

Appendix B: Draft Generic TORs for country evaluations

(November 23, 2009)

Joint Evaluation of the Paris Declaration, Phase 2

Revised Draft Generic Terms of Reference (ToRs) for Country Evaluations

Guidance to Readers

Under the umbrella of the overall Evaluation Framework for Phase 2, this paper sets out the key common features and issues to be covered in the Country evaluations, including agreed purposes and objectives, design, management and governance arrangements, support, staffing, quality assurance, and timelines. Specifically, the document includes a 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 Evaluation synthesis in turn will be aligned with this matrix, integrating the findings of the country evaluations, donor/agency HQ evaluations, and other agreed sources.

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 - may also wish to supplement this coverage with particular evaluation issues or questions of special interest or relevance to the country, within the resources available for the evaluation.

These Generic ToRs will be used by the Country Coordinators and Reference Groups to guide them in their responsibilities for launching, managing and ensuring the success of the evaluations. They will also provide guidance for the professional Teams that will be recruited to carry out the work, backed up by the overall Framework and the continuing engagement and support of the Core Evaluation Team. It was strongly confirmed in each of the regional workshops in from 27 October to 20 November 2009 that, in order to meet both sets of needs, the Generic ToRs for this challenging evaluation need to be clear, straightforward, rigorous, manageable and comparable across the two dozen countries where the evaluations will be carried out.

The substantial revisions to the first draft version, circulated on 20 October, 2009, reflect a systematic consolidation of the inputs of the many participants in the regional workshops and have also taken careful account of all the comments on the first draft by other members of the International Reference Group received by the Evaluation Secretariat up to its deadline of 20 November, 2009. The current draft goes as far as possible now to set out the main lines of the approach so as to enable National Coordinators and Reference Groups to launch the national evaluation exercises, recruit evaluation teams, and get work underway in line with the calendar required to complete the evaluation before the Fourth High Level Forum in Seoul. Once the individual country evaluation teams are in place (in March 2010) the planned workshops with Coordinators and the Core Evaluation Teams will produce revised evaluation matrices, with final, detailed methodologies for inclusion and approval in the scheduled Inception Reports.

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1. Background and Rationale: the overall Phase 2 Evaluation

1. The Paris Declaration expresses a broad international consensus developed in the 15 years up to 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 Declaration¹ was endorsed at the 2nd 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 re-confirmed in the Accra Agenda for Action in 2008.² The first phase of the Evaluation³ 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 and used to deliver practical lessons and help take stock of implementation performance at the 3rd High Level Forum on Aid Effectiveness held in Accra, Ghana in September 2008.

4. The second phase of the Evaluation will run from the 3rd High Level Forum in 2008 up to the 4th High Level Forum in Korea in 2011. This 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 results, including poverty reduction. These country evaluations will 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 results, including poverty reduction.

7. Specific objectives include:

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

¹ 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>

² 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.”

³ 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.diiis.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.⁴
- 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 the process and products at every stage of the evaluation, by:

- a. Keeping the central questions and key audiences constantly in sight;
- b. Using straightforward language: minimizing acronyms, jargon and unnecessary technical language in all products;
- c. Open internal communications – as in the planned knowledge-sharing system within and among teams;
- d. Trilingual operation: specific work to ensure timely translation of key documents and balanced literature sources in English, French and Spanish;
- e. Building in the time required for peer exchanges, edits, strong summaries;
- f. Critically, meeting the required deadlines for progress steps and the submission of draft and final reports and dissemination summaries.

National communications plans should be directly linked to key points in the national and international dialogue on aid effectiveness and MDG trends over the coming two years to build policy engagement with the study and ensure its timely contribution to the debates.

12. Approach for Country level Evaluations: An approach for the overall Evaluation 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. The Phase 2 evaluation will focus on effects at the level of partner countries and their

⁴ In a number of participating countries, clear links are already being forged between this evaluation and other, related monitoring and evaluation activities in order to maximise the synergies, guard against duplicative work, and strengthen the usefulness of the evaluation in the country.

