Joint Evaluation of the Paris Declaration, Phase 2

Generic Terms of Reference (ToR) for Donor/Agency HQ Studies

Guidance to Readers

This Generic ToR has been drafted to provide a common basis for the Donor/Agency Headquarters (HQ) Studies. It reflects the overarching Evaluation Framework, Work-plan and Timetable for the Phase 2 Evaluation, which in turn have carefully reflected all the preparatory work to date under the auspices of the International Reference Group for the Evaluation. It also reflects and integrates the experience of Phase 1. The present version reflects inputs from a workshop with donor agencies, held in London on 23 September, 2009, input from the Evaluation Management Group and an advisor to that Group, as well as guidance from the International Reference Group provided at their meeting held in Paris on 30th November – 1st December, 2009.

In Phase 1, these studies were referred to interchangeably as evaluations and studies. The Executive Summary of the Phase 1 Synthesis Report thus states that the evaluation is based on “extensive assessments in eight countries, together with “lighter” studies on eleven Development partner or “Donor” agencies, focusing at the headquarters level”. It is up to each donor/agency to decide how stringent they wish to be in their methodology and process; some may carry out full fledged evaluations, others decide to do lighter studies. Therefore, in this Generic ToR the term “study” is used to describe the product while the term “evaluation” is used with reference to evaluation teams and evaluation coordinators. The product at donor/agency level is more descriptive and analytical than at country level; it provides insights and patterns rather than explanations and conclusions. Donor/agency studies focus on process and bring out the explanatory factors for how and why donors/agencies implement the Paris Declaration, whereas country level evaluations assess how this contributes to development results and effectiveness. The Evaluation Framework explains this in more detail.

1 To avoid confusion, the imperfect term "donor" is used here as in both the Paris Declaration and Accra Agenda for Action; it denotes providers of Official Development Assistance, and sometimes other resources. The term “agencies” is also used to refer to some multilateral providers. The term “Donor/Agency HQ studies” is consistent with terms used in Phase 1; they are evaluations/studies carried out on the programmes of individual donors or agencies, at the level of headquarter policies and operations, but also drawing on the field perspectives of in-country offices.

2 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.
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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 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\(^3\) was endorsed at the 2\(^\text{nd}\) High Level Forum held in Paris in 2005 by 52 donors/agencies and partner countries and 30 other actors in the development cooperation field (United Nations and other multilateral agencies and non-governmental organizations). The Declaration consists of 56 “Partnership Commitments”, and aims to strengthen “partnerships” between donor countries and countries receiving aid (partner countries) in order to make aid more effective and to maximize development results.

3. The requirement for monitoring and independent evaluations was built into the original Declaration and reinforced in the Accra Agenda for Action in 2008.\(^4\) The first phase of the Evaluation\(^5\) 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\(^\text{rd}\) High Level Forum on Aid Effectiveness held in Accra, Ghana in September 2008. Monitoring Surveys were carried out in 2005 and 2007, covering 34 and 55 countries respectively. Eleven Donor/Agency HQ studies were carried out as part of the Phase 1 evaluation and these contributed to “Deepen[ing] our understanding of the lessons emerging from the Paris Declaration Baseline Survey” as one of the key objectives.

4. The second phase of the Evaluation will run from the 3\(^\text{rd}\) High Level Forum in 2008 up to the 4\(^\text{th}\) 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.

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

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\(^4\) The Evaluations complement the monitoring of the implementation of the Paris Declaration, undertaken through the Cluster D of the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Working Party on Aid Effectiveness “Assessing Progress on Implementing the Paris Declaration and the Accra Agenda for Action.”

6. **The Core Evaluation Team:** The Core Evaluation Team has overall responsibility for the synthesis of evaluation results generated at Country and Donor/Agency 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 Evaluation Team members and a number of associated team members for specific tasks, was competitively recruited through the Evaluation Management Group.

7. The Core Evaluation 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 Evaluation Team reports and is responsible to the Evaluation Management Group through the Evaluation Secretariat.

