What is Performance Index and its importance

OCHA analyzes partner performance throughout project implementation. OCHA will track and score partner’s performance in relation to:

- Quality and timeliness of submissions of project documents (proposals, budget & concept notes)
- Quality and timeliness of implementation against approved targets
- Quality and timeliness of reporting
- Frequency, timeliness and justification of project revision requests
- Quality of financial management
- Audit findings

The scores assigned to the partner in each of these factors will be summarized in a Partner Performance Index (PI).

Performance Index Categories

For PI, the categories on which scoring are to be done are fixed and the questions will not be editable to HFU.

There are six (6) Performance Index categories defined in the GMS:

- Quality of project document and timeliness of response
- Monitoring findings
Narrative reporting performance
Revision request/s
Financial performance
Audit findings

Each category will have a single question with multiple choices of answers. Each answer will have a score associated with it. Each question has the different weight-age in its category and each category has a weight-age in its own in the PI template. The total weight-age for all categories will be equal to 100.

Implementation of Performance Index

PI scorecard questions are imposed on the HFU as and when specific milestones are completed in the project lifecycle.

Each PI category will be linked with a specific workflow status defined for a particular instance in GMS so the system knows which category question to show to the user in a specific workflow step of an instance such as Project/Reports/Audit etc. This is achieved by showing the questions on the workflow comments dialog box and making them mandatory to proceed further.

Performance index is important because the options selected for the project would be useful to calculate the performance of the project as well as the partner which will help to decide whether the current agency is compliant to work with or not in future.

Following are the instances for which questions have been defined in the system.

- Project
- Interim Financial Reporting
- Final Financial Reporting
- Progressive Narrative Reporting
- Final Narrative Reporting
- Monitoring
- Project Revision
- Audit
- Extraordinary Financial Report

All questions are mandatory except for the Final Financial Reporting and Final Narrative Reporting instances. For these questions to be mandatory the reports need to be approved.

All questions will also appear at final narrative, final financial and audit or project closure status when approved by HFU to make sure all answers are captured or updated.

On answering of questions and saving the same at final narrative, final financial and audit or project closure instances would trigger the calculation and updating of the PI total score. The PI score and Score Index gets calculated and displayed on the popup as shown below.
In the workflow popup, a mouse over the pending icon 🔄 would display what questions are pending to be answered for a valid PI score as shown below. This icon would be visible only if some mandatory instances need to be answered.

For projects where monitoring or audit is not required as per Op Modality

- No scoring will be done based on that category
- HFU will have additional options as mentioned below to depict status of the scoring with respect to monitoring or audit categories.
  - For Monitoring category:
    - Monitoring was not required as per operational modality
    - OCHA is unable to monitor (see reason in comment box)
  - For Audit category:
    - Audit is not required as per OM.
- The rest of the scores will be calculated from 100

The user would be able to see these options in red while answering the questions for these categories as shown below.
A brief overview of the categories, question and weight-age in Performance Index

<table>
<thead>
<tr>
<th>PI Categories</th>
<th>Question</th>
<th>Question asked at the following GMS step</th>
<th>Category Weight-age</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality of project document and timeliness of response</td>
<td>How do you assess the quality of the proposals and the timeliness of the response on comments made?</td>
<td>HFU submit GA for EO signature</td>
<td>10%</td>
</tr>
<tr>
<td>Monitoring findings</td>
<td>What is your overall assessment of the project implementation (quality and timeliness) against approved targets and time-frame?</td>
<td>When HFU clicks on &quot;completed&quot; in monitoring module</td>
<td>25%</td>
</tr>
<tr>
<td>Narrative reporting performance</td>
<td>How do you assess the quality and timeliness of the narrative report?</td>
<td>when HFU approves a narrative report (progress and final)</td>
<td>15%</td>
</tr>
<tr>
<td>Revision request/s</td>
<td>How do you assess the timeliness, frequency and</td>
<td>When HFU clicks on &quot;Project Revision&quot;</td>
<td>10%</td>
</tr>
</tbody>
</table>
How is Performance Index calculated?

For example

**Category: Monitoring findings:**

**Question:** What is your overall assessment of the project implementation (quality and timeliness) against approved targets and time-frame?

**Answer:** The project achieved limited targets and justified

So project score is 5 out of a maximum of 9

5 – score given by HFU

9 – maximum score which can be given

So % of score will be 5/9 *100 = 55.56

As there is 25% weight-age for this category out of total weight-age of 100

Final score will be = 55.56 * 25/100 i.e Final score will be 13.89

A screenshot of the categories and question is shown below:
Certain validations applicable for Performance Index scoring are:

- For category monitoring findings:
  - If there are multiple monitoring reports, an average of the score is calculated for the dashboard
- For category Narrative reporting performance:
  - If there are multiple reports, an average of the score is calculated for the dashboard.
- For category Revision request/s:
  - If revision is not requested by the time Final Financial report is activated, then max score in the category will be inserted for the project automatically.
- For category Financial performance:
  - If there is no report, it will say “pending”
- For category Audit findings:
  - For NGOs: If audit is delayed and score is calculated from the rest of the categories the dashboard on audit will say “pending”
  - For UN: Total score will be calculated from the rest of the categories.

Relation between Capacity Assessment and Performance Index for determining the performance rating and risk level of the partner:

Partner capacity assessments reflect the capacity of a partner at one particular point in time. The capacity of an organization develops over time as does the risk that the organization poses to OCHA.

OCHA analyzes partner performance throughout project implementation and will be summarized in a Partner Performance Index (PI). The average on the PI for each of the
projects implemented during the year will give the annual partner’s PI.
A combination of the weight-age of Capacity assessment and Performance Index determines the performance rating and risk level.
The weighting of projects in calculating the performance rating and risk level is adjusted as and when the partner completes more projects. I.e. An increased weight-age is given to the performance based on the most recent projects completed by the partner.
An overview on how the weight-age breakup is between Capacity Assessment and Performance Index is given below:

<table>
<thead>
<tr>
<th>Number of Projects</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weight</td>
<td>CA 60%</td>
<td>CA 40%</td>
<td>CA 25%</td>
<td>CA 15%</td>
<td>CA 0%</td>
<td>CA 0%</td>
</tr>
<tr>
<td>PI 1</td>
<td>40%</td>
<td>40%</td>
<td>40%</td>
<td>35%</td>
<td>35%</td>
<td>35%</td>
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<tr>
<td>PI 2</td>
<td>20%</td>
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<td>PI 3</td>
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<td>PI 5</td>
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<tr>
<td>PI 6</td>
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</tbody>
</table>

PI is the Performance Index score per project
PI 1 is the most recent project, PI 2 the second etc. This is determined by the start date of the grant agreement which will not change if there is a 'No Cost Extension'.