

What is the track record of multi donor trust funds in improving aid effectiveness?

An assessment of the available evidence



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Abbreviations

ARTF	The Afghan Reconstruction Trust Fund
CBTF	Capacity Building Trust Fund
CFET	Consolidated Fund for East Timor
CHF	Common Humanitarian Fund
DAC	Development Assistance Committee
DCPSF	The Darfur Community Peace and Stability Fund
DDR	Disarmament, Demobilisation, and Reintegration
DFID	Department for International Development (UK)
EFA FTI	Education for All Fast Track Initiative
LOTFA	Law and Order Trust Fund for Afghanistan
MAP	Multi Country HIV/AIDS Programme for Africa
MDG	Millennium Development Goals
MDRP	The Great Lakes Multi country Demobilisation and Reintegration Programme
MDTF	Multi Donor Trust Fund
MDTF DDR	Multi Donor Trust Fund for Sierra Leone
MDTF SS	Multi Donor Trust Fund for Southern Sudan
NDTF	National Development Trust Fund
NERF	North East Reconstruction Fund (Sri Lanka)
NGO	Non-Governmental Organisation
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
PEPFAR	US President's Emergency Plan for AIDS Relief
SPA	Strategic Partnership Arrangement
SRF SS	Sudan Recovery Fund for Southern Sudan

TATF	Technical Assistance Trust Fund
TFBH	Trust Fund for Bosnia and Herzegovina
TFET	Trust Fund for East Timor
TSP	Transitional Support Programme (Iraq)
UN	United Nations
UNDG	United Nations Development Group
UNDG ITF	United Nations Development Group Iraq Trust Fund
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WB	World Bank

Abstract

What do we want to know?

This systematic review, conducted on behalf of the United Kingdom's Department for International Development (DFID), examines the impact that multi-donor trust funds (MDTFs) have had on aid effectiveness.

Who wants to know and why?

It is a generally accepted belief that multi-donor trust funds (MDTFs) are a key component in increased aid effectiveness, and over recent years they have become standard aid financing modalities in a variety of contexts, particularly in fragile, post-conflict environments.

What did we find?

The study search results demonstrated a lack of scientifically rigorous studies in this area and most of the documents were from what is considered 'grey literature': fund administrator reports and independent evaluations conducted on behalf of fund administrators. After applying four rounds of inclusion/exclusion criteria based primarily on the rigour of the study methodology and the level of analysis of the search results, 24 documents remained. Each of the reports in the final set of included documents examined individual funds, thereby lending themselves to comparative synthesis.

What are the implications?

This report discusses the results of that synthesis and provides recommendations for future policy strategies for MDTF implementation, operation and evaluation. The conclusions stress the need for further research into the effectiveness of MDTFs as an aid modality. A financial analysis of supported funds to determine their value for money would be particularly important to donors and policy makers. Future studies must examine MDTFs as a whole, rather than simply tracking the progress of individual projects the funds support, as current studies do. General guidelines for fund implementation, as well as a compilation of best/worst practices for MDTF design and implementation are needed, and should be widely circulated amongst stakeholders. Expectations for MDTF scope and effectiveness should be realistic and take context and operating environment into consideration. Future MDTFs should be structured around clearly defined and commonly-agreed upon goals. They should be based upon realistic evaluations of donor, fund administrator, and recipient government will and capacities.

How did we get these results?

A meta-evaluation of data found in the academic and professional literature was conducted. The review methodology consisted of a study search which focused on electronic searches of bibliographic databases and hand searches of specific journals and the websites of relevant organisations, using a combined search process of terms related to three key concepts: trust funds, aid effectiveness and aid impact. Users from fund administering agencies and independent organisations were also identified during this period and were able to provide additional documents and invaluable background information. The information contained in the reports included in the final data set was analysed and synthesised using a framework incorporating the Paris Declaration aid

effectiveness tenets: ownership, alignment, harmonisation, managing for results and mutual accountability.

Executive summary

Background

Aid effectiveness and improving the impact of aid, particularly in fragile and conflict-affected states, has become a central policy issue for many bilateral donors and international organisations in the recent past, as these nations and agencies expend more resources in overseas development aid. Financial analysis reveals that overall aid levels have increased since 2000 and that fragile and conflict-affected states receive substantial amounts of this increased aid (Chapman and Vaillant, 2010). The United Kingdom has contributed a large portion of the increased levels of development aid—in 2011, British Official Development Assistance (ODA) reached GBP £8.70 billion (USD \$14.015 billion), the highest level of UK ODA to date and more than double the 2001 ODA levels (DFID, 2011).

The Department for International Development (DFID) is the primary provider of British ODA, distributing nearly 90% (GBP £7.613 billion/US \$12.264 billion) of all UK ODA in 2011 (DFID, 2011). As is the case with other donor countries, the majority of UK ODA consists of bilateral expenditure; however, following global trends, in recent years the British government has increased its assistance to multilateral organisations such as the World Bank, other regional development banks and the United Nations. Part of this increased multilateral assistance is provided to multi-donor trust funds (MDTFs), an aid financing modality that is primarily employed in post-crisis contexts, which is itself an area of particular and increasing focus for DFID. With the growing importance of this funding mechanism, DFID commissioned this systematic review to consider the question, ‘What is the track record of multi-donor trust funds in improving the impact of aid?’

Methodology

This review relied upon systematic electronic and hand searches of bibliographic databases, organisation websites and general databases in three concept areas: trust funds, aid effectiveness, and aid impact. The review uncovered 223 reports, of which 24 were included in the final data set. The information gleaned from the 57 individual studies in the 24 reports was synthesised through a narrative framework analysis structured around the Paris Declaration’s principles of aid effectiveness: ownership, alignment, harmonisation, managing for results and mutual accountability.

Search results

The Review Team utilised two main methods during the study search and screening phases. For hand searches of the websites of individual organisations, where relevant documents were easily identified as useful to the review, a one-stage screening process was employed. Documents provided by the users contacted during the study search period were included in this process. A multi-stage screening process was used to exclude duplicate and irrelevant search results. At the end of this process, 38 documents remained. Of these documents, only 34 of them analysed specific MDTFs; the other four documents, while methodologically sound and/or sufficiently analytical, either discussed entire fund administering agencies’ portfolios or macro-level multilateral aid, and did not go into detail regarding individual MDTFs, thus making it difficult to include their information in the analytical framework utilised during the synthesis process. Finally, an additional evaluation of the remaining 34 documents was conducted specifically to identify reports that did not adequately address the attribution of impact, and a further 10 studies were excluded. The final result of the screening process was that 57 studies in

24 reports were included in the final data set. Eighteen reports were independent evaluations, many of them conducted on behalf of fund managers, four were studies or reports issued by fund managers, one was an academic refereed article, and one was a report issued by a donor.

Further to these key included studies, 153 of the excluded documents, including the four ‘macro-level’ reports identified above, contained useful background information, and the information provided by these documents was incorporated into the ‘Background’ and ‘Conclusions and Recommendations’ sections of this report. These documents are listed in Section 7.3 of the final report.

Synthesis results

If the number of studies that addressed the impact that MDTFs have had on the promotion of ownership is an indication, then they have made some progress in this area. Of the 44 studies that included an evaluation of MDTFs on ownership, 37 indicated that they had had a positive effect, and only 24 demonstrated negative effects. There were eight studies that included recommendations for enhancing ownership, showing that there is room for improvement in this area.

Given that only 11 of the 57 included studies directly discussed MDTF impact on alignment, extrapolating evidence to support this type of MDTF impact would be tenuous at best. Seven of the 57 studies showed signs of positive impact, while five stated that MDTFs had a negative impact on alignment. No studies offered recommendations for improvement for alignment; however, many of the suggestions made to improve ownership are closely linked to alignment with national and local priorities, and it could be argued that they would enhance alignment as well. What can be clearly concluded is that this area requires further examination.

According to the results of the synthesis, MDTFs have a mixed track record when it comes to increasing harmonisation. Results indicate that there has been, again, minimal impact on harmonisation between recipients and donors/fund administering agencies, as only 27 of the 57 studies that examined this aspect of aid effectiveness showed progress on this point, while 26 indicated that MDTFs provided little or no positive effects. Additionally, 12 studies recommended ways to increase harmonisation. Seven of the 57 studies indicated that harmonisation was only achieved between donors, rather than between donors and fund administrators or between donors and recipient countries.

As for managing for results—the design and implementation of transparency, governance and reporting mechanisms—MDTFs historically have had a poor record, but studies demonstrate that they have improved over time. Governance structures are now being incorporated at the beginning stages of MDTF design and implementation, and reporting is slowly becoming more regulated. However, there is still much room for improvement, as the results of the synthesis show: 36 studies stated that there were negative impacts on results management and 34 showed that improvement had been made. Thirty studies made recommendations on ways for future enhancement in this area, which indicates that this is a recognised need that has been brought to the attention of stakeholders.

Mutual accountability was the second least-examined indicator in the studies included in the final data set; therefore, the synthesis results in this area are inconclusive. Only 25 of 57 studies mentioned aspects of mutual accountability at all, with 13 studies indicating positive impact by MDTFs in this area, while another 10 showed negative impact. Nine studies included aspects of mutual accountability in their recommendations. This lack of

evaluative data indicates either that this area is underdeveloped and merits further attention by fund administrators and donors, or that it is merely under-evaluated. Regardless, further attention should be paid to ensuring that mutual accountability is part of the MDTF structure and evaluations.

Strengths and limitations

During the review, the study team identified several strengths and limitations of this systematic review and the included studies. The strengths of the review are its originality, its potential to transform research into policy, and the impact it can have on academic research, which has been lacking in this field of study. The two main strengths of the included studies is that they demonstrate an increase in the frequency and quality of MDTF evaluations and reports, and the increased awareness on the part of donors and fund managers of the challenges that this aid mechanism faces. There were some challenges encountered during this review, namely, the limited amount of research into MDTFs, its over-reliance on 'grey' literature, the lack of uniform measurements of aid impact and effectiveness, the review's narrowly defined scope, and a lack of cost-benefit, financial, and economic analysis, which would be particularly helpful to measure accurately the impact of MDTFs.

Conclusions

The first and perhaps the most obvious conclusion of this review is the importance of context in the design and implementation of an MDTF. Multiple studies within this systematic review highlighted the significance and impact that political contexts have on the success or failure of MDTFs. The root of the problem stems from the fact that far too often, MDTFs are designed and implemented without the fund administering agent taking into account the political environment or security concerns.

Often MDTFs are designed and created outside the country or context in which they will be implemented by administrators and executives who may have very little knowledge of the circumstances in which the fund will operate, and who may or may not seek the advice and recommendations of stakeholders within the recipient government or civil society. In this way, funds are often born in a vacuum, with high expectations of what they can accomplish. The included studies have shown that stakeholders at every level are guilty of expecting more of MDTFs than they can deliver.

While the literature demonstrates that it is a widely accepted belief that MDTFs are able to enhance a recipient government's ownership of development programmes and aid, and although the synthesis results reveal that 37 studies stated that MDTFs had a positive impact on this aspect of aid effectiveness, when considering that multilateral funding is only 30% of all international aid, the impact of this aid modality is rather small at the aggregate level. Additionally, the studies that demonstrated the greatest progress towards ownership occurred in contexts where the recipient government was already firmly established.

Despite the fact that 37 studies stated that MDTFs had made positive steps towards enhancing ownership, on the whole, donors still require control of funds or earmark them for specific sectors, which negatively impacts on recipient government ownership of development priorities and funding. While a few funds - notably the Global Fund or the Afghanistan Reconstruction Trust Fund - operate closely with the recipient government's Ministry of Finance and provide direct budget support, on the whole, donors and fund administrators remain unwilling to turn over large sums of money to governments and

agencies which are viewed to be weak or highly corrupt, particularly in fragile states where capacity and the ability to manage funds effectively is low.

Recommendations

There is a lack of rigorous evidence-based and independent research conducted on MDTFs. Because they are such a popular aid modality, particularly in fragile, post-crisis contexts, and because a large amount of financial and human resources have been expended on them, further research into their general impact and, specifically, their impact on aid effectiveness is absolutely necessary. Of particular importance to MDTF donors would be a financial analysis of each fund it supports to determine more accurately their value for money. It is also paramount that additional research be conducted into the effectiveness of MDTFs as an aid modality, particularly comparing them with other types of aid mechanisms and across various contexts. There were no studies of significant rigour that provided a comparative analysis of aid instruments. Additionally, future research should expand the scope beyond the framework of aid effectiveness as defined by the Paris Declaration to include other aspects of aid effectiveness.

One of the difficulties encountered by the Review Team when assessing the literature was the fact that many of the evaluation reports, particularly those issued by fund administrators like the United Nations Development Programme (UNDP) and the World Bank, focus primarily on the evaluations of individual projects financially supported by MDTFs, rather than the effectiveness of the funds as a financing mechanism. These types of documents, while they provided helpful background information and detailed the variety of interventions supported by MDTFs, were not very useful for an analysis of the effectiveness of MDTFs as an aid modality. It is recommended that future evaluations by donors, fund administrators and independent researchers incorporate outcome indicators that are relevant for the review of the MDTF as a separate and complete entity, rather than equating MDTF effectiveness with individual project success, which is the manner in which many of the current fund administrator reports are structured.

Studies in this review show that even global funds with uniform management structures and procedures that operate in multiple countries have varying experiences with effectiveness and impact. Because of this finding, the Review Team hesitates to suggest that lessons learned from one fund in a very specific context can be extrapolated and applied directly to another fund in a completely different context. However, there are general guidelines that can inform future interventions, and a compilation of best and worst practices for MDTF design and implementation is needed and should be widely circulated amongst the relevant agencies and donors. These guidelines could be formulated at the fund manager level through a collaborative effort with all levels of stakeholders from the donor and recipient communities. Another important aspect of learning is information sharing. While recent independent evaluations have been more critical of the less successful aspects of MDTFs than donor reports have been in the past, this constructive criticism and probing of the commonly asserted, yet unsubstantiated claims associated with MDTFs as a funding modality should be encouraged. Only through the identification of performance gaps and structural deficiencies can the areas where MDTFs have had a negative impact be successfully addressed. Shared lessons between all stakeholders as well as mechanisms to retain institutional knowledge despite staff turnover is critical and should be addressed by fund managers and stakeholders alike.

Stakeholder expectations can be considerable for MDTFs, resulting in unrealistic implementation goals. To address this issue, funds must be designed around a strong

programme theory that is clearly grounded in extensive knowledge of the context and the limitations of the operating environment. One approach that would strengthen the ability of fund stakeholders to create a fund that is receptive to the context in which it operates is linking the fund design to Strategic Conflict Assessments, critical path analysis and political economy analysis. MDTFs should be sufficiently informed by such analysis from the early stages of their development.

An important conclusion of this review was that there was a lack of clarity surrounding the goals and operational structure of some MDTFs, resulting in the confusion of administering agency staff, donors, and recipient government stakeholders. Studies also indicate that often donors provide funds without clearly establishing how their contributions fit into the fund structure or their own development priorities. This ambiguity creates chaos within fund administration, project implementation and monitoring and evaluation processes. Many of the recommendations contained in the studies stated that successful MDTF implementation and operation relies on first identifying clear goals and strategies at each level - donor, fund administrator and recipient government. Therefore, the Review Team recommends that future interventions involving MDTFs establish clear goals and guidelines for implementation from the first stages of the fund design.

1. Background

1.1 Aims and rationale for review

Aid effectiveness and improving the impact of aid, particularly in fragile and conflict-affected states, has become a central policy issue for many bilateral donors and international organisations in the recent past, as these nations and agencies expend more resources in overseas development aid. Financial analysis reveals that overall aid levels have increased since 2000 and that fragile and conflict-affected states receive substantial amounts of this increased aid (Chapman and Vaillant, 2010). Indeed, net official development assistance (ODA) from member states of the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) reached a record GBP £77.3 billion (USD \$124.5 billion)¹ in 2010, an increase of 6.5% from 2009 (OECD, 2010a).² The United Kingdom has contributed a large portion of the increased levels of development aid—in 2011, British Official Development Assistance (ODA) reached GBP £8.70 billion (USD \$14.015 billion), the highest level of UK ODA to date and more than double the 2001 ODA levels (DFID, 2011).

The Department for International Development (DFID) is the primary provider of British ODA, distributing nearly 90% (GBP £7.613 billion/US \$12.264 billion) of all UK ODA in 2011 (DFID, 2011). As is the case with other donor countries, the majority of UK ODA consists of bilateral expenditure; however, following global trends, in recent years the British government has increased its assistance to multilateral organisations such as the World Bank, other regional development banks, and the United Nations (DFID, 2010a). Part of this increased multilateral assistance is provided to multi-donor trust funds (MDTFs), an aid financing modality that is primarily employed in post-crisis contexts, which is itself an area of particular and increasing focus for DFID (DFID, 2010b).

The increased use of MDTFs is of direct relevance to the amplified development aid commitment, as well as with attempts to correct the gaps and imbalances in international attention and resource allocation at the global and country level (Chapman and Vaillant, 2010). By definition and structure, MDTFs – a pooled funding mechanism which has emerged as a key instrument in development assistance – should be instrumental in enhancing aid effectiveness. An MDTF takes contributions from a variety of donors and administers them under a single governance structure with a goal to support development-related programmes through a predictable and reliable funding source. This support can be ‘on-budget’, meaning that it is provided directly to a recipient government in order to support its operations, or ‘off-budget’, in which the fund supports development programmes and objectives through funding to international organisations, non-governmental organisations (NGOs) and other entities.

With the growing importance of this funding mechanism, DFID commissioned this systematic review to consider the question, ‘What is the track record of multi-donor trust funds in improving the impact of aid?’ To respond to this question, this review employed an evidence-based, comprehensive and systematic methodology, in order to gather and assess, to the greatest extent possible, the relevant literature that has been written on

¹ All conversion figures are based on a conversion rate of \$1.61104, as current at the time of writing.

² Officially established in 1961, 34 countries now comprise the OECD; the United Kingdom is one of the founding members.

the subject. The information contained in this literature was used to assess the impact of MDTFs on aid effectiveness, as defined by the Paris Declaration. With the primary aims of the study in mind, as well as its intended primary audience of policy makers and practitioners, this review seeks to achieve the following aims:

- To discover how much methodologically reliable and rigorous literature and data has been produced that relates to MDTFs.
- To investigate the track record of MDTFs and how they have developed over their existence.
- To consider whether or not these funds have improved the impact of aid effectiveness.
- To establish best practice for MDTFs in order to provide recommendations for future interventions.
- To discover where gaps in the research exist, and how these may best be filled.

The general scope and very specific systematic review methodology required by the study meant that the final analysis addresses the broader implications of MDTFs on aid effectiveness. This report does not provide in-depth analysis of the financial impact of these funds, but rather, through an examination of the data related to aid effectiveness that the 24 reports selected for in-depth review afforded, it seeks to impart an understanding of the general trends and issues surrounding the use of MDTFs, to discuss their impact on aid effectiveness and implications on policy, and to identify areas for further research.

1.2 Definitional and conceptual issues

1.2.1 Aid effectiveness

At the centre of the emergence of MDTFs as a popular aid financing mechanism is the push to enhance aid effectiveness amongst the international community. The Millennium Development Goals (MDGs), which were adopted in 2000 and are meant to have been achieved by 2015, have provided a sharper focus - and an unmistakable challenge - to international aid efforts (OECD, 2010b). Defining specific development goals like the MDGs introduced the need for a discussion on how best these goals could be achieved and which assistance mechanisms were most effective. The first official step towards articulating a new approach to international development assistance came in 2002, when the international community established the Monterrey Consensus at the International Conference on Financing for Development. This increased development funding while acknowledging that if the MDGs were to be achieved there would be a need for more effective aid based on collaboration between donors and recipients rather than the donor-centric development system of previous decades (United Nations, 2003). Movement towards a clearer definition of aid effectiveness continued over the next few years, culminating in the Paris Declaration on Aid Effectiveness in 2005, which outlined the broad aims of the aid effectiveness agenda: ownership, alignment, harmonisation, managing for results, and mutual accountability (OECD, 2005). In 2008, the Accra Agenda for Action (AAA) advanced the cause by identifying four additional factors of effective aid: predictability, country systems, conditionality and untying (OECD, 2008). Through these two agreements, donor and recipient countries, development agencies, international and regional financial institutions, NGOs and private entities such as the Bill and Melinda

Gates Foundation, have all committed to advancing the efforts towards more effective aid practices.

While aid effectiveness is an important and widely used concept, it is somewhat elusive and has prompted significant academic debate over its meaning. Clear and succinct definitions for aid effectiveness are rare and one of the few available definitions comes from the OECD (2007a), which sees it as the process of ‘strengthening development partners’ harmonisation and alignment with the policies of partner countries, with the aim of enhancing partner country ownership, reducing aid delivery transaction costs, avoiding overlapping and contradictory interventions, and increasing the accountability of both sets of partners to their sources of finance’. Further to this ‘process orientated’ understanding of aid effectiveness, a more ‘outcome-orientated’ view has also developed, which sees aid as effective when it achieves broad thematic or more specific success (Hansen and Tarp, 2000). These outcomes cover a significant range of factors, including poverty reduction, government capacity building and schemes to increase HIV awareness and treatment. Given the sheer diversity of aid effectiveness outcome measures imaginable, this review employed a process-orientated definition of aid effectiveness, while taking into account, to the degree feasible, the outcome-orientated perspective.

In the absence of a single, universally accepted definition of aid effectiveness, this review adapted one of the more widely recognised, multi-faceted characterizations of the term for its analytical framework. It draws from the Paris Declaration’s principles for aid effectiveness, which consider the following aspects as being fundamental to aid effectiveness: (i) national-recipient ownership (including alignment and use of country systems); (ii) harmonisation/co-ordination; (iii) managing for results, and (iv) mutual accountability (OECD, 2007a). The Paris Declaration further defines each of the five aspects of aid effectiveness as follows:

- ‘Ownership: Partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions.
- Alignment: Donors base their overall support on partner countries’ national development strategies, institutions and procedures.
- Harmonisation: Donors’ actions are more harmonised, transparent and collectively effective.
- Managing for Results: Managing resources and improving decision-making for results.
- Mutual Accountability: Donors and partners are accountable for development results.’

(OECD, 2005).

The Paris Declaration also details specific actions to be taken by both donor and recipient countries; these, in turn, can be adapted to create measurements of aid effectiveness. For example, in order to promote ownership, the Declaration calls on donors to commit to ‘respect[ing] partner country leadership and help[ing] strengthen their capacity to exercise it’, while recipients – or partner countries, as the Declaration refers to them – commit to developing and implementing national development strategies, developing results-oriented operational programmes, co-ordinating aid at all levels, and encouraging the participating of the private sector and civil society in the process (OECD, 2005). Table

1.1 outlines the specific actions which are to be taken in order to promote aid effectiveness.

Table 1.1: Actions to be taken to further aid effectiveness as outlined in the Paris Declaration

Aid effectiveness aspect	Actions to be taken by donors	Actions to be taken by partner countries	Joint actions
Ownership	<ul style="list-style-type: none"> • Respect partner country leadership and help strengthen their capacity to exercise it. 	<ul style="list-style-type: none"> • Exercise leadership in developing and implementing national development strategies³ through broad consultative processes. • Translate these national development strategies into prioritised results-oriented operational programmes as expressed in medium-term expenditure frameworks and annual budgets. • Take the lead in co-ordinating aid at all levels in conjunction with other development resources in dialogue with donors and encouraging the participation of civil society and the private sector. 	
Alignment	<ul style="list-style-type: none"> • Base their overall support - country strategies, policy dialogues and development co-operation programmes - on partners' national development strategies and periodic reviews of progress in implementing these strategies. • Draw conditions, whenever possible, from a partner's national development strategy or its annual review of progress in implementing this strategy. Other conditions would be included only when a sound justification exists and would be undertaken transparently and in close consultation with other donors and stakeholders. • Link funding to a single framework of conditions and/or a manageable set of 	<ul style="list-style-type: none"> • Carry out diagnostic reviews that provide reliable assessments of country systems and procedures. • On the basis of such diagnostic reviews, undertake reforms that may be necessary to ensure that national systems, institutions and procedures for managing aid and other development resources are effective, accountable and transparent. • Undertake reforms, such as public management reform, that may be necessary to launch and fuel sustainable capacity development processes. • Integrate specific capacity strengthening objectives in national development 	<ul style="list-style-type: none"> • Work together to establish mutually agreed frameworks that provide reliable assessments of performance, transparency and accountability of country systems. • Integrate diagnostic reviews and performance assessment frameworks within country-led strategies for capacity development. • Implement harmonised diagnostic reviews and performance assessment frameworks in public financial management. • Use mutually agreed standards and processes to carry out diagnostics, develop sustainable reforms and monitor implementation.

³ The Paris Declaration defines the term 'national development strategies' to include 'poverty reduction and similar over arching strategies as well as sector and thematic strategies' (OECD, 2005).

Aid effectiveness aspect	Actions to be taken by donors	Actions to be taken by partner countries	Joint actions
	<p>indicators derived from the national development strategy. This does not mean that all donors have identical conditions, but that each donor's conditions should be derived from a common streamlined framework aimed at achieving lasting results.</p> <ul style="list-style-type: none"> • Use country systems and procedures to the maximum extent possible. Where use of country systems is not feasible, establish additional safeguards and measures in ways that strengthen rather than undermine country systems and procedures. • Avoid, to the maximum extent possible, creating dedicated structures for day-to-day management and implementation of aid-financed projects and programmes. • Adopt harmonised performance assessment frameworks for country systems so as to avoid presenting partner countries with an excessive number of potentially conflicting targets. • Align their analytic and financial support with partners' capacity development objectives and strategies, make effective use of existing capacities and harmonise support for capacity development accordingly. • Provide reliable indicative commitments of aid over a multi-year framework and disburse aid in a timely and predictable fashion according to agreed schedules. • Rely to the maximum extent possible on transparent partner government budget and accounting mechanisms. • Progressively rely on partner country 	<p>strategies and pursue their implementation through country-led capacity development strategies where needed.</p> <ul style="list-style-type: none"> • Intensify efforts to mobilise domestic resources, strengthen fiscal sustainability and create an enabling environment for public and private investments. • Publish timely, transparent and reliable reporting on budget execution. • Take leadership of the public financial management reform process. • Commit to take leadership and implement the procurement reform process. 	<ul style="list-style-type: none"> • Commit sufficient resources to support and sustain medium and long-term procurement reforms and capacity development. • Share feedback at the country level on recommended approaches so they can be improved over time.

Aid effectiveness aspect	Actions to be taken by donors	Actions to be taken by partner countries	Joint actions
Harmonisation	<p>systems for procurement when the country has implemented mutually agreed standards and processes.</p> <ul style="list-style-type: none"> • Adopt harmonised approaches when national systems do not meet mutually agreed levels of performance or donors do not use them. • Implement the donor action plans that they have developed as part of the follow-up to the Rome High-Level Forum. • Implement, where feasible, common arrangements at country level for planning, funding (e.g. joint financial arrangements), disbursement, monitoring, evaluating and reporting to government on donor activities and aid flows. Increased use of programme-based aid modalities can contribute to this effort. • Work together to reduce the number of separate, duplicative missions to the field and diagnostic reviews, and promote joint training to share lessons learnt and build a community of practice. • Make full use of their respective comparative advantage at sector or country level by delegating, where appropriate, authority to lead donors for the execution of programmes, activities and tasks. • Work together to harmonise separate procedures. • Harmonise their activities. Harmonisation is all the more crucial in the absence of strong government leadership. It should focus on upstream analysis, joint assessments, joint strategies, co-ordination of political engagement, and practical initiatives such 	<ul style="list-style-type: none"> • Provide clear views on donors' comparative advantage and on how to achieve donor complementarity at country or sector level. • Make progress towards building institutions and establishing governance structures that deliver effective governance, public safety, security and equitable access to basic social services for their citizens. • Engage in dialogue with donors on developing simple planning tools, such as the transitional results matrix, where national development strategies are not yet in place. • Encourage broad participation of a range of national actors in setting development priorities. 	<ul style="list-style-type: none"> • Reform procedures and strengthen incentives - including for recruitment, appraisal and training - for management and staff to work towards harmonisation, alignment and results. • Strengthen the application of environmental impact assessments and deepen common procedures for projects, including consultations with stakeholders, and develop and apply common approaches for 'strategic environmental assessment' at the sector and national levels. • Continue to develop the specialised technical and policy capacity necessary for environmental analysis and for enforcement of legislation.

