

(Draft: October 20, 2009)

## **Joint Evaluation of the Paris Declaration, Phase 2**

### **Draft Generic Terms of Reference (ToRs) for Country Evaluations**

*Note:* These Generic ToRs have been drafted as a basis for discussion and building with country coordinators and reference groups on a common basis for the country evaluations processes. They reflect the overarching Evaluation Framework, Work-plan and Timetable for the Phase 2 Evaluation<sup>1</sup>, which in turn have carefully reflected all the preparatory work to date under the auspices of the International Reference Group for the Evaluation as well as the experience of Phase 1. The present version reflects inputs from the Evaluation Management Group at a meeting with the Core Evaluation Team on 14 October, 2009.

Recognizing the demanding schedule for country teams to get their evaluations underway in good time to meet the Seoul HLF deadline, these draft ToRs make clear proposals to expedite the discussion to produce a common set of Generic ToRs for Country Evaluations to be agreed upon by the International Reference Group by 1 December, 2009. The following initial proposals have been drafted by the Core Evaluation Team, agreed upon by the Evaluation Management Group as a basis for proceeding, and will then be developed through a series of four regional workshops with participating countries in October-November 2009, with a synthesized version to be agreed upon by the International Reference Group when it meets in Paris<sup>2</sup>.

It should be stressed that each participating country - while contributing fully to answering the minimum common evaluation questions that will be agreed upon for all countries - may also wish to supplement this coverage with particular evaluation issues or questions of special interest or relevance to its own situation. Country reference groups and teams are being encouraged to do so to the extent that they can, given the resources available to them.

This paper suggests the key common features and issues to be handled in the ToRs, including agreed purposes and objectives, design, management and governance arrangements, support, staffing, quality assurance, and timelines. The document goes on to add a first draft Common Evaluation Matrix for country evaluations, and a proposed draft outline for the eventual evaluation reports, aligned with the matrix. The latter should encourage a clear understanding from the outset on the intended end-products. The same process will be applied to the donor HQ studies and to preparing the Evaluation synthesis.

*A word on terms:* "Donor" - This term, although everybody recognizes its flaws, is used here to avoid confusion, as in both the Paris Declaration and Accra Agenda for Action it denotes external providers of Official Development Assistance, and sometimes other resources. The term "agencies" is used to refer to some multilateral providers. "Donor/Agency HQ Evaluations" are evaluations carried out on the programmes of individual donors or agencies, as in Phase 1<sup>3</sup>.

---

<sup>1</sup> Full document (reviewed by the Management Group) to be finalized and circulated as soon as editing and translation time can be freed from regional workshop preparations.

<sup>2</sup> All International Reference Group members are being asked for their initial inputs on this version by the time of the last workshop, alongside those members who will also participate in the workshops, so that all these inputs can be considered together in preparing the synthesis draft to be recommended for adoption.

<sup>3</sup> These evaluations will be focused at the level of headquarters policies and operations, although they may draw on consultation with in-country offices and partners. In Phase 2 in particular, the operations of donors in countries are to be explored primarily through the Country Evaluations.

## Contents

1. Background and Rationale: the overall Phase 2 Evaluation	3
2. Country Evaluations: purpose, objectives, uses and approach	3
3. Evaluation Methodology: evaluation questions and methods	6
4. Management of the Evaluation: responsibilities and accountabilities	9
5. Support Arrangements for Country Evaluations	13

## Appendices

A: First Draft Outline for Country Evaluation Reports	16
B: First Draft Evaluation Matrix for Country Evaluations	18
C: Suggested “Call for Proposals”/Mandate Document for Country Evaluation Teams	30
D: Illustration of a Country Dossier of key references <i>(under preparation for room document)</i>	
E: Guidance Note for Extranet Users: Phase 2 Evaluation Knowledge Management System <i>(under preparation for workshop presentation)</i>	
F: Glossary of Agreed Definitions for the Evaluation <i>(under preparation for room document)</i>	
G: Questions on transaction costs for possible inclusion in both Country Studies & Agency Studies	34

## 1. Background and Rationale: the overall Phase 2 Evaluation

1. The Paris Declaration expresses a broad international consensus developed in the 15 years that preceded 2005, stipulating that new partnership relationships and ways of working between developed countries and partner countries are essential if development results are to be assured, aid well spent and aid volumes maintained.

2. The Paris Declaration<sup>4</sup> was endorsed at the 2<sup>nd</sup> High Level Forum held in Paris in 2005 by 52 donors/agencies and partner countries and 30 other actors in the development cooperation field (UN and other multilateral agencies & NGOs). The Declaration consists of 56 “Partnership Commitments,” and aims to strengthen “partnerships” between donor countries and countries receiving aid in order to make aid more effective and to maximise development results.

3. The requirement for independent evaluation was built into the original Declaration and repeated in the Accra Agenda for Action in 2008.<sup>5</sup> The first phase of the Evaluation<sup>6</sup> ran from March 2007 to September 2008 and aimed at providing information on the “HOWs and WHYs” of the early implementation process of the Paris Declaration, looking at inputs and early outputs. It was designed to deliver practical lessons and help take stock of implementation performance at the 3<sup>rd</sup> High Level Forum on Aid Effectiveness held in Accra, Ghana in September 2008.

4. The second phase of the Evaluation will run from the 3<sup>rd</sup> High Level Forum in 2008 up to the 4<sup>th</sup> High Level Forum in Korea in 2011. This second phase will emphasize outcomes and results and offer answers to the critical policy question of whether the intended long-term effects of the Paris Declaration are being achieved or advanced. The evaluation is expected to analyze results in context, taking into account preconditions or enabling conditions that may lead to or inhibit positive development results supported by aid.

## 2. Country Evaluations: purpose, objectives, uses and approach

5. **Purpose:** The country studies that will be the Evaluation’s primary focus will be the main vehicles for answering the core evaluation questions on the effects of the Paris Declaration on aid effectiveness and development effectiveness, including poverty reduction. These country evaluations will also assess the effectiveness in this regard of donors/agencies in the country, alongside that of the country stakeholders, and of the partnerships between them.

6. **Objectives:** The aim of the evaluation is to document, analyze and assess the relevance and effectiveness of the Paris Declaration in the country and its contribution to aid effectiveness and ultimately to development effectiveness, including poverty reduction.

7. Specific objectives include:

- To document the results achieved in the country through implementing the Paris Declaration.

---

<sup>4</sup> The full Declaration can be found at: <http://www.oecd.org/dataoecd/11/41/34428351.pdf> and the Accra Agenda for Action at <http://www.oecd.org/dataoecd/58/16/41202012.pdf>

<sup>5</sup> The Evaluations complement the monitoring of the implementation of the Paris Declaration, undertaken through the Cluster D of the OECD DAC Working Party on Aid Effectiveness “Assessing Progress on Implementing the Paris Declaration and the Accra Agenda for Action.”

<sup>6</sup> Wood, B; D. Kabell; F. Sagasti; N. Muwanga; Synthesis Report on the First Phase of the Evaluation of the Implementation of the Paris Declaration, Copenhagen, July 2008. The report can be found at: [http://www.diis.dk/graphics/Subweb/paris\\_evaluation\\_web/index.htm](http://www.diis.dk/graphics/Subweb/paris_evaluation_web/index.htm)

- To enable the partner countries and donors/agencies active in the country to clarify, improve and strengthen policies and practice consistent with the Paris Declaration in pursuit of aid effectiveness and development effectiveness.
- To highlight barriers and difficulties that may have limited the effectiveness of the Paris Declaration and its effects and impacts – and ways that these barriers and difficulties may be overcome.
- To enable sharing and exchange of experience among stakeholders, countries and partnerships so as to facilitate reflection, lesson-learning and policy improvement.

8. The Accra Agenda for Action further specified some of the Paris Declaration's commitments with the aim in particular of strengthening country ownership; building more inclusive partnerships; and sharpening the focus on development results. The Phase 2 evaluation will therefore pay particular attention to assessing implementation of these Accra commitments, which address the current concerns of many stakeholders. These Accra commitments are reflected in these Draft ToRs.