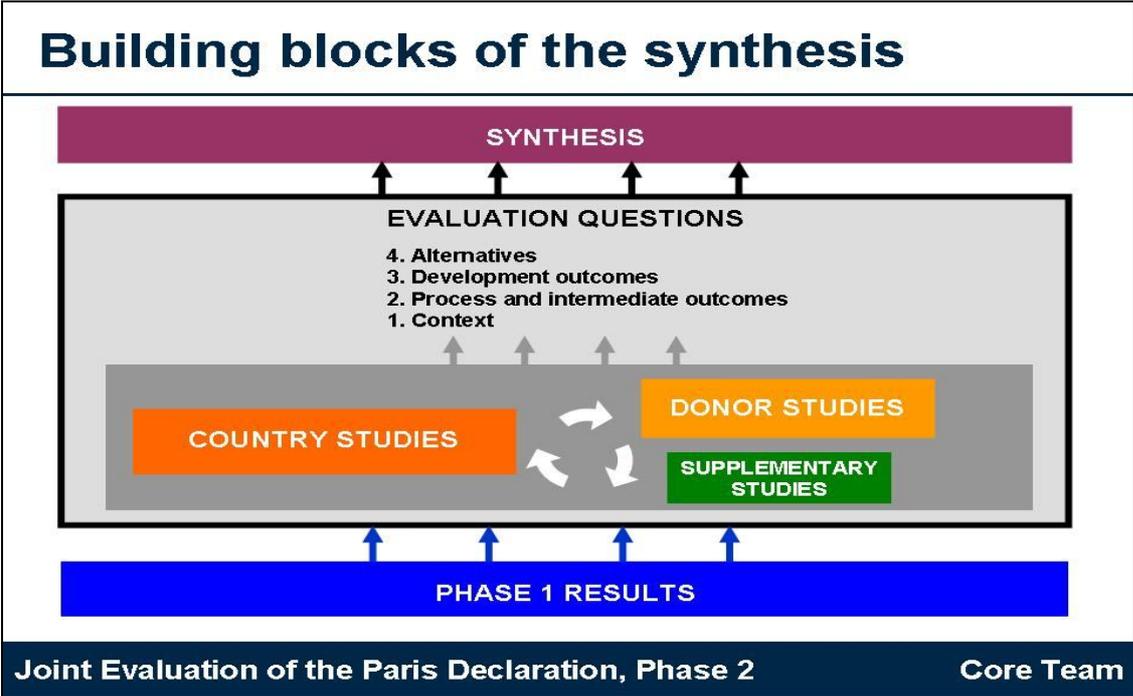
partnerships, i.e. the joint arrangements between donors and the recipients of aid that have been put in place to support the implementation of the Declaration.

13. As the main foundation for the overall evaluation, well-grounded comparisons between experiences (within and across countries) will be important to test claims for the effects of the Paris Declaration.

14. 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 in individual country situations; and
- Results or outcomes in terms of aid effectiveness and development results, with rather precise minimum common “core” questions, scope and methodologies for all country evaluations, to allow meaningful aggregation and synthesis. This will not 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 for the overall Evaluation will be undertaken by country-level teams, their evidence will be complemented by: a number of headquarters-level donor/agency studies, together with the eleven conducted in Phase 1; and a small number of “supplementary studies” where essential to provide adequate coverage of important issues. Specific opportunities for complementary coverage will be sought out and together these elements are intended to ensure adequate depth and breadth of the evaluation. The building blocks for the Phase 2 Evaluation (and the central role of the country level evaluations) are illustrated in the Figure below.



3. Evaluation Methodology: evaluation questions and methods

16. **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 methodology⁵.

17. 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 core evaluation questions and sub-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.)

18. The evaluation will a) evaluate to what extent the PD has been implemented, and b) in as far as it has been implemented evaluate what the results have been in terms of aid effectiveness and development. The core questions (refined through the regional workshops and inputs from with the International Reference Group members) are set out below and then in the Matrix in Appendix B, where they are backed with the sub-questions, together with indications of the common types, indicators, and sources of evidence, to be used, as well as initial directions on common techniques and methods. Once the core questions and sub-questions are confirmed, additional guidance will be developed to flesh out the Matrix, particularly the methods and tools in Column 4, with a more precise identification of the analytical methods for each study element. This will ensure clear understanding of all the steps involved. to support standard approaches e.g. on data handling and analytical steps for each stage.

19. The “logic chain” of the questions is illustrated in three different diagrams in the Evaluation Framework, and it should be noted that the order and content of the three main evaluation questions, and the framework for conclusions, successively emphasise the accepted guiding evaluation criteria of relevance, efficiency, effectiveness and sustainability.

The Core Questions.