Aid effectiveness aspect	Actions to be taken by donors	Actions to be taken by partner countries	Joint actions
Managing for results	<p>as the establishment of joint donor offices.</p> <ul style="list-style-type: none"> Align to the maximum extent possible behind central government-led strategies or, if that is not possible, donors should make maximum use of country, regional, sector or non-government systems. Avoid activities that undermine national institution building, such as bypassing national budget processes or setting high salaries for local staff. Use an appropriate mix of aid instruments, including support for recurrent financing, particularly for countries in promising but high-risk transitions. 		
	<ul style="list-style-type: none"> Link country programming and resources to results and align them with effective partner country performance assessment frameworks, refraining from requesting the introduction of performance indicators that are not consistent with partners' national development strategies. Work with partner countries to rely, as far as possible, on partner countries' results-oriented reporting and monitoring frameworks. Harmonise their monitoring and reporting requirements, and, until they can rely more extensively on partner countries' statistical, monitoring and evaluation systems, work with partner countries to the maximum extent possible on joint formats for periodic reporting. 	<ul style="list-style-type: none"> Strengthen the linkages between national development strategies and annual and multi-annual budget processes. Endeavour to establish results-oriented reporting and assessment frameworks that monitor progress against key dimensions of the national and sector development strategies; these frameworks should track a manageable number of indicators for which data are cost-effectively available. 	<ul style="list-style-type: none"> Work together in a participatory approach to strengthen country capacities and demand for results-based management.

Mutual Accountability	<ul style="list-style-type: none"> • Provide timely, transparent and comprehensive information on aid flows so as to enable partner authorities to present comprehensive budget reports to their legislatures and citizens. • Strengthen as appropriate the parliamentary role in national development strategies and/or budgets. • Reinforce participatory approaches by systematically involving a broad range of development partners when formulating and assessing progress in implementing national development strategies. • Jointly assess, through existing and increasingly objective country-level mechanisms, mutual progress in implementing agreed commitments on aid effectiveness, including the Partnership Commitments.
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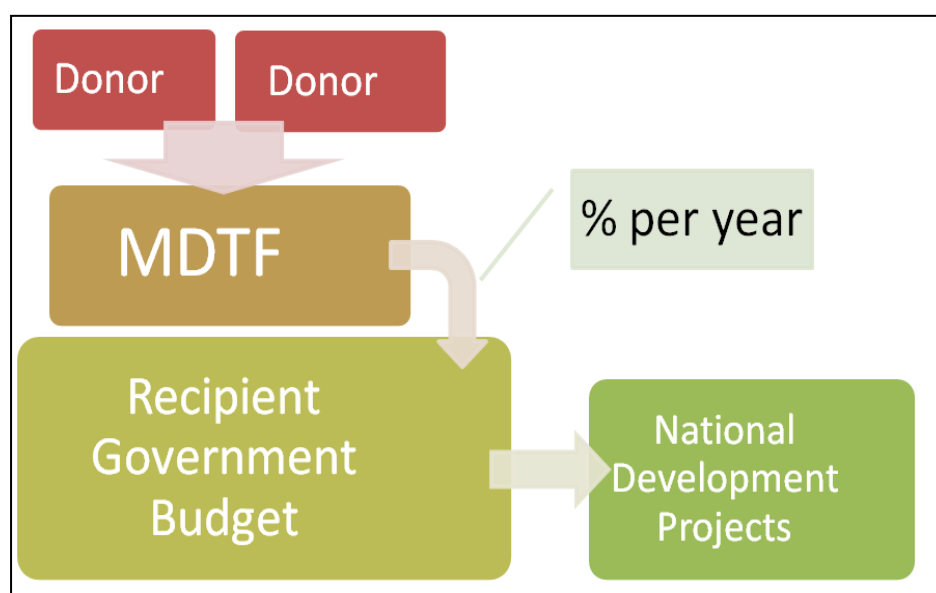
(OECD, 2005).

1.2.2 Multi-donor trust funds

MDTFs, identified earlier as a funding mechanism which pools and disburses development aid under one administrative structure, are designed to offer funding sources that are predictable and stable and able to be reinvested to increase income revenues, much like the trust funds used in individual and estate financial planning. They have been conceptualised as an intermediate modality between the donors and the recipient for administrative purposes (Ball, 2007). Ideally, the donor would transfer the funds which have been committed through the appropriate legislative and budgetary process, along with the associated fiduciary responsibility, without necessarily fully handing the money over to the recipient (Schiavo-Campo, 2003). Instead, the financial assistance would be held in a trust and overseen by an administrative agent, such as the World Bank or the United Nations Development Group (UNDG), until the funds could be allocated in a way which was most effective and which, in most cases, reflected the needs and priorities of national-recipient governments (Ball, 2007).

Other forms of aid, particularly bilateral funding, tend to disburse funds when the country is least able to deal with it—often within a short time after a crisis when the relevant government structures may be inoperable or non-existent—but MDTFs offer the ability for national actors to access the funds when they have the need and capacity required to do so (Barakat, 2009). Given the fact that many MDTFs are implemented in fragile states, the importance of funding provision when government institutions are capable of directing development priorities cannot be overstated. Because MDTFs can be designed as a long-term funding mechanism, they can be structured in a way whereby recipient government control over funds can increase as the government's financial institutions become sufficiently stable.

Figure 1.2: How an optimal MDTF would function



An optimal MDTF would provide a stable and predictable source of funding over the long term (see Figure 1.1). It would be supported by donors who disbursed their pledged funds on a regular, mutually agreed-upon schedule and administered by a managing body that included appropriate stakeholders from the recipient government, which would play an active role in the day-to-day MDTF operation and disbursement of funds. The majority of the support would be provided on-budget, affording the recipient government the

opportunity to directly support its national development priorities and provide consistent services to its citizens that would enhance the government's credibility, legitimacy, and competence.

This description of the ideal MDTF, however, does not take into consideration the variety of circumstances in which the funds operate, which are unique, often difficult, and can affect how the funds are designed, managed and implemented. Although most funds follow the same basic principles, they vary widely with regard to their usage, structure, governance (steering board composition), allocation procedures and degree of governmental versus donor involvement (Scanteam, 2005 and 2007). Because they offer flexibility and governance structures that other aid mechanisms do not, MDTFs are often the preferred aid modalities in post-crisis contexts, whether following the earthquake in Haiti, the Indian Ocean tsunami, or post-conflict South Sudan. However, these contexts typically lack the strong recipient government structures which would allow the funds to provide on-budget support, requiring the MDTFs to bypass recipient government structures and channel their funding through international organisations or NGOs. It is the paradox of MDTFs that the most effective trust funds require a strong recipient government, but that strong recipient governments are, by and large, absent in the contexts in which MDTFs are most often employed.

1.2.3 Aid impact

Linked closely to the concept of aid effectiveness, there are numerous debates within the international development community surrounding the definition of aid impact and its measurement. Currently, the discussions have centred around two separate definitions of impact and approaches to impact assessments (White, 2010). The OECD (2010b) defines the concept of aid impact as 'positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended'. Organisations devoted to impact evaluation define the term in more quantitative, mathematical terms, as 'the difference in the indicator of interest (Y) with the intervention (Y_1) and without the intervention (Y_0). That is, $\text{impact} = Y_1 - Y_0$ (White, 2010). Some scholars suggest that the two definitions result from differences in disciplinary backgrounds and are two approaches toward the same goal, rather than two separate methods, and, that, despite their differences, all impact evaluations seek to answer the basic question, 'What works and what doesn't?' (Stame, 2010). Other studies contend that much of the debate surrounding impact evaluation concepts is often epistemological, 'representing opposing paradigms of social science and development' (Jones *et al.*, 2009).

In part because of a lack of definitional consensus, assessment of aid impact in general has been weak, and White (2010) contends that, until recently, impact evaluations have focused almost exclusively on monitoring the outcomes of individual aid projects, an approach which tells only part of the story of an intervention's broader impact. In addition to their narrow focus on outcome indicators, some methods of impact evaluation, such as participatory impact assessments, rely solely on qualitative approaches, the results of which are difficult to quantify and do not lend themselves easily to comparative analysis (White, 2010). However, over the past few years, experts and organisations have called for a more rigorous evaluation of international aid which includes more quantitative methods of analysis, and organisations like the World Bank and 3ie are funding these types of studies (White, 2010). Conversely, other experts argue that impact evaluations have focused too heavily on quantitative methods, discrediting useful qualitative methods in the process (Jones *et al.*, 2009).

Currently, many aid agencies and certain schools of evaluation employ evaluation methodologies that assess impact through the use of ‘counterfactuals’ - considered to be the gold standard in impact evaluation; this compares ‘what happened with what would have happened had the project not taken place’ (Jones *et al.*, 2009). Despite the emphasis on qualitative methodology, other evaluators have suggested alternatives from the natural and social sciences, such as generative causality, which seeks to attribute causality through understanding beneficiaries’ reasons for actions or behavioural change (Bhola, 2000). Others argue that it is possible to evaluate the counterfactual using non-experimental theory-driven methods, one of which is ‘process tracing’, which evaluates causation through a theory that focuses on causal steps sequences (Jones *et al.*, 2009).

Jones *et al.* (2009) identify common and significant challenges to impact evaluations: capacity, data, resources, timing, ethical issues and sensitivity to judgement. Impact evaluations require a high level of professional and scientific expertise, which is found only in a limited number of organisations that have access to the resources required to conduct these types of evaluations and is often lacking, especially in the South (Nguyen and Bloom, 2006; Jones *et al.*, 2008). The most rigorous impact evaluations also require comprehensive baseline data, which often is unavailable or of poor quality (Johnston, 2006). Serious ethical issues also exist with impact evaluations, particularly as it concerns the random distribution of interventions, which is problematic, particularly when projects involve goods and services that should be distributed by need (Jones *et al.*, 2009). Additionally, when real emergencies exist, it is questionable that extensive resources should be earmarked for rigorous evaluations, particularly sending an evaluator to assess populations not receiving assistance (Jones *et al.*, 2009). Finally, impact evaluations could potentially uncover impact that could negatively affect the implementing organisation and undermine its ability to raise funding for future interventions (Levine and Savedoff, 2006). Thus, organisations are less likely to commission or publish studies that might indicate that their interventions are not working or negatively impact on their beneficiaries (Ravallion, 2005).

For this systematic review, aid effectiveness is a key measure of aid impact and, thus, was a central issue. Although its concepts are fluid, through the inclusion of methodologically rigorous sources which employ multiple research techniques ranging from scientifically based quantitative approaches to more participatory qualitative methods such as surveys, interviews and case studies, this review was able to obtain a general overview of aid impact. While impact indicators vary by intervention, the evidence of impact which this review accepted as credible included those frequently used in aid impact assessments: (i) the length of the implementation period; (ii) the number of project beneficiaries; (iii) a change in poverty or other relevant indicators in areas where projects funded by the MDTF are implemented; (iv) a change in government capacity for service delivery; and (v) a change in international aid transaction costs. All of the studies included in the final subset of documents considered two or more of these types of indicators, the most common of which were the number of project beneficiaries and a change in local service delivery capacity, although a few of the studies included evaluations of transaction costs.⁴ While these concepts are somewhat undefined due to a lack of consensus, this review considered the effects of MDTFs by using key definitions found in the Paris Declaration, in particular.

⁴ Information on the use of indicators in each study is included in Appendix 4.1.

1.3 Policy and practice background

As the world changes, so do the suitability, practicality, and functioning of different aid mechanisms. Donors felt that they had navigated the pitfalls associated with other forms of assistance by creating a modality that could centralise planning, co-ordination and oversight while also matching the need for financial accountability and the desire to engage state institutions in a more comprehensive manner (Barakat, 2009). In response to these requirements, MDTFs have been put forward as an aid modality which offers a myriad of benefits to donors, fund managers and local stakeholders (Ball, 2007). It is important to view MDTFs within their contextual frame, so that a comprehensive picture of their origins and purpose can emerge. This section explores the history of MDTFs, detailing how they have developed, as well as providing an explanation of the thematic and geographical areas in which they have been deployed. It will also tackle the issue of why MDTFs have emerged as a preferred funding method in a range of post-conflict and post-disaster contexts over other aid modalities. Finally, in order to offer a balanced view of MDTFs as a financing mechanism, it will also examine the criticisms put forward regarding the perceived shortcomings of MDTFs as a funding mechanism.

1.3.1 Historical background

The first example of an MDTF was in September 1960, when the World Bank created a fund in which several donors co-financed the Indus Basin Project in Pakistan (World Bank, 2004). The 1960s also saw the Bank agree to act as the executing agency for technical assistance projects of the UNDP, which foreshadowed the management mechanisms of future MDTFs. Together, the World Bank and the United Nations—primarily UNDG and UNDP—have remained the two principal MDTF managers, although other international organisations and private groups also manage MDTFs.

The first MDTFs were relatively slow to take off as a new aid modality. In the 1970s, the trust fund for the Consultative Group on International Agricultural Research (CGIAR) was established as part of a major multilateral initiative, and additional trust funds were created for internationally-supported programmes such as the Tropical Diseases Research Fund and the River Blindness Control Program (World Bank, 2004). There was a further increase of MDTFs in the mid-1980s, as consultant trust funds and a larger number of free-standing, single-purpose trust funds were established. It was only from the 1990s that MDTFs began to be widely used; there was a rapid growth in the number and size of these funds, a growth driven largely by the international community (World Bank, 2004). From 1989 to 2008, multilateral aid increased from \$23 billion dollars to \$35 billion, and currently comprises 20% of all official development assistance (OECD, 2010b). As of 2010 the number of MDTFs in existence stood at over 1,100 in over 73 different countries (World Bank, 2009; DFID, 2010a).

This proliferation of MDTFs throughout the 1990s was partly in response to the increasing diversity and complexity of problems facing, in particular, fragile countries, in the years following the end of the Cold War, when the global political dynamic was shifting dramatically. The general perception was that MDTFs were well-placed to deal with the specific challenges present in post-conflict and post-disaster contexts where traditional funding mechanisms and structures were weak or non-existent. Within the new dynamic facing countries following the end of the Cold War, the proliferation of what was termed ‘new wars’ demonstrated that the countries that sustained the most damage to their governmental, economic and social structures were often at an early stage of their development; an increasing number of intra-state wars meant that conflicts were

increasingly multifaceted as different factions are less distinguishable and as civilians and social infrastructure were increasingly affected (Kaldor, 1999 and 2007). At the same time, natural disasters were having a greater impact across the globe, driven largely by the growing concentration of assets and people in highly disaster-prone areas.

In view of these increasing challenges in developing countries caused by both conflict and natural disasters, donors recognised that previous mechanisms of international aid were insufficient to deal with the issues of sustainable development, poverty reduction, the achievement of the Millennium Development Goals and the aims of the Paris Declaration (Barakat, 2009). Previous aid-financing instruments, such as channel funding, co-financing⁵ and direct donor execution faced criticism for being overly time limited, fragmented and driven largely by donor interest, thus resulting in diminished aid effectiveness as well as a lack of national ownership and capacity development (Barakat, 2009).

1.3.2 Types of MDTFs

MDTFs have come primarily in two forms: geographical and thematic. In terms of geographical areas, the funds have primarily been used in two specific contexts. The first is post-conflict countries such as the occupied Palestinian Territories, Bosnia, Kosovo, East Timor, Afghanistan, Sudan, and Iraq. The second category is post-disaster areas, such as Indonesia, Haiti and Pakistan. However, as both conflict and natural disasters are not mutually exclusive, some MDTFs have been employed in contexts that have suffered from both, as in the case of Aceh and Nias following the 2004 Indian Ocean tsunami and nearly three decades of conflict. MDTFs have also been used to deal with thematic issues such as increasing awareness and treatment of HIV/AIDS throughout the world, Disarmament, Demobilisation and Reintegration (DDR) programmes in the African Great Lakes, and the UNDP-managed Law and Order Trust Fund for Afghanistan that financed police salaries and equipment. These contexts are also often high risk, both in terms of investments and security, which increases the information transfer costs.

1.3.3 MDTF capacity as an aid modality

MDTFs have been presented as an aid modality which can be deployed quickly and effectively and offers benefits for donors and national stakeholders. Importantly, it has been suggested that they have the potential to positively improve aid effectiveness and thus fulfil many of the OECD Development Assistance Committee (DAC) Principles for Good International Engagement in Fragile States (OECD, 2007b). In particular, they have the potential to (i) focus on state building as the central objective; (ii) recognise the links between political, security and development objectives; (iii) align with local priorities in different ways in different contexts; (iv) agree on practical co-ordination mechanisms between international actors; and (v) respond quickly, but remain engaged for a long enough period to be successful in reaching objectives (DFID, 2010b: 5).

The direct transfer of funds to trusted regimes has become increasingly less viable with instability and corruption seen as rife within developing nations. However, despite this

⁵ Channel financing refers to short-term lending which uses qualified receivables as collateral. For example, a financial services institution will establish lines of credit for a client and fund it within set limits for supplies to a vendor.

Co-financing involves a collaborative effort between public institutions, such as the World Bank and the European Bank for Reconstruction and Development (EBRD), and the private sector in the provision of development aid funds, which often comes in the form of small loans to the private sector.

fact, state building and national ownership have increasingly become a priority for MDTFs. Schiavo-Campo (2003:1) stresses the role that funding mechanisms can play in this post-crisis state building, when he says,

post-conflict reconstruction is first and foremost an institutional challenge. Hence, the first lesson of experience for aid in post-conflict situations is the imperative of assuring robust linkages between the aid and the rebuilding of local institutions, and the core challenge is the balancing of immediate reconstruction priorities with long-term institutional development.

Post-crisis environments are often characterized by unmet needs of local populations and weak governance structures, including a lack of political will and capacity, all of which can be factors in determining the type of aid modality chosen for a particular context (Scanteam, 2007). Some evaluations of MDTFs show that they can improve resource efficiency and effectiveness by reducing transaction costs, particularly as they manage the high-risk levels inherent in these post-crisis environments (Scanteam, 2007). Alongside this management of risk, they can be established rapidly and promote donor co-ordination, alignment and harmonisation.

For national partners, MDTFs can offer national ownership and capacity development. As previously stated, these benefits are central pillars of both the Paris Declaration on Aid Effectiveness and the DAC Pilot Principles for Engagement in Fragile States. Since MDTFs are said to increase recipient government capacity, there has been a proliferation in their use in primarily in post-conflict and disaster-affected contexts. Ball (2007) suggests that MDTFs offer national ownership of post-conflict recovery efforts, mobilisation of resources around a prioritised national recovery plan, accountable use of resources delivered on-budget, and broad national participation in recovery efforts through the inclusion of non-governmental civil society actors. She also asserts that the funds offer predictability and flexibility of financing and, finally, donor co-ordination and reduced transaction costs for governments (Ball, 2007). The World Bank's involvement in MDTFs can also reopen the door to countries that have not been eligible for Bank support (such as Sudan), helping governments to address arrears and thus assisting them in becoming eligible for ODA once again. Trust funds also tend to finance projects which would otherwise be hard pressed to attract significant financing from a single donor, such as the National Solidarity Programme (NSP) in Afghanistan (Riddle, 2008). In addition, MDTFs can improve accountability and increase financial capital through investment income when managed effectively (Barakat, 2009).

However, MDTFs have also recently come under significant criticism from academics, policy makers, and practitioners on several points. In principal, channelling funds through a single modality can streamline the funding process, thereby making it more efficient; in practice, many of these hypothetical benefits have not come to fruition, as MDTFs have not always translated to improved, high-impact funding practices. In an ideal world, an MDTF would be a nationally administered fund, which would significantly maximise the opportunities for achieving all of the promised benefits and for increasing dramatically the effectiveness of aid. In reality, donors are often unwilling to give national governments significant responsibility for managing resources until their financial management systems have been strengthened and it is clear that they are able to manage such funds in an effective and accountable manner. This is particularly true in fragile, post-crisis states, where MDTFs are most frequently implemented. Government institutions are typically weak and sometimes non-existent; therefore it is impossible to

rely on recipient governments to be strong partners in the management and prioritisation of funding.

MDTFs have also been commonly criticised for the slow disbursement of funds, unrealistic or overly bureaucratic designs and complex disbursement procedures, as well as for shortened timeframes, both for project implementation and length of life of the fund. This latter factor is often three to five years - a length of time deemed too short for significant impact to occur (Leader and Colenso, 2005; Barakat, 2009). Another common critique of MDTFs is their inadequate support for local capacity building, as some have been slow to turn over management of activities to recipient governments. Since support to development projects must be approved by the MDTF Steering Committee, the approval process can lead to a potential risk for conflict of interest and by-pass national priorities, agencies, and stakeholders, which can also lead to a slow transfer of responsibilities back to government. Additionally, fund management structures can be insufficiently inclusive of non-World Bank and non-UN agencies, leading to potential conflicts of interest.

The primary problems plaguing MDTFs have been attributed to: (i) the regulations and operational procedures of the two main pooled financing administrators, the World Bank and UNDP; (ii) unrealistic expectations on the part of donors, governments and fund administrators about what pooled funding can deliver in specific timeframes; (iii) the exigencies of post-conflict environments; (iv) the failure of donors to provide adequate oversight and political support to pooled financing mechanisms; and (v) the preference of donors for allocating resources bilaterally outside trust funds and/or earmarking contributions to trust funds, encouraged by active solicitation of resources by UN agencies and international NGOs (Ball, 2007).

1.4 Research background

Since the mid-1990s, there has been a major research effort into aid effectiveness by academics around the world, while at the same time there has also been a major rethinking of practices by donor agencies in the endeavour to reach greater aid efficiency. Combined, these two factors mean that aid has been placed in the spotlight as never before, as donor governments, the public in donor countries, international organisations, and national stakeholders seek greater accountability and effectiveness within the aid system (OECD, 2007a). The effectiveness of aid in reducing poverty has recently come under increasing scrutiny, with numerous critics claiming that it can do more harm than good, and that the aid system needs to be drastically reformed (de Renzio, 2007). MDTFs are a central part of this drive for greater aid effectiveness and, as has been described, they have been increasingly used as a preferred aid modality due to the benefits that they can provide, particularly related to donor harmonisation and increasing country ownership and capacity.

Despite the proliferation of their use, a corresponding increase in the literature relating to the impact of MDTFs is lacking. In view of the huge amount of resources, both human and financial, being channelled through this particular aid mechanism, and the increasing efforts by the international community to investigate the efficiency and effectiveness of aid financing structures, the need to explore the impact that MDTFs have had on aid effectiveness is greater than ever (Scanteam, 2007). DFID, in particular, has been concerned with the impact and effectiveness of its development assistance and has been working to better understand how aid can be increased and improved, particularly in fragile countries. It also seeks to learn more about which aid instruments offer promise for meeting immediate needs, supporting pro-poor political reform, and developing

sustainable systems for delivering services and social protection (Leader and Colenso, 2005). Taking these priorities into consideration, this systematic review engages in an assessment of the literature on MDTFs with the goal of bringing much-needed attention to this disparate field of research. It is hoped that the results of this review will provide practitioners, policy makers and other users with rigorous evidence into the impact that MDTFs have had on aid effectiveness, and thus potentially contributing positively to the policy formulation and implementation processes.

1.4.1 The state of MDTF-specific research

The Review Team found no other systematic reviews on MDTFs. While this is not unexpected due to the relatively recent use of systematic reviews in the social sciences, there is also a paucity of academic literature or independent reports on this topic. This is a surprising finding, considering the increasing and widespread use of MDTFs and the staggering number of funds and the amount of money channelled through them. Documents written on the subject primarily come in the form of ‘grey literature’, which includes papers, reports, technical notes or other documents produced and published by government agencies, research institutions, and other groups. Many of these documents are difficult to locate and obtain. Due to the lack of evidence-based, scientifically rigorous and empirically sound studies conducted in the area of MDTFs and their impact, documents from the ‘grey literature’ formed the significant majority of the included studies. Of these, most documents that we reviewed were in the form of reports conducted by independent evaluators on behalf of fund managers such as the UN and the World Bank (UNDP, n.d.; World Bank, 2004). These reports are primarily fund assessments and evaluations which are produced to present an overview of the functioning, successes and failures, and future plans of specific funds and their projects, rather than a detailed analysis of the funds’ overall impact, especially within the framework of aid effectiveness.

While the results of the study search showed that most of the current knowledge on MDTFs is derived from the ‘grey literature’, only a limited number of reports and studies made it into the final review because: (i) these types of documents are widely recognised to be a weaker data source due to their increased potential for bias; (ii) they lacked methodological rigour; and (iii) their scope and focus often proved to be irrelevant for this review. Many of these reports were written with an emphasis on the progress of projects funded by the MDTFs, rather than how the MDTFs as a complete mechanism had performed. This more ‘outcome-orientated’ view sees aid as effective when it achieves broad thematic or more specific success, following measures of international agreements such as the Paris Declaration (OECD, 2007a). While this ‘outcome orientated’ perspective is of some use, this review adopted a more process-orientated understanding and evaluation of aid effectiveness, which focused much more on how the funding modality itself had performed, rather than on the performance of projects financed through the fund (Hansen and Tarp, 2000). The lack of studies on the performance of a fund as a whole, rather than the projects it supports indicates that this is an area for further study.

The review also includes a very limited number of academic reports, because the study search showed that there had been very little academic work conducted on MDTFs. Search results indicated that independent assessments of MDTFs conducted on behalf of fund administrators were the best source of information and analysis available on the subject. Of particular note are the multiple evaluations conducted by Scanteam, resulting in several methodologically and academically rigorous reports into the impact of a number of individual MDTFs. The organisation’s *Review of Post-Crisis Multi-Donor Trust Funds* has

proved to be an invaluable document, not just for this systematic review; it has also been widely cited in other documents (Scanteam, 2007).

In summary, the research background for MDTFs is relatively undeveloped and mixed in terms of quality of sources and reliability of data. While this presented a unique challenge for this review, it also provided the Review Team with the opportunity to produce one of the first reports examining a comparatively under-developed area of research.

1.5 Objectives

The overall objective of this systematic review is to present the best available evidence related to the effectiveness of MDTFs in a clear and concise framework informed by the commonly accepted principles of aid effectiveness outlined in the Paris Declaration. The review's specific objective is to determine what impact, if any, these funds have had on the effectiveness of aid, while presenting examples of best practice so as to better inform policy makers and practitioners involved in determining the future strategy of MDTFs.

2. Methods used in the review

This section details the methods utilised by the Review Team during the systematic review, including the type and level of user involvement in the information gathering process, the study search and synthesis methods, and the process by which the Review Team reached its conclusions regarding the impact that multi-donor trust funds have had on aid effectiveness. These methods were previously established in the systematic review protocol, which was approved by DFID's Research and Evidence Division after a review by DFID staff members in other departments, as well as systematic review experts from the EPPI-Centre. There were several points at which the search methodology had to be adapted to restrictions posed by limited search tools on numerous individual websites and, likewise, the synthesis methodology was adjusted because the types of documents and reports that were part of the final data set lent themselves to synthesis through a narrative framework.