9. **Audiences, Stakeholders and Usefulness of the Evaluation:** The focus of Phase 2 is on a results oriented evaluation, with the synthesis and component evaluation reports to be presented to the High Level Forum 4 in 2011. It is equally intended that the evaluation process will spur interest and improvement efforts in the participating countries and agencies.

10. Key constituencies include the executive and legislative branches of government in the country, those of its bilateral development partners, and governing authorities and senior managements of development agencies. Also crucial are those tasked with implementing the Paris Declaration: government, donor, civil society and private sector stakeholders in the partner countries as well as donor agencies. The findings are also expected to be of direct interest to many citizens of both the host countries and of countries providing international development assistance.

11. The goal of ensuring wide dissemination and use of the evaluation by its intended audiences should influence:

- a. Process and products at every stage of the evaluation;
- b. Keeping the overall questions and key audiences constantly in sight;
- c. Open internal communications – as in the planned knowledge-sharing system within and among teams;
- d. Linguistic sensitivity: specific work to ensure availability of key materials in the languages required;
- e. Minimizing acronyms, jargon and unnecessary technical language in **all** products;
- f. Building in time for peer exchanges, edits, strong summaries;
- g. Meeting deadlines!

12. **Approach for Country level Evaluations:** An overall evaluation model and approach has been set out in the "Evaluation Framework, Work-plan and Timetable for Phase 2." It takes account of the distinctive methodological challenges of evaluating the Paris Declaration.

13. The Phase 2 evaluation will focus on effects at the level of partner countries and their partnerships, i.e. the joint arrangements between donors and the recipients of aid that have been put in place to support the implementation of the Declaration.

14. As part of the overall evaluation, well-grounded comparisons between experiences will be important to test claims for the effects of the Paris Declaration. There will be country-level evaluation teams in each participating partner country responsible for undertaking

independent evaluations of aid effectiveness and development results. These teams will address both:

- Implementation or “process” – assessing changes of behaviour of countries and donors around aid and development and within the aid partnership itself. A strong focus on the context for implementation in each country (including one major block of evaluation questions) is designed to ensure that the evaluation remains realistic and relevant to diverse country situations; and
- Results or outcomes in terms of aid and development effectiveness,<sup>7</sup> with rather precise minimum common “core” questions, scope and methodologies for all country evaluations, to allow meaningful aggregation and synthesis. This will not in any way limit the ability of country evaluations to supplement the Common Evaluation Template/Matrix with questions of special relevance or interest to their particular situations.

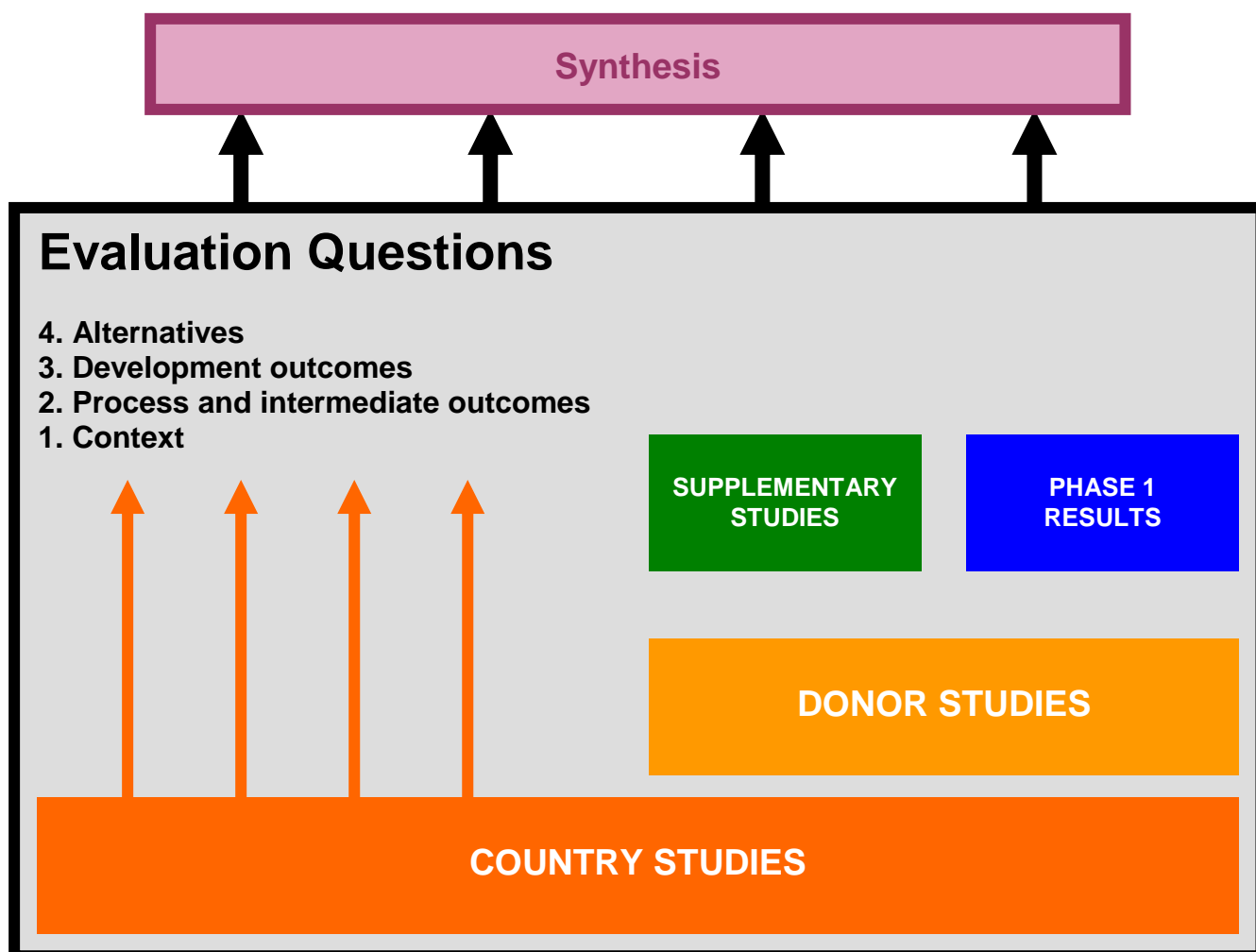
15. Whilst most evaluative activity will be undertaken by country-level teams, additional light will be shed by a number of headquarters-level donor/agency studies, together with the eleven conducted in Phase 1, and a small number of “supplementary studies” will also be carried out where essential to provide adequate coverage of important issues. Together, these elements are intended to ensure adequate depth and breadth of the evaluation.

The building blocks for Phase 2 Evaluation are illustrated in the Figure below.

---

<sup>7</sup> This, of course, encompasses considerations of efficiency, effectiveness, relevance and sustainability.

## Building blocks of the Paris Declaration Evaluation Synthesis



### 3. Evaluation Methodology: evaluation questions and methods

**Evaluation Questions:** The evaluation draws on a good deal of preparatory work which took into account the many complex factors and relationships at work in the implementation of the Paris Declaration and the special challenges involved for evaluation methodology<sup>8</sup>.

16. The Evaluation Matrix for Country Evaluations set out in [Appendix B](#) will be the principal instrument for guiding and conducting these evaluations and the preparation of their products. It is constructed around a set of four core evaluation questions which will serve as the minimum common structure for all individual country evaluations and for the final comparative synthesis report (which will also integrate the results of Donor HQ studies, the Phase 1 evaluation, and other inputs)

<sup>8</sup> This work, summarized in the "Approach Paper for the Phase 2 Evaluation" (May 2009) included a major workshop of the International Reference Group in Auckland, New Zealand in February 2009 and a commissioned study on "The Paris Declaration, Aid Effectiveness and Development Effectiveness" in November, 2008 (the "Linkages Study").