1. **“What are the important factors that have affected the relevance and implementation of the Paris Declaration and its potential effects on aid effectiveness and development results?” (The Paris Declaration in context)**
2. **“To what extent and how has the implementation of the Paris Declaration led to an improvement in the efficiency of aid delivery, the management and use of aid and better partnerships?” (Process and intermediate outcomes)**
3. **“Has the implementation of Paris Declaration strengthened the contribution of aid to sustainable development results? How?” (Development outcomes)**

The Framework for Conclusions:

- i. **To what extent has each of the five principles of the Paris Declaration been observed and implemented, and the Accra Agenda priorities reflected? Why? Have there been conflicts or trade-offs between them?**

⁵ 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”).

- ii. **What has the Paris Declaration achieved for aid effectiveness and development results? How significant are these contributions? How sustainable?**
- iii. **What has been the added value of Paris Declaration-style development cooperation compared with the pre-PD situation, and seen alongside other drivers of development in the country, other sources of development finance and development cooperation partners beyond those so far endorsing the Declaration?**
- iv. **What are the key messages for a) national stakeholders, and b) donor countries and agencies?**
- v. **What are the key implications for aid effectiveness in the future taking account of new challenges and opportunities (e.g. climate change) and new actors and relationships?**

20. **Special Challenges:** In addressing these core evaluation questions it is clear that the challenges of attributing results to a set of commitments like the Paris Declaration are especially complex. **One vital starting point is to recognize that the 2005 Declaration itself brought together a variety of reform efforts and initiatives that had been underway in different settings for some years before. Thus each evaluation should explicitly include assessment of these “upstream” or precursor steps as an integral part of its scope.**

21. 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.

22. The 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.

23. **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);
- 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 whilst supporting forward-looking policy development and improvement.

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

- a. *Literature and documentation review*
- b. The analysis of *the most relevant 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) deepened by *semi-structured interviews* and *focus groups* (key stakeholders including government (different branches and levels) donor agencies, civil society and the private sector..) Any possibilities for drawing on participative approaches will be pursued;
- e. To help ground the evaluations, *a common template for analysis by all or almost all country evaluations of one important “tracer sector” (health) and for comparable analysis of the other sectors of priority chosen within each country.* Following broad agreement in the regional workshop process to a special focus on two sectors per evaluation, an agreed template and guidance will be developed for the identification, design and implementation of these analyses;
- 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, and *backward-tracking studies* as a basis for seeking plausible links in the causal chain - from PD-style aid inputs to development results - to assess and predict the likely direction of further travel..

25. **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 “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 are required to 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 appropriately-skilled 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 [see Glossary] and a common style guide to avoid confusion and inconsistent treatment.

4. Management of the Evaluation: responsibilities and accountabilities

26. The points below draw and build on the ‘Guidance for Management of Country level Evaluations’ Note issued by the Secretariat in September 2009. More detail on the international structure, relationships and governance in the overall Evaluation is provided in the “Evaluation Framework, Work-plan, and Timetable” for Phase 2.

27. **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

28. **In-country management arrangements:** The **National Evaluation Coordinator**, appointed by the Government, is responsible for managing all aspects of the Country Evaluation process including, most importantly:

- 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 evaluation matrix for Country Evaluations and (if required) a module with country-specific evaluation questions;
- c. The recruitment and contracting of the consultants for the Country Evaluation (with selection where possible by the National Reference/ Advisory Group);
- d. At least bi-monthly reporting on the progress of the evaluation in line with a manageable agreed common format;
- e. Quality control; assuring that the evaluation is of acceptable quality in reference to identified relevant national, regional and/or international (DAC) standards and drawing on the pro-active and responsive services of the Core Evaluation Team and the Evaluation Secretariat.

29. 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, first draft report and final reporting milestones.

30. The **National Reference/Advisory Group** will normally be responsible for the following important functions:

- a. Approving the design of the pertinent evaluation that comprises a common set of evaluation questions applicable to all country level evaluations and where desired a module with supplementary, country-specific evaluation questions.
- b. Deciding on selection criteria for the country level teams
- c. Selecting the members of country evaluation teams, consistent with the selection criteria and national competitive procurement or tender rules
- d. Serving as a resource and to provide advice and feedback to the National Coordinator and Team
- e. Helping to ensure the independence , integrity and quality of the evaluation;
- f. Reviewing and commenting on (but not approving) the draft products of the respective country study

31. National reference groups should also have important roles to play in accessing information; exerting quality control; linking to government and engaging civil society; facilitating the necessary wider consultation; and encouraging the use and usefulness of the evaluations findings.