2.1 User involvement

One of the main objectives of this systematic review is to provide practical advice for policy makers within DFID about the usefulness of multi-donor trust funds, a funding modality to which the British government is one of the major donors. In order to achieve this end, users from within DFID's staff and MDTF administrative agencies, as well as researchers and consultants - all of whom were knowledgeable in the implementation and/or evaluation of multi-donor trust funds and could thus provide invaluable and more nuanced background information regarding their usefulness - were identified early in the study search process. DFID staff members in departments directly involved with the financing or implementation of MDTFs were also involved in the initial dissemination of the Review Team's preliminary findings and provided feedback which informed the direction and scope of the final report. A full list of the identified users, organised by category, can be found at Appendix 2.1.

2.1.1 Approach and rationale

There were two approaches by which the appropriate users were identified:

1. The DFID Research and Evidence team identified staff members within DFID's structure who were knowledgeable of the issues surrounding MTDFs, worked with those agencies who serve as fund administrators, or whose work would be affected by policy changes related to the financing of MTDFs. These staff members provided internal documents and evaluation reports to the Review Team during the initial study search period and, as indicated above, provided feedback on the initial findings during a project briefing at DFID's offices prior to the drafting of the final report.
2. During the initial study search period, organisations and individual consultants were identified through the results from Google and Google Scholar searches. Authors and organisations whose names appeared on evaluation reports were also included. The administrative staff for the two largest fund administrative agencies—the World Bank and UNDP—were also identified from the organisation's website to the extent possible. (It should be noted that while UNDP's MDTF website provides a list of its entire staff involved in MDTF administration from the headquarters in New

York to individual MDTF offices throughout the world, the World Bank's MDTF staff directory is rather limited.) A table of all of the users identified through this means was created and each person was contacted, initially via e-mail. They were asked if they would be willing to share their knowledge of MDTF implementation and impact, as well as other relevant information that might not be readily available on their organisation's website. Not all users responded to the initial enquiries and the Review Team found that independent consultants and organisations that had conducted MDTF evaluations were more willing to share their experience than the staff of fund administrators. The exception was the UNDP-administered MDTF in the Democratic Republic of the Congo (DRC), whose staff were very willing to answer questions and provide information. Among the independent research institutions, the Scanteam staff was particularly helpful in that they readily shared their general knowledge of MDTFs and provided the contact details of a World Bank staff member who was subsequently able to provide a yet-unpublished report whose bibliography contained documents that were relevant to the systematic review.

2.2 Identifying and describing studies

2.2.1 *Defining relevant studies: inclusion and exclusion criteria*

The goal of the initial study search was to identify all studies which were thematically focused upon MDTFs or which included a significant focus upon MDTFs within the scope of aid financing or aid effectiveness and impact. Additional criteria were then applied to these studies to ensure that the final data set included only the most relevant, analytical and methodologically rigorous studies and evaluations. This was particularly important, as this research topic has not been extensively studied by academics or independent researchers; thus, as explained in Section 1.4.1, the search results contained an overwhelming majority of documents from the 'grey literature' - reports issued by fund administrators, donors, and recipient governments. Relying solely on these types of documents, which could be biased in favour of the positive impact of MDTFs, would, in turn, introduce bias and false positives into the results of the systematic review. Therefore, careful consideration of the reports to be included in the review following specific inclusion and exclusion criteria was paramount. The criteria were defined as follows:

Relevance - While numerous documents and studies returned by the searches referred to MDTFs, very few focused primarily on trust funds. As such, only studies were included which either (a) included a primary focus upon trust funds or (b) examined trust funds as part of a review of aid financing options. Documents with only a minor focus upon MDTFs were excluded.

Document type - Documents included in the study search consisted of articles, reports, chapters, books or other professional publications. Book reviews, news articles and routine (non-analytical) compliance reports from MDTFs and their administrative agents were excluded, although independent evaluation and assessment reports conducted for donors or practitioner organisations (including MDTFs and/or their steering boards) were included. Annual reports from fund administrators that went beyond mere description of MDTF activities to provide particularly relevant analysis of the general trends relating to MDTFs were also included.

Methodology - Relevant documents were also assessed according to the relevance, appropriateness and robustness of their methodological approach. All included studies required a significant level of original research or highly structured review methods (e.g., previous systematic reviews related to aid financing or a thorough field research methodology that combined a variety of methodologies). Studies that provided general commentaries or perception-based assessments of MDTFs were excluded. Studies which (a) lacked a stated methodology and/or (b) failed to present sources of data upon which findings were based were automatically excluded. However, the credibility of the various methodologies included in the study was noted and taken into consideration in the analysis. All of the studies which comprised the final set of documents included outcomes that were specifically relevant to one or more of the tenets of aid effectiveness used as the analytical framework for this systematic review.

Language - Only those studies available in English were included. While an argument could be made that including only English language studies in the systematic review introduced bias, there were no funds or time available for translation of documents, thus it seemed unnecessary for the study search to include documents which the Review Team was unable to read.

2.2.2 Identification of potential studies: search strategy

The first stage of the search strategy was the formulation of precise and appropriate search terms which attempted to balance sensitivity and specificity in order to uncover relevant studies (Rothstein *et al.*, 2005). Following systematic review methodology, the terms were divided into three key concepts that mirrored the main themes of the research question: trust fund, aid effectiveness, and impact. Electronic searches of bibliographic databases were conducted on the key concepts and then combined, while the individual organisation and general website searches had to be tailored to match the limited search capacities of these types of websites. When the search had to be modified for the hand searches, the Review Team sought guidance from the staff at the EPPI-Centre and University of York Library, who are knowledgeable in systematic review search methodology. The search terms were structured thus:

Trust fund terms: multi-donor trust fund, MDTF OR MDTFs, trust fund, aid modality or modalities, development assistance fund, multi-donor, aid pools, pooled funding, donor, development funding, multinational aid, cross-national aid, bilateral donor, development strategies, donor fractionalization, international assistance fund, international aid fund, intervention

Aid effectiveness terms: aid effectiveness, development effectiveness, effective aid, ownership, alignment, harmonisation, accountability, co-ordination, collaboration, results, increased effectiveness, international development OR aid OR assistance, Paris Declaration, Accra Agenda OR Accord

Aid impact terms: aid impact OR impact of aid, evaluation, comparison study, controlled, randomize, randomly, impact, benefit, disadvantage, impact, outcome, effect, effects, performance, assessment, review, study, progress, improvement

Truncation was used as necessary to cover different word formats.

The study search strategy included searches of the following sources: (i) bibliographic databases; (ii) citation searches of key authors and papers; (iii) reference lists of key papers; (iv) hand searches of journal and fund administrator websites; and (v) searches of general electronic databases, including Google and Google Scholar. Documents were also requested from individuals identified in Appendix 2.1.

Prior to the study search, a database was set up on EPPI-Reviewer 4.0 to organise the search results and the coding of studies. A separate search log/diary was created in which each conducted search was recorded, with detailed information that included the researcher, date and time, database searched, the number of search results, and the date the results were uploaded to the EPPI-Reviewer database.⁶ The titles and abstracts from the results of the bibliographic database searches were imported directly into the EPPI-Reviewer database, while the search results from individual databases and hand searches were entered manually.

Table 2.1: Databases by type of search

Bibliographic databases - electronic searches	Organisation websites or general databases - hand searches
<ul style="list-style-type: none"> • PAIS International • ELDIS • Applied Social Sciences Index and Abstracts (ASSIA) - covering 650 social science journals • International Bibliography of the Social Sciences (IBSS) • EconLit 	<ul style="list-style-type: none"> • The World Bank/International Monetary Fund (via the JOLIS database) • The Organisation for Economic Cooperation and Development (OECD) • The United Nations Development Programme's MDTF site • DFID's Research4Development site • The Overseas Development Institute (ODI) • ALNAP • The Institute of Development Studies (via BLDS) • The Centre for Global Development (CGD) • Google and Google Scholar

2.2.3 Screening studies: applying inclusion and exclusion criteria

Once the search results were imported into the EPPI-Reviewer database, the Review Team applied the inclusion and exclusion criteria first to the titles and abstracts, then to the

⁶ This search log/diary is attached to this report as Appendix 2.2

full reports, and those that did not meet the initial criteria were excluded. At each stage of the inclusion/exclusion process, the individual document entry in the EPPI-Reviewer database was coded appropriately; the document was organised in a folder system for easy identification.

2.2.4 Characterising included studies

Each included study was assigned to a specific member of the Review Team and was summarised by employing the Study Characterisation and Quality Appraisal Tool (Appendix 2.3). (It should be noted that ‘summary’, for the purpose of this review, did not refer to the compilation of an abstract (which already existed in most cases), but involved a checklist approach that assessed the study in relation to the criteria established by the Review Team.)

The Study Characterisation and Quality Appraisal Tool was a two-part checklist. The first section—Study Characterisation—consisted of basic demographic information, such as the study title, author, source, date, study context, outcomes, and conclusions. The second portion, the Quality Appraisal Tool, was designed to allow the Review Team to assess the methodological rigour of the study. The nature of the methodology, sample size, data sources and analytical approach were all considered. During the assessment process, attention was paid to potential biases in the studies, specifically study origins, possible data weaknesses and difficulty in impact attribution. This checklist summary was initially completed by the assigned Review Team member, but then validated and modified through discussion with a second Review Team member if discrepancies or disagreements existed. Based on this assessment, studies were categorised according to their type and rigour, and the assessment outcomes were incorporated within the coding folder structure of the EPPI-Reviewer database. Additionally, since the individual characteristics of interventions varied widely, as part of the summary process, the multi-donor trust funds reviewed in the summarised studies were also classified utilising the Intervention Classification Checklist (Appendix 2.4).

2.2.5 Identifying and describing studies: quality assurance process

As previously stated, the studies were equally divided between two Review Team researchers for review, summary, and assessment; however, studies which, to the assigned individual reviewer, did not appear to fall clearly within the scope of the inclusion and exclusion criteria were brought to the attention of a second Review Team member. The final exclusion/inclusion decision was made consensually following a period of discussion. There were no reports for which a final decision could not be made through this collaborative process.

2.3 Methods for synthesis

2.3.1 Assessing the quality of studies

The quality of studies was assessed by considering the appropriateness of the methodological approach, the sample size and sampling method, the objectivity of the researchers and the analytical approach. The majority of studies relied upon a mixed-methods methodology, which included: a desk review; interviews with stakeholders at the fund administrator headquarters; interviews in the field with a variety of stakeholders, including recipient government officials, fund administrator field staff and beneficiaries of projects funded with MDTF funds; and field project evaluations. The following aspects were considered within the quality assessment process: the purpose and origins of each study; the credibility and robustness of the data and the ability to attribute impact (e.g.,

to MDTFs or other aid modalities); the length of time allotted for field visits; and the degree to which the definition of aid effectiveness was employed.

Although attribution of impact is crucial for proper impact evaluations, the methodologies of the included studies did not include discussions of how they assessed impact - indeed, all of the included studies failed to provide an extensive description of their employed methodologies. Instead, the studies' methodology sections were typically limited to a few sentences or a short paragraph stating that the evaluation relied upon a desk review, interviews with fund managers and other stakeholders, and focus groups with beneficiaries of projects funded by the fund. A rigorous assessment of impact would have examined outcomes both before and after the fund was implemented, or compared MDTF outcomes with outcomes of other funding modalities; however, the vast majority of studies, if they employed these methodologies, did not specify it. While studies stated that interviews with stakeholders were conducted, complete lists of interviewees were usually not provided; rather, reports indicated only that they interviewed fund manager staff members, national government officials or local stakeholders. A list of interview questions or a short description of the types of questions asked during interviews was not included in any of the studies; therefore it is not possible to determine if they queried respondents on outcomes before and after MDTF implementation. Due to the lack of information provide in the studies, it was not possible to include in this report a useful examination of impact attribution. Indeed, the lack of a thorough account of a study's methodology and the means by which it ascribed impact appear to be fundamental weaknesses of evaluations in this sector. This is not to say that the studies did not utilise rigorous and appropriate methodologies or did not properly attribute impact, merely that the information regarding methodology provided in the studies was extremely limited or non-existent.

Despite these challenges, the Review Team systematically assessed the studies' quality through the use of the Study Characterisation and Quality Appraisal Tool and the Study Classification Tool (Appendices 2.3 and 2.5), which listed the study's demographic data in an easily compiled and analysed format. Throughout the analysis, appropriate emphasis was given to the studies that were more methodologically robust, with the results tabulated in a way that demonstrated the methodological robustness of each study. Of particular importance to the quality assessment process was marking the distinction between studies whose main purpose was an assessment of outcomes of projects funded by MDTFs, rather than an evaluation of the impact or effectiveness of MDTFs as a funding mechanism. While the effectiveness of the programmes and projects supported by an MDTF is an important factor in the overall impact of a fund, there are other features of this aid mechanism which influence its impact on aid effectiveness. Some of these widely unexamined aspects include the level to which recipient government actors are actively involved in a fund's decision-making process, the degree to which the fund supports the capacity development of the recipient country and local civil society organisations, and a fund's governance and quality assurance mechanisms, to name a few. Many of the studies that were excluded from the final set of reports focused solely on specific project evaluations, an approach which was not particularly relevant to this review within the framework of the Paris Declaration tenets.

2.3.2 Overall approach to and process of synthesis

Based on the reviewers' existing awareness of the literature, it was initially presumed - and the study search results confirmed - that the scientifically rigorous quantitative or structured qualitative data that are characteristic of systematic reviews conducted in the

health or medical field were likely to be rare within these studies. Narrative examples and case studies were the most common types of research methodologies and provided the core data for study comparison. The Review Team sought ways to include a more quantitative evaluation and comparison of the final studies, but due to the type of evidence and data found in the studies included in the final review, the synthesis process relied primarily on narrative analysis, using the framework of the Paris Declaration tenets of aid effectiveness.

There are two challenges to data synthesis which should be noted. First, the studies examined MDTFs operating across a variety of sectors, including culture, climate, education, health, peacebuilding and post-disaster reconstruction, making it difficult to establish common measures of success or impact. Assessing MDTF impact on aid effectiveness in sectors like culture, social cohesion or peacebuilding, in which outcomes are more difficult to define and quantify, proved more complicated than in sectors such as demining or health, where benchmarks were more concrete and measureable; however, it was not impossible - the Darfur Community Peace and Stability Fund evaluation report provided a good example of how this could be accomplished. The report focused on the overall activities of the fund from the perspective of the aid effectiveness tenets, rather than relying solely on an examination of individual project outputs as an assessment of impact. This level of evaluation is fundamental to cross-sector analysis, given the fact that comparing the impact of individual project outputs between disparate sectors such as culture and health in completely different contexts would be a complicated, nearly impossible task. Unfortunately, this type of evaluation was the exception, making it difficult for the Review Team to establish a common, quantifiable assessment of impact.

Additionally, global MDTFs which support activities in multiple country contexts had varying levels of impact in each location where they operated, which complicated the Review Team's ability to quantify their overall impact. A good example of this contextual disparity is the Common Humanitarian Fund (CHF), which operates in South Sudan and the DRC. The fund has different operating procedures and mission focus in its two locations and evaluations have attributed differing levels of impact in both (Willitts-King *et al.*, 2007). The CHF highlights the error of assuming that because a global fund works well in one context, it functions equally well in another. It also shows the difficulty in attributing overall impact to a global fund due to the challenges of generalising information taken from multiple and wildly varied country contexts.

2.3.3 Selection of studies for synthesis

All studies which were relevant and which met the minimum methodological requirements described in Section 2.3.1 were included in the final data set. There were some reports that met the methodological and analytical inclusion criteria; however, because they provided a macro-level analysis and did not review or evaluate specific MDTFs, they did not lend themselves to comparative synthesis and were excluded from the final review.

2.3.4 Selection of outcome data for synthesis

While a set of outcome categories or criteria were identified through the study and intervention assessment process, applicable outcome data not necessarily part of the assessment tools was also included in the review. The data emerging from the methodologically most rigorous studies, particularly those that considered multiple MDTFs from a comparative perspective or employed particularly rigorous research strategies, were given a greater emphasis during the synthesis process.

2.3.5 Process used to combine/synthesise data

The synthesis method employed by the Review Team combined a rudimentary process of elucidating the underlying theory of change/causality surrounding MDTFs before turning to a process of theory testing and building. Data from the included studies was synthesised according to a framework derived from the tenets of aid effectiveness of the Paris Declaration: ownership, alignment, harmonisation, managing for results and mutual accountability. In addition to these themes, factors relating to study context were also considered, particularly whether the MDTF was country-specific or thematic/global in its scope or whether the MDTF addressed by the study was created to address post-conflict reconstruction needs, to respond to a specific catastrophic natural disaster, or to react to a more long-term and far-reaching crisis that impacted on both stable and fragile environments.

2.4 Deriving conclusions and implications

As a systematic review, the authors derived conclusions strictly based upon the included studies and not from prior knowledge or personal perspectives on the impact of MDTFs or aid effectiveness. The information received from identified users informed the background section of this report and the conclusion and recommendation section at the end of this report includes a discussion section which will consider the implications of the review for policy and practice. However, employing the Paris Declaration tenet-based framework described above, the Review Team mapped out each individual study and, through collaborative discussion and evaluation, derived conclusions and drew policy implications that will be discussed in the last section of this report.

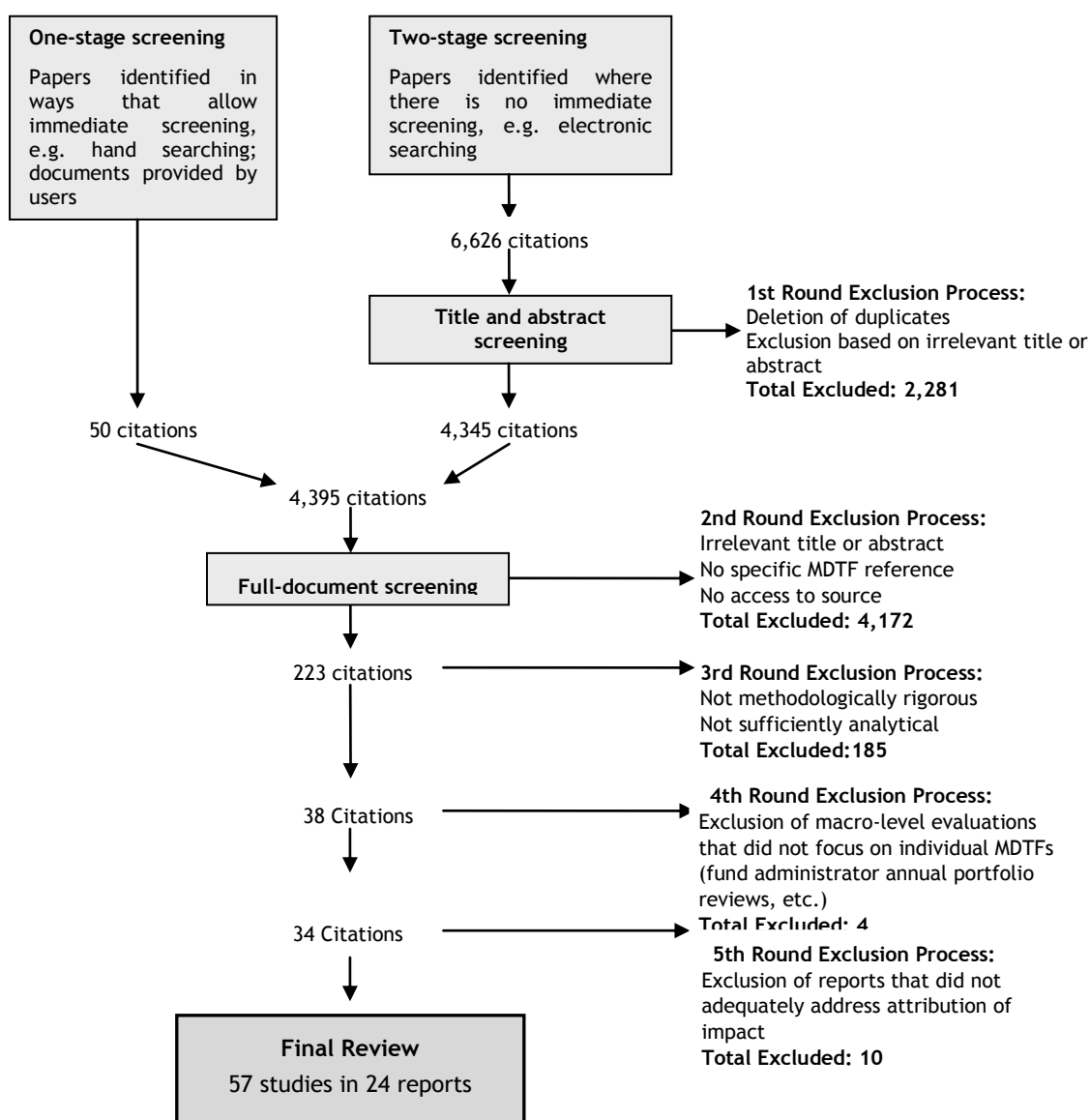
3. Search results

This section reviews the process of searching, screening and systematic mapping of studies, and describes how the final 24 studies were ultimately selected for synthesis.

3.1 Studies included through searching and screening

A total of 6,676 documents were identified as a result of the search strategy described in Chapter 2. Figure 3.1 gives a detailed graphic explanation of the inclusion/exclusion screening process through each stage of the review. A multi-stage screening process was used when electronic searches of bibliographic databases returned 6,626 results that were not easily identified as relevant. The first step of the exclusion process included deleting duplicate citations and excluding documents based on a title or abstract that was easily identifiable as irrelevant to the review, whereby a total of 2,281 documents were excluded. After the first round of exclusion screening, 4,395 documents remained.

Figure 3.1: Filtering of papers from searching to mapping to synthesis



During the next stage of the process, the Review Team conducted a full document screening, which excluded 4,172 citations because, upon closer examination, their title or abstract proved to be irrelevant, the document contained no references to MDTFs, or the full document was unavailable. After the full document screening, 223 documents remained for the third exclusion round, where they were further examined and those that were found not to be sufficiently methodologically rigorous or were not analytical in nature were excluded. At the end of this process, 38 documents remained. Of these documents, only 34 of them analysed specific MDTFs; the other four documents, while methodologically sound and/or sufficiently analytical, either discussed entire fund administering agencies' portfolios or macro-level multilateral aid and did not go into detail regarding individual MDTFs, thus making it difficult to include their information in the analytical framework utilised during the synthesis process. Finally, an additional evaluation of the remaining 34 documents was conducted specifically to identify reports that did not adequately address the attribution of impact, and a further 10 studies were excluded. The final result of the screening process was that 57 studies in 24 reports were included in the final data set.

Further to these key included studies, 153 of the excluded documents, including the four 'macro-level' reports identified above, contained useful background information, and were specifically coded in the EPPI-Reviewer database for easy access to the relevant information by the Review Team or DFID policy team at a later date.⁷ The information provided by these documents was incorporated into the 'Background' and 'Conclusions and Recommendations' sections of this report.

During the screening process, several steps were taken to minimise researcher bias and error. First, the Review Team utilised the EPPI-Centre's EPPI-Reviewer, a specialist web-based systematic review software to manage our bibliographic references and record the searching, selection and coding processes (Thomas et al., 2010). The Review Team also frequently liaised with EPPI-Centre and University of York Library staff throughout the review when questions arose regarding systematic review methodology, search terms and strategy and quality assurance.

3.2 Details of included studies⁸

The final data set for the review included 24 documents, 18 of which were independent evaluations, many of them conducted on behalf of fund managers, 4 were studies or reports issued by fund managers, 1 was an academic refereed articles, and 1 was a report issued by a donor (see Figure 3.2a).

The 24 documents included 57 studies of 37 individual MDTFs.⁹ Of these 37 MDTFs, the World Bank managed 14 and the United Nations and its agencies managed 13.. The UN and World Bank also managed one MDTF jointly - the first of its kind for the joint administrative structure. Four MDTFs were administered by bilateral donors, and another

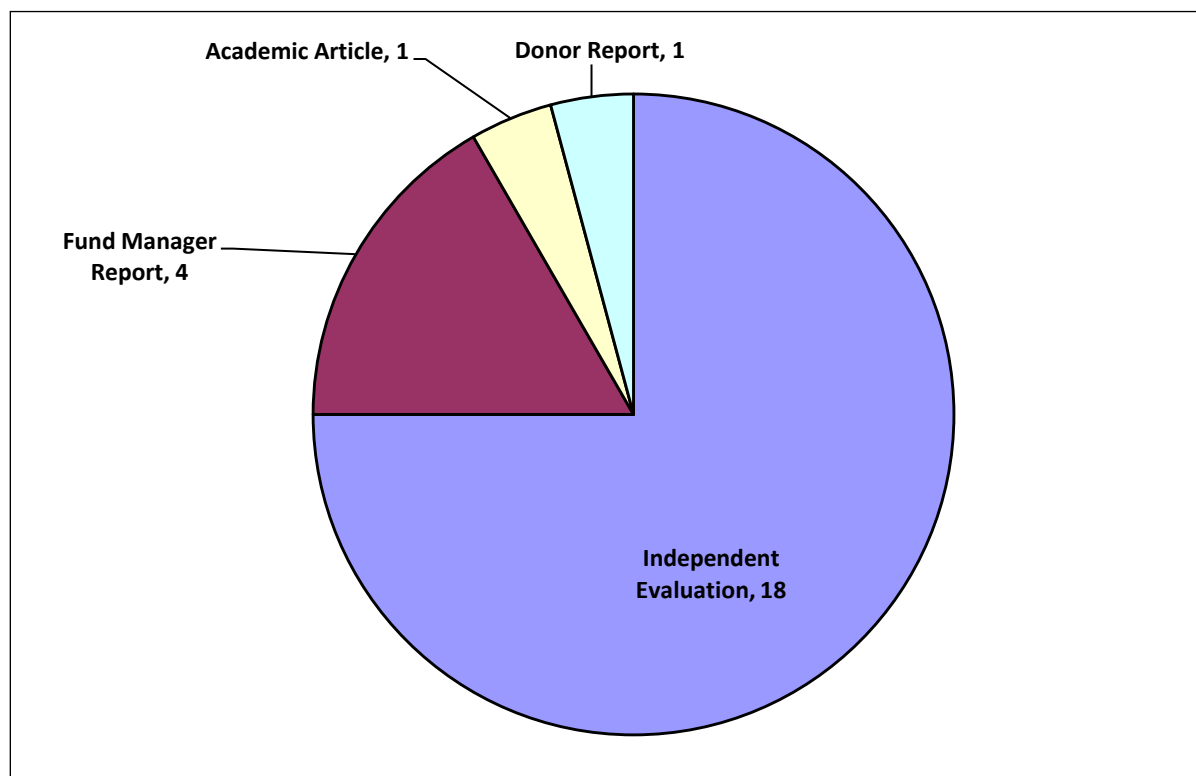
⁷ A list of the documents identified to have useful background information can be found in Section 7.3.

⁸ Tables and graphs depicting all of the relevant details of included studies can be found at Appendix 3.1.