17. The core questions are:

1. **(The PD in context) What are the scope, limits and dynamics within and around the aid arena that have shaped and limited Paris Declaration implementation and its potential effects on aid effectiveness and development effectiveness?**
2. **(Process and intermediate outcomes) Has the implementation of the Paris Declaration improved the effectiveness of aid? [How?]**
3. **(Development outcomes) Has the implementation of PD strengthened the contribution of aid to development results, including poverty reduction? [How?]**
4. **(Different or alternative approaches) Is the Paris Declaration the best way to achieve the kinds of outcomes that it set for aid effectiveness and development effectiveness?**

18. In addressing these four core evaluation questions it is clear that the challenges of attributing results to a set of commitments like the Paris Declaration are especially complex in this evaluation<sup>9</sup>. PD implementation is a multidimensional, multi-level process, affected by many factors, which can change its direction, emphasis, and pace at different times and in response to different influences. One way of making these factors more explicit and prominent throughout the evaluation is the emphasis placed through the first question on a far more in-depth and dynamic analysis than would be usual of the **context** for the implementation of the Paris Declaration and Accra Agenda in each country where an evaluation is undertaken.

19. The four main evaluation questions will be operationalised through a set of sub-questions including descriptive, analytical, normative and evaluative questions. These will be supported wherever possible by common specifications and suggestions of:

- i. the types of evidence and, where applicable, indicators to be used;
- ii. the anticipated availability and (probable) reliability of data sources; and
- iii. proposed sources, methods & techniques for data collection, analysis, triangulation and validation.

20. **Key elements:** As ready guidance for the Country Level Evaluations, the key elements of the overall evaluation methodology set out in the Evaluation Framework can be summarized as follows:

- a. A “*theory based*” approach – which recognises that outcomes / results from PD implementation may not be fully visible by the time of the Evaluation – so focuses instead on identifying the chains, directions, causes and trends of causality and the linkages involved (see points below);
- b. A “theory of change” which anticipates and explores *complexity* rather than expecting to apply simple or one-dimensional models of attribution;
- c. Seeking out and exploring the *causal mechanisms and key actors* driving or inhibiting change, their roles, inter-relations, and relative weightings in influencing outcomes (especially through Core question 1);

---

<sup>9</sup> See Approach Paper, p.42 for a listing of some of the most prominent special challenges.

- d. Focused on *causality in context*: searching for common trends rather than (necessarily) generalised truths, but recognising that the shape, nature and pace of change is heavily determined by locally specific factors and influences;
- e. Focused on *comparability* ensuring robust analysis at aggregate level (through e.g. the development of common standards for analytical frameworks and data collection) while giving full weight to contextual factors;
- f. A *summative and formative* model – allowing judgments around outcomes and results (e.g. outcome mapping) whilst supporting forward-looking policy development and improvement.

21. **Specific methods:** for pursuing the evaluations include:

- a. *Literature and documentation review*
- b. The use of *existing statistical data* such as human development and poverty indicators, PRSP reports, LMSs, sector reports, MDG reports etc.;
- c. *Syntheses and meta-analyses* of existing evidence (i.e. secondary sources such as policy, evaluations and research). Common specified parameters will be proposed and agreed for data identification, inclusion and structured assessment;
- d. *Structured surveys and questionnaires* (key informant groups) and *Semi-structured interviews* and *focus groups* (key stakeholders including government, donor agency, civil society and the private sector);
- e. In addition to *common coverage of “tracer sectors”* to ground the evaluations (possibly) *selected comparative case-study analysis* between sites, sectors and/or issues. Depending how productive and feasible such methods are anticipated to be in the regional workshop process, an agreed approach would be developed for the identification, design and implementation of such studies;
- f. *Backward tracking*, retrospective or inductive studies of sector, site or theme; using methodologies such as the analysis of time-series data; statistical trends; synthesis studies to assess “distance travelled” etc.;
- g. *Forward looking* analysis; which anticipates development results that are in formation but have not become fully evident, which use backward-tracking studies as a basis for mapping out the plausible links in the causal chain from aid to development results to assess and predict the likely direction of further travel.

22. **Rigour and Comparability.** In addition to the use of the agreed minimum common questions, sub-questions and methods, the robustness of the approach and methodology for the evaluation and its results will be further ensured by:

- a. A consistent stance in the evaluation that does not assume attribution of results to the Paris Declaration, but rather takes a critical approach and examines alternative explanations;
- b. A set of support mechanisms available to individual evaluation coordinators, reference groups and teams, particularly from the Core Evaluation Team, both directly and through research resources and interactive internet facilities [See Section 5. “External Support to Country Evaluations” for detail]
- c. Verification of evidence emerging through ongoing triangulation between the multiple data sources and methods employed;



- d. Step-by-step validation of evaluation results by national core teams (with peer review among them encouraged) by the core team, country reference groups, the Evaluation Secretariat and Management Group, possibly high level external reviewers, and the International Reference Group;
- e. Quality assurance processes that are built in to each component evaluation (as well as the preparation of the final synthesis report) – all should meet the DAC Evaluation Quality Standards, UNEG Standards, or the comparable national or regional standards where these have been adopted;
- f. Selection and contracting of evaluation teams by established procedures, with protection for the independence and professional integrity of their work;
- g. Forming country teams using national expertise to the maximum extent possible but also including regional and international experts where appropriate, assuring that all are free of potential conflicts of interest;
- h. Prioritizing the use of country systems to capitalize on existing data/literature including academia, universities, and civil society;
- i. Wherever possible, seeking the engagement and coverage of providers of development resources not yet formally endorsing the Paris Declaration in the capacity of donors, and
- j. Using a set of agreed working definitions for key terms [and a style guide] to avoid confusion and inconsistent treatment.

#### 4. Management of the Evaluation: responsibilities and accountabilities

The points below draw and build on the 'Guidance for Management of Country level Evaluations' Note issued by the Secretariat in September 2009.

23. **Management considerations:** The key management considerations for a Country Evaluation are;

- In-country management arrangements that are operational
- Clarity on roles, responsibilities and accountabilities
- Communication with stakeholders
- Progress reporting

24. **In-country management arrangements:** The **National Evaluation Coordinator**, appointed by the Government is responsible for managing all aspects of the Country Evaluation process including (critically):

- a. Selecting, setting up and then scheduling and convening meetings of the in-country National Reference/ Advisory Group expected to include major stakeholders from governments, donors, civil society and possibly academia;
- b. Developing final ToRs for the Country Evaluation in consultation with the National Reference/ Advisory Group; incorporating the common template/ evaluation matrix for Country Evaluations and (if required) a module with country-specific evaluation questions;
- c. The appointment and contracting of the consultants (selected by the National Reference/ Advisory Group) for the Country Evaluation;

- d. At least bi-monthly reporting on the progress of the evaluation in line with an agreed common format;
- e. Quality control; assuring that the evaluation is of acceptable quality in reference to identified relevant national, regional and/or international standards and drawing on the pro-active and responsive services of the Core Evaluation Team and the Evaluation Secretariat.

25. This management role will require significant inputs of 'dedicated management time' over the whole evaluation process, with concentrated effort anticipated during the start-up period, inception, 1<sup>st</sup> draft report and final reporting milestones.

26. The **National Reference/ Advisory Group** members are required to make timely inputs into a number of the critical (early) management processes led by the National Evaluation Coordinator; namely,

- a. Approving the design (the questions to be addressed) of the Country Evaluation. In doing so making a judgement that the scope and scale of the evaluation is 'doable' given the resources that are confirmed as being available for the Country Evaluation Team to work with.<sup>10</sup>
- b. (Based on the approved design as above) deciding on selection criteria for the Country Evaluation Team and selecting the Country Evaluation Team in a way that is consistent with the selection criteria (safeguarding against conflicts of interest, covering relevant professional areas, reflecting gender balance and including a mix of country, and regional/ international professional expertise) and in accordance with national competitive procurement or tender rules.

27. These roles will require a series of dedicated inputs of time from the individual members of the National Reference/ Advisory Group building on a clear and shared understanding of what the Country Evaluation is aiming to achieve and its role within the overall Phase 2 Evaluation.

