most relevant calculation is the All Score Average (.894), which calculates the reliability when multiple people, who are both from Pact and the partner, assess scores. This use of the OPI tool is considered the “Gold Standard”; however, in some cases where resources and time are constrained programs may use the “Bronze Standard” whereby Pact assesses with a single user². This corresponds to the Pact scores only single scorer column, where the alpha statistic for all countries’ data (.810) is again above .70.

A closer analysis of the country level alphas shows that all are at or above .85 using All Scores Average. However, two countries, Ethiopia and Nigeria, have alphas slightly below .70, .684 and .654 respectively, for the category All Score Single. Likewise, Nigeria and Zimbabwe have alphas of .686 and .658 under the Pact Scores Only Single. While this is not a concern if all partners use the Gold Standard for assessment, it is likely that many partners will assess using the Bronze Standard, making the single scorer alpha statistics more relevant.

Conversations with Pact staff in Nigeria revealed that a possible reason for the slightly lower than .70 alphas in these specific cases may be a result of staff needing additional support in administering the tool. Since the testing under this award, Pact has returned to Nigerian and Zimbabwean staff for follow-up mentoring. The Director of Capacity Development is traveling to Ethiopia in January 2013 and will use that opportunity to revisit the OPI tool through mentoring .

² In 2013 Pact released the *Gold Standards for Capacity Development Handbook* that provides capacity development practitioners guidance for implementing capacity development activities with civil society and network partners along a continuum of best practices from bronze to silver and gold.

Although Pact cannot be sure what led to low variance in South Sudan and Vietnam, we have some qualitative information that may help in explaining. Staff in Vietnam translated the OPI into Vietnamese, which likely assisted all scorers in better understanding the difference in Levels 1 through 4. South Sudan had used the OPI tool in 2011, although with some challenges due to a lack of direction and explanation for administration, with several partners, and; therefore, may have been more familiar with the overall purpose of the tool. Also, the rollout of the tool in South Sudan was led by a former headquarters-based staff who was involved in global data collection in 2011.

Figure 4 OPI Reliability Testing by Domain

Domain	Total Alpha	
	Single	Average
Effective	0.664	0.856
Efficient	0.703	0.877
Relevant	0.72	0.885
Sustainable	0.787	0.917

Figure 4 highlights the reliability scores across the four domains. Sustainable with an Average of .917 is the highest followed by Relevant (.885), Efficient (.877) and Effective having the lowest reliability with an average alpha of .856 and a single alpha of .664. Feedback from Pact staff demonstrated that participants had the greatest challenge understanding the concepts of an effective organization, with some Pact staff even recommending to begin the assessment with another domain which was understood more

easily. Several country offices comments that partners were not aware of applicable standards and that the OPI would benefit from a more robust listing of illustrative standards. Pact has since made this change to the Index.

Finally, Figure 5 breaks the reliability down further into the sub-domain areas. Much of the feedback received from country staff is relative to the lower scoring sub-domains, as illustrated above as well. For example, some staff and partners felt that the definition of social capital was narrowly defined and therefore excluded some of their efforts. This has been addressed through a detailed glossary in the *Handbooks* of all relative terms.

Lessons Learned

Throughout the research, Pact worked with each of the six country offices to review the applicability of the OPI as well as the process of administration. Each country office submitted feedback based on their experience, many of which were incorporated in the *OPI Handbook* and future training materials for the tool. Pact's *OPI Handbook* details success factors and mistakes to avoid in the administration of the tool. Here we have highlighted a few of the success factors.

Allocate enough time: Allocate enough time for (i) staff to learn the tool; (ii) explaining the tool and implementing scoring with the organizations; and (iii) analyzing OPI results. It is recommended that each country office identify a time during the year that works well in terms of project schedules. The OPI produces better data when there is not deadline pressure.