⁹ There were 37 different MDTFs examined in the reports that made up the final data set; however, some MDTFs were evaluated multiple times, particularly those in Afghanistan and Southern Sudan. Therefore, the total number of individual studies exceeds the number of MDTFs.

two were managed by private organisations, one in partnership with the United Nations Children's Fund (UNICEF).¹⁰

Figure 3.2a: Documents in Final Data Set by Type



Looking at MDTFs individually across the selected studies, ten of them were what would be considered global or thematic, meaning that they were designed to respond to a specific issue and have offices and projects in multiple countries around the globe. The thematic MDTFs included funds for climate, culture, DDR, development, education, health, and peacebuilding. The other 25 MDTFs were country- or region-specific, indicating that they were designed and implemented to respond to a particular need within a specific country or geographic region, while 2 of thematic MDTFs could be considered, for the purposes of this review, geographically specific because the studies examined their implementation only in specific African countries. The majority (N=14, %=51) of geographically targeted MDTFs were implemented in Africa, followed by Asia (N=7, %=26), the Middle East (N=5, %=19) and Europe (N=1, %=4). It is significant to note that none of the included studies involved geographically specific MDTFs in the Americas.¹¹

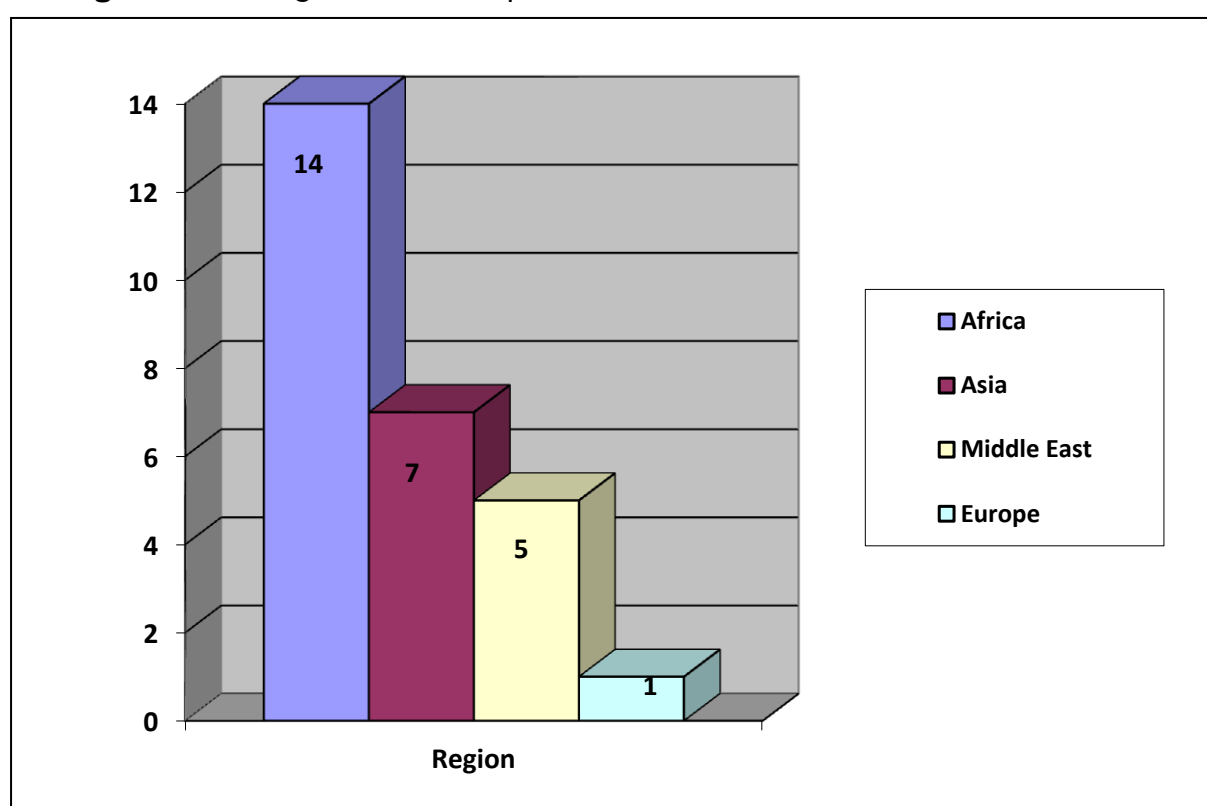
¹⁰ Not all of the reports identified the fund administering agency, thus, there are 10 studies where the fund administrator was unknown.

¹¹ This does not indicate that MDTFs and their projects do not operate in the Americas, only that reports did not meet the inclusion criteria for this review. However, a review of information available on the UN's MDTF Management website showed that the UN administered only one geographically specific MDTF operating in the Americas (UNDP, n.d.). This information was not readily available from the World Bank's website.

An overwhelming majority (N=30, %=81) of 37 MDTFs were implemented in what would be considered fragile, post-crisis environments. Of these, 27 were found in a post-conflict context and 3 were implemented in countries or regions that were dealing with both conflict and natural disasters.

The number and type of donors varied widely by MDTF. Some funds were only supported by a few donors, while others boasted nearly 50. Because of the number for each MDTF, most of the reports did not specifically list individual donors. However, 21 reports did provide the names of those countries or organisations that provided the majority of funds, most coming from the European Union. The UK was specifically mentioned as a top donor for 10 MDTFs included in this review a fact that was highlighted in 8 different reports, 5 of which were commissioned by the UK government.

Figure 3.2b: Region of MDTF implementation



The MDTFs also ranged widely in size, with the smallest - the Mindanao Trust Fund - Reconstruction and Development Fund - receiving only US \$8.3 million in funds, and the largest, the Multi-Donor Trust Fund of Southern Sudan (MDTF-SS) receiving \$4.5 billion of pledges. It is important to point out that the size of the fund does not necessarily indicate the level of need it addresses, but can be attributed to other factors, such as domestic and international politics, economic recession, media coverage and public awareness and support. These factors not only play a part in the size of the fund, but in the disparity between the amount of money pledged by donors and the amount that they actually contribute. For several of the MDTFs, donors pledged combined totals of billions of dollars, but then failed to meet the pledged amounts. Most of the reports did not examine the causes for the gap between pledged and received funds, but many of the included studies detailed the easily attributable negative impact that the failure of donor countries to commit their pledged funds can have on the operating capacity of the MDTF. For example, several of the studies on the MDTF in Southern Sudan highlighted how the fund

struggled to collect the astronomical amounts of pledged funds from the donors, while some of the same donors provided reliable and predictable funding to the MDTF in Iraq during roughly the same time period.

Finally, the evaluations of the MDTFs varied in the use of terminology and assessment of different aspects of the available financial information. For example, studies often reported different types of data or failed to include figures that other studies identified as important. Some evaluations relied on pledged funds as a benchmark for their analysis, while others documented only received funds, and still others reported both. Certain studies reported only a fund's total budget for a particular year, while others provided aggregate financial data for a decade or more. Due to the wide range of budgetary and financial data recorded by the studies, the Review Team found it difficult to conduct a useful comparative financial analysis of the funds.

4. Synthesis results

This section examines the synthesis process within the previously identified analytical framework and summarises the synthesis results, providing supporting statistical evidence.

4.1 Further details of studies included in the synthesis

As mentioned in Section 2.3.2, the methodology utilised for the synthesis process was dictated by the fact that the vast majority of the studies within the final data set were based on qualitative research, specifically narratives and case studies. Therefore, a narrative framework analysis based on the five principles of aid effectiveness was deemed the most appropriate method for synthesis.

When extracting data from the individual studies, particular attention was paid to information regarding the level of recipient government involvement in the design, implementation and day-to-day operations of MDTFs as an indicator of ownership. Likewise, information that showed the degree to which MDTF goals were consistent with recipient government national strategies was noted as relevant to alignment. Discussion of the extent to which donors collaborated within the structure of individual MDTFs was important for the assessment of the impact on harmonisation. The transparency and performance assessment frameworks established for each MDTF indicated the likely contribution that these aid modalities have had on results-oriented management. Finally, whether or not partner countries conducted mutual progress assessments was considered indicative of mutual accountability.

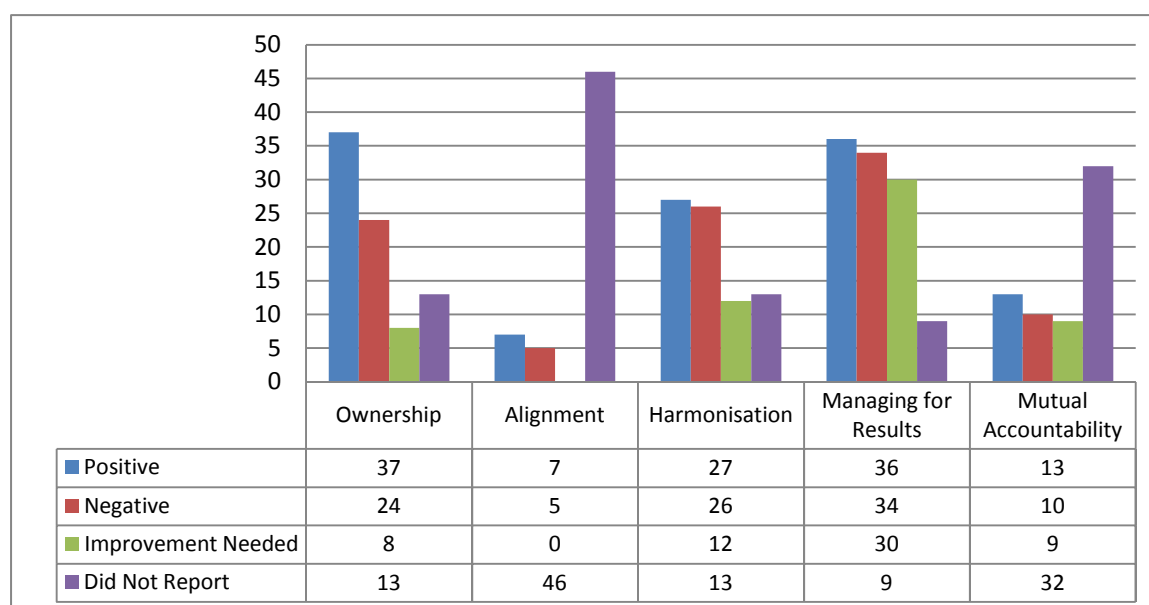
4.2 Synthesis of evidence¹²

As described above, the data was synthesised utilising a narrative framework analysis structured around the Paris Declaration's principles of aid effectiveness: ownership, alignment, harmonisation, managing for results, and mutual accountability. Not all reports provided information related to each key term and some reports indicated that there were weak casual links between MDTF activities and progress, or lack of it, within a particular sector. Additionally, reports did not make use of uniform definitions of each concept or apply the same measurements for success or failure. For the purposes of this review, if a study identified a particular outcome as positive or negative, it was recorded and synthesised as classified by the study, regardless if other studies measured the same outcome differently or interpreted the same result in a different way.

Additionally, as explained in Section 2.3.1, the vast majority of the studies did not describe the methodology utilised in assessing impact - they simply stated that the fund or its activities had a specific impact. While it can be inferred that this information was gleaned through the interviews and focus groups conducted during the evaluations, as they were the primary methodology employed, this was not explicitly stated. Detailed narrative information on the specific impacts assessed in each of the studies included in this review and described in the following sections can be found in Appendix 4.1.

Figure 4.1 provides the aggregate statistical results of the review within the five tenets of aid effectiveness. These statistics are the foundation upon which the synthesis is based.

¹² Tables depicting the details of the synthesis results, with description of each MDTF's impact on the individual aid effectiveness principles, can be found at Appendix 4.1.

Figure 4.1: Impact of MDTFs on aid effectiveness

Note: Many MDTFs had more than one characteristic in each category; hence the numbers add up to more than the total number of MDTFs studied.

4.2.1 MDTF impact on ownership

Ownership, as defined by the Paris Declaration, is measured by the existence of a national development operational strategy (OECD, n.d.). While a number of studies - specifically all studies that examined World Bank-administered MDTFs - stated that a requirement for MDTF operation was the formulation of a development strategy or a poverty reduction plan (PRP), most reports did not include this information. Because of the lack of information about the existence of recipient country-owned development strategies, this benchmark was not a meaningful measurement for ownership within the context of this review. Therefore, for the purposes of this review, a broader definition is accepted, namely, whether the recipient government has an active role in the MDTF design, implementation and day-to-day operations.

While not all of the studies that discussed government ownership examined each of the levels of government - national, regional, and local - six of the studies indicated that MDTFs can have varying impacts at different governmental levels, with two stating that while the MDTF had positive impacts on ownership at one level of government, it negatively impacted on ownership at another. Of the 57 studies, 37 indicated that MDTFs had made a positive impact on the level of government involvement with the MDTF, while 24 indicated that there had been a negative impact. One MDTF was specifically designed to limit the government's involvement in MDTF activities, as the main goal of the fund was stated to be the encouragement of a non-existent civil society structure that had been smothered by an oppressive national government. Another study indicated that the MDTF purposely avoided working with recipient governments, preferring to contract with NGOs from the donor country for project implementation activities. Two studies identified the recipient government's role as being very weak. Still other studies stated that even though the goal of the MDTF was to encourage recipient government ownership, and

operational strategies specified collaboration with relevant government ministries, either the role of the government was limited to that of an observer on the MDTF board, with little decision-making power, or the activities of its ministries with regard to fund distribution were usurped by the fund administrator. Eight studies highlighted the necessity of promoting local ownership in their recommendations. Finally, 13 studies did not mention the role of government involvement in fund activities at all.

4.2.2 MDTF impact on alignment

The Paris Declaration outlines eight specific indicators related to alignment (OECD, n.d.). Due to the lack of information available on many these indicators in the final data set, the review limited the definition of alignment to one: aid flows are aligned on national priorities - specifically the recipient countries' priorities, as often aid is tied or conditional based on the priorities of donor countries' national interests. Again, alignment was often noted as a goal of individual MDTFs; however, similarly to ownership, the results are mostly dismal, as this aspect of aid effectiveness remains underreported. Some countries, particularly those emerging from conflict, like Southern Sudan and Iraq, originally had no national development strategies to which the MDTF could align its activities, or the MDTF was established before a functioning government, therefore precluding alignment to priorities set by the recipient government. Nonetheless, the picture was not entirely bleak: some studies involving the MDTF in Southern Sudan indicated that although there was little or no alignment at the beginning of the fund, the level of alignment grew over the life of the fund. Some studies show that some funds, particularly global funds administered by the United Nations and its agencies, are structurally aligned to the Millennium Development Goals (MDGs) rather than recipient government strategies, which can be a particularly useful mechanism to compensate for the lack of national priorities set forth by the recipient government, a common occurrence in fragile states where MDTFs are primarily employed.

Seven studies stated that MDTFs had made progress towards enhancing alignment, five indicated that there was negative impact on this aspect of aid effectiveness, while no studies included measures to enhance alignment in their recommendations. In 46 studies, there was no discussion about the level of alignment in relation to MDTFs, making this the least examined aspect of aid effectiveness in the final data set.

4.2.3 MDTF impact on harmonisation

Harmonisation of efforts between donors, fund managers, and recipients is measured by the use of common arrangements or procedures and shared analysis (OECD, n.d.). It should be noted that there are several levels of harmonisation. It can occur between: donors; donors and fund administrators; fund administrators and the recipient government; donors and the recipient government; and/or all three of these. (For the purposes of this review, the definition has focused primarily on the harmonisation involving donors and fund administrators.) Ostensibly, MDTFs could be assumed to be more successful in this area than in the others, but the studies included in the final data set showed that the experience of partner harmonisation varies by context and organisational structure. Surprisingly, only 27 studies indicated that MDTFs had a positive impact on harmonisation, particularly within the donor group, while nearly an equal number - 26 studies - showed that they negatively affected harmonisation. Twelve studies included ways to enhance harmonisation in their recommendations, while only 13 studies failed to address the topic.

Of the five aspects of aid effectiveness examined in this review, harmonisation—along with ownership—boasted the second-highest number of studies reporting on the subject, indicating the importance evaluators placed on this concept. Studies involving the MDTF in Iraq and the Joint Donor Team in Southern Sudan specifically credited the multilateral structure with significant improvements in harmonisation amongst donors, although the general experience of MDTFs in Southern Sudan has demonstrated a low level of harmonisation at both the donor and recipient government levels. Such varying experiences within the same geographical area highlight the degree to which the level of donor harmonisation can differ from one MDTF to another, even in the same operating environment.

4.2.4 MDTF impact on managing for results

Managing for results is defined as aid implementation that is focused on desired results and utilises information for improved decision making; indicators for this component of aid effectiveness are a high level of transparency incorporated into the operational and governance structure of the MDTF and a clear monitoring and evaluation process that is followed (OECD, n.d.). This aspect is directed toward the fund's administration and operations, rather than external factors related to the recipients or donors. It speaks to how effective the governance structures are and is not directly dependent on the level of local capacity.

MDTFs, while often designed along the same organisational structure (particularly if they are administered by the same organisation), vary widely in the composition of their boards of directors, the level of stakeholder involvement, the governance and transparency mechanisms, and the reporting procedures established by the fund. One study, in particular, found that although the same evaluation mechanisms and reports were implemented across a global fund administered by UNDP, the quality and timeliness of the reporting varied by country, a finding that highlights the fact that the very best transparency and reporting procedures and instruments can be incorporated into the design of a fund, but if low capacity exists at the country-office level for implementation, the impact MDTFs can have on this aspect of aid effectiveness is minimal. Additionally, the majority of the studies described, in detail, the monitoring mechanisms and processes, yet failed to indicate or assess their impact, implying that their mere existence was sufficient for impact to be made. This 'check the box' approach to impact assessment for results management fails to fully examine the adequacy of efforts made in this area.

Of the studies in this review, 36 stated that MDTFs had a positive effect on managing for results, while 34 pinpointed negative effects. Additionally, it appears that evaluators have identified a need to improve this area, as over half of the studies (N = 30) included results management recommendations. This is clearly an area of importance for evaluators, as only nine studies did not examine this aspect of aid effectiveness, the lowest number in this category across the five aspects.

4.2.5 MDTF impact on mutual accountability

The Paris Declaration measures mutual accountability by the 'number of partner countries that undertake mutual assessments of progress in implementing agreed commitments' (OECD, n.d.). This is closely related to harmonisation, but expands the concept to include the involvement of recipient countries. As with 'Managing for Results', transparency is an important part of mutual accountability, with measures of public reporting by both the recipient government and fund administrators used as one of the indicators of good mutual accountability. These measures typically include the ease of access to fund

information and reports on the internet. Unfortunately, this aspect of aid effectiveness was not examined extensively by the studies included in this review: only 25 studies mentioned it at all, with 13 indicating that MDTFs had a positive impact on mutual accountability and 10 showing that they had negative effects. Another nine studies included ways to enhance mutual accountability in their recommendations.

4.3 Synthesis: quality assurance results

The Review Team members individually extracted the relevant data for the synthesis for their assigned documents, then shared their completed study classification and appraisal checklists with the other members of the team. The data was synthesised through the review of these checklists and the information was then organised on an Excel spreadsheet, which all team members utilised and updated. If there were questions or points of interest arising from the significance or interpretation of the data synthesis, the team came to an agreement through a collaborative discussion. The final synthesis results were discussed and deliberated by the entire Review Team.

4.4 Summary of the results of the synthesis

Based upon the framework of aid effectiveness definitions outlined in Section 4.2, the results of the synthesis are summarised as follows:

- If the number of studies that addressed the impact that MDTFs have had on the promotion of ownership is an indication, then they have made some progress in this area. Of the 44 studies that included an evaluation of MDTFs on ownership, 37 indicated that they had a positive effect, and only 24 demonstrated negative effects. There were eight studies that included recommendations for enhancing ownership, showing that there is room for improvement in this area.
- Given that only 11 of the 57 included studies directly discussed MDTF impact on alignment, extrapolating evidence to support the type of MDTF impact would be tenuous at best. Indeed, alignment was the least-examined aspect of aid effectiveness in the final data set. Seven of the 57 studies showed signs of positive impact, while five stated that MDTFs had negative impact on alignment. No studies offered recommendations for improvement for alignment, but many of the suggestions made to improve ownership are closely linked to alignment with national and local priorities and it could be argued that they would enhance alignment as well. What can be clearly concluded is that this area requires further examination.
- According to the results of the synthesis, MDTFs have a mixed track record when it comes to increasing harmonisation. Results indicate that there has been, again, minimal impact on harmonisation between recipients and donors or fund administering agencies, as only 27 of the 57 studies that examined this aspect of aid effectiveness showed progress on this point, while 26 indicated that MDTFs provided little or no positive effects. Additionally, 12 studies recommended ways to increase harmonisation. Seven of the 57 studies indicated that harmonisation was only achieved between donors, rather than between donors and fund administrators and/or recipient countries.
- As for managing for results - the design and implementation of transparency, governance, and reporting mechanisms - MDTFs historically have had a poor record, but studies demonstrate that they have improved over time. Governance structures are now being incorporated at the beginning stages of MDTF design and

implementation, and reporting is slowly becoming more regulated. However, there is still much room for improvement, as the results of the synthesis show: 34 studies stated that there were negative impacts on results management and 36 showed that improvement had been made. Thirty studies made recommendations on ways for future enhancement in this area, which indicates that this is a recognised need in this area that has been brought to the attention of stakeholders.

- Mutual accountability was the second-least examined indicator in the studies included in the final data set; therefore, the synthesis results in this area are inconclusive. Only 25 of 57 studies mentioned aspects of mutual accountability at all, with 13 studies indicating positive impact by MDTFs in this area, while another 10 showed negative impact. Nine studies included aspects of mutual accountability in their recommendations. This lack of evaluable data indicates either that this area is underdeveloped and merits further attention by fund administrators and donors, or it is merely under-evaluated. Regardless, further attention should be paid to ensuring that mutual accountability is part of the MTDf structure and evaluations.

5. Strengths and limitations

This section explores the various strengths and limitations of this systematic review. It also highlights some of the challenges encountered throughout the review period, considering two levels - the strengths and limitations of the systematic review methodology as a research approach for this topic, as well as those related to the included reports and studies.

5.1 Strengths

5.1.1 Systematic review strengths

At the conclusion of the review process, there were three strengths that the Review Team identified specifically related to this systematic review:

- **Originality:** According to the study search results, this systematic review was the first to examine MDTFs and their impact, and thus attempted to bring much-needed attention to this under-studied field of research. By gathering and synthesising the most methodologically rigorous and relevant literature on the topic, and identifying and drawing upon the additional literature that did not meet the inclusion criteria, this review has provided a foundation of knowledge upon which future research can rely. The review also went beyond the synthesis of the available information and identified gaps in knowledge about MDTFs and their impact on aid effectiveness as the concept is defined by the Paris Declaration. It accomplished one of its key objectives: to highlight those areas where further research is essential for a greater understanding of this aid mechanism.
- **Transforming research into policy:** One of the stated aims of this systematic review was to give policy makers, practitioners and other users an overview of the impact that MDTFs have had on aid effectiveness that was based in solid evidence, rather than widely accepted assertions, which the study and synthesis have shown to be the current state of the literature on MDTFs. Although some of the research results were already known to the DFID policy team, the significance of this review lies in the fact that it verifies and synthesises in a systematic and scientifically rigorous way what may have been understood previously through anecdotal evidence or internal reporting that is not subject to the same level of peer and independent review.

The goal of this type of overview is to provide these stakeholders with information that will guide their thoughtful decision-making process on future aid-financing strategies. Toward this end, a series of recommendations have been included in the final section of this report, which offer helpful information regarding MDTF best and worst practices as well as possible future strategy considerations. Therefore, this review has the potential to impact on the future deployment and development of MDTFs and help improve the impact of aid provided through this mechanism.

- **Impact on academic research:** While conducting comprehensive data collection, this review revealed that an insignificant amount of academic literature has been produced relating to MDTFs, and it is a secondary goal of

this review to generate interest within the academic community on this important and understudied field of research.

5.1.2 Strengths of the included studies

Likewise, there were a few strengths inherent within the methodology and/or analysis of the studies and reports included in the final data set, which are identified as follows:

- **Noticeable increase in the frequency and quality of evaluations and reports:** In the early 1990s, when MDTFs started becoming a popular aid-financing mechanism, a useful and clear reporting strategy and mechanism was not typically incorporated into the structure of the funds. The search results demonstrated that a bulk of the documents, particularly those written by independent evaluators on behalf of fund administrators which typically displayed a stronger methodological structure and less bias, have been written within the past four years. This growth in the number and level of researcher independence indicates that reporting mechanisms are increasing both in number and in quality, and the process is becoming more formalised within the MDTF structure.
- **Increased awareness of MDTF weaknesses:** Along with the increased level and quality of reporting has come the awareness that MDTFs do not function well as a one-size-fits-all mechanism and that individual contexts and goals, and the capacities of fund administrators, donors, and recipient governments must be taken into account when developing and implementing funds. The reports and evaluations published recently, which tend to be independent evaluations, rather than reports written by fund administrative staff, point out visible gaps within MDTF funding and structures. Identifying the administrative and operational weaknesses within this aid modality provides the opportunity to address these shortcomings and improve the MDTF operations and impact.

5.2 Limitations

Along with the strengths identified by the Review Team at the conclusion of the systematic review, the results of this research pointed to quite a number of limitations, both in the structure of the systematic review and in the included studies.

5.2.1 Systematic review limitations

- **Limited amount of research on MDTFs and their impact:** While the utilisation of a rigorous systematic review search methodology enabled the Review Team to conduct a comprehensive and inclusive search on the topic, the search results demonstrated a lack of comprehensive and analytical literature produced on MDTFs, particularly related to clear impact assessments. The final document subset included 24 reports covering 57 studies - a high number for a systematic review. These reports, although assessed as having the highest quality among the study search results, lacked either what impact evaluation experts would consider a rigorous methodology, or a detailed description of their methodology. Additionally, the reports did not provide a thorough discussion of the process by which they assessed and attributed impact, which limited the depth of this review. This lack of methodologically rigorous and sufficiently analytical studies means that there is not as much data as would have been ideal for conducting a systematic review, an issue which the Review Team overcame by the inclusion of the most relevant and useful evaluations

and reports from the ‘grey literature’. Despite the efforts at mitigating the effects of the paucity of scientifically sound studies as required by the systematic review methodology and inclusion criteria, the review was particularly challenged by the lack of methodologically rigorous studies on MDTFs. This challenge could lead to the criticism that the systematic review is not the most appropriate methodology to respond to the question about the impact of MDTFs; however, as an initial investigation into this topic, the systematic review approach was indeed very suitable, in that it allowed the Review Team to draw from the most relevant and rigorous studies to summarise the general experience of MDTFs. This review is not a closed system and is intended to be updated and revised with future research in order to strengthen the evidence base.

- **Necessary reliance on less rigorous ‘grey literature’ documents:** As stated above, this review drew significant evidence from documents that are part of the ‘grey literature’, which is not typically the case for systematic reviews where a wide variety of scientifically sound and refereed research exists. While including grey literature in a systematic review can mitigate publication bias, the extent to which this review was required to draw from the grey literature, rather than an equal share of grey literature and academic, refereed articles, could lend itself to bias towards these types of publications. Although the included grey literature passed this review’s methodological requirements, the fact remains that when relying heavily on reports written for and published by fund administrators and donors (organisations which have a stake in demonstrating a fund’s positive impact and downplaying any negative aspects), there exists a potential for bias and decreased emphasis on information that would reflect poorly on the agency associated with the report or evaluation (Jones *et al.*, 2009). Thus, these types of documents are less academically and scientifically rigorous than studies that rely on randomised controlled trials or double blind methodologies that can be found in the health and medical fields, where systematic review methodology originated.
- **Lack of uniform indicators to measure aid impact and effectiveness:** This review relied on the definitions and indicators of aid effectiveness outlined in the Paris Declaration - a document acknowledged by over 100 signatories. Yet despite this widely accepted framework, a lack of general consensus on the definition of the term ‘aid effectiveness’ throughout the international community and academia is reflected in the literature. This deficit in the acceptance and use of uniform definitions and impact measurements resulted in difficulties for the Review Team in synthesising the data, as each study relied upon its own definition of the concept and outcome measurements, rendering it impossible to provide a thorough quantitative analysis of MDTF impact on the individual aspects of aid effectiveness. Instead, the Review Team had to rely upon each study’s own identification of success or failure, which was not necessarily interpreted uniformly across studies. While each study’s assessment of impact was measured against the quality of the study, the consensus of the Review Team members is that it is not entirely feasible to systematically review undefined and vague concepts for which there are inconsistent methods and units of measurement.