32. These roles will require a Group with sufficient representation from among key stakeholders, good credibility and access together with the necessary measure of independence. The tasks will imply the need for a series of dedicated inputs of time from the individual members of the National Reference/ Advisory Group.

33. 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.

34. **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 [31st March 2010]:** The National Evaluation Coordinator is accountable for this milestone being reached with the support of the National 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 [and/or the contracted firm or institution] 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.

35. **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 and engaged. A variety of channels and activities should be used and opportunities maximised to linked to key points in national strategic and decision-making cycles (already planned in several countries.) Links should also be forged with key milestones in the international dialogue on aid effectiveness and MDG trends over the coming two years to build policy engagement with the study and ensure its timely contribution to the debates.

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

37. **Progress reporting:** The National Evaluation Coordinator, in his/her role as in-country focal point for the Phase 2 Evaluation will provide the Secretariat with bi-monthly updates (copied to the Core Evaluation Team) – 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.

38. **Country Evaluation Timeline:** The overall Evaluation Work-plan and Schedule below incorporates the sequence of key milestones for the Country evaluations, alongside other elements and processes.

Workplan and Schedule

Period/Date	In country	International
Nov 2009	Establish National Reference Groups	Consolidation of comments from four Regional Workshops (Core Evaluation Team) by 20 th Nov
1 Dec 2009	International Reference Group approves Generic Terms of Reference	
Dec 2009/ Jan 2010	Establish National Reference Groups and approve Terms of Reference for Country Evaluation (Country Coordinator)	Core Evaluation Team support to National Evaluation Coordinators as required
Dec 2009/ Feb 2010	Select and contract Evaluation Teams	
Feb/ Mar 2010	Sub-regional/national workshops for Team Leaders and National Coordinators with Core Team/EMG	
15 th April 2010	Country and Donor/Agency HQ Teams submit inception reports	
April – Sep 2010	Conducting Country and Donor/Agency headquarters-level evaluations	Core Evaluation Team support to National Evaluation Coordinators as required
15 th Sep 2010	Submission of first draft report including summary of findings by each Country team and Donor/Agency headquarters-level team to EMG and CET	
Sep-Dec 2010	Consultation, validation and finalization of report in country	Core Evaluation Team prepares consolidated emerging findings by 15 October
26 th -28 th Oct 2010	Meeting/workshop of Country and Donor/Agency headquarters study team leaders, Core Team and International Reference Group to discuss emerging findings and the plan for the synthesis	
Nov-Dec 2010	Production/submission of Country and Donor/Agency-level reports (deadline 31 st Dec 2010)	
Jan-Apr 2011	Dissemination of evaluation results in countries	Drafting Synthesis Report
Apr 2011	Meeting of the International Reference Group to comment on the draft Synthesis Report	
Apr-May 2011	Dissemination of evaluation results in countries	Finalization of Synthesis Report
May-Sep 2011	Dissemination activities/inputs to preparations for High Level Forum	
Sep-Oct 2011	4 th High Level Forum in Seoul	

5. Support Arrangements for Country Evaluations

39. **The Core Evaluation Team:** 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.

40. **Services to Country Evaluations.** The Core Team has been in place since September 2009. With a view to ensuring the quality and integrity of the Country Evaluations within the overall Phase 2 Evaluation it is charged with providing the following set of support services to Country Evaluation processes:

- After intensive regional consultations, design for the approval of the Evaluation Management Group and the International Reference Group a “Generic Terms of Reference” for Country Evaluations that will guide data gathering and fieldwork in a way that will ensure quality and enable comparison and the synthesis of findings.
- Provide professional advice on request to the National Evaluation Coordinator and members of the National Reference/ Advisory Group on the basis for selection, contracting and briefing of Country Evaluation Teams
- Review and collate relevant existing research and evaluations, including through a series of initial ‘Country Dossiers,’ providing Country Evaluation Teams with some key references relevant to the common methodology and core questions. The Country Evaluation Teams themselves will then add further secondary information to the Dossier and to the wider literature review being conducted for the Phase 2 Evaluation.
- Provide ongoing advice and support to Country Evaluation Teams to ensure the coherence of the evaluation and the comparability of its different elements.

41. To make best use of the support resources of the Core Evaluation Team, it will work both pro-actively and responsively to engage with and support the Country evaluations. In addition to important arrangements for indirect support, planned face to face opportunities been identified (see Table below) to help lay solid foundations and clear directions for Country Evaluations to follow, support continuing adherence to evaluation standards, provide guidance if/ where evaluation teams run into problems, and facilitate sharing and learning among country teams.