2. **Donor/Agency HQ Studies: purpose and objectives**

8. **Purpose:** The purpose of the Donor/Agency HQ Studies (hereafter “HQ Studies”), most of which have been conducted during Phase 1, has been to assess what constitute better practices for Donor/Agency headquarters in implementing their Paris Declaration commitments in order to contribute to increased aid effectiveness. The emphasis is on learning, by asking the twin questions: are we doing the right things and are we doing things right? The series of studies, 11 in Phase 1 and an anticipated 7 new studies in Phase 2, with the possible addition of some factual updating of changes since the earlier Phase 1 studies, will serve:
• To deepen our understanding of the findings and results emerging from Monitoring Survey inputs;
• To facilitate global learning on aid effectiveness through the evaluation processes and to facilitate more efficient implementation of the Paris Declaration;
• To make specific recommendations to development agencies and to the global aid community for improving aid effectiveness;
• To supplement and strengthen the basis for the main focus of the Phase 2 evaluation, a strong set of Country-level Evaluations.

9. Objectives: Specific objectives of the HQ Studies include:

• To enable donors/agencies 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 implementation 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.

10. 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 should be reflected in the execution of the Donor/Agency HQ ToR to the extent possible.

3. Scope, Focus and Questions

11. Since the endorsement of the Paris Declaration in March 2005, most agencies have made major efforts to implement the Paris Declaration within their organizations and communicate its importance to their staff. However, as the Evaluation of Phase 1 showed, these corporate commitments are not always matched by practices. Three explanatory dimensions – “enabling conditions” – that are key to shaping donor/agency behaviour were examined during Phase 1:

   a) Commitment to the Declaration principles,
   b) Capacity to implement it, and
   c) Incentives to do so.

These three dimensions continue to constitute the main focus and scope of the Donor/Agency HQ Studies in Phase 2.

12. While the focus on Phase 1 was on input, output and enabling conditions, the focus of the second phase of the evaluation is on development outcomes and effectiveness. These effects will, however, mainly be captured by the country evaluations. Therefore, as in the first phase, the focus of the HQ Studies conducted during the second phase will be on the input level, through the assessment of the enabling conditions: commitment, capacity and incentives in terms of their alignment to the Paris Declaration commitments. Some outputs will also be captured, inter alia, through assessing field office behaviour.
13. The three concepts were explained to some extent in the ToR for Phase 1. However, in the absence of clear and authoritative definitions, differences in understanding and interpretation of the concepts were identified as a weakness of Phase 1. In order to address this, and to build on the considerable intellectual investment made by some of the 11 donors/agencies in clarifying the concepts, the present ToR is providing the following guidance to understanding and applying the concepts, drawn from good practices in the Phase 1 studies:

**Commitment and Leadership**

14. Identified as key enabling factors in the Monitoring Survey and in Phase 1 of the evaluation, donor/agency commitment and leadership can be analyzed from several angles. A useful option used in some of the Phase 1 reports (see for example France6) is to address it at two levels, focusing on internal and external factors:

- **Internal factors** will depend on the specific agency context, but include for example impetus from the political level, strategic/policy influence, and operational implications.
- **External factors** include peer pressure, European Union (EU) Code of Conduct (for some), impetus or constraining factors from civil society, inter alia.

**Capacities**

15. The German report introduces the useful distinction between institutional and systemic capacity7. The former lends itself to classic organizational analysis (see also Finland’s report8), while the latter is based more on systems thinking and highlights the factors that support or constrain the implementation of the Paris Declaration Principles:

- **Institutional capacity** (such as information, knowledge, resources, training, procedures and guidance, institutional set-up including decentralization).
- **Systemic capacity**, i.e. factors that extend beyond the individual organization or organizations that are responsible for the donor country’s aid programme (such as for example the status of an organization or the fact that a large number of agencies are involved).

**Incentives and Disincentives**

16. This dimension can be understood at different levels and a range of different analytical perspectives are used in the Phase 1 reports. Several reports (the Dutch, Danish and New Zealand reports, for example) address incentives at the level of individual staff and at agency level. These and the UK report all raise the strong linkage with the agency’s performance management system and results culture. The New Zealand report also includes political incentives, at the level of government. As many countries are increasingly thinking of development assistance as a policy coherence issue, i.e. a “whole of government” concern, and in view of the evaluation’s formative nature, more information and evidence on this dimension would be useful and consistent with the Country Evaluations’ focus on aid context.

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6 Evaluation de la mise en œuvre de la Déclaration de Paris par la France, Rapport Final – Version révisée
8 Evaluation of the Paris Declaration, the case of Finland, page 15
17. It is therefore proposed to address incentives at three levels:

- At individual level: career, agency's performance management system, professional satisfaction/personal commitment, peer pressure;
- At agency level: domestic political pressure, international peer pressure, performance/disbursement obligations, resources, visibility, culture;
- At level of government: political incentives and policy coherence.