28. Management in-country will be supported by self-monitoring of progress with the evaluation and reflection at periodic National Reference/ Advisory Group meetings on the extent to which the Country evaluation remains 'on-track' and actions to be taken if and when 'gaps' appear.

29. **Clarity on roles, responsibilities and accountabilities.** The success of this collaborative exercise in-country will be heavily influenced by initial clarity and ongoing discipline on who is expected to deliver on what and by when, and who is accountable. Key accountabilities in the process are:

- i. **Competent independent Country Evaluation Team selected, contracted and resourced by latest [31<sup>st</sup> March 2010]:** The National Evaluation Coordinator is accountable for this milestone being reached with the support of the National

---

<sup>10</sup> Financing of Country Evaluations. Each country level evaluation is expected to cost in the region of €80,000. Funding for the country evaluations may be obtained from different sources. Countries may decide to fund from their own sources or raise funds from donors in country. They may obtain funding from one of the donors/agencies supporting the Evaluation or from the core fund held by the Evaluation Secretariat. Several donors have pledged funding for one or more country studies as well as providing assistance by senior evaluation advisers. National Evaluation Coordinators have been invited to contact the Evaluation Secretariat to explore these options further if necessary.

Reference/ Advisory Group, and for the independence of the evaluation being maintained throughout the process.

- ii. **Country Evaluation Report delivered in-country on time:** The Team Leader [or contracted institution for whom the TL works] of the Country Evaluation Team is accountable for the organisation and co-ordination of the work of the evaluation team (and through this ensuring the quality and relevance of team member contributions) and assuring the delivery of emerging findings and a comprehensive final report which meets evaluation standards, within the contracted timeframe/ specifications.
- iii. **Country Evaluation Report of an acceptable quality submitted to the Core Evaluation Team for use in preparing the synthesis report and publishing;** The National Evaluation Coordinator through successive processes of quality control is accountable for delivery of a report of acceptable quality for the Synthesis stage.

30. **Communication with stakeholders:** Each Country Evaluation is expected to develop and implement a 'Communication Plan through which stakeholders for the evaluation within the country will be kept informed through a variety of media of progress with the evaluation and through this be encouraged to be informed by and engage in discussion on the Evaluation findings.

Ensuring this takes place and in a form that fosters stakeholder interest and 'buy-in' to the evaluation process would be a responsibility of the National Reference/ Advisory Group.

31. **Progress reporting:** The National Evaluation Coordinator, in his/her role as in-country focal point for the Phase 2 Evaluation will provide the Secretariat (copied to the Core Evaluation Team) with bi-monthly updates – starting end of December 2009 - on the status of the Country Evaluation process. This will use a simple pro-forma to be developed by the Evaluation Secretariat in consultation with the Core Evaluation Team which will facilitate the updating by the Core Team of the 'master sheet' on progress across the 20+ country Evaluations which will be held on the extranet.

32. **Country Evaluation Timeline:** The table below charts the sequence of events for the Country Evaluations.

Period/Date [TO BE FINALIZED]	Activity	Comments
Oct/Nov 2009	Prepare for and participate in regional workshop. Name reference group, secure evaluation funding, plan procurement/ team recruitment processes, start using support provided by Core Team and Secretariat (e.g. through workshops, literature resources, recruitment advice, preparing specific ToRs, etc.)	Much of the necessary groundwork will need to be put in place before the Generic ToRs are finalized.
Dec 2009/Jan 2010	Contract evaluation Teams	
From October 2009	Provision by Core Team of country-level dossiers of background material on each participating country.	Website posting of dossiers

<b>Period/Date</b> [TO BE FINALIZED]	<b>Activity</b>	<b>Comments</b>
Feb/Mar 2010	Teams prepare inception reports Regional workshops for Team Leaders (and National Coordinators) held	
Mar 2010	Core Team Inception Report and Management Group response to finalise all detailed directions for the Phase 2 Evaluation	
Jan-Nov 2010	Country Teams conduct evaluations, with regular reporting to National Reference Group as specified in their ToRs	
Ongoing 2010	Core Team maintains liaison with country and donor/agency headquarters-level teams including responding to queries from these teams, sharing experience/good practice/model instruments across teams	Covered in website postings and bi-monthly reports, and special contacts if required
Oct 2010	Submission of “emerging findings” note by each country-team and donor/agency headquarters-level team to Core Team	
Nov 2010	Core Team prepares “emerging findings” briefing note based on country and donor headquarters studies’ emerging findings and progress/initial outcome reports on supplementary studies.	
Nov-Dec 2010	Production of country and donor/agency-level reports.	
Dec 2010	Meeting/workshop of country and donor/agency headquarters study team leaders, Core Team, Management Group and International Reference Group to discuss emerging findings.	Core Team report on workshop highlighting refined emerging findings, possible options for synthesis work and other main implications for the evaluation

<b>Period/Date</b> [TO BE FINALIZED]	<b>Activity</b>	<b>Comments</b>
Jan-Apr 2011	Preparation of draft Synthesis Report	Circulation of first draft synthesis report for 10 day period for validation/comment by the country evaluation teams, with the opportunity for first inputs by country reference groups as well as the international Management and Reference Groups, Circulation of refined (second) draft synthesis report to international reference group 14 days before meeting with the opportunity for further inputs by country teams and reference groups
Apr 2011	Meeting of the International Reference Group to comment on draft Synthesis Report.	
Apr-May 2011	Finalisation of Synthesis Report and preparatory inputs for High Level Forum and dissemination activities.	
May-Sep 2011	Dissemination activities	
Sep-Oct 2011	4 <sup>th</sup> High Level Forum in Seoul	

## 5. Support Arrangements for Country Evaluations

33. **The Core Evaluation Team:** The Core Evaluation Team has overall responsibility for the synthesis of evaluation results generated at country and donor HQ levels as well as any supplementary studies, and for preparation of the overall Evaluation Synthesis Report. The team consisting of six international consultants as core team members and a number of associated team members for specific tasks was competitively recruited on behalf of the Evaluation Management Group.

34. The Core Team contributes to the Phase 2 evaluation across all components at all stages: at planning and set-up; on an ongoing basis to ensure consistency and solve problems that may arise; and in the final stages when it will be expected to bring together all evaluation findings in a free-standing Synthesis Report. The Core Team reports and is responsible to the Evaluation Management Group through the Evaluation Secretariat.

35. **Services to Country Evaluations.** The Core Team has been in place since September 2009 and in respect to ensuring the integrity of the Country Evaluations within the overall Phase 2 Evaluation Synthesis is charged with providing the following set of 'support services to Country Evaluation processes:

- Design for the approval of the Evaluation Management Group and the International Reference Group a "Generic Terms of Reference" for Country Evaluations that will serve to guide data gathering and fieldwork in a way that will enable comparison and the synthesis of findings.

- Provision of professional advice to the National Evaluation Coordinator and members of the National Reference/ Advisory Group on the basis for and processes of selection, contracting and briefing of Country Evaluation Teams
- Review and collation of relevant existing research and evaluations that through a series of partly populated 'Country Dossiers' provide Country Evaluation Teams with an informing of the substantive issues relevant to the common core questions being addressed by the Country Evaluation. The Dossiers also provide a means through which the Country Evaluation Teams can themselves – guided and informed by members of the National Reference/ Advisory Group – add further secondary information to the Dossier and to the wider literature review being conducted for the Phase 2 Evaluation.
- Provision of ongoing advice and support to Country Evaluation Teams to ensure the coherence of the evaluation and the comparability of its different elements.

36. To make best use of the resources at the disposal of the Core Evaluation Team a series of engagement points has been identified (see Table below) between the Team and the processes of the Country Evaluations. These reflect a mixture of pro-active and reactive working designed to help lay solid foundations and clear tracks for Country Evaluations to follow, support adherence to evaluation standards as the evaluation progresses, provide guidance if/ where evaluation teams run into problems, and facilitate peer to peer sharing and learning between country teams.