Table: Planned face to face meetings by members of the Core Evaluation Team with Country Evaluation Processes

Activity/ Event	Persons involved (from countries undertaking evaluation)	Face to face) with country processes
Regional Workshops I (Oct/ Nov 2009)	National Evaluation Coordinators, or representatives, and major stakeholders or National Reference Group members if named.	All countries

Regional Workshop II (March/April 2010)	Team Leaders of Country Evaluation Teams, National Evaluation Coordinators – and possibly other team members	All countries
Evaluation Work-plan presentation (event)	Country Evaluation Team presentation to National Reference Group	Mission option for a limited number of countries
Inception Report Presentation (event) – 1 month in	Country Evaluation Team presentation to NEC and the National Reference Group	Mission option for a limited number of countries
Team analysis 'stage' – August	Country Evaluation Team	Mission 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	Mission option for a limited number of countries
International "Emerging Findings" workshop	Country Evaluation Team and National Evaluation Coordinators	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. “What are the important factors that have affected the relevance and implementation of the Paris Declaration and its potential effects on aid effectiveness and development results?” (The Paris Declaration in context) (10 pp. max.)

2. “To what extent and how has the implementation of the Paris Declaration led to an improvement in the efficiency of aid delivery, the management and use of aid and better partnerships?” (Process and intermediate outcomes) (10 pp. max.)

3. “Has the implementation of Paris Declaration strengthened the contribution of aid to sustainable development results? How?” (Development outcomes) (10 pp. max)

4. Framework for Conclusions (10 pp. max):

- To what extent has each of the five principles of the Paris Declaration been observed and implemented, and the Accra Agenda priorities reflected? Why? Have there been conflicts or trade-offs between them?
- What has the Paris Declaration achieved for aid effectiveness and development results? How significant are these contributions? How sustainable?
- What has been the added value of Paris Declaration-style development cooperation compared with the pre-PD situation, and seen alongside other drivers of development in the country, other sources of

development finance and development cooperation partners beyond those so far endorsing the Declaration?

- iv. What are the key messages for a) national stakeholders, and b) donor countries and agencies?**
- v. What are the key implications for aid effectiveness in the future, taking account of new challenges and opportunities (e.g. climate change) and new actors and relationships?**

C. Key Lessons and Recommendations (if applicable) around the Common Evaluation Questions (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

Draft Evaluation Matrix for Country Evaluations

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>1. “What are the important factors that have affected the relevance and implementation of the Paris Declaration and its potential effects on aid effectiveness and development results?” (The Paris Declaration in context)</p>			
<p>a) What are the key characteristics of the country that have been most relevant to the implementation of the PD?</p> <p>(Ensuring analytical not descriptive treatment)</p>	<p>e.g. As most relevant:</p> <ul style="list-style-type: none"> i. Human development, social and poverty indicators ii. Key economic features, issues and trends iii. External and domestic resource mobilization patterns, place of aid iv. Indicators of governance and fragility. (The rule of law and a functioning legislature, and respect of human rights are likely to be key conditions) v. Social indicators (health, education, gender, vulnerability) vi. National development 	<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>

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	<p>strategies and national development cooperation strategy, outcome based monitoring & evaluation</p> <p>vii. Recent political factors, changes and developments that affect the aid arena</p> <p>viii. Capacity development needs/priorities</p>		
<p>b) What is the place of aid subject to PD principles among all sources of development finance and resources? What have been the trends from early roots to 2005 and since?"</p>	<p>i. Pre and post PD trends in Official Development Assistance shares and components of external and overall development finance and national resource mobilisation , (incl. private investment trade receipts, remittances, etc.)</p> <p>ii. What shares and types of ODA flows in turn are in practice subject to PD principles? Why?</p> <p>iii. Include appropriate coverage of technical cooperation, South-South and triangular cooperation, and sources of development cooperation not covered by the PD.</p>	<p>Public accounts, Foreign Aid & Budget monitoring divisions-docs</p> <p>Existing external resources dept. and country/donor shared tracking, docs and national and international stats.</p>	<p>What have been the trends from early roots to 2005 and since? Review, compilation and processing of statistical data, evaluative and monitoring materials.</p> <p>Review and summary of documents (national, international, independent).</p> <p>Preparation of tables, briefing notes</p> <p>Survey of the economic activities, sectors, regions, programs, projects, issues and drivers that fall outside the purview of the Paris Declaration.</p> <p>Semi structured interviews & focus groups with informed respondents</p> <p>Possible use of adapted 'sphere of influence' (outcome mapping) model for analysis.</p>