Figure 5 OPI Reliability Testing by Sub-Domain

	Sub-domain	Total Alpha	
		Single	Average
Effective	Results	0.62	0.831
	Standards	0.74	0.895
Efficient	Delivery	0.769	0.909
	Reach	0.649	0.847
Relevant	Target Population	0.715	0.883
	Learning	0.696	0.873
Sustainable	Resources	0.866	0.951
	Social Capital	0.607	0.823

Integrate the OPI data collection into existing processes: Conducting OPI at the same time as Organizational Capacity Assessments (OCA) or other preplanned organization visits will save time. Likewise, integrating OPI into an OCA exercise will demonstrate how these two processes differ and complement each other, measuring at the output and outcome levels.

Explain the tool to partners: Taking the time to explain the purpose of OPI to partners makes a great difference to implementers. Country offices that have done this have found it much easier to build enthusiasm and understanding of the tool. Participatory approaches that involve discussion and opportunities for question-and-answer have proven particularly fruitful.

Be flexible in the Order of Scoring: Some partners find the concepts in the Effectiveness domain to be somewhat complicated. By starting with later domains such as Reach or Target Population, staff can put the partner at ease with the process, before moving to more complicated concepts such as Results or Standards.

Helpful recommendations provided by country teams and some partners are included here, many of which Pact has incorporated into the tool and Handbook.

- Clarify the meaning of “standards” and provide examples across various programmatic areas for clarification and evidence based assessment.
- Stipulate the period of assessment that both the partner and Pact should consider when scoring.
- Include a section for the names of the partner and Pact staff involved in the assessment as well as the date of the verification visit on the data collection tool.

- Appoint an OPI “champion” in each office who can train staff, provide mentoring, and ensure data collection takes place timely.
- Translate the Index and all accompanying tools for ease of use by both the partners and Pact staff.

For more information on Pact’s OPI tool and this research, please contact Matt Reeves, Capacity Development Director at mreeves@pactworld.org

Annex 1 Organizational Performance Index

	Level 1	Level 2	Level 3	Level 4
Effective				
Results	The organization is in the process of developing outcome level targets for its programs & services.	The organization has set clearly defined outcome level targets for its programs & services.	The organization has met over 50% of outcome level targets for its programs & services.	The organization has met over 75% of outcome level targets for its programs & services.
	<i>Evidence:</i> <ul style="list-style-type: none"> • Organization self-identifies as Level 1. 	<i>Evidence:</i> <ul style="list-style-type: none"> • Completed PMP and or MERL Plan that includes clearly defined outcomes, targets, indicators and measurement tools. 	<i>Evidence:</i> <ul style="list-style-type: none"> • Completed monitoring spreadsheet and/or database showing that 50% of outcome level targets have been met. • Written procedures for ensuring data quality that meet expectations of Pact's MERL staff. 	<i>Evidence:</i> <ul style="list-style-type: none"> • Completed monitoring spreadsheet and/or database showing that 75% of outcome level targets have been met. • Completed Data Quality Audit verifying the quality of the outcome data.
Standards³	The organization is building awareness of national and international standards and/or is in the process of developing internal standards that govern their programs & services	The organization is taking clear steps towards achievement of national and international standards that govern their programs & services	The organization has achieved national and international standards that govern their programs & services	The organization consistently meets existing standards and is involved in setting new national and/or international standards that govern their programs & services

³ Examples of Standards include among other national and international guidelines the following: Pact's Capacity Development Gold Standards, Pact's Standards for Programs Serving Vulnerable Children, PEPFAR's Guidance for Orphans and Vulnerable Children Programming, WHO's Child Growth Standards, WHO's Guidelines for Drinking Water Quality, CDC's Guidelines for Infection Control, DAC's Quality Standards for Development Evaluation, The Sphere Project's Humanitarian Charter and Minimum Standards in Humanitarian Response, USAID's Youth in Development/Youth Policy, USAID's Gender Equality and Female Empowerment Policy, USAID's Building Resilience to Recurrent Crisis Policy and Program Guidance, and The World Bank's Safeguard Policies.