- **Narrowly defined scope:** To fully understand the impact that MDTFs have had on aid effectiveness, it would have been beneficial to compare MDTFs to the track record of other aid modalities and between various contexts. Only in this way could MDTFs' true impact on aid be judged and strong recommendations emerge as to preferred aid mechanisms for different environments. While this concern was raised by DFID staff and recognised by the Review Team, it was well beyond the scope of this review. Additionally, the search results returned very few studies that comprehensively examined MDTFs within the scope of other aid mechanisms, indicating another area where further research is necessary.
- **Lack of cost-benefit, financial and economic analysis:** DFID staff members raised the importance of determining the usefulness of administrative fees which fund administrators charge for their services. Additionally, there exists the overriding question of the general economic benefit for donors provided by MDTFs. Like the comparison study of various aid modalities, the aspects of MDTF evaluations related to financial and economic analysis were well outside the scope of this systematic review. Search results also indicated that there is little information available on these topics. A more thorough economic analysis would require a team of auditors to examine the financial records and reports of individual trust funds to draw conclusions regarding this particular aid modality's financial usefulness at the macro and micro levels. Three of the 24 reports specifically stated that their studies evaluated financial documents and data, but the majority of the studies failed to indicate that a thorough financial analysis had been conducted if such a review was part of the methodology. The Review Team concluded that this type of thorough, in-depth analysis by economists and financial analysts is warranted for this topic.

5.2.2 Limitations of included studies

- **Reliance on limited research methodologies:** Many of the studies employed the same type of research methodology, namely, a desk review, interviews with stakeholders and some form of project evaluation. Only one study of the 57 in the final data set that included interviews and focus groups with non-beneficiaries. The other 56 relied solely on information provided by groups of people who may have had inherent bias towards (or against) MDTFs. A more thorough examination of the impact of MDTFs would include a study population that had not directly benefited from a MDTF or its funded projects, or at least a 'before and after' comparison of the intervention. Similarly, while several of the studies included some time spent on field study, they did not allow a sufficient amount of time to conduct truly comprehensive field research, which may have affected the thoroughness of the study's findings.
- **Limited description of methodologies:** It was noted that in some of the studies, the methodology was not explicitly explained or described, which led to the exclusion of several documents. None of the included reports indicated whether the methodology included before and after comparisons or explained exactly how they triangulated the data. As Section 2.3.1 discussed, all of the reports contained very little detail of their methodologies, which appears to be an area for improvement for evaluations in this sector.

- **Difficulty in data classification:** It proved difficult during this systematic review to classify the type of data provided in the studies in accordance with the strict inclusion/exclusion criteria. Much of the data from these studies is fluid, lacks uniform definitions and measurements, is based in widely accepted but unsubstantiated theories and assertions, and does not lend itself easily to strict causal chain analysis. Additionally, a potential to exclude some useful academic documents exists because they do not meet the strict methodological requirements of a systematic review, as noted above in the discussion on methodology descriptions. As previously mentioned, these documents still proved useful for this report, however. In an effort to maintain the useful but ultimately excluded documents, the Review Team specifically identified them in the EPPI-Reviewer database and incorporated the relevant information they contained throughout the more general discussion portions of the report.

6. Conclusions and recommendations

This final report section summarises the conclusions drawn from the synthesis results and a thorough review of the included studies. It also reflects the final consensus reached by the Review Team regarding the findings and results of this systematic review.

6.1 Conclusions

Taking into consideration the results of the synthesis described in Section 4.4 as well as the general background information provided by the users identified during the study search process and obtained through a review of the useful excluded documents, the Review Team draws these conclusions about the impact of MDTFs on aid effectiveness. As stated earlier, some of these findings were previously known to DFID through its experience as a donor to several MDTFs, particularly South Sudan. The significance of this review and its conclusions lies in the fact that, employing a systematic and careful methodology, it compiled the results of 57 individual studies into a single report. The strength of the methodology ensures that the findings of the report can be relied upon in the policy decision-making process. By supporting conclusions that may have been previously known by the policy team, the report further establishes their accuracy.

6.1.1 *The importance of context*

The first, and perhaps the most obvious conclusion of the review, is the importance of context in the design and implementation of an MDTF. Multiple studies within this systematic review highlighted the significance and impact that political contexts have on the success or failure of MDTFs. The root of the problem stems from the fact that far too often, MDTFs are designed and implemented without the fund administering agent taking into account the political environment or security concerns. This oversight was particularly clear in the experience of South Sudan, where the operating conditions limited the activities of the multiple trust funds there. Unfortunately, the severe limitations imposed by the austere working environment, where electricity was unreliable and internet connections were expensive and slow, were not taken into consideration when the main trust fund was first established. Instead, each of the studies that examined the MDTF in South Sudan highlighted the unrealistically high expectations placed on the structure and staff of the fund. As a result of the fund's inability to meet these expectations, largely because of poor mitigating measures for the context in which it operated, implementation was low and dissatisfaction amongst stakeholders, particularly the newly formed recipient government, was high.

The Joint Trust Fund in Iraq is also an example of how context can shape the implementation and activities of a fund. When the fund was initially created in 2003, the security situation had not yet deteriorated in the country and expectations were high. The fund was enjoying early success as a neutral ground for collaboration between donors who were otherwise at odds over military and political strategy in the country and had few avenues available to them for communication and discussion outside of fund meetings. Despite the initial foreshadowing of potential success, the included studies in this review indicated that with the rapid deterioration in security conditions throughout the country, fund effectiveness and project implementation dramatically declined, as staff and projects were targeted for reprisals by opposition forces. Despite the fact that the fund continued to operate in the three years of increased instability and direct conflict that

followed, and although donors were very predictable with the delivery of pledged funds, due to the unexpected degeneration of the security situation and political context, severe restrictions on staff and project activities ensued, which, in turn, impacted on MDTF effectiveness. As these two examples demonstrate, the political, security, and operating contexts are important to the success of MDTF operations.

6.1.2 The danger of unrealistic expectations

Often MDTFs are designed and created outside the country or context in which they will be implemented by administrators and executives who may have very little knowledge of the circumstances in which the fund will operate, and who may or may not seek the advice and recommendations of stakeholders within the recipient government or civil society. In this way, funds are often born in a vacuum, with high expectations of what they can accomplish. The included studies have shown that stakeholders at every level are guilty of expecting more of MDTFs than they can deliver. Maintaining realistic expectations of fund activities and progress was a recommendation in 14 of the included studies. The MDTF in Southern Sudan, highlighted above, is a prime example of the debilitating effects that unrealistic expectations can have on MDTF effectiveness. Donors initially pledged over \$4.5 billion dollars toward the first main trust fund in Southern Sudan. In reality, the funds were slow to materialise and it took nearly two years for the fund to become truly operational. Due to a variety of factors, including the difficult operational environment in South Sudan, the lack of capacity in both fund administering staff and the newly formed recipient government, the high expectations that stakeholders had for the benefits that could be derived from this fund were never met. More realistic expectations that, from the very beginning, took these factors into consideration and devised means by which to mitigate them could have gone a long way to ensure a more successful and efficient fund.

6.1.3 Strong national governments are necessary for proper MDTF implementation

While the literature demonstrates that it is a widely accepted belief that MDTFs are able to enhance a recipient government's ownership of development programmes and aid, and although the synthesis results reveal that 37 studies stated that MDTFs had a positive impact on this aspect of aid effectiveness, when considering that multilateral funding is only 30% of all international aid, the impact of this aid modality is rather small at the aggregate level (OECD, 2010b). Additionally, the studies that demonstrated the greatest progress towards ownership occurred in contexts where the recipient government was already firmly established, as found in Indonesia, with the Multi Donor Fund for Aceh and Nias, created in response to the tsunami in 2004 and the earthquake in 2005. The final analysis of this particular fund indicated that it was particularly good at promoting local ownership of fund activities and projects and that the fund was also highly aligned with national government reconstruction priorities. This finding is remarkable in that this area was suffering not only from the impact of a devastating tsunami, but also from years of conflict, creating an extremely complex operating environment in which to provide development assistance. However, the Indonesian government was quick to respond to the post-disaster reconstruction needs in Aceh and Nias, creating a special agency that was responsible for overseeing rebuilding efforts in these two areas. As a result, there was a strong governmental presence already in place when the fund was created, which made it easy for the fund to align its activities with national goals.

Conversely, in areas where there is no government or the relevant government authorities are weak, it is difficult, if not impossible, to promote ownership, build local capacities or

align fund goals and activities with national development priorities. This was the case in Southern Sudan, where a new national government was formed subsequent to the formation of the MDTF there, and in Iraq, where the American-controlled Coalition Provisional Authority (CPA) set national government priorities with little input from the Iraqi leadership or society. The paradox of MDTFs is that although the most highly functioning and efficient funds are those where recipient governments are active partners and direct development priorities, this aid mechanism is often deployed in highly fragile environments where government institutions are often weak. Further investigation into attribution could show that MDTFs' weak track record in places like South Sudan could be caused, in part, by the fact that contexts with weak recipient governments are not environments in which this modality can flourish due to the lack of local capacity. Additional research, as well as policy discussions involving practitioners and development experts, is needed to explore this nexus between MDTFs and fragile countries in more depth.

6.1.4 Ownership is still problematic

Despite the fact that 37 studies stated that MDTFs had made positive steps towards enhancing ownership, on the whole, donors still require control of funds or earmark them for specific sectors, which negatively impacts on recipient government ownership of development priorities and funding. While a few funds—notably the Global Fund or the Afghanistan Reconstruction Trust Fund—operate closely with the recipient government's Ministry of Finance and provide direct budget support, on the whole, donors and fund administrators remain unwilling to turn over large sums of money to governments and agencies which are viewed to be weak or highly corrupt, particularly in fragile states where capacity and the ability to manage funds effectively is low. The US government seems particularly reticent towards promoting local ownership, in favour of what it considers effectiveness and rapid implementation, as demonstrated by the President's Emergency Plan for AIDS Relief (PEPFAR) (Oomman et al, 2007). This fund channels all of its resources through US-based, government-approved NGOs, who implement projects in a variety of African countries. The study rated its implementation and effectiveness as high, based upon the speed at which funds were delivered to the implementing partners in-country, the short project implementation time and the lack of difficulty the implementing partners had in negotiating the US government's procurement, operating and reporting procedures; however, it came at the price of completely by-passing national and local government stakeholders and missing the opportunity for capacity building and development of local ownership (Oomman, et al, 2007). If funds are to be sustainable, a balance needs to be maintained between immediate need of efficient implementation and the longer-term goal of building local capacity.

6.2 Recommendations

Based on the conclusions above and the summary of the synthesis results in Section 4.4, the Review Team makes the following recommendations:

6.2.1 Further research should be conducted on MDTFs

There is a lack of rigorous evidence-based and independent research conducted on MDTFs. Because they are such a popular aid modality, particularly in fragile, post-crisis contexts, and because a large amount of financial and human resources have been expended on them, further research into their general impact and, specifically, their impact on aid effectiveness is absolutely necessary. Of particular importance to MDTF donors would be a financial analysis of each fund it supports to determine more accurately its value for

money. Such an assessment, combined with the traditional qualitative reporting mechanisms currently employed for monitoring and evaluation reports, would provide a clearer picture of the precise impact individual funds have on aid effectiveness. The results of these appraisals could be included in this systematic review, increasing significantly the information base in this field of study.

It is also paramount that additional research be conducted into the effectiveness of MDTFs as an aid modality, particularly comparing them with other types of aid mechanisms and across various contexts. There were no studies of significant rigour that provided a comparative analysis of aid instruments. It is suggested that as a foundation upon which further research can rely, case studies examining the effectiveness of aid modalities be conducted in different contexts (i.e. post-conflict, post-natural disaster, both and neither). The lessons drawn from these case studies should then be synthesised into a larger comparative analysis of the various aid instruments and their impact on aid effectiveness.

Additionally, future research should expand the scope beyond the framework of aid effectiveness as defined by the Paris Declaration to include other aspects of aid effectiveness. An example of this type of study is the Praxis Group evaluation of the transaction costs associated with pooled funding mechanisms (Salomons, et al., n.d.). While transaction costs are tangentially linked to harmonisation and results management, they can directly impact on the effectiveness of a fund without being completely aligned with the five aspects of aid effectiveness used as the analytical framework of this review. These types of studies can provide useful lessons to policy makers about MDTFs and aid effectiveness outside the parameters of the original research question.

6.2.2 Evaluations should examine the outcomes of MDTFs as a whole, rather than the progress of individual projects supported by trust funds

One of the difficulties encountered by the Review Team when assessing the literature was the fact that many of the evaluation reports, particularly those issued by fund administrators like UNDP and the World Bank, focus primarily on the evaluation of individual projects financially supported by MDTFs, rather than the effectiveness of the funds as a financing mechanism. These types of documents, while they provided helpful background information and detailed the variety of interventions supported by MDTFs, were not very useful for an analysis of the effectiveness of MDTFs as an aid modality. It is recommended that future evaluations by donors, fund administrators and independent researchers incorporate outcome indicators that are relevant for the review of the MDTF as a separate and complete entity, rather than equating MDTF effectiveness with individual project success, which is the manner in which many of the current fund administrator reports are structured. If such evaluations are constructed around a framework of the five components of aid effectiveness, with benchmarks and outcomes defined for each aspect, appropriate indicators could be, but are not limited to the following.

Ownership

- The number of recipient government and private stakeholders represented in the fund's governance structure and their role.
- The level at which recipient governments actively participate in the formation, implementation, and daily operation of the fund. Attention should be paid to each relevant level of government and how it can play an active role in management of the fund.

- The extent to which community stakeholders participate in the operations and decision-making processes of the fund and its interventions, particularly at the project level.

Alignment

- Does the recipient government have a national priority plan in the sector addressed by the MDTF, and if so, do the MDTF's goals match those of the government's?
- Are interventions earmarked by donors, and if so, do those earmarks align with priorities identified by the recipient government or do they only follow donor interests?
- Does the MDTF actively support the development of national and local capacities and procedures for managing aid?

Harmonisation

- The amount of multilateral aid as a percentage of the total aid provided to the recipient country.
- The extent to which donors contributing to multilateral aid in a particular context also continue to pursue alternative aid financing modalities there.
- The extent to which donors operating in the same context duplicate the efforts of the MDTF.

Managing for results

- The existence of a monitoring and evaluation process that is meticulously followed.
- The existence of a performance assessment framework and an articulated impact assessment methodology.

Mutual accountability

- The existence of a process whereby donors and recipient governments are accountable and transparent in the distribution and use of funds disbursed through the MDTF.
- Ease of access to all project evaluation and monitoring documents, preferably through a website. (UNDP's MDTF website is a good example of transparency as it relates to results management.)

As randomised controlled trials are not appropriate in this context, evaluation methodologies could include before and after analysis in which data related to indicators relevant to the intervention are measured both before and after fund implementation. Ideally, an evaluation team would conduct a quick assessment prior to implementation to gather benchmark data. A challenge that needs to be considered at this stage is the fact that this initial data often do not exist in post-crisis contexts where the majority of funds operate, and can be difficult to gather. If this process is not feasible given the security or operating environment, then interviewees and focus group participants could be asked to remember and comment on the differences for different indicators before and after the fund was in place. Additionally, evaluations should attempt to include data from non-beneficiaries in an effort to strengthen the assessment of impact, while remaining

cognizant of the ethical issues surrounding this process as addressed in Section 1.2.3 (Jones *et al.*, 2009).

Evaluations should also expand the discussion of their methodologies, which currently are limited to a brief, descriptive paragraph with little detail on underlying assumptions, attribution of impact, data collection tools or sampling techniques. At a minimum, more information on the stakeholders interviewed, the general topics discussed in the interviews and the agenda for the focus group discussions should be included as annexes to evaluation reports. A discussion of the assessment and attribution of impact is also necessary for a more thorough evaluation.

While the Paris Declaration offers five commonly understood and accepted terms for the study of aid effectiveness, future studies need not be limited to these aspects as an analytical framework. As discussed in Section 6.2.1, research should be guided by the areas of interest to the stakeholders regardless of whether they fit neatly into the five aspects of aid effectiveness of the Paris Declaration. Financial analysis that closely examines the value for money of individual funds, comparative studies that look at DFID support in a variety of contexts, or research that includes a narrower definition of aid effectiveness, would greatly enhance the current, rather limited knowledge base on this topic.

6.2.3 Learning from best and worst practices

Studies in this review show that even global funds with uniform management structures and procedures that operate in multiple countries have varying experiences with effectiveness and impact. Because of this finding, the Review Team hesitates to suggest that lessons learned from one fund in a very specific context can be extrapolated and applied directly to another fund in a completely different context; however, there are general guidelines that can inform future interventions and a compilation of best and worst practices for MDTF design and implementation is needed and should be widely circulated amongst the relevant agencies and donors. These guidelines could be formulated at the fund manager level through a collaborative effort with all levels of stakeholders from the donor and recipient communities. The recent guidelines for MDTFs published by UNDG provide a framework that could be expanded, particularly in the monitoring and evaluation, as well as reporting procedures, which are vague (UNDG, 2011). Additionally, under the current guidelines, the leadership and decision-making roles of the recipient government and other community stakeholders are not as strong as would be useful for capacity building and ownership. Suggestions for improvement in these areas would be to establish clear guidelines for monitoring and evaluation procedures. These guidelines need to include outcome indicators that measure the efficiency and effectiveness of the fund in its entirety, not only individual fund-sponsored programmes. Monitoring and evaluation (M&E) procedures also need to address impact attribution and strengthen the analysis sections of the reports.

Donors could also consider collaborating with fund managers to create ways in which a fund's value for money could be reported in a uniform and harmonised way, rather than having individual donors reviewing only areas of significance to them. While each country has particular development priorities and expertise, by synthesising these areas into a single reporting mechanism utilised by fund managers, the amount of time and resources expended by individual donors on monitoring and evaluation can be decreased.

Another important aspect of learning is information sharing. While recent independent evaluations have been more critical of the less successful aspects of MDTFs than donor

reports have been in the past, this constructive criticism and probing of the commonly asserted, yet unsubstantiated claims associated with MDTFs as a funding modality should be encouraged. Only through the identification of performance gaps and structural deficiencies can the areas where MDTF have had a negative impact be successfully addressed. Shared lessons between all stakeholders as well as mechanisms to retain institutional knowledge despite staff turnover are critical and should be addressed by fund managers and stakeholders alike

The effective use of technology is a way to ensure easy and economical information sharing. The website for UNDP's MDTF Office¹³ is an excellent example of how technology can positively impact on fund management, mutual accountability, transparency and reporting. The website provides easy access to all financial data and demographic statistics, as well as progress and annual reports for each of UNDP's active MDTFs. There is an interactive global map that highlights the areas where funds originate and the countries to which they are sent in real time. Overall, the website is extremely user-friendly and the wide array of pertinent information is in an easily digestible format. Conversely, the World Bank's website¹⁴ for its MDTFs is difficult to locate and the information it provides is extremely limited, and, unlike UNDP, the Bank does not provide any individual fund information there. The lack of information provided by the largest fund manager, responsible for over 1,000 trust funds and US \$26 billion, does not set a good precedent for mutual accountability, harmonisation or information sharing amongst stakeholders. Instead, comprehensive website reporting like that employed by UNDP should be encouraged for fund managers, donors and stakeholders alike. In this way, important statistics and evaluation reports from each fund can be made available for practitioners and researchers alike, encouraging the free flow of expertise and information in this sector.

6.2.4 Expectations for MDTF scope and effectiveness should be realistic and take context and environment into consideration

As noted in Section 6.1.2, stakeholder expectations can be considerable for MDTFs, resulting in unrealistic implementation goals. To address this issue, funds must be designed around a strong programme theory that is clearly grounded in extensive knowledge of the context and the limitations of the operating environment. One approach that would strengthen the ability of fund stakeholders to create a fund that is receptive to the context in which it operates is linking the fund design to strategic conflict assessments, critical path analysis, and political economy analysis. MDTFs should be sufficiently informed by such analysis from the early stages of their development.

Another approach would be to utilise a logical framework tool ("log frame") at the first stage of the MDTF design process. This log frame would identify the assumptions on which the programme theory, the fund's overall objectives, its activities, and impact indicators are based. This type of analysis at the beginning of the design process would lay the foundation for successful fund implementation. Stakeholders must, from the beginning, take into consideration the context and political climate in which the fund will operate and prepare for a variety of eventualities, including a sudden and dramatic shift in donor interest or the security situation, or additional crises. These issues need to be addressed during the initial consultation stage with all stakeholders, which must include

¹³ The UNDP MDTF Office website can be found at <http://mdtf.undp.org/>.

¹⁴ The World Bank's multi-donor trust funds are managed by its Concessional Finance and Global Partnerships Group. The website can be found at <http://go.worldbank.org/B3GZFSNUE0>.

representatives from the recipient government as well as other local experts as feasible. Employing a programme theory log frame at this point will alert the stakeholders to the possible challenges facing the MDTF and allow them to begin the critical task of addressing them. This log frame, like the guidelines suggested in Section 6.2.3, can be developed by the fund manager through a consultative process with experts and stakeholders.

Also, at the very minimum during the development state, the assumption should be that fund offices in recipient countries cannot be expected to operate in the same manner as headquarters, that there may be some lag time between pledges and the receipt of funds, and that the expectations of recipients must be carefully managed. Taking steps to reduce the occurrence of high expectations in the early stages of design and implementation could go far to enhance fund effectiveness. This includes clear and consistent communication of MDTF goals and strategies to all stakeholders, particularly those in the recipient country.

6.2.5 Future MDTFs should be structured around clearly defined and commonly-agreed-upon goals and be based upon realistic evaluations of donor, fund administrator, and recipient government will and capacities

An important conclusion of this review was that there is a lack of clarity surrounding the goals and operational structure of some MDTFs, resulting in the confusion of administering agency staff, donors, and recipient government stakeholders. Studies also indicate that often donors provide funds without clearly establishing how their contributions fit into the fund structure or their own development priorities. This ambiguity creates chaos within fund administration, project implementation and monitoring and evaluation processes. Many of the recommendations contained in the studies stated that successful MDTF implementation and operation relies on first identifying clear goals and strategies at each level – donor, fund administrator and recipient governments. Therefore, the Review Team recommends that future interventions involving MDTFs establish clear goals and guidelines for implementation from the first stages of the fund design. A concise, easily understood and executed reporting and evaluation process should also be incorporated into the fund's operational structure. Furthermore, these goals and mechanisms must, as discussed in Section 6.2.4, take into greater consideration the operating environment and context, as well as the political will and capacity of the donor, fund administrator and recipient country. While not a uniform template for MDTF success, these steps, if taken with care and consensual deliberation by all stakeholders, can go a long way in providing the best possible opportunity for MDTFs to live up to the high expectations that have been placed upon them.

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Appendices

Appendix 1.1: Authors and review group

- **Sultan Barakat:** A Professor of Politics and Director of the PRDU at the University of York, Sultan Barakat specialises in the design of recovery strategies and programmes for crisis-affected contexts. His research has particularly focused upon aid financing and the relationship between international actors, including bi- and multi-lateral donors, and the state institutions in so-called fragile environments. He is author of 'The Failed Promise of Mutli-Donor Trust Funds: Aid Financing as an Impediment to Effective State Building in Post-Conflict Environments' (*Policy Studies*, 30:2, 2009).
- **Kathryn Rzeszut:** As a research fellow at the PRDU at the University of York, Ms. Rzeszut focuses on development project monitoring and evaluation, conflict analysis and management, and the practical application of development theory, specifically in the field of economic livelihoods. Her work includes evaluations of programmes relating to youth empowerment, women's economic development, and education in emergencies within post-conflict contexts. Prior to joining the PRDU, she served for several years in the U.S. Army Civil Affairs Command, where she gained practical experience in the development and security sectors during and after conflict.
- **Nick Martin:** In his position as a research assistant at the PRDU, Mr. Martin has provided invaluable support to a variety of academic and field research projects in sectors ranging from post-war reconstruction, the development of fragile states, and security-sector reform. He has participated in the development and implementation of several research projects and has conducted an independent evaluation of community policing projects in East Timor for the United Nations Department of Peacekeeping Operations (DPKO).

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Conflicts of interests

None of the Review Team members has any personal, financial or professional interests which would influence the conduct or outcomes of this systematic review. However, Prof. Barakat has previously published on the topic of multi-donor trust funds (see ‘The Failed Promise of Multi-Donor Trust Funds’, *Policy Studies*, 2009).

Appendix 2.1: Users identified and contacted during the study search process

Name	Organisation	Title
J.F. Morton		Development Economist
Dr. Rosern K. Rzwmpororo		Development Sociology
Mark Watson		Expert
David Fleming	ITAD	Consultant
Chris Barnett	ITAD	Consultant
Amar Bokhari	Multi-Donor Trust Fund Office, Bureau of Management, UNDP	Portfolio Manager
Bisrat Aklilu	Multi-Donor Trust Fund Office, Bureau of Management, UNDP	Executive Coordinator
Jacqueline Carbajal	Multi-Donor Trust Fund Office, Bureau of Management, UNDP	Finance Associate
Ms Mahrukh Nalavala	Multi-Donor Trust Fund Office, Bureau of Management, UNDP	Senior Finance Specialist
Olga Aleshina	Multi-Donor Trust Fund Office, Bureau of Management, UNDP	Portfolio Manager
David Gairdner	Scanteam	Partner
Riselia Bezerra	Scanteam	Partner
Abdoulaye Sawadogo	SRSR, CAR	CHF-CAR Manager
Bo Schack	SRSR, CAR	DSRSR/Humanitarian Coordinator
Adama Guido	UNDP, DRC	Country Director
Adboudahmane Dia	UNDP, DRC	Administrative Agent Officer
Anne-Marie Oyuga	UNDP Somalia	Administrative Agent Focal Point, Programme Management Support Team
Mark Bowden	UNDP Somalia	UNDP Resident Representative
Assefaw Tewolde	UNDP Sudan	Head of Fund Management Unit
Claudio Caldarone	UNDP Sudan	Country Director
Jose Manuel Hermida	UNDP Support to the Yasuni ITT Fund	UNDP Resident Representative
John Hendra	UNRC Vietnam	Resident Coordinator

Name	Organisation	Title
Derek Warren	World Bank - Sudan MDTF	Administrative Agent Focal Point
Aliya Husain	World Bank - Timor l'Este MDTF	Administrative Agent Focal Point
Gisu Mohadjer	World Bank Results Unit	Results Unit Manager

Appendix 2.2: Search log/diary

This is a verbatim listing of the search as it was undertaken.