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<p>c) Which are the key actors, in the country and among its development partners, who can take major decisions on aid? What influence do the Paris Declaration and AAA commitments have on them, in relation to their other priorities and incentives?</p>	<p>i. Maps of the relevant major decisions (annually, over the period since 2005)? ii. Identification of the relevant key decision-makers. 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, private sector and media actors. iii. Coherence between donor/agency HQs and field actors should be assessed. iv. Possible supplementary study</p>	<p>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.</p> <p>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.</p> <p>Targeted grey literature (internal reports, working documents, electronic newsletters, blogs)</p>	<p>Document analysis, decision mapping, stats., meta-analysis & semi structured interviews & focus groups with a wide range of informed respondents e.g. including current and former officials, at different levels of government, donor representatives and observers, legislators, civil society, media, scholars</p>
<p>e. What are the most important national and international events that have affected the implementation of the Paris Declaration and Accra priorities,</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 &</p>	<p>Existing evaluations and official and independent literature including government, donor and civil society reports, parliamentary decisions and</p>	<p>Literature and document review, meta analysis, semi structured interviews, focus groups with key stakeholders to include government, civil society and</p>

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and how?	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?	reports, informed assessments	parliamentarians, or possibly surveys with informed respondents
f. To what extent and where have the PD principles been implemented? Why and how?	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.	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.	Document & literature review, meta analysis, questionnaires & semi structured interviews & focus groups with informed respondents. Phase 1 type analysis needed to supplement Monitoring Survey results on other commitments.
<p>2. “To what extent and how has the implementation of the Paris Declaration led to an improvement in the efficiency of aid delivery, the management and use of aid and better partnerships?” (Process and intermediate outcomes)</p> <p>(Note: It is proposed that the interest in assessing progress related to inefficiencies in aid</p>			

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<p>processes, the weight of the resulting burdens, and who bears them, will mainly be treated under the respective intended outcomes below (e.g., numbers ii., iv.,v., and viii.) as well as in a possible supplementary study. The earlier idea of treating these critical issues under the label of “Transaction Costs” - roughly borrowed from Economics, and barely mentioned in the Declaration - has been found unhelpful and confusing.</p>			
<p>Sub-questions: The main means to provide answers to Core question 2 will be to assess the progress achieved in realizing each of the 11 following intended outcomes that were <u>directly specified</u> in the opening Paragraphs 3 and 4 of the Declaration itself, reflecting as well the further political emphases and priorities brought out in the Accra Agenda for Action.</p> <p>Note 1: While there are serious challenges in assessing and measuring achievement in some</p>	<p>Assessments against each of these intended outcomes could be focused on changed activities, behaviour, and relationships.</p> <p>In providing answers to these sub-questions, the only feasible across-the-board source is likely to be a standard survey of informed respondents as a key element in each country level evaluation. (Finding a good, balanced, and adequately informed range of respondents will be a challenge in most cases.)</p>	<p>Other: 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</p>	<p>Other: Monitoring Survey sheds some light on some expected outcomes, but unevenly. Qualitative analysis of consultation and decisions taken in Dialogues/ Coordination Processes.</p> <p>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>

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<p>of these areas, this list, if taken as a whole, has an incontestable standing as the principal base for evaluation the effects of the Declaration.</p> <p>Note 2: The 11 intended outcomes are clustered below under the main action headings of the AAA, and the Accra emphases can be drawn out further in pursuing individual questions.</p>	<p>It is very likely that some issues will be found more applicable than others, depending on different country situations. If so, this too will be a finding.</p> <p>Survey responses would then be elaborated though structured and semi-structured interviews, analyses of context under Question 1, and findings triangulated against the most recent monitoring survey results and trends where relevant (see individual points below), and other monitoring, evaluative and research findings (e.g., the EU Code of Conduct on Division of Labour and Complementarity or the Monterrey Consensus.)</p>	<p>alignment/coordination processes:</p> <p>Evidence from documentation on parliamentary scrutiny policy dialogues, donor coordination groups, joint reviews and problem solving meetings.</p> <p>Evidence of trends in the span and distribution of national management/ donor management of aid.</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>
<p>A. Country ownership over development</p>	<p>In addition to assessing progress against the sub-questions below, with their specific and sometimes technical aspects, a broader assessment of progress is needed against this central principle, highlighted again at Accra, with its critical political and behavioral dimensions. The proposed survey instruments and related methods should seek specific assessments of progress</p>		