<p><i>Evidence:</i></p> <ul style="list-style-type: none">• <i>Organization self-identifies as Level 1.</i>	<p><i>Evidence:</i></p> <ul style="list-style-type: none">• <i>Relevant technical standards that the organization is working toward, which are consistent with national and international standards.</i>• <i>Evidence of staff training, monitoring and/or procedures that indicate that organization is taking steps to implement standards.</i>	<p><i>Evidence:</i></p> <ul style="list-style-type: none">• <i>External evidence (evaluation, certification from a recognized body, etc.) that concludes the organization has met relevant standards.</i>	<p><i>Evidence:</i></p> <ul style="list-style-type: none">• <i>Multiple instances of external evidence (evaluation, certification from a recognized body, etc.) over a period of at least two years that conclude the organization has met and continues to meet relevant standards.</i>
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Efficient

<p>Delivery</p>	<p>The organization is developing a written operational or work plan that describes how programs & services will be delivered including: activities, budget, timeline and responsibilities.</p>	<p>The organization has a written operational or work plan that describes how programs & services will be delivered including: activities, budget, timeline and responsibilities.</p>	<p>The organization has successfully completed over 50% of the programs & services in its operational or work plan on time and on budget.</p>	<p>The organization has successfully completed over 75% of the programs & services in its operational or work plan on time and on budget.</p>
	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Copy of organization’s written operational or work plan.</i> • <i>Activities described in work plan are clear and include a budget, timeline and are assigned to a responsible person or unit.</i> • <i>Activities in work plan are both relevant and sufficient to deliver programs and services.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Copy of organization’s quarterly report (or similar) including a review of the work plan that indicates that at least 50% of programs and services are on time and on budget.</i> • <i>Evidence (minutes or similar) of an internal verification process in support of this data.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Copy of organization’s quarterly report (or similar) including a review of the work plan that indicates that at least 75% of programs and services are on time and on budget.</i> • <i>Evidence (minutes or similar) of an internal verification process in support of this data.</i>
<p>Reach</p>	<p>The organization is in the process of identifying and delineating a target population for its programs & services.</p>	<p>The organization has clearly identified and delineated a target population for its programs & services and is collecting output data to track service delivery to target populations.</p>	<p>The organization has achieved at least 80% of its output level targets and is reaching its target population with its programs and services.</p>	<p>The organization has achieved at least 80% of its output level targets and has scaled-up the reach of its service delivery to new geographical areas and populations.</p>
	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Completed PMP or MERL plan that clearly identifies target populations, output targets, and methods for data disaggregation across target populations.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Completed monitoring spreadsheet and/or database showing that output level targets have been met.</i> • <i>Written procedures for ensuring data quality that meet expectations of Pact’s MERL staff.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Operational or work plans that detail how the organization is scaling up services to new geographical areas or target populations.</i> • <i>Completed monitoring spreadsheet and/or database showing that output level targets have been met.</i> • <i>Written procedures for ensuring data quality that meet expectations of Pact’s MERL staff.</i>