**Table: Points of identified engagement – a member/ members of the Core Evaluation Team with the Country Evaluation Process**

<b>Activity/ Event</b>	<b>Persons involved (from countries undertaking evaluation)</b>	<b>Through which CET able to engage (face to face) with country processes</b>
Regional Workshop I (Oct/ Nov 2009)	NEC, and representation from the NRAG or if Group yet to be established from major stakeholders	All countries
Regional Workshop II (Feb/March 2010)	Team Leaders of Country Evaluation Teams – and (tbc) a selection of other team members and the NEC	All countries
Evaluation Workplan presentation (event)	Country Evaluation Team presentation to NRAG	Participation (on site) option for a limited number of countries
Inception Report Presentation (event) – 1 month in	Country Evaluation Team presentation to NEC and the NRAG	Participation (on site) option for a limited number of countries
Team analysis 'stage' – August	Country Evaluation Team	Participation (on site) option for the majority of countries
Draft report to National Reference/ Advisory Group (event)	Country Evaluation Team presentation to National Evaluation Coordinator and the National Reference/ Advisory Group	Participation (on site) option for a limited number of countries
Emerging Findings Regional peer exchange events	Country Evaluation Team and National Evaluation Coordinator	All countries
Final Report to CRG	Country Evaluation Team presentation to National Evaluation Coordinator and the National Reference/ Advisory Group	Remote – all countries

37. The Core Evaluation Team is developing a web based knowledge management system – an “Extranet” – for the Phase 2 Evaluation. The National Evaluation Coordinator, Country Evaluation Teams and National Reference/ Advisory Group members will have access to this facility and it will provide the channel for the sharing of guidance and progress updates between the Core Team and the country processes. The structure of the extranet provides a shared space and also a part of the site that can be dedicated to a particular country process.

## Appendix A

### First Draft Outline for Country Evaluation Reports October 2009

(Note: The Synthesis report for the whole comparative evaluation will closely follow a similar outline, with some additional elements to capture relevant Phase I results and the results of donor headquarters evaluations, and selective reference to evaluation results on country-specific questions, outside the common template.)

#### Preface

#### Acknowledgement

#### Acronyms

#### Executive Summary (Max. 5 pp.)

- Purpose and background
- Overall conclusions (on common and country-specific questions)
- Key lessons (on common and country-specific questions)
- Key recommendations if applicable (on common and country-specific questions)

#### A. Introduction (Max. 4 pp.)

- The Paris Declaration and Accra Agenda for Action: Engagement of country X
- Purpose and scope of the Phase Two Evaluation
- Approach, methodology and limitations

#### B. Country Findings on the Common Evaluation Questions

1. **The Paris Declaration in Context:** What are the scope, limits and dynamics within and around the aid arena (in country X) that have shaped and strengthened or limited Paris Declaration implementation and its potential effects on aid effectiveness and development effectiveness? **(Max. 10 pp.)**
2. **Process and intermediate outcomes:** Has the implementation of the Paris Declaration improved the effectiveness of aid? [How?] **(Max. 10 pp.)**
3. **Development outcomes:** Has the implementation of PD strengthened the contribution of aid to development results, including poverty reduction? [How?] **(Max. 10 pp.)**
4. **Different or alternative approaches:** Is the Paris Declaration the best way to achieve the kinds of outcomes and results that it was intended to advance [or the evaluation model identifies]? Why? **(Max. 10 pp.)**

#### C. Key Conclusions, Lessons and Recommendations (if applicable) around the Common Evaluation Questions (Breaking out conclusions, lessons & recommendations) **(Max. 5 pp.)**

#### D. Findings on the Country-Specific Evaluation Questions (if adopted) **(Max. 15 pp.)** [Possible sub-headings]

#### E. Key Conclusions, Lessons and Recommendations (if applicable) around the Country-Specific Evaluation Questions (if adopted) (Breaking out conclusions, lessons & recommendations) **(Max. 5 pp.)**



**F. Possible Key Implications beyond the Planned Term of the Paris Declaration. (Max. 3 pp.)**

**Annex 1: Paris Declaration on Aid Effectiveness**

**Annex 2: The Accra Agenda for Action**

**Annex 3: Generic Terms of Reference for Country Level Evaluations**

**Annex 4: Specific Terms of Reference for the XXX Evaluation**

**Annex 4: Selected Additional References.**

## Appendix B

### First Draft Evaluation Matrix for Country Evaluations

**Background:** An earlier draft of this Evaluation Matrix for country evaluations for the Phase 2 Evaluation of the Paris Declaration was discussed and accepted by the Evaluation Management Group at their Ottawa meeting with the Core Team on 14 October 2009, as a basis for proceeding to regional workshops, with some initial clarifications which are now included. The Core Team demonstrated the clear derivation and progression of the overall Evaluation Framework, Draft Generic Country ToRs and this Matrix from the Auckland Workshop of the International Reference Group, the Approach Paper for the Evaluation, and earlier preparatory commissioned work. The additional set of sub-questions proposed under Core Question 2 on development effectiveness was explained and agreed to be worth pursuing seriously in Workshop discussions.

**Purpose:** Its purpose is to serve as a common starting-point for discussions by all the regional workshops, and parallel initial reactions from other International Reference Group Members, all to be integrated into a single proposed matrix for discussion and acceptance by the International Reference Group by 1 December, 2009. The proposals aim to set out a robust set of minimum common “core questions,” sub-questions, proposed types of evidence, and methods or techniques for all country evaluations, to allow meaningful aggregation and synthesis. This minimum common coverage, once agreed, will not in any way limit the ability of country evaluations to supplement the Common Evaluation Matrix with questions of special relevance or interest to their particular situations, as their resources permit.

**Focus:** In the regional Workshops and the process leading up to an integrated overall proposal for 1 December, it is suggested that attention be focussed particularly on the proposed Core Evaluation Questions and Sub-questions, on the suggested types of evidence and indicators that might be used, and on promising methods and techniques that might be widely useable and will support triangulation and validation. It will be important to have an eye to available data sources and their reliability, but not try to document or discuss them in depth at this stage.

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
<p><b>1. (The PD in context): What are the scope, limits and dynamics within and around the aid arena (in country X) that have shaped and limited Paris Declaration implementation and its potential effects on aid effectiveness and development effectiveness?</b></p>			
<p>a. What are the key characteristics of the country that have been and are currently relevant to the implementation of the PD?</p>	<p>e.g. i. Human development, social and poverty indicators</p> <p>ii. Key economic features, issues and trends</p> <p>iii. External and domestic resource mobilization patterns, place of aid</p> <p>iv. Indicators of governance and fragility</p> <p>v. Social indicators (health, education, gender, vulnerability)</p> <p>vi. National development strategies and national development cooperation strategy, outcome based monitoring &amp; evaluation</p> <p>vii. Recent political factors, changes and developments that affect the aid arena</p> <p>viii. Capacity development needs/priorities</p>	<p>Wide-ranging, likely to be country and international data</p>	<p>Review, compilation and processing of statistical data</p> <p>Review, analysis and summary of documents, including policies, strategies and plans, reviews, evaluations and other reports (national, international)</p> <p>Preparation of focused briefing reviews</p>
<p>b. What is the range or sphere of direct influence of the PD on overall</p>	<p>i. Pre and post PD trends in shares and components of external and</p>	<p>Public accounts, Foreign Aid &amp; Budget monitoring divisions- docs</p>	<p>Review, compilation and processing of statistical data, evaluative and</p>

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
development finance?	overall development finance are Official Development Assistance, & ii. What shares and types of ODA flows in turn are in practice subject to PD principles? Why?	Ext resources dept docs and national and int'l. stats.	monitoring materials. Review and summary of documents (national, international, independent). Preparation of tables, briefing notes Survey of the economic activities, sectors, regions, programs, projects, issues and drivers that fall outside the purview of the Paris Declaration. Semi structured interviews & focus groups with informed respondents Possible use of adapted 'sphere of influence' (outcome mapping) model for analysis.
c. Which are the key actors in the country (and among its development partners) involved in the aid arena taking major decisions on aid flows, priorities, activities, programs and projects, and on access to aid flows?	Maps of the relevant major decisions (annually, over the period since 2005)? Identification of the relevant key decision-makers.	Official documents and statements, relevant independent research. E.g. national and donor strategies, policies and plans, institutional structures and decision-making processes, statistics and informed assessments.	Document analysis, decision mapping, stats., meta-analysis & semi structured interviews & focus groups with informed respondents
d. What is the range or sphere of direct influence of the PD and AAA on the key actors in aid relationships and vice versa?	Maps of the key objectives, interests, capacities, priorities and motivations of key actors on both sides of the aid relationships in this country, relative to the commitments of the PD and AAA. (This evidence is related to, but goes beyond, the "commitment, capacities and incentives" surveyed in Phase 1.)  Taking account of changing relations with key donors, parliament, local government, civil society.	Official statements and documents, international conventions and commitments, parliamentary reports, independent studies and reports on donor motivations and their evolution over time, civil society reports. Targeted grey literature (internal reports, working documents, electronic newsletters, blogs)	Document analysis, meta analysis & semi structured interviews & focus groups with informed respondents, e.g. current and former officials, scholars.