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	<p>against this overarching objective - specifically focused on changed activities, behaviour, and relationships. The Accra commitments may point to some further sub-questions. All this will contribute to the aggregate assessment against the principles in the Conclusions.</p>		
<p>i. <u>Stronger</u> national strategies and frameworks?</p>	<p>e.g. Monitoring survey results on Indicator 1 provide a partial source and cross-check. Phase 1 reports relevant</p>		
<p>ii. <u>Increased</u> alignment of aid with partner countries' priorities, systems and procedures, help to strengthen capacities?</p>	<p>e.g. Monitoring survey results on Indicator 3, 5a ,5b and 6 provide a partial source and cross-check. Phase 1 and donor/agency HQ reports relevant. Note: Need to test against AAA priority on increased and appropriate support for capacity development.</p>		
<p>iii. <u>Defined</u> measures and standards of performance and accountability of partner country systems in public financial management, procurement, fiduciary standards and environmental assessments, in line with broadly accepted good practices and their quick and</p>	<p>e.g. Monitoring survey results on Indicator 2 provide a partial source and cross-check. Phase 1 and donor/agency HQ reports relevant</p>		

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widespread application?			
B. Building more inclusive and effective partnerships for development	In addition to assessing progress against the sub-questions below, with their specific and sometimes technical aspects, a broader assessment of progress is needed against this central political objective, highlighted again at Accra. The proposed survey instruments and related methods should seek assessments on this - specifically focused on changed activities, behaviour, and relationships. The Accra commitments may point to some further sub-questions.		
iv. <u>Less</u> duplication of efforts and rationalized, more cost-effective donor activities	e.g. Monitoring survey results on Indicators 4,9, and 10 provide a partial source and cross-check. Phase 1 reports relevant. Phase 1 and donor/agency HQ reports relevant		
v. <u>Reformed</u> and <u>simplified</u> donor policies and procedures, more collaborative behaviour	Phase 1 and donor/agency HQ reports relevant		
vi. <u>More</u> predictable and multi-year commitments on aid flows to committed partner countries. [Has the nature of conditionalities been changed to support	e.g. Monitoring survey results on Indicator 7 provide a partial source and cross-check. Progress on untying, an Accra Agenda priority, could be treated		

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ownership in line with the AAA commitment (para. 25)]	here, with reference to Monitoring Survey Indicator 8. Phase 1 and donor/agency HQ reports relevant		
vii. <u>Sufficient</u> delegation of authority to donors' field staff, and adequate attention to incentives for effective partnerships between donors and partner countries	Phase 1 and donor/agency HQ reports relevant		
viii. <u>Sufficient</u> integration of global programmes and initiatives into partner countries' broader development agendas.	Note: This question has taken on more precise elements since this phrasing in 2005. Evidence Existing evaluations.: e.g. Monitoring survey results on Indicators 3,6, and 9 provide a partial source and cross-check.. Possible supplementary study.		
C. Delivering and accounting for development results	In addition to assessing progress against the sub-questions below, with their specific and sometimes technical aspects, a broader assessment of progress is needed against this central principle, highlighted again at Accra in its political context. The proposed survey instruments and related methods should seek assessments on this - specifically focused on changed activities, behaviour, and relationships – and contribute to the aggregate		

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	assessments under question 3 and in the Conclusions. The Accra commitments may point to some further sub-questions.		
ix. <u>Stronger</u> partner countries' capacities to develop and implement results-driven national strategies	e.g. Monitoring survey results on Indicator 11 provide a partial source and cross-check. Phase 1 and donor/agency HQ reports relevant		
x. <u>Enhanced</u> respective accountability of countries and donors to citizens and parliaments <u>Enhanced</u> respective accountability of countries and donors to citizens and parliaments	Phase 1 suggested that achieving this original expected outcome of the Declaration appeared to be the most important concrete way of advancing the central principle of mutual accountability, highlighted again at Accra. The proposed survey instruments and related methods should seek assessments on this - specifically focused on changed activities, behaviour, and relationships. e.g. Monitoring survey results on Indicator 12 provide a (very) partial additional source and cross-check. Phase 1 and donor/agency HQ reports will be relevant. The Accra commitment on access to the requisite information is key.		
xi. <u>Less</u> corruption and more	e.g. Monitoring survey results on		