Relevant

Relevant				
Target Population	The organization is considering engaging in participatory planning and decision-making processes that involve their target population.	The organization engages in participatory planning and decision-making processes that involve their target population.	The results of participatory planning and decision-making processes have been used to inform programs & services.	The results of participatory planning and decision-making processes are consistently used to inform programs & services. Members of the target population are engaged in the delivery of programs & services.
	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Minutes or reports from participatory planning meetings.</i> • <i>Attendance list showing involvement of representatives from all major target populations.</i> • <i>Budgets include funds for community participatory meetings</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>An example of a work plan that incorporates the conclusions from participatory planning meetings.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Examples of at least three work plans from the last two years that incorporate the conclusions from participatory planning meetings.</i> • <i>Organizational reports that detail the engagement of members of the target population in delivering programs and services.</i>
Learning	The organization is developing processes for analyzing the successes and challenges arising from their programs & services.	The organization has a process for analyzing the successes and challenges arising from their programs & services.	The organization has institutionalized a process for analyzing the successes and challenges arising from their programs & services, and consistently makes changes as a result of these analyses.	The organization uses its analyses to influence change in the programs & services of others at the national and/or international level through presentations, training and/or publications.
	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Written documentation of a procedure for analyzing the successes and challenges arising from programs and services.</i> • <i>Minutes from meetings or similar proof that the procedure has been followed on at least one occasion.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Minutes from meetings or similar proof that the organizational procedure for analyzing successes and challenges has been followed on at least three occasions within the last two years.</i> • <i>Plans, strategic or operational, that include new ways of performing products or services that were identified in the minutes of analysis meetings.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Evidence of at least three separate efforts within the last two years to influence others through sharing the results of programmatic analyses.</i> • <i>Examples could include workshops, publications, presentations, etc.</i> • <i>Content of materials must map to findings from programs.</i>

Sustainable

Resources	<p>The organization is developing a resource mobilization plan that clearly identifies both the resources needed for programs and services and potential providers/sources for these resources.</p>	<p>The organization has a resource mobilization plan that clearly identifies both the resources needed for programs and services and potential providers/sources for these resources.</p>	<p>The organization has succeeded in leveraging at least 10% of resources needed for the current operating year from a source other than Pact (where applicable).</p>	<p>The organization has succeeded in leveraging resources to support programs & services from at least two donors in addition to Pact (where applicable). No single source of funding represents more than 40% of the organization's total resource base for the current operating year.</p>
	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Resource mobilization plan that identifies resources needed.</i> • <i>Resource mobilization plan maps to needs identified in organizational budget and strategic plan.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Proof of receipt of resources from non-Pact source (resources may be financial, human, in-kind)</i> • <i>Resource received from non-Pact source must represent at least 10% of total organizational budget.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Proof of receipt of resources from at least two non-Pact sources.</i> • <i>Resource received from each non-Pact source must represent at least 10% of total organizational budget.</i> • <i>Budget shows that no single source provides more than 40% of the organization's resources.</i>
Social Capital	<p>The organization is learning about the value of networking, and considering potential partnerships.</p>	<p>The organization participates in recognized local networks that are relevant to its programs & services. The organization leverages its participation in networks and is able to demonstrate partnership and engagement with at least one other civil society organization.</p>	<p>The organization participates in recognized national networks that are relevant to its programs & services. The organization leverages its participation in networks and is able to demonstrate partnership and engagement with other civil society organizations and relevant government entities.</p>	<p>The organization is identified as a leader in recognized national networks that are relevant to its programs & services. The organization leverages its participation in networks and is able to demonstrate partnership and engagement with other civil society organizations, relevant government entities and private institutions.</p>

<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Organization self-identifies as Level 1.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Membership list from local network whose theme is relevant to the mission of the organization.</i> • <i>Minutes or other documents from the local network that clearly identify the organization as an active participant within the network.</i> • <i>Guiding documents (MoU, Letter of Commitment, Joint project documents, etc.) that demonstrate the existence of a partnership with at least one other CSO</i> • <i>Positive reference from CSO partner.</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Membership list from national network whose theme is relevant to the mission of the organization.</i> • <i>Minutes or other documents from the national network that clearly identify the organization as an active participant within the network.</i> • <i>Guiding documents (MoU, Letter of Commitment, Joint project documents) that demonstrate the existence of a partnership with at least one CSO and government agency</i> • <i>Positive references from CSO and government partners</i> 	<p><i>Evidence:</i></p> <ul style="list-style-type: none"> • <i>Minutes or other documents from the national network that clearly identify the organization as playing a leading role within the network.</i> • <i>Guiding documents (MoU, Letter of Commitment, Joint project documents) that demonstrate the existence of a partnership with at least one CSO, one government agency and one private sector entity.</i> • <i>Positive references from CSO, government and private sector partners</i>
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