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
1	4 October 2010	NM	CSA Illumina, which includes, ASSIA, CSA Linguistics and Language Behavior Abstracts, PILOTS Database, Social Services Abstracts	[multi-donor trust fund* OR MDTF* OR trust fund* OR aid modality* OR development assistance fund* OR multi-donor OR aid pools OR pooled funding OR donor* OR development funding OR multinational aid OR cross-national aid OR bilateral donor OR development strateg* OR donor fractionalization OR international assistance fund* OR international aid fund* OR intervention] AND [aid effectiveness OR development effectiveness OR effective aid OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR increased effectiveness OR international development OR international aid OR international assistance OR Paris Declaration OR Accra Agenda OR Accra Accord] AND [aid impact OR impact of aid OR evaluation* OR comparison study OR controlled OR randomize OR randomly OR impact* OR benefit* OR disadvantage OR outcome* OR effect* OR performance OR assessment* OR review* OR study OR progress OR improvement].	21,619	Having searched using all the terms on the current protocol the result produces a huge amount of results. From pages 1 to 10 and pages 15 to 16 there are no relevant articles for this systematic review.
2	4 October 2010	NM	CSA Illumina, which includes, ASSIA, CSA Linguistics and Language Behavior Abstracts, PILOTS Database, Social Services Abstracts	[trust fund*] AND [multi-donor OR MDTF* OR aid modality* or development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance* OR assessment* OR review* OR study] AND [impact*]	745	Streamlined search based. Revised search has resulted in more specific results relating to the area of aid and development; however, there is still little mention of MDTFs.

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
3	5 October 2010	NM	Ovid SP incl. Social Policy and Practice, Wilson Humanities Index, EconLit, Books @ Ovid, Journals @ Ovid full text, Your journals.	[trust fund*] AND [multi-donor OR MDTF* OR aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance* OR assessment* OR review* OR study] AND [impact*]	165,989	By including incorrect databases too many medically based items were pulled up. Need to change journals being searched.
4	5 October 2010	NM	EconLit through Ovid SP	[trust fund*] AND [multi-donor OR MDTF* OR aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance* OR assessment* OR review* OR study] AND [impact*]	631	Using just EconLit brings up much better results which result to aid and effectiveness. However, pages 1 to 10 and 15 and 16 do not have any mention of MDTFs.
5	5 October 2010	NM	JOLIS	[Multi donor trust fund OR MDTF OR aid modality'] AND ['aid OR development OR effectiveness OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result OR international development OR international aid OR Paris declaration'] AND ['impact OR evaluation OR outcome OR performance OR assessment OR review OR study] AND [impact]	2	Search terms had to be streamline to fit the character length parameters of the search engine.
6	5 October 2010	NM	JOLIS	Multi donor trust fund OR MDTF (Exact search)	0	Contains no articles on our topic.
7	5 October 2010	NM	Institute for Development Studies	multi donor trust fund OR MDTF	0	Search engine limitations precluded a full search with all search terms. No references relating to MDTFs. Linked searches in one box are not working.

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
8	5 October 2010	NM	Government and Social Development Resource Centre	multi donor trust funds	9	There is only a limited search facility so a basic search seems to bring up all relevant results.
9	7 October 2010	KR.	Google Scholar	multi donor trust fund	709	Google Scholar has limited advanced search capacity and as the protocol stipulates that we're only including documents whose main focus is multi donor trust funds, the choice was made to limit the search to 'multi donor trust fund' (exact phrase). KR assigned the first 250 documents, NM assigned documents 251-709.
10	8 October 2010	NM	Google Scholar	Multi-donor trust funds	213	Reviewed results 141 to 213
11	8 October 2010	NM	EconLit through Ovid SP	[trust fund*] AND [multi-donor OR MDTF* OR aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance OR assessment* OR review* OR study OR impact*]	547	
12	8 October 2010	NM	UNDP MDTF website	Multi-donor trust fund	9	9 Relevant results downloaded
13	8 October 2010	NM	GSDRC	Multi-donor trust fund	21	
14	8 October 2010	NM	Google Scholar	Multi-donor trust funds	213	Reviewed results 1 to 140.
15	12 October 2010	NM	DFID Research 4 Development	multi-donor trust fund	76	No relevant search results produced
16	12 October 2010	NM	ALNAP	multi-donor trust fund	39	No relevant search results produced
17	12 October 2010	NM	BLDS	multi-donor trust fund	1	No relevant search results produced
18	12 October 2010	NM	CGD	multi-donor trust fund	54	No relevant search results produced

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
19	12 October 2010	KR	Science Direct	multi donor trust fund	1,647	Science Direct allows only the first 1,000 citations to be exported
20	12 October 2010	KR	Science Direct	[multi donor trust fund] AND [evaluation]	954	
21	12 October 2010	NM	ODI	multi-donor trust fund	126	Reviewed results 1 to 60
22	12 October 2010	KR	Science Direct	['multi donor trust fund' OR 'multi-donor trust fund' OR 'multi-donor trust funds' OR 'multi donor trust funds'] AND ['aid OR development OR effectiveness OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result OR international development OR international aid OR Paris declaration']	1	
23	12 October 2010	KR	Science Direct	[multi donor trust fund OR MDTF OR aid modality] AND ['aid OR development OR effectiveness OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result OR international development OR international aid OR Paris declaration']	35	
24	12 October 2010	KR	Science Direct	[multi donor trust fund OR MDTF OR aid modality] AND [impact OR evaluation OR outcome OR performance OR assessment OR review OR study] and [impact]	275	
25	12 October 2010	KR	Science Direct	[multi donor trust fund OR multi-donor trust fund OR multi-donor trust funds OR multi donor trust funds]AND [impact OR evaluation OR outcome OR performance OR assessment OR review OR study] AND [impact]	1,288	Science Direct allows only the first 1,000 citations to be exported
26	13 October 2010	NM	ODI	multi-donor trust fund	126	Reviewed results 61 to 126
27	13 October 2010	NM	PAIS International	['multilateral aid OR assistance OR fund OR aid modality* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*'] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance* OR assessment* OR	5	No search results uploaded as all irrelevant

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
				review* OR study] AND [impact*]		
28	13 October 2010	KR	Science Direct	[multilateral aid OR assistance OR fund*] AND [aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development[]AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration]	954	Revised search terms with related MDTF term that came up in searches yesterday
29	13 October 2010	KR	Science Direct	[multilateral aid OR assistance OR fund*] AND [impact OR evaluation OR outcome OR performance OR assessment OR review OR study] AND [impact]	6,799	Revised search terms with related MDTF term that came up in searches yesterday Science Direct allows only the first 1,000 citations to be exported.
30	13 October 2010	NM	EconLit through Ovid SP	[multilateral aid OR assistance OR fund OR aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation or accountability or coordination or collaboration or result* or international development or international aid or international assistance or Paris declaration or Accra agenda or Accra accord and impact* or evaluation* or outcome* or performance* or assessment* or review* or study] and [impact*]	0	

Search Number	Date	By	Database	Search Terms Used	# of Search Results	Notes
31	13 October 2010	KR	CSA Illumina, which includes, ASSIA, CSA Linguistics and Language Behavior Abstracts, PILOTS Database, Social Services Abstracts	[multilateral aid OR multilateral assistance OR multilateral fund* OR aid modalit* OR development assistance fund* OR international assistance fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* OR evaluation* OR outcome* OR performance OR assessment* OR review* OR study OR impact*]	634,271	The search results are too broad and examination of the first several pages demonstrates that they are not related to the research topic. It is necessary to narrow and combine searches.
32	13 October 2010	KR	CSA Illumina, which includes, ASSIA, CSA Linguistics and Language Behavior Abstracts, PILOTS Database, Social Services Abstracts	[multilateral aid OR multilateral assistance OR multilateral fund* OR aid modalit* OR development assistance fund* OR international assistance fund* OR international aid fund* OR donor*] AND [aid] AND [effective* OR development] AND [effective* OR ownership OR alignment OR harmonisation OR accountability OR coordination OR collaboration OR result* OR international development OR international aid OR international assistance OR Paris declaration OR Accra agenda OR Accra accord] AND [impact* or evaluation* or outcome* or performance or assessment* or review* or study or impact*]	15	
33	13 October 2010	NM	GSDRC	multi-donor trust fund	9	
34	14 October 2010	KR	JOLIS (World Bank and IMF)	[multi-donor trust fund] AND [evaluat*]	0	
35	14 October 2010	KR	JOLIS (World Bank and IMF)	multi-donor trust fund	0	
36	14 October 2010	KR	JOLIS (World Bank and IMF)	trust fund	103	
37	14 October 2010	KR	OECD Library	[multi-donor trust fund] AND [evaluat*]	0	
38	14 October 2010	KR	OECD Library	multi-donor trust fund	189	
39	18 October 2010	KR	Google	'multi donor', evaluate, impact, report, effective, coordination, multilateral aid (all these words); 'trust fund' (this exact wording or phrase)	1,850	Although the search returned 1,850 results, Google then limited the results shown to 332 because many of the results were duplicates. We reviewed all of the 332 results.

Appendix 2.3: Study characterisation and quality appraisal checklist

This study quality appraisal tool was adapted from one employed in an earlier systematic review (Rees *et al.*, 2009).

Study Characterisation					
Study Title					
Study Author(s)					
Study Source					
Website (If Applicable)					
Year of Study					
Type of Study					
Quality of Study: Low/Medium/High (Based on Quality Appraisal Tool Questions 6-8)					
Study Context					
Study Outcomes					
Study Conclusions					
Study Quality Appraisal					
	Yes, a thorough attempt was made	Yes, several steps were taken	Yes, a few steps were taken	Yes	No, not at all (NO) Not stated (NS) Cannot tell (CT)
1. Were steps taken to improve the rigour of the study sample?					

	Yes, a thorough attempt was made	Yes, several steps were taken	Yes, a few steps were taken	Yes ¹⁵	No, not at all (NO) Not stated (NS) Cannot tell (CT)
1.1. Was the study's sampling size appropriate, well-reasoned, and justified given the study's topic and research question?					
1.2. Were attempts made to obtain a diverse sample?					
1.3. Were the characteristics of the sample important to the understanding of the study context and research findings?					
2. Were steps taken to improve the rigour in the collected data?					
2.1. Were the data collection tools piloted and/or validated?					
2.2. If the data was qualitative, was the data collection comprehensive, flexible, and sensitive enough to provide a thorough and complete description of the research topic?					
2.3. If the primary basis of the study was field research, was an appropriate amount of time allotted for a thorough data collection period?					
2.4. Did the study employ more than one method of data collection?					

¹⁵ This column was added because the “yes” answers in columns 1-3 did not apply to each question—some questions required only a ‘yes’ or ‘no’ answer.

	Yes, a thorough attempt was made	Yes, several steps were taken	Yes, a few steps were taken	Yes	No, not at all (NO) Not stated (NS) Cannot tell (CT)
2.5 Were steps taken to mitigate potential barriers such as language and cross-cultural differences?					
3. Were steps taken to increase the rigour of the data analysis?					
3.1 Was a methodology described or can one be discerned?					
3.2 Was the data analysis methodology systematic?					
3.3 Was a methodology described or can one be discerned?					
3.4 Did the analysis explore diverse perspectives?					
3.5 Did the analysis seem to rule out alternative explanations for the research findings? (In the case of mostly qualitative research, this can be accomplished through the search for negative cases or exceptions, providing preliminary results to research participants, independent data review, or reflexivity.)					
	Yes, good grounding	Yes, fair grounding	Yes, but limited grounding	Yes	No
4. Were the study's findings ground in and supported by the data?					

	Yes, good grounding	Yes, fair grounding	Yes, but limited grounding	Yes	No
4.1 Was enough data presented to demonstrate how the authors arrived at their findings?					
4.2 Did the presented data fit the interpretation and support claims about the data patterns?					
4.3 Did the presented data illustrate the findings?					
4.4 If the data is qualitative, were the quotes identified in such a way that it was clear that they originated from more than one or two people?					
Note: The breadth of a study is considered to be the extent of description and its depth is considered the extent to which the data has been analysed.	Yes, there is good breadth and depth	Yes, there is good breadth, but very little depth	Yes, there is good depth, but very little breadth	Yes, but there is little breadth or depth	
5. Rate the findings of the study in terms of their breadth and depth					
5.1 Does the study cover a range of issues?					
5.2 Are the perspectives of the research participants fully explored in breadth (the contrast of two or more perspectives) and depth (insight into a single perspective)?					
5.3 Does the study develop theoretically and/or conceptually?					
	Low	Medium	High		

6. What weight would you assign this study in terms of its reliability and the trustworthiness of its findings?			
7. What weight would you assign this study in terms of the usefulness of its findings in terms of this review?			
7.1 What weight would you assign the match between the study aims and findings and the aims and purpose of its synthesis?			
7.2 What weight would you assign the study's conceptual depth and explanatory power?			

Appendix 2.4: Intervention classification checklist

Title of MDTF	
MDTF Managing Organization	
MDTF Donors	
MDTF Recipient(s)	
Country/Region in which the MDTF is implemented	
Date MDTF was established	
MDTF Stated Objectives	
MDTF Scope (Geographic or Thematic)	
Types of interventions implemented through MDTF	

Appendix 2.5: Study classification tool

Type of Document <i>(Academic or Progress Report/ Evaluation)</i>	
Document Authors: <i>(Independent researchers/ academics, MDTF manager or donors, evaluation team contracted by fund manager or donors)</i>	
What was the study/report methodology? <i>(Desk review, field visits, interviews with donors and beneficiaries, quantitative surveys, etc.)</i>	
What were the main areas of focus for the study/report? <i>(Project evaluation, fund administration, donor co-ordination, etc.)</i>	
What were the MDTF's areas of success mentioned in the study/report?	
What were the MDTF's negative aspects or challenges mentioned in the study/report?	
What were the recommendations for future action by the MDTF?	
Quality of study: Low/Medium/High (Based on the Quality Appraisal Tool Questions in Appendix 2.3)	

What is the track record of multi donor trust funds in improving aid effectiveness?

Appendix 3.1: Details of studies included in the review

Table 3.1.1 reflects the number and percentage of the different types of documents included in the final review set.

Table 3.1.1: Types of documents included in final review set

Type of Document	N	%
Independent Evaluation	18	75
Fund Manager Report	4	17
Donor Reports	1	4
Academic Papers	1	4
Total:	24	100%

Table 3.1.2 lists the MDTFs examined by the individual studies contained in the final set of documents.

Table 3.1.2: Included studies (MDTFs and number of individual studies)

MDTF	Number of studies on MDTF	%
Afghanistan Reconstruction Trust Fund (ARTF)	4	7
Basic Services Fund (BSF)	2	3
Capacity Building Trust Fund (CBTF)	1	2
Central Emergency and Response Fund (CERF)	1	2
Common Humanitarian Fund (CHF) (Sudan)	4	7
Consolidated Fund for East Timor (CFET)	1	2
Consolidated Support Program (CSP) (East Timor)	1	2
Crisis Prevention and Recovery Thematic Trust Fund (CPR) (East Timor)	1	2
Darfur Community Peace and Stability Fund (DCPSF)	1	2
Education For All Fast Track Initiative (EFA FTI)	1	2
European Union Instrument for Stability	1	2
Global Fund to Fight AIDS, Tuberculosis and Malaria (The Global Fund)	1	2
Holst Fund	2	3
International Reconstruction Fund Facility for Iraq (IRFFI)	1	2
Joint Donor Team for South Sudan	1	2
Mindanao Trust Fund-Reconstruction and Development Program (MTF-RDP)	1	2

Multi-Country Demobilization and Reintegration Program (MDRP)	2	3
Multi-Country HIV/AIDS Program for Africa (MAP)	1	2
Multi-Donor Fund for Aceh and Nias (MDF)	2	3
Multi-Donor Trust Fund – North Sudan (MDTF-N)	1	2
Multi-Donor Trust Fund of Southern Sudan (MDTF-SS)	4	7
Multi-Donor Trust Fund for West Bank and Gaza	1	2
National Development Trust Fund (NDTF) (formerly Janasviya Trust Fund)	1	2
National Multi-Donor Trust Fund (South Sudan) (Linked to MDTF-SS)	1	2
Peacebuilding Fund (PBF)	2	3
Pooled Fund (DRC)	3	4
Post Conflict Fund	1	2
President's Emergency Plan For AIDS Relief (PEPFAR)	1	2
Sudan Recovery Fund for South Sudan (SPF-SS)	2	3
Tanzania Cultural Fund	1	2
Technical Assistance Trust Fund (TATF)	1	2
Trust Fund for Bosnia and Herzegovina (TFBH)	1	2
Trust Fund for East Timor (TFET)	3	4
UN Capital Development Fund (UNCDF)	1	2
United Nations Development Group Iraq Trust Fund (UNDG-ITF)	2	3
World Bank's Statebuilding and Peacebuilding Fund	1	2
World Bank's Trust Fund in Iraq	1	2
Total:	57	100

Table 3.1.3 reflects how MDTFs have been used to deal with a huge array of issues around the world, as demonstrated by the studies included in the final data set. For the purposes of this review, the MDTFs have been organised into two categories: thematic and geographically-specific. Many funds, such as the United Nations Development Group Iraq Trust Fund (UNDG-ITF), are designed for implementation in a specific country or region, where, typically, financing is provided for national budget support or specific projects. MDTFs are also designed to deal with single issues with a global scope, such as the Central Emergency and Response Fund (CERF), which includes interventions in 62 different countries. This type of MDTF deals with a single issue in countries around the world. It should be noted, however, that MDTFs that are geographically-specific can also be designed to respond to very specific needs, as the UNDP's Law and Order Trust Fund for Afghanistan, which was designed to finance projects related to the security and justice sector in the country.

Table 3.1.3: Type of MDTFs in included studies

Type of MDTF	N	%
Geographically-Specific	27	73
Thematic/Global	10	27
Total:	37	100%

Table 3.1.4 depicts the regional distribution of the 27 MDTFs that were classified as geographically- specific. The total is 27, which includes two of the globally implemented thematic MDTFs whose studies examined the funds' activities only in Africa.

Table 3.1.4: Geographical distribution of geographically-specific MDTFs

Region	N	%
Africa	14	51
Asia	7	26
Europe	1	4
Middle East	5	19
Total:	27	100%

Table 3.1.5 lists the countries in which the MDTF studies were located, as well as the number of studies focusing on that particular country. For this table, studies of thematic/global funds that evaluated implementation in a particular country or region are included; thus the total number of studies is higher than that of the total number of country-specific MDTFs.

Table 3.1.5: MDTF studies by country

Country of Implementation	N	%
Afghanistan	4	7
Bangladesh	1	2
Bosnia and Herzegovina	1	2
DRC	4	7
East Timor	5	8
African Great Lakes Region	2	3
India	1	2
Indonesia	2	3
Iraq	4	7
Mozambique	3	5

Country of Implementation	N	%
Nigeria	1	2
Occupied Palestinian Territories	3	5
Pakistan	1	2
Philippines	1	2
Sri Lanka	1	2
Sudan	16	28
<i>Darfur</i>	1	2
<i>Northern</i>	1	2
<i>Southern</i>	10	17
<i>Combined Northern/Southern</i>	4	7
Tanzania	1	2
Uganda	3	5
Zambia	3	5
Total:	57	100%

Table 3.1.6 shows the variety of sectors that are targeted by thematic MDTFs. When examining them, the Review Team included MDTFs that may have been country-specific, but supported a particular sector.

Table 3.1.6: Range of sectors targeted by thematic MDTFs in included studies

Sector	N	%
Culture	1	2
DDR	2	5
Education	1	2
Emergency Response	1	2
Health	3	7
Peacebuilding	9	21
Reconstruction and Development	26	59
Welfare	1	2
Total:	44	100%

Table 3.1.7 shows that the World Bank and the United Nations and its agencies are, by far, the primary MDTF administrators. Their overwhelming predominance in managing

these funds reflects the experience, expertise and capacity these organisation have in the area. Other managers include private companies, national development agencies and other regional governmental organisations. Interestingly, there are no recipient national governments as fund administrators, demonstrating, perhaps, donors' general reluctance to accede control of funds to recipient partners - one of the key stated aims of the Paris Declaration - or reflecting real and perceived lack of local capacity to manage large funds, which may be the case particularly in fragile states.

Table 3.1.7: Managing organizations for MDTFs included in review

Managing Organisation	N	%
World Bank	14	37
United Nations system	13	35
UNUNDG	5	13
UNDP	1	3
UNICEF	5	13
UNTAET	1	3
	1	3
World Bank and United Nations Co-Managed	1	3
Private Organisation	1	3
Bilateral Donors	4	11
Not Specified	4	11
Total:	37	100%

As shown in Table 3.1.8, the overwhelming majority (N = 30, % = 81) of the 37 MDTFs examined in the final data set were implemented in what are considered fragile contexts - countries or regions affected by natural disasters, conflict, or both. Notably, none of the funds that were implemented in post-crisis areas operated solely in a post-disaster country -all three of the countries were funds were implemented to address post-disaster recovery needs had also experienced conflict, either at the same time or in the recent past..

Table 3.1.8: MDTFs located in fragile environments

	N	%
Post-Disaster	0	0
Post-Conflict	27	90
Both Post-Disaster and Post-Conflict	3	10
Total:	30	100%

Fourteen of the fifty-seven included studies indicated that the UK was a top donor. Table 3.1.9 lists those funds.

Table 3.1.9: Included studies for which the UK is listed as a top donor

Basic Services Fund	National Multi-Donor Trust Fund (South Sudan)
Common Humanitarian Fund (Sudan) (Three different studies listed the UK as a major donor to this fund.)	Peacebuilding Fund (PBF) (Two different studies listed the UK as a major donor to this fund.)
Darfur Community Peace and Stability Fund (DCPSF)	Pooled Fund - DRC (Two different studies listed the UK as a major donor to this fund.)
Joint Donor Team for South Sudan	Sudan Recovery Fund for South Sudan (SRF-SS)
Multi-Donor Trust Fund for South Sudan (MDTF-SS)	Trust Fund for East Timor (TFET)

Appendix 4.1: Further details of the studies included in the synthesis

Because individual studies often indicated that the MDTF in question had both a positive and a negative impact on aid effectiveness, the percentage for all the tables below will not equal 100% and is shown as the percentage of the total number of studies in the final review (N=57).

Forty-four (% = 77) of the studies included a discussion of ownership, while 13 studies (% = 23) did not examine this aspect of aid effectiveness.

Table 4.1.1: MDTF impact on ownership

Impact	N	%
Positive	37	65
Negative	24	42
Number of studies that made recommendations related to improving ownership	8	14

Only 11 (% = 19) of the studies included a discussion of alignment, while 46 studies (% = 81) did not examine this aspect of aid effectiveness.

Table 4.1.2: MDTF impact on alignment

Impact	N	%
Positive	7	12
Negative	5	8
Number of studies that made recommendations related to improving alignment	0	0

Like ownership, 44 (% = 77) of the studies included a discussion of harmonisation, while 13 studies (% = 23) did not examine this aspect of aid effectiveness.

Table 4.1.3: MDTF impact on harmonisation

Impact	N	%
Positive	27	47
Negative	26	45
Number of studies that made recommendations related to improving harmonisation	12	21

Nearly all of the studies (N = 48, % = 85) discussed managing for results topics, leaving only 9 studies (% = 15) that did not examine this aspect of aid effectiveness.

Table 4.1.4: MDTF impact on managing for results

Impact	N	%
Positive	36	63
Negative	34	60
Number of studies that made recommendations related to improving managing for results	30	53

A majority of the studies (N = 32, % = 56) did not include a discussion of mutual accountability, while 25 (% = 44) did

Table 4.1.5: MDTF impact on mutual accountability

Impact	N	%
Positive	13	21
Negative	10	18
Number of studies that made recommendations related to improving mutual accountability	9	16

Appendix 4.2: Examination of impact on aid effectiveness by individual studies

Abbreviations: AP=academic paper; DR=donor report; FAR=fund administrator report; Go=government of (A=Afghanistan; I=Iraq; S=Sudan; SS=South Sudan); IE=independent evaluation; LoU=Letter of Understanding; M&E=monitoring and evaluation; PCNA=post-crisis needs assessment; TOR=terms of reference

MDTF/ Study/ Type of Report	Quality of Study	Ownership: Impact and/or Recommendation	Alignment: Impact and/or Recommendation	Harmonisation: Impact and/or Recommendation	Managing for Results: Impact and/or Recommendation	Mutual Accountability: Impact and/or Recommendation
Afghanistan Reconstruction Trust Fund (ARTF) Scanteam (2005) IE	Medium: - Mixed methods: (1) a 1- month long desk study, which included review of 119 trust fund documents (2) a 2-day research planning workshop (3) interviews with 45 World Bank, IMF, US Treasury and UN officials (4) 2-week long field research in Afghanistan where 92 interviews were conducted with GoA officials, donor representatives, project staff, technical assistance personnel and other informants. (5) 2 days of field visits to provincial administrations and community development projects - Report was commissioned by fund manager	Positive Impact - Fund provides on-budget funding to GoA, allowing for service provision by government Negative Impact - Donor funding distorts the market for skilled labour Recommendations for Improvement - A GoA-led policy forum should be established to develop a more permanent policy dialogue alongside the ARTF	Not Examined in Study	Not Examined in Study	Negative Impact - Many projects have high overhead costs due to the use of external managers or contractors. - No gender policy Recommendations for Improvement - ARTF structure and procedures should be maintained, as they appear to be functional and aligned with best practices. - The monitoring agent should be continued	Positive Impact - Reporting is comprehensive and accessible on the web. - The governance structure is comprehensive, yet flexible. - Close working relationship with GoA to train public officials in public financial management - GoA is putting in place a transparent and competitive public service salary scale through ARTF funds Recommendations for Improvement - Reporting should be modified to include distribution of the management committee meetings' minutes; reports should highlight results, issues and changes

<p>Afghanistan Reconstruction Trust Fund (ARTF)</p> <p>Schiavo-Campo (2003)</p> <p>FAR</p>	<p>Low:</p> <ul style="list-style-type: none"> - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with Bank staff and a small number of staff from other international organisations - Commissioned and written for the World Bank. - Did not provide critical analysis of the Bank's funds 	<p>Positive Impact</p> <ul style="list-style-type: none"> - The national government reviews and endorses funding proposals - Support is provided on-budget 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Cooperation among the UN agencies and UNDP has been better than on some other occasions. 	<p>Not Examined in Study</p>	<p>Not Examined in Study</p>
<p>Afghanistan Reconstruction Trust Fund (ARTF)</p> <p>Scanteam (2007)</p> <p>IE</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs. (3) Full day seminar to discuss preliminary findings of the four country studies. 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Provided on-budget support - Projects have been based on a community participatory process - Donor and fund administrator best practices assisted with the development of national public administration, instruments, and processes - Has a state-building agenda <p>Negative Impact</p> <ul style="list-style-type: none"> - Although local participation was invited, it did not lead the PCNA process, which was agreed to and driven by international actors - The political consensus around the intervention impacted on the discussion of reconstruction 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Relationships between fund partners have been largely constructive, based on agreed roles <p>Negative Impact</p> <ul style="list-style-type: none"> - Largest donor – US – does not manage its resources through the fund - Co-ordination occurs on a rather ad hoc basis - There were no mechanisms for co-ordinating MDTF funding with other funding at the early stages 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Staffing allowed quick start-up <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	<p>Not Examined in Study</p>

	- Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review.					
<p>Afghanistan Reconstruction Trust Fund (ARTF)</p> <p>OECD (2010)</p>	<p>Medium:</p> <p>Methods:</p> <p>(1) a desk review of donor policies and procedures and existing funding instruments in specific countries</p> <p>(2) Extensive literature review and analysis of DAC and Financial Tracking System financial data</p> <p>(3) Interviews with key informants from DAC member countries and multilateral agencies.</p> <p>- The scope was limited to the fund administrator and donor perspectives</p> <p>- Financial analysis was conducted, which was rare amongst studies in the final review</p>	<p>Positive Impact</p> <p>- Plays an important role in budget funding (over 47% of government's operating budget)</p> <p>- The government participates in Fund management and meetings.</p>	<p>Negative Impact</p> <p>- Off-budget projects did not align with national priorities and undermined government service delivery.</p>	<p>Positive Impact</p> <p>- All funding partners are invited to participate in Fund meetings</p> <p>Negative Impact</p> <p>- Donors are frustrated with lack of debates of funding decisions.</p>	Not Examined in Study	<p>Positive Impact</p> <p>- The public now has full information on Fund activities and funding through the open-access website.</p> <p>Negative Impact</p> <p>- Little information about projects funded off-budget was provided, leading to weak transparency</p>
<p>Basic Services Fund (BSF – South Sudan)</p> <p>OECD (2010)</p> <p>IE</p>	<p>Medium:</p> <p>Methods:</p> <p>(1) a desk review of donor policies and procedures and existing funding instruments in specific countries</p>	<p>Positive Impact</p> <p>- Funds service delivery activities at the local level</p> <p>- The GoSS has begun to take an active role in directing fund priorities throughout the country</p>	Not Examined in Study	<p>Negative Impact</p> <p>- The majority of the funding in South Sudan is still headed by bilateral donors and is fragmented</p>	Not Examined in Study	Not Examined in Study