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transparency, strengthening public support and supporting effective resource mobilisation and allocation.	Indicator 2 provide a (very) partial source and cross-check		
D. Have there been unintended consequences of the Paris Declaration for aid effectiveness? Is there evidence of better ways to make aid more effective?			
<p>3. “Has the implementation of Paris Declaration strengthened the contribution of aid to sustainable development results? How?” (Development outcomes)</p> <p>[Note: the Declaration’s own statement of intended effects, to:</p> <p>“Increase the impact of aid in:</p> <ol style="list-style-type: none"> 1. Reducing poverty 2. Reducing inequality 3. Increasing growth 4. Building capacity 5. Accelerating achievement of MDGs” <p>(Paragraph. 2)</p>			
a) Were results in specific sectors enhanced through the	i. Evidence of distance and trajectories of change in relation	Existing official and independent literature including government,	Existing evaluations and monitoring reports, annual

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<p>application of the PD principles?"</p> <p>(Health to be used as a “tracer sector across all country evaluations, and one other, “non-social” sector to be selected by each country)</p> <p>(Note: One or two countries were noted where the health sector has little aid involvement. Briefly documenting this can contribute to overall results.)</p>	<p>to PD principles.</p> <p>ii. Sectoral performance pre and post PD type actions. Categorization of PD-type influence (see context sections above).</p> <p>iii. Evidence of prevalence of PD type approaches by sector. Relevant evidence of results and performance by sector and plausible contributions.</p>	<p>donor and civil society reports, existing evaluations and monitoring reports, annual reports of line ministries & sector reports parliamentary decisions and reports, informed assessments</p> <p>Existing evaluations and monitoring reports, annual reports of line ministries & sector reports.</p> <p>Parliamentary Reports. Independent studies</p> <p>Grey literature (internal reports, working documents, electronic newsletters, blogs)</p>	<p>reports of line ministries & sector reports.</p> <p>Parliamentary Reports. Independent studies</p> <p>Grey literature (internal reports, working documents, electronic newsletters, blogs)</p> <p>Mapping and weighting of possible contributory factors; Meta analyses; Comparative study of sectors; possible surveys.</p>
<p>b) Did the implementation of the PD help countries to improve the prioritisation of the needs of the poorest people, including women and girls, and reduce social exclusion?"</p>	<p>i. Evidence of: explicit exclusion analysis and policy / strategy / programmatic & and sector responses; relevant institutional 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.</p> <p>ii. National data disaggregation by</p>		<p>Mapping and weighting of possible contributory factors. Document & budget analyses; Correlations, historical & statistical analyses & select case studies where preliminary data/information show powerful correlations; Meta analysis of national development outcomes, strategies and budgets</p> <p>[Note: possible supplementary</p>

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	region, sex, excluded group etc. iii. Evidence on distance and trajectories of change.		study required]
c) How and why has the mix of aid modalities (including general or sector-specific budget support) evolved and what have been the development results?"			
d) Has PD implementation led to sustainable increases in institutional capacities and social capital at all levels to respond to development challenges? Why, how and where, and what are the effects?	Check against 3 commitments in AAA on capacity development and 5 on use of country systems: i. Evidence of changes in: administrative capacities among all development actors, including CSOs; ii. ability to consult with and account 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.	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	Trends/assessments of PD-driven capacity development support. Major assessments on technical cooperation. Survey, appreciative inquiry, Most significant change. Key informant interviews.
e) Has the implementation of the PD had unintended consequences for development results, negative or positive? Is there evidence of better ways to			

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make aid contribute more to development results?			
f) Has the PD enhanced ODA's impact on achieving the goals of the national development strategy and the MDGs?"	i. Distance and trajectories of change, pre-and post PD-type changes. ii. 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
4. Framework for Conclusions: i. To what extent has each of the five principles of the Paris Declaration been observed and implemented, and the Accra Agenda priorities reflected? Why? Have there been			

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<p>conflicts or trade-offs between them?</p> <p>ii. What has the Paris Declaration achieved for aid effectiveness and development results? How significant are these contributions? How sustainable? Is there evidence of better ways to make aid more effective and contribute more to development results?</p> <p>iii. What has been the added value of Paris Declaration-style development cooperation compared with the pre-PD situation, and seen alongside other drivers of development in the country, other sources of development finance and development cooperation partners beyond those so far endorsing the Declaration?</p> <p>iv. What are the key messages for a) national stakeholders, and b) donor countries and agencies?</p> <p>v. What are the key</p>			

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implications for aid effectiveness in the future taking account of new challenges and opportunities (e.g. climate change) and new actors and relationships?			