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
<p>e. What are the most important and emerging issues that directly affect the aid arena and what has been the range or sphere of influence of the PD on those key issues?</p>	<p>I. Identification of key issues affecting the aid arena in country: e.g. Changing political priorities, governance reforms, economic conditions, civil unrest, natural &amp; man-made disasters, new resources (internal or external), decentralization, changing relations with key donors, new entrants. ii. Assessments of PD influence on them, if any?</p>	<p>Existing evaluations and official and independent literature including government, donor and civil society reports, parliamentary decisions and reports, informed assessments</p>	<p>Literature and document review, meta analysis, semi structured interviews, focus groups with key stakeholders to include government, civil society and parliamentarians, or possibly surveys with informed respondents</p>
<p>f. To what extent and where has the PD been implemented – shaping its potential influence in the aid arena?</p>	<p>i. Evidence (documentary, institutional, and other) of how the different PD principles have been interpreted, weighted and implemented in the country? Why? ii. Since when? (e.g., pre-2005, later?) ii. Evidence of any tensions or tradeoffs emerging between the different principles.</p>	<p>Existing evaluations Official and independent literature, including existing national, donor and civil society. progress reports, evaluations, policies, strategies and plans, informed assessments. Monitoring survey provides some data and background on some commitments.</p>	<p>Document &amp; literature review, meta analysis, questionnaires &amp; semi structured interviews &amp; focus groups with informed respondents. Phase 1 type analysis needed to supplement Monitoring Survey results on other commitments.</p>
<p><b>2. (Process and intermediate outcomes) Has the implementation of the Paris Declaration improved the effectiveness of aid? [How?] (Summative)</b></p>			
<p><b>Possible overall test against the original expected aid</b></p>	<p><b>FOR DISCUSSION: Ideal would be measuring</b></p>	<p><b>FOR DISCUSSION: Sources of data would vary</b></p>	<p>Other: Monitoring Survey sheds some light</p>

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
<p><b>effectiveness outcomes in the Paris Declaration<sup>11</sup>.</b></p> <p>i. Stronger national strategies and frameworks.</p> <p>ii. Increased alignment of aid with partner countries' priorities, systems and procedures, help to strengthen capacities.</p> <p>iii. Enhanced respective accountability of countries and donors to citizens and parliaments.</p> <p>iv. Less duplication of efforts and rationalized, more cost-effective donor activities.</p> <p>v. Reformed and simplified donor policies and procedures, more collaborative behaviour.</p> <p>vi. Defined measures and standards of performance and accountability of partner country systems in key areas, and their quick and widespread application.</p> <p><b>As well as:</b></p> <p>i. Stronger partner countries' capacities to develop and implement results-driven national strategies.</p> <p>ii. More predictable and multi-year</p>	<p><b>achievement/progress/direction and pace of change against one or two indicators for each expected outcome, but this may prove very difficult. Even a second-best solution, agreement on proxy measures, would be thorny. Third-best, but perhaps most practicable, would be a single across-the-board survey of informed respondents on the direction and trajectory of changes achieved against each broad outcome.</b></p>	<p><b>considerably across these 11 individual expected outcomes, unless a single across-the-board method (e.g. survey) is selected</b></p> <p>Other:</p> <p>Existing evaluations and monitoring reports.</p> <p>Administration and Progress Reports of Country Ministries of Finance and Plan Implementation</p> <p>Special study reports</p> <p>Donor reports on delegation of responsibility and resulting status of performance.</p> <p>Documentation by partner country and donors on progress and decisions taken as a result of alignment/coordination processes:</p> <p>Evidence from documentation on parliamentary scrutiny</p> <p>policy dialogues, donor coordination groups, joint reviews and problem solving meetings. Evidence of trends in the span and distribution of national management/ donor management of aid.</p>	<p>on some expected outcomes, but unevenly. Qualitative analysis of consultation and decisions taken in Dialogues/ Coordination Processes. Analysis of information from country reports and donor reports with specific reference to policy changes and decisions making processes arising out of PD. Quantitative analysis of changes in Budget allocations over the years with plausible links to harmonization and alignment moves.</p> <p>Evidence of trends in the span and distribution of national management/ donor management of aid.</p> <p>Key informant interviews on inputs into policy and supporting structures</p> <p>Focus group discussions on supporting structures that allows civil society and the private sector a voice in policy making and a "watchdog" role.</p>

<sup>11</sup> These eleven "expected outcomes" have been directly derived from the diagnoses of **ineffective aid** in the opening sections of the Paris Declaration. Many, but not all, have been subjected to various types of assessment over the intervening years. They also vary greatly in the types of evidence and methods that could be used to assess progress against these intended outcomes. For the Phase 2 Evaluation, it is proposed that, if it is practicable within the means of the Evaluation, this full list should be subjected to some kind of standard across-the-board assessment, without retro-actively imposing different weightings on the aid effectiveness outcomes sought at the outset. It is significant that all of these intended outcomes **could be clustered by the major AAA themes**: country ownership over development; building more inclusive and effective partnerships for development; and delivering and accounting for results, and that all would appear to remain relevant.

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
<p>commitments on aid flows to committed partner countries.</p> <p>iii. Sufficient delegation of authority to donors' field staff, and adequate attention to incentives for effective partnerships between donors and partner countries.</p> <p>iv. Sufficient integration of global programmes and initiatives into partner countries' broader development agendas.</p> <p>v. Less corruption and more transparency, strengthening public support and supporting effective resource mobilisation and allocation.</p>			
<p>a. Have "transaction costs" in aid actually been reduced and/or shifted because of implementation of the Paris Declaration? If so, how, and what are the effects of such changes?</p>	<p>Note: [Specific work was commissioned on this topic which is taken as something of a general test of the "efficiency" improvements sought through the Paris Declaration, although the term itself is not featured. Dr. A. Lawson has suggested an informed respondent survey as the appropriate type of evidence, on such changes and the incidence of their benefits and costs.]</p>	<p>The questions suggested for surveys of informed respondent have been provided in Appendix G for discussion around this particular issue and around the possible use of survey methods more generally for these types of question in the Evaluation</p>	<p>To test bearing in mind possible benefits as well as costs of new processes and engagement, as well as possible transitional effects</p>
<p>b. Has PD implementation led to increases in country capacity? Why, how and where, and what are the effects?</p>	<p>Check against 3 commitments in AAA on capacity development and 5 on use of country systems:</p> <p>i. Evidence of changes in: administrative capacities among all development actors, including CSOs;</p> <p>ii. ability to consult with and account</p>	<p>Existing evaluations, assessments on technical cooperation. Relevant Progress Reports of Country Implementation Agencies Minutes of meetings of the Co-ordination Mechanisms. Informed assessments survey data</p>	<p>Trends/assessments of PD-driven capacity development support. Major assessments on technical cooperation. Survey, appreciative inquiry, Most significant change. Key informant interviews.</p>