	<p>(2) Extensive literature review and analysis of DAC and Financial Tracking System financial data</p> <p>(3) Interviews with key informants from DAC member countries and multilateral agencies.</p> <ul style="list-style-type: none"> - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review 					
<p>Basic Services Fund (BSF)</p> <p>Foster et al. (2010)</p> <p>IE</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Mixed methods: (1) Interviews with DFID staff and partners (2) Web-based surveys of staff and other stakeholders (3) Review of available documentation (4) Evaluation matrix completed for each main sector, pillar, or thematic area - Lack of Sudanese sources, particularly from North Sudan - There were no field trips to projects, thus limiting the perspective of the evaluation team to those interviewed. 	<p>Positive:</p> <ul style="list-style-type: none"> - Projects engaged with the GoSS - GoSS at several levels made allocation decisions 	<p>Not Examined in Study</p>	<p>Positive:</p> <ul style="list-style-type: none"> - Has drawn in other donors and has a good working relationship with NGO community, which has found it difficult to work with other funds due to cumbersome procedures 	<p>Positive:</p> <ul style="list-style-type: none"> - The Fund has built schools and health posts and brought clean water to more than twice as many people as MDTF-S <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - As it is one of the few effective aid instruments in South Sudan, relieve the BSF and seek ways to expand it, if possible 	<p>Positive:</p> <ul style="list-style-type: none"> - There is a strong monitoring team which reports directly to the GoSS steering committee <p>Negative:</p> <ul style="list-style-type: none"> - There is no recurrent or capital cost commitment from GoSS; thus when a project ends, no further service is provided

	<ul style="list-style-type: none"> - There did not seem to be interviews with beneficiaries or non-beneficiaries. - Report was commissioned by donor 					
Capacity Building Trust Fund (CBTF) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries (2) Extensive literature review and analysis of DAC and Financial Tracking System financial data (3) Interviews with key informants from DAC member countries and multilateral agencies - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review	Positive Impact - The Fund is financing large-scale national training programme on public finance management and administration and supporting public sector reform - The GoSS has begun to take an active role in directing fund priorities throughout the country	Not Examined in Study	Negative Impact - The majority of the funding in South Sudan is still head by bilateral donors and is fragmented	Not Examined in Study	Not Examined in Study
Central Emergency and Response Fund (CERF) Barber et al. (2008) IE	High: - Diverse methodology that was more clearly identified than other studies and included both quantitative and qualitative data. Quantitative data	Not Examined in Study	Negative Impact - In areas where governments have had limited capacity, the CERF's excessive reliance on government systems for implementation has been	Positive Impact - CERF has attracted funding from over 86 donors - CERF has facilitated effective co-ordination in several instances between the government, UN system and other humanitarian organisations	Negative Impact - The CERF has not yet made a noticeable impact on the quality of agency performance in project outcomes - There have been delays in the disbursement of funds by the agencies	Recommendation for Improvement - Multiple lines of accountability need to be clarified

	<p>included:</p> <p>(1) inputs (funding, disbursements, etc.)</p> <p>(2) outputs (actions supported)</p> <p>(3) outcomes (intermediate results against objectives of specific CERF support)</p> <p>(4) impact or potential impact (indicative data are in relation to overall achievement of stated goals). Qualitative data consisted of leading, open-ended questions framed for individual interviews and focus groups</p> <p>Research methods:</p> <p>1) initial briefings at UN Headquarters</p> <p>(2) desk research of key documents, reports, and studies</p> <p>(3) telephone interviews with relevant personnel in seven countries</p> <p>(4) key informant interviews with a wide range of stakeholders</p>		counterproductive	<p>Negative Impact</p> <ul style="list-style-type: none"> - Works best when combined with other funding mechanisms, not as sole funding harmonisation mechanism - In instances where there was improper training or preparation, CERF did not usually have a positive impact on co-ordination of the humanitarian response. - CERF has not led to an improvement in relations between the UN, NGOs, and civil society 	<ul style="list-style-type: none"> - There is a high level of earmarking of funds in CERF allocations - There is a high level of overhead charges <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Quality of CERF funded programmes needs to become more consistent - Strengthen the capacity of the CERF secretariat and OCHA field teams to ensure timely review of applications and high-quality decision making 	
<p>Common Humanitarian Fund (CHF – Sudan)</p> <p>Foster et al. (2010)</p> <p>IE</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Mixed methods: (1) Interviews with DFID staff and partners (2) Web-based surveys of staff and 	Not Examined in Study	Not Examined in Study	<p>Positive:</p> <ul style="list-style-type: none"> - Improved humanitarian response planning, prioritisation and co-ordination process <p>Negative:</p>	<p>Negative:</p> <ul style="list-style-type: none"> - Transaction costs have been shifted from donors to NGOs and UN, but not reduced. - Quality control at entry is weak 	Not Examined in Study

	other stakeholders (3) Review of available documentation (4) Evaluation matrix completed for each main sector, pillar, or thematic area - Lack of Sudanese sources, particularly from North Sudan - There were no field trips to projects, thus limiting the perspective of the evaluation team to those interviewed - There did not seem to be interviews with beneficiaries or non-beneficiaries - Report was commissioned by donor			- Resulted in additional layers of bureaucracy	- Monitoring and evaluation is weak. - Fewer benefits reached people on the ground. Recommendation for Improvement - Study of the CHF in other countries should be undertaken to determine if it experienced the same problems as in Sudan.	
Common Humanitarian Fund (CHF – Sudan) Willitts-King et al. (2007) IE	High: - Multiple methods: (1) Interviews with OCHA and UNDP staff, donors and UN agencies, cluster leads, Board members and NGOs (included telephone interviews with remote locations and HQ level) (2) Shadowing Fund manager staff and attending Board meeting as observer (3) Field visits to Sudan and DRC (3 in Sudan, only 1 in DRC due to security)	Negative Impact - The fund lacks national and local representation on the Advisory Group in both countries - There is limited national government involvement due to the fledgling states, raising the question of what involvement the government should have Recommendations for Improvement - Local government involvement should be decided on a case-by-case basis	Negative Impact - Funding has been directed to areas that have not been prioritised by bilateral donors	Positive Impact - NGOs showed more satisfaction with the fund than during the previous evaluation - The Funds are useful channels for small donors who have little or no in-country presence. - Funding co-ordination has improved because more funding is being channelled in line with appeals Recommendations for Improvement - Strengthen the role of NGOs	Positive Impact - Funds have led to increased funding in both countries. - Funding is being better allocated, especially to under-funded sectors. - Flexibility is a major tool, allowing adaptation to different situations Negative Impact - The allocation process is an area of great concern - Monitoring and evaluation is weak at both the strategic and programme levels - Disbursements, particularly to local NGOs, are still slow due to	Negative Impact - The fund lacks a system to measure and report on its impact on humanitarian outcomes

	<p>concerns)</p> <p>(4) Document review and financial analysis</p> <ul style="list-style-type: none"> - The evaluation was conducted on a short time frame - Used a financial impact analysis, which was the only report in the review to do so on this scale - Conducted a comparative study of a fund over two contexts 				<p>cumbersome reporting procedures</p> <ul style="list-style-type: none"> - The role of the Board is inconsistent - Mismatch between application and disbursement time. - Staffing has lagged behind requirements <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - Develop clear TORs for the Board - The Board should have an annual general policy meeting - Develop clearer outlines on allocation procedures for implementing partners 	
<p>Common Humanitarian Fund (CHF – Sudan)</p> <p>Salomons et al. (2009)</p> <p>IE</p>	<p>Medium:</p> <p>Method consisted of two phases:</p> <p>(1) Desk review of relevant literature and interviews with stakeholders from FAO, UNHCR, UNICEF and WFP as well as donor representatives in London, Oslo, Stockholm, and The Hague</p> <p>(2) Field research in Sudan and DRC for two weeks with interviews with UN staff, donors, and NGOs</p> <ul style="list-style-type: none"> - Methodology is very thorough and clearly identified - Time for field 	Not Examined in Study	Not Examined in Study	<p>Positive Impact</p> <ul style="list-style-type: none"> - Donors with limited representation have begun to use CHF - Issues with format and reporting requirements have been resolved <p>Negative Impact</p> <ul style="list-style-type: none"> - NGOs often do not reap the benefit of the time they spend co-ordinating with the Fund - There was a multiplication of meetings due to the cluster approach 	<p>Negative Impact</p> <ul style="list-style-type: none"> - Management is very decentralised - Lengthy negotiation for funding - High transaction costs for agencies - Reporting is complex 	Not Examined in Study

	research is limited and it is unclear if visits to projects were conducted. - Comparative analysis of a fund in two locations					
Common Humanitarian Fund (CHF) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries (2) Extensive literature review and analysis of DAC and Financial Tracking System financial data (3) Interviews with key informants from DAC member countries and multilateral agencies. - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review	Positive Impact - Continues to provide significant funding for South Sudan - Leads on public sector reform - The GoSS has begun to take an active role in directing fund priorities throughout the country	Not Examined in Study	Negative Impact - The majority of the funding in South Sudan is still head by bilateral donors and is fragmented	Not Examined in Study	Not Examined in Study
Consolidated Fund for East Timor (CFET) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries	Positive Impact - Focused on recurrent expenditures, civil service, and capacity building. - Provided funding on-budget	Not Examined in Study	Not Examined in Study	Not Examined in Study	Not Examined in Study

	<p>(2) Extensive literature review and analysis of DAC and Financial Tracking System financial data</p> <p>(3) Interviews with key informants from DAC member countries and multilateral agencies.</p> <ul style="list-style-type: none"> - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review 					
<p>Consolidated Support Program (CSP) (Timor Leste)</p> <p>Scanteam (2007)</p> <p>IE</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: <p>(1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report</p> <p>(2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs</p> <p>(3) Full day seminar to discuss preliminary findings of the four country studies</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Support is provided on-budget and provides operating expenditures for key sectors - Has a state-building agenda <p>Negative Impact</p> <ul style="list-style-type: none"> - Although local participation was invited, it did not lead the PCNA process, which was agreed to and driven by international actors 	Not Examined in Study	<p>Positive Impact</p> <ul style="list-style-type: none"> - Relationships between fund partners have been largely constructive, based on agreed roles 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Disbursements have been speedy <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	Not Examined in Study

	- Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review					
Crisis Prevention and Recovery Thematic Trust Fund (CPR-TTF) DFID (2010) DR	Medium: - Methodology was based on: (1) desk review of key documents (2) Interviews with key informants and selected donors (3) three country case studies - Gives comparative analysis of four major funds - Commissioned by donor	Not Examined in Study	Not Examined in Study	Not Examined in Study	Positive Impact - Flexible to receive both earmarked and non-earmarked contributions Negative Impact - Varying disbursement times from a few weeks to several months - Relies heavily on UNDP M&E systems and regular reporting, yet there is limited information on the performance and impact of the interventions funded by the CPR-TTF and what is available is not easily accessible	Not Examined in Study
Darfur Community Peace and Stability Fund (DCPSF) Morton et al. (2010) IE	Medium: - Mixed methods: (1) Review of project documentation, correspondence, and broader recovery documents (2) Interviews with key staff from Fund secretariat, UN, donors, implementing partners and other actors supporting local peace building (3) Field trips to Nyla, El Geneina and El Fasher to meet	Not Examined in Study	Not Examined in Study	Not Examined in Study	Negative Impact - Not working effectively as a decision-making body - Unclear analysis of the intervention logic - Poorly specified monitoring indicators - Limited communication of the fund's goals and plans Recommendation for Improvement - A more rigorous market assessment and economic analysis should be conducted and inform the fund's programme decisions	Negative Impact - Issues are only resolved at the headquarters in New York; there is no collaboration

	implementing partners, beneficiaries and stakeholders - Limited field research and report draft time - Report was undertaken on behalf of donor					
Education For All Fast Track Initiative (EFA FTI) Cambridge Education (2010) IE	High: - Evaluation was conducted by multiple organisations - Extensive documentary analysis at global and country levels - Interviews with over 750 stakeholders representing the full range of FTI constituencies - Set of country case studies	Positive Impact - A Poverty Reduction Strategy Paper was a prerequisite for FTI endorsement. (PRSPs are a DAC indicator for ownership.) Negative Impact - Entirely a donor initiative - There was limited impact by the FTI on domestic budget allocations Recommendations for Improvement - Much stronger country representation, including participation in financial decisions	Not Examined in Study	Positive Impact - Guided by principles related to the Paris Declaration for aid effectiveness - The FTI has been an inclusive global forum for donors, where it has fostered a strong involvement from a broad coalition of OECD DAC donors Recommendations for Improvement - Make influence proportional to donors' contributions to the partnership	Positive Impact - There has been significant growth in current education expenditure - Progress has been made in strengthening the FTI's governance, both at global and country levels Negative Impact - The application of allocation criteria has not been consistent or strategic - Less attention has been given to monitoring and review of implementation at the country level - A lack of clarity about FTI procedures resulted in high transaction costs - There are weaknesses in design, implementation, governance and evaluation - It has been too dependent on the World Bank for implementation - No adequate M&E framework from the outset Recommendations for Improvement - Reduce dependence on the World Bank	Recommendations for Improvement - Enhance accountability for donors and governments. - Strengthen key governance structures

<p>European Union Instrument for Stability (IFS)</p> <p>DFID (2010)</p> <p>DR</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Methodology was based on: <ol style="list-style-type: none"> (1) desk review of key documents (2) Interviews with key informants and selected donors (3) three country case studies. - Comparison study - Commissioned by donor 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Provides direct budget support <p>Negative Impact</p> <ul style="list-style-type: none"> - IFS bases its priorities on internally produced frameworks 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Monthly briefings ensure co-ordination 	<p>Positive Impact</p> <ul style="list-style-type: none"> - IFS headquarter-level governance structure appears to enable strategic decision making - Accelerated process can disburse funds in two weeks - Central-level reporting systems that contribute to an enhanced system for monitoring and assessment of performance and impact 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Monthly briefings ensure member states are always updated
<p>Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund)</p> <p>Oomman et al. (2007)</p> <p>IE</p>	<p>High:</p> <ul style="list-style-type: none"> - Comparative analysis of three types of funds from different fund managers in three different environments. (This was the most complex study in the final review results.) - Document review and interviews with officials from donor agencies - Draft of report was reviewed by technical experts and informed individuals in donor organisations to ensure accuracy 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Stakeholders within the recipient countries determine which projects are funded - Disbursements are typically to the national government, generally on-budget <p>Negative Impact</p> <ul style="list-style-type: none"> - There are significant bottlenecks within countries, usually because of the recipient government's lack of capacity to manage funds <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - Re-examine strategy to build local capacity 	<p>Not Examined in Study</p>	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Flexible funding both within and between countries. <p>Negative Impact</p> <ul style="list-style-type: none"> - There are considerable problems with the speed and predictability of funding, though most of these appear to originate with the recipient, not the Fund <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - Focus on the funding gap. - Simplify the process for good performers 	<p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - Publicly disclose data.
<p>Holst Fund</p> <p>Schiavo-Campo (2003)</p> <p>FAR</p>	<p>Low:</p> <ul style="list-style-type: none"> - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Provided recurrent budget support for a variety of government ministries and eventually was a mechanism for budget support 	<p>Not Examined in Study</p>	<p>Not Examined in Study</p>	<p>Negative Impact</p> <ul style="list-style-type: none"> - Had a long lag time between agreement and disbursement 	<p>Not Examined in Study</p>

	Bank staff and a small number of staff from other international organisations - Commissioned and written for the World Bank - Did not provide critical analysis of the Bank's funds					
Holst Fund Scanteam (2007) IE	High: - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review	Positive Impact - The political processes built into the needs assessment were handled in other fora. - Provided on-budget support - Has a state-building agenda	Not Examined in Study	Not Examined in Study	Positive Impact - Disbursements have been speedy Recommendation for Improvement - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible	Not Examined in Study

<p>International Reconstruction Fund Facility for Iraq (IRFFI)</p> <p>Scanteam (2009a)</p> <p>IE</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Methodology focused primarily on the performance of individual projects as a measure of fund effectiveness - Field study conducted by local consultants in a 4-month period - Literature search, document review, and interviews - The methodology for this study was defined more clearly in a previous Scanteam report included in the final dataset 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Effective support for capacity development in Iraqi institutions <p>Negative Impact</p> <ul style="list-style-type: none"> - The GoI was not in a position to fully exercise ownership of the fund by directing priorities or participating in the development and approval of projects; therefore its involvement was not as extensive as it should have been 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Provided a forum for co-ordination and discussion in a very volatile political environment <p>Negative Impact</p> <ul style="list-style-type: none"> - Did not meet its goal of being a co-ordinated funding mechanism - There was a lack of co-ordination between the two facilities, undermining the Fund's potential to address development needs <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Individual donors should review their procedures to ensure they are consistent with pooled funding principles - The UN and World Bank should conduct a joint review to define options for collaboration for a 'two-window' MDTF 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Is an effective mechanism for mobilising financial resources and international support for recovery - High level of technical flexibility and stakeholder engagement - Most of the 17 projects reviewed showed real and meaningful impact in beneficiaries' lives <p>Negative Impact</p> <ul style="list-style-type: none"> - Weaknesses in the governance structure have emerged - Has not been very successful developmentally. - Delays and reduced scope undermined the outcomes and value for money of Fund projects <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Reporting should be current and complete - Conduct a summary review of all projects approved on the fast track procedure 	<p>Positive Impact</p> <ul style="list-style-type: none"> - High level of transparency through use of the monitoring and financial management systems of the fund administrators and the website
<p>Joint Donor Team for South Sudan (JDT)</p> <p>Bennett et al. (2009)</p> <p>IE</p>	<p>Medium:</p> <p>Mixed methods:</p> <ol style="list-style-type: none"> (1) Two-week field visit to Juba and Khartoum (2) Web survey, to which 50 stakeholders responded (3) Follow-up interviews <ul style="list-style-type: none"> - There was a very detailed 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Worked closely with the GoSS. - Its contribution to ownership is rated high - It strengthened government capacity in budget planning - Had visible impact on capacity building <p>Negative Impact</p> <ul style="list-style-type: none"> - Sustainability is still an issue as capacity building in South 	<p>Positive Impact</p> <ul style="list-style-type: none"> - The JDT had moderate impact on promoting alignment to government systems 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Played a significant role in promoting policy dialogue between donors and the GoSS - Was effective representing the donors under one organisation - Strengthened harmonisation between other stakeholders <p>Negative Impact</p>	<p>Negative Impact</p> <ul style="list-style-type: none"> - Lacked a coherent strategy and the management board stopped short of approving a multi-annual strategic plan - It took one year from operational start-up for project development to move into implementation - Governance structure is inadequate and has performed badly - Staff shortages have 	<p>Not Examined in Study</p>

	methodology, which was more in-depth than other studies in the review - Report written on behalf of donors	Sudan is not yet institutionalised across government departments		- Communication between the JDT and donors was weak, but improved with time Recommendations for Improvement - JDT should be given responsibility for monitoring bilateral programmes of donors	limited JDT's performance Recommendations for Improvement - Invest greater resources in staff numbers and quality	
Mindanao Trust Fund-Reconstruction and Development Program (MTF-RDP) World Bank (2008) FAR	Low: - Written by fund administrator - Very limited methodology, consisting of a review of progress reports, monitoring reports and other fund documents, project site monitoring visits, preliminary impact assessment - Is included because it was one of the few studies that used an impact assessment and included quantitative data to support its analysis	Positive Impact - The Board of Directors is made up of local stakeholders - Local community consultation has showed results in projects - Projects instilled self-confidence in community members that they could manage their own projects	Not Examined in Study	Positive Impact - The Fund did not generate another layer of bureaucracy	Positive Impact - Surveys showed that the fund has made a real difference in communities and its members' lives in both tangible and intangible ways	Positive Impact - Fund maintains a website that presents stories and current information on activities, projects and partners of the Program.
Multi-Country Demobilisation & Reintegration Program (MDRP) Scanteam (2010) IE	Medium: - Mixed methods: (1) desk study, which included review of relevant documents (2) interviews with relevant fund staff and stakeholders (3) field visits to areas where MDRP was implemented	Positive Impact - Programme was based on the principle of national ownership. - Stable governments were better able to enter into partnerships Negative Impact - Debates over policy did not occur in the field, thus it	Not Examined in Study	Positive Impact - The MDRP was an unprecedented partnership of national governments, donor countries, UN agencies, the World Bank and local implementers	Positive Impact - A dedicated framework like the Roles Matrix was an excellent planning tool - The Advisory Committee and Technical Coordination Group were constructive meeting places for debating policy issues, new ideas, and learning	Positive Impact - The MDRP produced a number of studies and contributed to knowledge in a number of sectors

	<ul style="list-style-type: none"> - Report was commissioned by fund manager 	<ul style="list-style-type: none"> lacked a local perspective and voice - Recipient governments were sensitive to the policy dimensions attached to funding 			<p>Negative Impact</p> <ul style="list-style-type: none"> - Weak management sometimes caused delays. - High rotation of staff created problems in operations <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - The World Bank should review its policies, procedures and staffing in terms of adequacy for operating and administering ambitious programmes like the MDRP 	
<p>Multi-Country Demobilisation & Reintegration (MDRP)</p> <p>Scanteam (2007)</p> <p>IE</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies. - Was the most comprehensive review of multiple MDTFs from a 	<p>Positive Impact</p> <ul style="list-style-type: none"> - The views of governments and key national actors in seven countries were brought on board - Based on an analysis of the challenges that the conflict in the region represented - Fund works with local councils and local leaderships. - Priority for public capacity development 	<p>Negative Impact</p> <ul style="list-style-type: none"> - The Fund does not address national priority of regional peace and stability - The value of demobilisation and reintegration varies by country 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Agencies have partnered in the needs assessment process <p>Negative Impact</p> <ul style="list-style-type: none"> - Relationship between partners has been complex and even contentious - One donor may withhold contribution due to concerns of misprocurement and possible corruption 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Clear operational guidelines have been in operation <p>Negative Impact</p> <ul style="list-style-type: none"> - UN staff was accused of exaggerating security considerations, thus making operations unnecessarily expensive <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	Not Examined in Study

	variety of relevant factors in the final review					
Multi-Country HIV/AIDS Program for Africa (MAP) Oomman et al. (2007) IE	High: - Comparative analysis of three types of funds from different fund managers in three different environments. (This was the most complex study in the final review results.) - Document review and interviews with officials from donor agencies - Draft of report was reviewed by technical experts and informed individuals in donor organisations to ensure accuracy	Positive Impact - Strengthens national response to AIDS - Places priority on capacity building and institutional strengthening - Host country governments assume the lead role in designing, planning, and overseeing MAP projects. - All funding is disbursed to the national government Negative Impact - There are significant bottlenecks in the recipient government system Recommendations for Improvement - Focus resources on building government capacity. - Transition to existing government systems	Not Examined in Study	Not Examined in Study	Positive Impact - Reporting is more detailed than required Negative Impact - Projects generally follow World Bank processes rather than following standard government procedures, even if the funding is channelled through the government Recommendations for Improvement - Increase focus on prevention activities - Increase individual disbursement amounts	Recommendations for Improvement - Publicly disclose data
Multi Donor Fund for Aceh & Nias (MDF) Scanteam (2009b) IE	Medium: - Mixed methods: (1) Desk review of relevant documents (2) Interviews with relevant stakeholders and fund officials (3) field visit - Performance review on behalf of fund administrator	Positive Impact - The Fund has worked closely with Gol structures and local stakeholders Negative Impact - The Gol has experienced bottlenecks in public financing Recommendations for Improvement - MDF support should start with funding a careful needs assessment for Aceh in order to develop a province-wide	Positive Impact - The Fund has aligned with the Gol's recovery priorities	Recommendations for Improvement - The Fund could include other smaller donors with solely bilateral programmes. - Continue to invite non-voting members to the Steering Committee meetings to improve coordination.	Positive Impact - The current governance structure provides a rational division of labour between policy and approval functions and technical appraisal and review of projects - The Secretariat is seen as hard working and high quality - It has been successful in making transactions and costs transparent Negative Impact	Positive Impact - Reporting and documentation of meetings is solid - Publication of meetings on the Fund's website improves transparency and credibility

		coherent strategy			<ul style="list-style-type: none"> - The fund has been slower to disburse than expected. - Transaction costs are increasing over time 	
Multi Donor Fund for Aceh & Nias (MDF) Scanteam (2007) IE	High: <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies. - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review 	Positive Impact <ul style="list-style-type: none"> - Fund works with local councils and local leaderships 	Not Examined in Study	Negative Impact <ul style="list-style-type: none"> - Legal agreements between donors and fund administrators have been problematic and created delays - There was no knowledge of negotiations for a financial management framework agreement at a corporate level, resulting in redundant field work - Some bilateral donors used large tsunami aid to gain direct access to decision makers and did not want to channel their resources through the MDF - There has been some frustration on the part of the EU because the Fund comes across as a World Bank endeavour, even though the EU provides 10 times the funding as the Bank and other donors combined 	Positive Impact <ul style="list-style-type: none"> - The set-up process was fast and the stages well-defined, with the first damage and loss assessment completed over 3 weeks - Reviews were conducted of the administrative and accounting systems of implementing partners to ensure that standards were being met. Negative Impact <ul style="list-style-type: none"> - There were initial delays in disbursements - UN staff was accused of exaggerating security considerations, thus making operations unnecessarily expensive - Bank procedures were cumbersome, resulting in delays Recommendation for Improvement <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	Positive Impact <ul style="list-style-type: none"> - Transparency is high because of the use of a website to publish fund documents, such as the operations manual, which has been updated several times - There is a clear anti-corruption strategy - an ombudsman position allows local stakeholders to complain and demand redress of any errors committed by the Fund's programmes