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
	to stakeholders; iii. partnership working and network formation; iv. learning by doing; v. decentralisation; vi. effective regulation; vii. policy and strategic monitoring; viii. evaluation and reporting.		
<b>3. (Development outcomes) Has the implementation of PD strengthened the contribution of aid to development results, including poverty reduction? [How?]</b>	<b>Expected outcomes</b> "...we believe they will increase the impact aid has in reducing poverty and inequality, increasing growth, building capacity and accelerating achievement of the MDGs." Paris Declaration		
a. Has the PD enhanced ODA's impact on the MDGs and poverty reduction, relative to what was initially expected?	Distance and trajectories of change, pre-and post PD-type changes. Mapping and weighting of possible contributory factors.	Existing evaluations and monitoring reports. National reports on development strategies Annual reports of National Cooperation Agencies. MDG reports and statistics (on-track / off-track) Statistical data (WB indicators, WB Development Finance report, IMF, OECD Secretariat, national statistical offices, ministries of finance, WB governance indicators, AfDB governance data base, UNDP etc. Economist Intelligence Unit, UNDP reports, press reports, etc.	Correlations, historical & statistical analyses & possibly select case studies where preliminary data/information suggest correlations
b. Did the implementation of the PD help countries to prioritise the needs of the poorest people, including women and girls, and reduce social	Evidence of: explicit exclusion analysis and policy / strategy / programmatic & and sector responses; relevant institutional	Existing evaluations, monitoring reports. National Statistical reports WB Development Finance OECD DAC statistics	Mapping and weighting of possible contributory factors. Document & budget analyses; Correlations, historical & statistical



Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
exclusion?	mechanisms; gender and exclusion-related budgetary allocations and expenditure flows; pro-poor, gender responsive priorities in national strategies, budgets; expenditure flows and other measures to/for social inclusion. National data disaggregation by region, sex, excluded group etc. Evidence on distance and trajectories of change.	Annual reports on development cooperation from donor countries (both traditional and emerging donors) Academic papers /commissioned studies in the development assistance literature Project & program evaluations	analyses & select case studies where preliminary data/information show powerful correlations; Meta analysis of national development outcomes, strategies and budgets
c. Were results in specific sectors enhanced through the application of the PD principles?	Selection of two tracer sectors: Health in all plus one “non-social” sector (each country can choose according to relevance) for each country evaluation. Evidence of distance and trajectories of change in relation to PD principles. Sectoral performance pre and post PD type actions.	Existing official and independent literature including government, donor and civil society reports, existing evaluations and monitoring reports, annual reports of line ministries & sector reports parliamentary decisions and reports, informed assessments Existing evaluations and monitoring reports, annual reports of line ministries & sector reports. Parliamentary Reports. Independent studies Grey literature (internal reports, working documents, electronic newsletters, blogs)	Mapping and weighting of possible contributory factors; Meta analyses; Comparative study of sectors; possible surveys.
<b>4. (Different or alternative approaches) Is the Paris Declaration the best way to achieve the kinds of outcomes that it set for aid effectiveness and development effectiveness?</b>			
a. Were the development results in specific sectors more significant in cases where the PD principles were	Categorization of PD-type influence (see context sections above). Evidence of prevalence of PD type	Existing evaluations and monitoring reports, annual reports of line ministries & sector reports.	

Proposed Core Evaluation Questions & Sub-questions	Suggested types of evidence & where possible, indicators	Likely sources of data	Methods & techniques for data collection, analysis and validation
applied compared to situations of vertical sub-sector programs and project-type approaches less guided by PD principles?	approaches by sector. Relevant evidence of results and performance by sector and plausible contributions.	Parliamentary Reports. Independent studies Grey literature (internal reports, working documents, electronic newsletters, blogs)	
b. What would be the likely implications for development results if donors were to shift a majority of aid to either general or sector-specific budget support?	Predictive: Relevant evidence on effects of general and sector-specific budget support, sector programs and performance	Primarily to be answered through analysis of the Evaluation findings plus relating these to the relevant literature and to key informant interview / survey data  Existing evaluations and monitoring reports, annual reports of line ministries & sector reports. Parliamentary Reports. Independent studies Grey literature (internal reports, working documents, electronic newsletters, blogs)	
c. In terms of development results, what is the added value of PD-style development cooperation, alongside other donors and sources of development finance and other drivers of development in the country? <i>(Captures iii &amp; iv)</i>	As above, summary analysis: In light of Context findings on their relative scale and weight, evidence on the relative strengths, weaknesses, complementarities and/or conflicts between these different sources and drivers .	Analysis of the Evaluation findings plus relating these to the relevant literature and to key informant interview / survey data Relevant evaluations. Economic and social analyses.	Informed respondent assessments of alignment and harmonization issues arising, and of possible benefits of choice beyond PD. meta-analysis of Evaluation data; comparative analysis across sectors /approaches
<b>Conclusions: What results has the Paris Declaration achieved for aid effectiveness and development effectiveness? Are they sustainable?</b>	E.g. Findings on quality and extent of changes in national policies, strategies, systems, behaviour, etc. with long term and high level potential.		

## Appendix C

### Suggested “Call for Proposals”/ Mandate Document for Country Evaluation Teams

#### Background

The second phase of the international evaluation of the Paris Declaration will run from the 3<sup>rd</sup> High Level Forum in 2008 up to the 4<sup>th</sup> High Level Forum in Korea in 2011. This second phase will emphasize outcomes and results and offer answers to the critical policy question of whether the intended long-term effects of the Paris Declaration are being achieved. The evaluation is expected to analyze results in context, taking into account preconditions or enabling conditions that may lead to or inhibit positive development results supported by aid.

**Purpose:** The 20-plus country studies that will be the evaluation’s primary focus will be the main vehicles for answering the core evaluation questions on the effects of the Paris Declaration on aid effectiveness and development effectiveness, including poverty reduction. These country evaluations will also assess the effectiveness in this regard of donors/agencies in the country, alongside that of the country stakeholders, and of the partnerships between them.

**Objectives:** The aim of the evaluation is to document, analyze and assess the relevance and effectiveness of the Paris Declaration in the country and its contribution to aid effectiveness and ultimately to development effectiveness, including poverty reduction.

Specific objectives include:

- To document the results achieved in the country through implementing the Paris Declaration.
- To enable the partner countries and donors/agencies active in the country to clarify, improve and strengthen policies and practice consistent with the Paris Declaration in pursuit of aid effectiveness and development effectiveness.
- To highlight barriers and difficulties that may have limited the effectiveness of the Paris Declaration and its effects and impacts – and ways that these barriers and difficulties may be overcome.
- To enable sharing and exchange of experience among stakeholders, countries and partnerships so as to facilitate reflection, lesson-learning and policy improvement.

9. The Accra Agenda for Action further specified some of the Paris Declaration’s commitments with the aim in particular of strengthening country ownership; building more inclusive partnerships; and sharpening the focus on development results. The Phase 2 evaluation will therefore pay particular attention to assessing implementation of these Accra commitments, which address the current concerns of many stakeholders.

(Further orientation is provided in the Draft Generic Terms of Reference for Country Evaluations, and the Phase 2 Evaluation Framework, Work-plan and Timetable.)

#### Services Required

Team to carry out a professional evaluation of the effects of the implementation of the Paris Declaration on aid effectiveness and development effectiveness including poverty reduction in [Country].

### Mandate/Description of Services:

In line with the overall Evaluation Framework for Phase 2 and Terms of Reference for the Country Evaluation, reporting to the National Reference Group and National Evaluation Coordinator, and with the collaboration and support of the Core Evaluation Team and other peer evaluation teams, to implement the agreed design for the evaluation in [Country].