Multi-Donor Trust Fund for Northern Sudan (MDTF-N) Scanteam (2007) IE	High: - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review	Positive Impact - The political processes built into the needs assessment were handled in other fora - Fund works with local councils and local leaderships - Priority for public capacity development	Not Examined in Study	Positive Impact - Agencies have partnered in the needs assessment process	Positive Impact - The process was tied to a peace process, thus had a formal basis and clear starting point Recommendation for Improvement - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible	Not Examined in Study
Multi-Donor Trust Fund for South Sudan (MDTF-SS) Foster et al. (2010) IE	Medium: - Mixed methods: (1) Interviews with DFID staff and partners (2) Web-based surveys of staff and other stakeholders (3) Review of available documentation (4) Evaluation matrix completed for each	Not Examined in Study	Not Examined in Study	Negative: - There was legal wrangling over the terms with which UN agencies could be contracted for project implementation, creating delays in delivery	Positive: - Road projects have achieved good results in South Sudan, decreasing journey times by 80% on 800 km of critical roads Negative: - Impact has been limited and has experienced long start-up delays - Impact is satisfactory for only half of the projects, all	Negative: - There are problems related to counterpart funding from GoSS and GoS

	main sector, pillar or thematic area - Lack of Sudanese sources, particularly from North Sudan - There were no field trips to projects, thus limiting the perspective of the evaluation team to those interviewed - There did not seem to be interviews with beneficiaries or non-beneficiaries - Report was commissioned by donor				in areas of service delivery or clear outputs (transport, education, water and sanitation, rapid impact projects and the census)	
Multi-Donor Trust Fund for South Sudan (MDTF-SS) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries (2) Extensive literature review and analysis of DAC and Financial Tracking System financial data (3) Interviews with key informants from DAC member countries and multilateral agencies. - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare	Negative Impact - The international community underestimated the extent of the destruction brought by the civil war and the time it would take to build government capacity - There was an assumed national government contribution of two-thirds of the total funding 2–3 which did not materialise, which slowed operation and development of the MDTF - The GoSS took a long time to establish itself, slowing MDTF operations along traditional World Bank processes - The GoSS has begun to take an active role in directing fund priorities throughout the country - There were unrealistic expectations by national and local actors on fund benefits	Not Examined in Study	Negative Impact - There are multiple funds operating in South Sudan - Donors are pooling resources in other funds - There were unrealistic expectations by donors on fund benefits Recommendations for Improvement - The Fund must manage expectations of donors	Negative Impact - The Fund conducted no disbursements between November 2007 and June 2009 - The Fund was set up with conflicting goals of delivering a quick peace dividend and building government capacity Recommendations for Improvement - Fund must have a clear strategy	Not Examined in Study

	amongst studies in the final review	Recommendations for Improvement <ul style="list-style-type: none"> - The Fund must manage the expectations of national and local actors 				
Multi-Donor Trust Fund for Southern Sudan (MDTF-SS) AFR and OPCS (2010) FAR	Low: <ul style="list-style-type: none"> - Method limited to a World Bank mission conducted for two weeks, consisting mostly of interviews and meetings with government, donors and implementing partners - Written on behalf of fund administrator 	Negative Impact <ul style="list-style-type: none"> - Unfulfilled high expectations led to frustration over operations Recommendations for Improvement <ul style="list-style-type: none"> - Increase operational and management support to the government during implementation - Work with the GoSS and donors to include assistance in a unified government budget - Co-ordinate with GoSS to draft a procurement law 	Positive Impact <ul style="list-style-type: none"> - There have been notable improvements in a number of ministries setting forth priorities and expanding their capacity for fund management Negative Impact <ul style="list-style-type: none"> - Donor alignment was discordant 	Negative Impact <ul style="list-style-type: none"> - Donor co-ordination was dysfunctional, negatively impacting on harmonisation. - Time was lost on internal procedures for donor co-ordination - Donors created new funds and aired grievances publicly Recommendations for Improvement <ul style="list-style-type: none"> - Immediately implement a new strategy for better donor co-ordination and communication 	Positive Impact <ul style="list-style-type: none"> - Projects related to infrastructure went according to plan and others are improving Negative Impact <ul style="list-style-type: none"> - World Bank fiduciary and contracting procedures in a weak capacity environment created backlogs - There was no clear communication strategy. - Political objectives overcame considerations of limitations of severity of operating conditions and lack of human capacity - There were multiple understandings of the Fund's mandate. - Disbursements were slow. - Lack of staffing. Recommendations for Improvement <ul style="list-style-type: none"> - Reallocate, cut and restructure projects to assure speedy delivery of outputs - Revise the aid architecture for better co-ordination and harmonisation - Assign knowledgeable staff to key positions 	Negative Impact <ul style="list-style-type: none"> - Procurement and auditing are areas of significant concerns Recommendations for Improvement <ul style="list-style-type: none"> - Establish a coherent communications and reporting strategy

Multi-Donor Trust Fund for Southern Sudan (MDTF-SS) Scanteam (2007) IE	High: - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review	Positive Impact - The political processes built into the needs assessment were handled in other fora - Donor and fund administrator best practices assisted with the development of national public administration, instruments and processes - Fund works with local councils and local leaderships. - Priority for public capacity development	Not Examined in Study	Positive Impact - Agencies have partnered in the needs assessment process	Positive Impact - The process was tied to a peace process, thus had a formal basis and clear starting point Recommendation for Improvement - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible. - The MDTF should be structured so that it has a formal basis and clear starting point, e.g. tying it to a peace process	Not Examined in Study
Multi Donor Trust Fund for West Bank & Gaza Schiavo-Campo (2003) FAR	Low: - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with Bank staff and a small number of staff from other international organisations					

	<ul style="list-style-type: none"> - Commissioned and written for the World Bank - Did not provide critical analysis of the Bank's funds 					
National Development Trust Fund (NDTF) [formerly Janasviya Trust Fund] Shaw (1999) AP	Low: <ul style="list-style-type: none"> - Limited methodology based only on desk review - Referenced 24 documents - Very thorough examination of fund from inception to completion – one of few studies to do so - One of only two academic, peer-reviewed published articles in study search results 	Positive Impact <ul style="list-style-type: none"> - Transferred service delivery of welfare benefits from strong central state to local government, thereby increasing ownership by local government - Was the only fund with the stated goal of diluting the power of the central government - Programmes worked closely with local government agencies and allowed them to negotiate with NGOs in a way non-threatening to local power structures 	Not Examined in Study	Positive Impact <ul style="list-style-type: none"> - NGOs are working more closely with central government ministries and some have developed strong working relationships Negative Impact <ul style="list-style-type: none"> - The fund actively sought to dilute the power of the central government - The Bank failed to provide a clear strategic direction for fund operations 	Positive Impact <ul style="list-style-type: none"> - Nutrition fund achieved notable reductions in infant malnutrition (15% with most successful project) - Community projects successfully trained and employed workers Negative Impact <ul style="list-style-type: none"> - Vast majority of credit projects failed to provide an adequate primary source of household income to beneficiaries - There was a shortage of local personnel with required skills and expertise for fund operations and project implementation - Viewing quantitative inputs and outputs as end in themselves 	Negative Impact <ul style="list-style-type: none"> - Unilateral decision making by the Bank staff in Washington - The central government led an inquiry into the fund's operations
National Multi-Donor Trust Fund (South Sudan) [Linked to MDTF-SS] Foster et al. (2010) IE	Medium: <ul style="list-style-type: none"> - Mixed methods: (1) Interviews with DFID staff and partners (2) Web-based surveys of staff and other stakeholders (3) Review of available documentation (4) Evaluation matrix completed for each main sector, pillar, or 	Not Examined in Study	Not Examined in Study	Not Examined in Study	Positive: <ul style="list-style-type: none"> - Road projects have achieved good results in South Sudan, decreasing journey times by 80% on 800 km of critical roads Negative: <ul style="list-style-type: none"> - Impact has been limited and has experienced long start-up delays 	Not Examined in Study

	thematic area - Lack of Sudanese sources, particularly from North Sudan - There were no field trips to projects, thus limiting the perspective of the evaluation team to those interviewed - There did not seem to be interviews with beneficiaries or non-beneficiaries - Report was commissioned by donor					
Peacebuilding Fund (PBF) DFID (2010) DR	Medium: - Methodology was based on: (1) desk review of key documents (2) Interviews with key informants and selected donors (3) three country case studies. - Comparison study - Commissioned by donor	Not Examined in Study	Positive Impact - Aligned to government priorities	Positive Impact - There are mechanisms to link to other funds, fostering co-ordination	Positive Impact - There is a strong headquarter-level governance structures involving various layers of the UN peacebuilding architecture - Strongly discourages earmarked contributions. - Funding disbursement time frame of three weeks to a month - Central-level reporting mechanisms - The Secretariat is considering adapting a set of common peacebuilding and post-conflict indicators Negative Impact - The reports do not seem to include the quality information required to assess the overall performance and impact of the funds	Not Examined in Study

Peacebuilding Fund (PBF) Ball and van Beijnum (2009) IE	Low: - Limited methodology that focused on interviews with fund managers and staff - Comparative analysis between multiple locations. - Written on behalf of donors - Focus was on providing recommendations rather than examining impact in-depth	Not Examined in Study	Not Examined in Study	Recommendation for Improvement - Clarify roles of and responsibilities of key stakeholders	Positive Impact - Has promoted discussion and learning about peacebuilding issues in post-conflict environments - Promoted ongoing peacebuilding processes - Effective fundraiser Recommendation for Improvement - Strengthen strategic focus of PBF funding - Engage in critical start-up activities - Strengthen PBF operational guidance - Identify main sources of delays in development, approval and implementation - Strengthen communication strategy - Accept political realities	Not Examined in Study
Pooled Fund (DRC) Willits-King et al. (2007) IE	High: - Multiple methods: (1) Interviews with OCHA and UNDP staff, donors and UN agencies, cluster leads, Board members and NGOs (included telephone interviews with remote locations and HQ level) (2) Shadowing Fund manager staff and attending Board meeting as observer (3) Field visits to Sudan and DRC (3 in Sudan, only 1 in DRC due to security)	Negative Impact - The fund lacks national and local representation on the Advisory Group in both countries - There is limited national government involvement due to the fledgling states, raising the question of what involvement the government should have Recommendations for Improvement - Local government involvement should be decided on a case-by-case basis	Negative Impact - Funding has been directed to areas that have not been prioritised by bilateral donors	Positive Impact - NGOs showed more satisfaction with the fund than during the previous evaluation - The Funds are useful channels for small donors who have little or no in-country presence - Funding co-ordination has improved because more funding is being channelled in line with appeals Recommendations for Improvement - Strengthen the role of NGOs	Positive Impact - Funds have led to increased funding in both countries - Funding is being better allocated, especially to underfunded sectors - Flexibility is a major tool, allowing adaptation to different situations Negative Impact - The allocation process is an area of great concern. - Monitoring and evaluation is weak at both the strategic and programme levels. - Disbursements, particularly to local NGOs, are still slow due to	Negative Impact - The fund lacks a system to measure and report on its impact on humanitarian outcomes

	<p>concerns)</p> <p>(4) Document review and financial analysis</p> <ul style="list-style-type: none"> - The evaluation was conducted on a short time frame - Used a financial impact analysis, which was the only report in the review to do so on this scale. - Conducted a comparative study of a fund over two contexts 				<p>cumbersome reporting procedures</p> <ul style="list-style-type: none"> - The role of the Board is inconsistent - Mismatch between application and disbursement time - Staffing has lagged behind requirements <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - Develop clear TORs for the Board - The Board should have an annual general policy meeting - Develop clearer outlines on allocation procedures for implementing partners 	
<p>Pooled Fund (DRC)</p> <p>Salomons et al. (2009)</p> <p>IE</p>	<p>Medium:</p> <p>Methodology consisted of two phases:</p> <p>(1) Desk review of relevant literature and interviews with stakeholders from FAO, UNHCR, UNICEF and WFP as well as donor representatives in London, Oslo, Stockholm and The Hague</p> <p>(2) Field research in Sudan and DRC for two weeks with interviews with UN staff, donors, and NGOs</p> <ul style="list-style-type: none"> - Methodology is very thorough and clearly identified 	Not Examined In Study	Not Examined In Study	<p>Negative Impact</p> <ul style="list-style-type: none"> - Increased workload due to Fund co-ordination activities 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Increased funding for some agencies due to PF <p>Negative Impact</p> <ul style="list-style-type: none"> - High transaction costs to staff - Some agencies experience difficulties because the nationwide focus of the fund does not match their processes - Fund management requires a set of skills beyond the technical expertise of staff <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Design job descriptions to reflect new responsibilities. - Donors should increase support to agencies' administrative budget to 	Not Examined In Study

	-Time for field research is limited and it is unclear if visits to projects were conducted - Comparative analysis of a fund in two locations				offset higher transaction costs	
Pooled Fund (DRC) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries (2) Extensive literature review and analysis of DAC and Financial Tracking System financial data (3) Interviews with key informants from DAC member countries and multilateral agencies - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review	Negative Impact - Local leaders were too focused on fighting the elections to provide necessary leadership on priorities and objectives	Not Examined in Study	Negative Impact - Some donors and agencies are uncomfortable with the Fund's use of a broad definition of humanitarian aid - While donors agreed on the importance of development, they could not agree on what was needed	Positive Impact - Has been used to support early recovery/transition activities - Humanitarian aid to the DRC has risen steadily	Not Examined in Study
Post Conflict Fund (PCF) Lele and Gerrard (2004) IE	Medium: - Written for a fund manager - Use of OED's standard evaluation criteria, 14 eligibility and approval criteria	Not Examined in Study	Not Examined in Study	Negative Impact - Currently the country-by-country approach does not foster cross-country lessons and co-ordination Recommendation for	Positive Impact - Project outcomes were the same as the Bank's 1990s norm - A flexible instrument like PCF serves needs that other modalities cannot in	Positive Impact - Some project-level evaluations are available on the PCF website

	for global programmes, and 8 eligibility criteria for grant support from the Development Grant Facility – resulting in 20 evaluation questions - Consulted with 55 experts and sources			Improvement - Attract greater donor funding	<p>conflict-affected environments - High percentage of grants disbursed - Data collection and management has improved. - PCF has simple bureaucratic procedures</p> <p>Negative Impact - Projects can continue without results-based framework and M&E - No country/regional allocation criteria. - Insufficient oversight of fund's expenditures</p> <p>Recommendation for Improvement - Improve implementation monitoring - strengthen knowledge generation and management - Become more proactive about funding projects</p>	
<p>President's Emergency Plan for AIDS Relief (PEPFAR)</p> <p>Oomman et al. (2007)</p> <p>IE</p>	<p>High: - Comparative analysis of three types of funds from different fund managers in three different environments. (This was the most complex study in the final review results.) - Document review and interviews with officials from donor agencies. - Draft of report was reviewed by</p>	<p>Positive Impact - PEPFAR's active vigilance of the public sector ensures funding moves through the government system quickly</p> <p>Negative Impact - The fund focuses efforts largely outside the government system</p> <p>Recommendations for Improvement - Make the government a true partner. - Strengthen capacity building activities in the host country</p>	Not Examined in Study	<p>Positive Impact - PEPFAR actively participates in groups which aim to harmonise donor and government activities</p>	<p>Positive Impact - Provided the most money of the three funds studied. - Funds tend to flow quickly and predictably, with most funds going to international (mainly US) NGOs</p> <p>Negative Impact - The annual report and planning process is very time-consuming, requiring all staff attention</p> <p>Recommendations for Improvement - Increase flexibility of</p>	<p>Negative Impact - The host government has very limited involvement in the oversight of the Fund's programmes</p> <p>Recommendations for Improvement - Publicly disclose data</p>

	technical experts and informed individuals in donor organisations to ensure accuracy				programming and funding. - Adopt two-year cycles for Country Operational Plans	
Sudan Recovery Fund for South Sudan (SRF-SS) Foster et al. (2010) IE	Medium: - Mixed methods: (1) Interviews with DFID staff and partners (2) Web-based surveys of staff and other stakeholders (3) Review of available documentation (4) Evaluation matrix completed for each main sector, pillar or thematic area - Lack of Sudanese sources, particularly from North Sudan - There were no field trips to projects, thus limiting the perspective of the evaluation team to those interviewed - There did not seem to be interviews with beneficiaries or non-beneficiaries - Report was commissioned by donor	Not Examined in Study	Not Examined in Study	Negative: - This fund adds to the complexity of the aid architecture in South Sudan without offering significant benefits to aid co-ordination or efficiency	Not Examined in Study	Not Examined in Study
Sudan Recovery Fund for South Sudan (SRF-SS) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in	Positive Impact - The GoSS has begun to take an active role in directing fund priorities throughout the country.	Not Examined in Study	Not Examined in Study	Not Examined in Study	Not Examined in Study

	<p>specific countries</p> <p>(2) Extensive literature review and analysis of DAC and Financial Tracking System financial data</p> <p>(3) Interviews with key informants from DAC member countries and multilateral agencies</p> <ul style="list-style-type: none"> - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review 					
<p>Tanzania Cultural Trust Fund</p> <p>Lange and Rønnevig (2005)</p> <p>IE</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Mixed methods: field visits, and interviews with donors, TCTF staff and board members, heads of three constituency focal points, seven beneficiaries of the trust fund (institutions and individuals) and artists with no relationship to the fund - This was the only study that interviewed non-beneficiaries - Limited field time - Written on behalf of donor 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Local stakeholders sit on board and actively take part in decision making <p>Negative Impact</p> <ul style="list-style-type: none"> - Some community members feel alienated by 'elites' on the board – they do not feel the fund is inclusive 	<p>Positive Impact</p> <ul style="list-style-type: none"> - The Fund is aligned with a sector which the national government wants to fund, but is incapable of doing so - It is also aligned with the donor's stated policy objective of promoting development cooperation with Tanzania 	<p>Not Examined in Study</p>	<p>Negative Impact</p> <ul style="list-style-type: none"> - High administrative costs - Some financial irregularities and irresponsible spending of fund resources by staff <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Organise and independently audit to explore financial reporting irregularities - Improve project monitoring - Define clearer policy for grant allocation 	<p>Negative Impact</p> <ul style="list-style-type: none"> - Poor reporting and communication of fund goals and activities <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Improve routines for financial and administrative reports of programme activities

Technical Assistance Trust Fund (TATF) Schiavo-Campo (2003) FAR	Low: - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with Bank staff and a small number of staff from other international organisations - Commissioned and written for the World Bank - Did not provide critical analysis of the Bank's funds	Positive Impact - Was responsive to Palestinian wishes in the activities it sponsored across 15 sectors	Not Examined in Study	Not Examined in Study	Positive Impact - Successfully set up a general framework for action - Had supervision continuity and resources Negative Impact - Was unwieldy and costly to administer - Did not have broadly defined criteria and priorities	Not Examined in Study
Trust Fund for Bosnia & Herzegovina (TFBH) Schiavo-Campo (2003) FAR	Low: - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with Bank staff and a small number of staff from other international organisations - Commissioned and written for the World Bank - Did not provide critical analysis of the Bank's funds	Positive Impact - Provided support for core government institutions - There was extensive outreach and reliance on local initiatives	Not Examined in Study	Negative Impact - There was a multiplicity of trust funds, creating a complex aid financing structure	Positive Impact - Procurement procedures were workable and disbursements were rapid Negative Impact - Transaction costs were extremely high	Not Examined in Study

<p>Trust Fund for East Timor (TFET)</p> <p>Schiavo-Campo (2003)</p> <p>FAR</p>	<p>Low:</p> <ul style="list-style-type: none"> - Limited methodology that focused primarily on Bank reports and documents as well as interviews and discussions with Bank staff and a small number of staff from other international organisations - Commissioned and written for the World Bank - Did not provide critical analysis of the Bank's funds 	<p>Negative Impact</p> <ul style="list-style-type: none"> - There were tensions because of Timorese perceptions that they were marginalised from decision making by the UN - Projects relied on local communities and NGOs - There was no immediate movement to organise local initiatives in the face of the absence of national actors 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Most sectors were closely co-ordinated - The working-level cooperation between the ADB and the World Bank was rated as excellent <p>Negative Impact</p> <ul style="list-style-type: none"> - There was fragmentation due to 5 different aid mechanisms - Fragmentation due to lack of co-ordination between the Bank and the UN 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Projects were prepared in record time <p>Negative Impact</p> <ul style="list-style-type: none"> - There were delays in disbursements attributed to the lack of flexibility in procurement procedures 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Benchmarks for the political and administrative transition were set and repeatedly reviewed
<p>Trust Fund for East Timor (TFET)</p> <p>Scanteam (2007)</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies. 	<p>Negative Impact</p> <ul style="list-style-type: none"> - Although local participation was invited, it did not lead the PCNA process, which was agreed to and driven by international actors - Support is provided on-budget and provides operating expenditures for key sectors - Priority for public capacity development 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Relationships between fund partners has been largely constructive, based on agreed roles 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Disbursements have been speedy - Clear operational guidelines have been in operation <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	<p>Not Examined in Study</p>

	- Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review					
Trust Fund for East Timor (TFET) OECD (2010) IE	Medium: Methods: (1) a desk review of donor policies and procedures and existing funding instruments in specific countries (2) Extensive literature review and analysis of DAC and Financial Tracking System financial data (3) Interviews with key informants from DAC member countries and multilateral agencies - The scope was limited to the fund administrator and donor perspectives - Financial analysis was conducted, which was rare amongst studies in the final review	Positive Impact - Focused on financing of investment expenditures	Positive Impact - Activities were fully aligned to the priorities set forth in the National Development Plan	Negative Impact - Almost half of international reconstruction funding went to projects outside of the TFET, with donors and aid agencies using their own policies and procedures	Positive Impact - Funded economic development projects	Not Examined in Study
United Nations Capital Development Fund (UNCDF) ITAD (1999) IE	High: - Employed a participatory approach - Clearly detailed methodology (was the most thoroughly explained methodology in all	Positive Impact - Institutionalised the participatory decision making process (13 of 24 projects were rated excellent for their participatory formulation of policy and implementation) - Actively works with multiple tiers of local government	Not Examined in Study	Negative Impact - UNCDF and UNDP have their own donors, concentration countries, policy objectives and project priorities - There have been internal struggles over policy that mirrored tensions in the	Positive Impact - All projects contribute to the fund's stated goal of poverty reduction Negative Impact - No official appraisal stage. - Conceptually weak formulaic approach	Positive Impact - Increased transparency and participatory budget planning Recommendation for Improvement - UNCDF needs to finalise its policy direction and halt the

	<p>included reports)</p> <ul style="list-style-type: none"> - 2 month desk study that reviewed documents from 5 sources - Conducted visits to 8 countries over 3 month period - The focus of the country visits was not mere project evaluation – attempted to gather evidence for a global performance assessment - Introductory meetings and plenary sessions with key stakeholders, including donors and NGOs 	<ul style="list-style-type: none"> - Strengthened the national government's support of local government, which was weak <p>Negative Impact</p> <ul style="list-style-type: none"> - Impact on ownership was mixed and the results varied by location <p>Recommendations for Improvement</p> <ul style="list-style-type: none"> - In situations where links between national government and local government are weak structure the MDTF so that it can support these ties. 		<p>working relationships between the three main units.</p> <ul style="list-style-type: none"> - Progress has been slow with regards to relationships with other organisations <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - While maintaining their distinctive policies, UNCDF and UNDP must make every effort to ensure the closest possible co-operation 	<p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Action needs to be taken to lower transaction costs. - UNCDF needs to adopt an organisation structure to bring skills and authority required for project identification, formulation and supervision together. - Continue to have mid-term and final evaluations led by independent external specialists 	<p>process of continual updating</p> <ul style="list-style-type: none"> - UNCDF needs to create a database of its entire portfolio of open projects - UNCDF needs to monitor and publish annual analysis of its direct project expenditures
<p>United Nations Development Group Iraq Trust Fund (UNDG-ITF)</p> <p>Scanteam (2007)</p> <p>IE</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and international NGOs (3) Full day seminar to discuss preliminary findings 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Fund partners with national and local governments and a wide range of civil society actors - Provided well-administered budget support directly and off-budget projects in a high-risk situation - Has national reach despite security restrictions - Works with all levels of national and local governments. - Priority for public capacity development <p>Negative Impact</p> <ul style="list-style-type: none"> - Although local participation was invited, it did not lead the PCNA process, which was agreed to and driven by 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Relationships between fund partners has been largely constructive, based on agreed roles - Donors wanted to be seen as supporting reconstruction efforts, thus were quick in making their contributions <p>Negative Impact</p> <ul style="list-style-type: none"> - Co-ordination occurs on a rather ad hoc basis - There were no mechanisms for co-ordinating MDTF funding with other funding at the early stages 	<p>Negative Impact</p> <ul style="list-style-type: none"> - There was a lack of sufficient secretariat staff <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	<p>Not Examined in Study</p>

	of the four country studies - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review	international actors				
United Nations Development Group Iraq Trust Fund (UNDG-ITF) UNDP (2010) FAR	Medium: - Although there is no clear stated methodology, the report itself is a very thorough evaluation of the Fund's activities. It includes a full discussion of the governance arrangements, project approval processes and updates on lessons learned, as well as a financial performance analysis - The report also discusses transparency and accountability, important factors for mutual accountability - Based on information provided from 26 independent project evaluations - Written by fund administrator	Positive Impact - The Fund's administrator and associated UN agencies are actively working with the GoI to prepare the Development Assistance Framework for the fund closure to ensure sustainability - The GoI developed its Poverty Reduction Strategy. - Regulatory frameworks, institutions, and processes of national and local governance were strengthened Negative Impact - Issues and operating constraints at the ministry level delayed smooth implementation at the community level - Capacity building activities are becoming increasingly expensive - The limited presence of UN staff on the ground negatively affected direct dialogue and transfer of knowledge to Iraqi officials	Not Examined in Study	Positive Impact - Operates to ensure inter-agency, donor, and government participation in the assistance process	Positive Impact - Clear, measurable results in each of the sectors funded by the Fund - Commitment and disbursement figures serve as benchmarks for new project approval, as no new project can be approved without a commitment and disbursement rate of at least 50 percent and 25 percent, respectively, on previously funded amounts - Lessons learned exercise was conducted to assess development and operation effectiveness Negative Impact - The security situation affects all stages of programme management - There are funding shortfalls - There are constant delays due to cumbersome centralised decision-making apparatus	Positive Impact - IRFFI website (www.irffi.org) is a major vehicle for public transparency, as it publishes contract award data - The MDTF Office Gateway website adds more transparency

<p>World Bank's Statebuilding & Peacebuilding Fund (SPF)</p> <p>DFID (2010)</p> <p>DR</p>	<p>Medium:</p> <ul style="list-style-type: none"> - Methods: (1) desk review of key documents (2) Interviews with key informants and selected donors (3) three country case studies. - Comparison study - Commissioned by donor 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Provides direct budget support 	<p>Not Examined in Study</p>	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - The Steering Committee meets throughout the year, ensuring rapid response to urgent crises - Accepts only non-earmarked funding, but has a mechanism by which donors can establish non-binding preferences in funding - Has a measure to accelerate disbursement if requested - The Secretariat is considering adapting a set of common peacebuilding and post-conflict indicators <p>Negative Impact</p> <ul style="list-style-type: none"> - There does not appear to be the quality of information required to assess the overall performance and impact of the funds 	<p>Not Examined in Study</p>
<p>World Bank's Trust Fund in Iraq</p> <p>Scanteam (2007)</p>	<p>High:</p> <ul style="list-style-type: none"> - Review was conducted in three stages: (1) document review with interviews with the UN and Bank officials over 2 months, resulting in an inception report (2) Field visits to 6 locations with interviews of recipient governments, donor officials, and representatives of civil society and 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Donor and fund administrator best practices assisted with the development of national public administration, instruments, and processes. - Priority for public capacity development <p>Negative Impact</p> <ul style="list-style-type: none"> - Although local participation was invited, it did not lead the PCNA process, which was agreed to and driven by international actors 	<p>Not Examined in Study</p>	<p>Positive Impact</p> <ul style="list-style-type: none"> - Relationships between fund partners has been largely constructive, based on agreed roles <p>Negative Impact</p> <ul style="list-style-type: none"> - Co-ordination occurs on a rather ad hoc basis - There were no mechanisms for co-ordinating MDTF funding with other funding at the early stages 	<p>Positive Impact</p> <ul style="list-style-type: none"> - Clear operational guidelines have been in operation <p>Recommendation for Improvement</p> <ul style="list-style-type: none"> - Governance structure should be as simple as possible - Project approvals should be handled speedily based on clear criteria by a project committee that is flexible 	<p>Not Examined in Study</p>

	international NGOs (3) Full day seminar to discuss preliminary findings of the four country studies - Was the most comprehensive review of multiple MDTFs from a variety of relevant factors in the final review					
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