### Scope of Work: Specific Tasks, Deliverables and Timelines

Task	Deliverable	Dates TO BE SPECIFIED
<b>Proposed Work-plan for the Country Evaluation)</b>	Provides a contextualised evaluation approach based on the generic ToRs and the specific additional questions agreed by the CRG. Covers: <ul style="list-style-type: none"><li>• Sampling frame (if any), relevant information sources</li><li>• Data collection methods and draft instruments (interview guide, questionnaires, etc.)</li><li>• A detailed work plan and methodology.</li></ul>	
	<ul style="list-style-type: none"><li>• Reporting to Reference/Advisory Group</li><li>• Engagement with stakeholders in country</li><li>• Consultation with, support from Core Team</li></ul>	Throughout
<b>Inception Report</b>	Bullet Point account of progress and challenges encountered. Proposals for adapting design and or use of resources	
	Participation in regional workshops for Team Leaders (and National Coordinators?) with Core Team	
<b>Emerging Findings Note</b>	The initial team analysis – citing evidence lying behind key findings and inter-related findings	
<b>1<sup>st</sup> Draft Report</b>		
<b>International workshop</b>	Participation in the Emerging Findings workshop to share experience, improve drafts, contribute to preparation of synthesis	
<b>Final Report</b>		
<b>Summary</b>		
	Contribution to dissemination activities	

### Client contact:

**Accountabilities and responsibilities:** The Draft Generic Terms of Reference for Country Evaluations provide the key information on the roles and accountabilities of the Country Evaluation Team in relation to those of the National Evaluation Coordinator and the National Reference/ Advisory Group.

**Consultant qualifications:** A highly experienced, multi-disciplinary and gender-balanced evaluation team, not carrying conflicts of interest into this evaluation. Able to maintain necessary stakeholder engagement and international Core Team and peer collaboration.

**Resources available:** [Financial Parameters to be specified]. Further resources in the form of technical support from the Core Evaluation Team and Evaluation Secretariat are outlined in the Draft Generic Terms of Reference for Country Evaluations.

Appendix D: Illustration of a Country Dossier (under preparation)

Appendix E: Guidance Note for Extranet Users: Phase 2 Evaluation Knowledge Management System (under preparation)

Appendix F: Glossary of Agreed Definitions for the Evaluation [(under preparation for room document)]

## Appendix G

### Questions on transaction costs for possible inclusion in both Country Studies & Agency Studies

<b>Transaction Costs Definition</b>	<b>Understanding Aid Transaction Costs as those administrative and financial costs which are necessary for aid-financed activities to be implemented but which add nothing to the benefits generated by those activities .....,</b>			
<b>1. a) Trends in Aid Transaction Costs</b>	<p>From 2005 to 2010, how would you judge that annual aid transaction costs per \$ of aid in your country/ agency have changed?</p> <p> <input checked="" type="checkbox"/> They have increased substantially.  <input checked="" type="checkbox"/> They have increased modestly.  <input checked="" type="checkbox"/> They have not changed significantly.  <input checked="" type="checkbox"/> They have reduced modestly.  <input checked="" type="checkbox"/> They have reduced substantially         </p>			
<b>1. b) Incidence of costs</b>	<p>For each of these categories of stakeholders, how do you judge that the burden of transaction costs which they bear has changed?</p>			
	<b>Government: Managerial &amp; technical cadres</b>	<input type="radio"/> <i>Burden has increased</i>	<input type="radio"/> <i>No significant change</i>	<input type="radio"/> <i>Burden has decreased.</i>
	<b>Government Administrative Cadres</b>	<input type="radio"/> <i>Burden has increased</i>	<input type="radio"/> <i>No significant change</i>	<input type="radio"/> <i>Burden has decreased.</i>
	<b>Donors: Managerial &amp; technical cadres</b>	<input type="radio"/> <i>Burden has increased</i>	<input type="radio"/> <i>No significant change</i>	<input type="radio"/> <i>Burden has decreased.</i>
	<b>Donors: Administrative Cadres</b>	<input type="radio"/> <i>Burden has increased</i>	<input type="radio"/> <i>No significant change</i>	<input type="radio"/> <i>Burden has decreased.</i>
<b>2. a) Relative influence of the Paris Declaration</b>	<p>Over 2005 to 2010, how do you think the implementation of the Paris Declaration has influenced the overall trends in Aid Transaction Costs in your country/agency? Specifically, how has it influenced aid transaction costs relative to what they would have been in its absence?</p> <p> <input checked="" type="checkbox"/> It has increased them substantially beyond what they would have been.  <input checked="" type="checkbox"/> It has increased them modestly beyond what they would have been.  <input checked="" type="checkbox"/> It has not significantly influenced Aid Transaction Costs.  <input checked="" type="checkbox"/> It has reduced them modestly below what they would have been.  <input checked="" type="checkbox"/> It has reduced them substantially below what they would have been         </p>			

<p><b>2. b) Source of influence from the Paris Declaration</b></p>	<p>What has been the respective impact on Aid Transaction Costs of the different aspects of the Paris Declaration? (NB. Bear in mind the definition of transaction costs presented above.)</p> <table border="1"> <tr> <td data-bbox="464 309 715 398"> <p><b>Efforts to harmonise practices across Donors</b></p> </td> <td data-bbox="715 309 970 398"> <p><input type="radio"/> <i>Have increased transaction costs.</i></p> </td> <td data-bbox="970 309 1230 398"> <p><input type="radio"/> <i>Have had no influence</i></p> </td> <td data-bbox="1230 309 1484 398"> <p><input type="radio"/> <i>Have decreased transaction costs.</i></p> </td> </tr> <tr> <td data-bbox="464 409 715 477"> <p><b>Efforts to align to Country systems</b></p> </td> <td data-bbox="715 409 970 477"> <p><input type="radio"/> <i>Have increased transaction costs.</i></p> </td> <td data-bbox="970 409 1230 477"> <p><input type="radio"/> <i>Have had no influence</i></p> </td> <td data-bbox="1230 409 1484 477"> <p><input type="radio"/> <i>Have decreased transaction costs.</i></p> </td> </tr> <tr> <td data-bbox="464 488 715 566"> <p><b>Efforts to introduce results-based mutual accountability</b></p> </td> <td data-bbox="715 488 970 566"> <p><input type="radio"/> <i>Have increased transaction costs.</i></p> </td> <td data-bbox="970 488 1230 566"> <p><input type="radio"/> <i>Have had no influence</i></p> </td> <td data-bbox="1230 488 1484 566"> <p><input type="radio"/> <i>Have decreased transaction costs.</i></p> </td> </tr> </table>	<p><b>Efforts to harmonise practices across Donors</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>	<p><b>Efforts to align to Country systems</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>	<p><b>Efforts to introduce results-based mutual accountability</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>
<p><b>Efforts to harmonise practices across Donors</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>										
<p><b>Efforts to align to Country systems</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>										
<p><b>Efforts to introduce results-based mutual accountability</b></p>	<p><input type="radio"/> <i>Have increased transaction costs.</i></p>	<p><input type="radio"/> <i>Have had no influence</i></p>	<p><input type="radio"/> <i>Have decreased transaction costs.</i></p>										
<p><b>3. Future trends and potential for change</b></p>	<p>a) What effect do you think the implementation of the Paris Declaration will have in the next two years with no significant change in the methods of implementation?</p> <ul style="list-style-type: none"> <li><input type="radio"/> It should begin to/ continue to reduce Aid Transaction Costs.</li> <li><input type="radio"/> It will stop increasing Aid Transaction Costs but not reduce them.</li> <li><input type="radio"/> It will continue to increase Aid Transaction Costs.</li> </ul> <p>b) What sorts of changes do you think are necessary in order for the implementation of the Paris Declaration to have more substantial positive effects on Aid Transaction Costs?</p> <ul style="list-style-type: none"> <li><input type="radio"/> No significant changes are needed: it is simply a question of implementing the Paris Declaration more intensively and thoroughly.</li> <li><input type="radio"/> Radical changes will be needed in the internal incentives of Donor Agencies.</li> <li><input type="radio"/> Radical changes will be needed in the internal incentives of Partner Governments.</li> <li><input type="radio"/> Please explain your answer.</li> </ul> <p>c) Can you provide any examples of specific good practices or policy adjustments by Donors or Partner Governments which have already helped to generate a positive impact on Aid Transaction Costs?</p>												
<p><b>Feedback to:</b></p>	<p><a href="mailto:Andrew.lawson@fiscus.org.uk">Andrew.lawson@fiscus.org.uk</a> ; or by telephone to +44 1865 437231</p>												