18. **Evaluation Questions**: As mentioned above, the HQ Studies will focus on learning by asking the twin questions: ‘are we doing the right things?’ (Relevance of the choices agencies have made to deliver on the Paris Declaration commitments) and ‘are we doing things right?’ (Effectiveness of the actions taken). The studies should in particular highlight examples of where potential obstacles to implementation of the Paris Declaration have been identified, how these have been overcome, and with what results (in terms of, for example, behaviour, “transaction costs”, aid modalities, division of labour etc.). While these outputs and outcomes will also be captured in country studies, it is envisaged that at a minimum, outputs will also be addressed through questions and evidence from the field level in the HQ Studies.

19. Given the above, the questions outlined below shall be taken as explorative starting points for the assessments.

**Contextual factors**

20. One weakness of the reports in Phase 1 was the lack of clear and comparable analysis of the contextual factors. This is being addressed through specific questions at the country level, but it would be useful for donors/agencies too, to provide some comparable factual information and contextual analysis. In this respect it is proposed that the studies draw, inter alia, on annual reports, the latest Development Assistance Committee (DAC) Peer Review, and the Monitoring Survey to provide basic factual information on the following:

- Staff
- Budget
- Geographic spread of programme
- Multi/bilateral share, share provided to vertical funds, and aid modalities (project, programme, budget support, TA etc.)

Furthermore, it is proposed that the organizational structure be described, including the degree of de/centralization and the performance management system, along with existing Action Plans or policies and guidelines that are Paris Declaration related.

21. Specific analysis should be made on policy coherence. This should answer the following key questions:

- What is the range and sphere of direct influence of the Paris Declaration on government policies with implications for developing countries? (Aid and other policies such as policies affecting trade, climate change, global food security, environment, migration, security etc.) What have been the trends since 2005?
- Who are the key actors in the donor country (or constituency for multilateral agencies) who can take major decisions affecting aid, including decisions on priorities, activities, programmes and projects? What influence do the Paris Declaration and Accra Agenda for Action commitments have on them, in relation to their priorities and incentives?
• What are the most important national and international events that have affected the implementation of the Paris Declaration and Accra priorities, and how?

**Assessing commitment and leadership**

• Has the implementation of the Paris Declaration affected donor/agency priority-setting for development cooperation? Have the roles of Donor/Agency HQ/field offices been adapted to the aid effectiveness agenda? How or if not, why not?
• How is the Paris Declaration owned at Donor/Agency HQ level (e.g. what strategic directions are given to staff by top management)? How is the Paris Declaration acknowledged at the governing body/parliamentary level and by civil society? What are the potential conflicts with other governmental institutions and political/administrative systems, and what is being done to resolve these?
• Are donor/agencies content that they are fulfilling their Paris Declaration commitments, including implementation of the DAC Principles for Good Engagement in Fragile States? (Explain possible concerns and reasons for these.) Are there concerns linked to the relevance and coherence of the Paris Declaration commitments and indicators? Are there ways in which these might be overcome?

**Assessing capacity**

• What is the level of staff knowledge and understanding about aid effectiveness and its operational implications, particularly in the field?
• Have specific instructions, guidelines, operational directives and evaluation criteria been disseminated to staff to stimulate implementation of the Paris Declaration implementation plan? Are the levels and skills of staff available to implement appropriate and adequate?
• How is delegated authority structured, and why? Have there been any changes to procedures to meet Paris Declaration commitments? Is the development cooperation organization/agency sufficiently decentralized (staff, resources, delegation of authority) to address field-based aid management in line with the Paris Declaration?

**Assessing incentives**

• Are there specific incentives provided by the donor/agency – e.g. for recruitment, placement, performance assessment, promotion and training – for management and staff to comply with the Paris Declaration objectives of ownership, harmonization, alignment, results orientation and mutual accountability?
• Are there any perceived disincentives, in respect of other donor/agency priorities (e.g. excessive pressures for disbursement)?

**New additional questions**

22. The above were mostly questions included in the Phase 1 of the Evaluation. However, lessons from Phase 1, the commitments emphasized at Accra, as well as the country level evaluations and overarching evaluation framework for Phase 2, all call for some additional evaluation questions. In particular, the Country Evaluations ask questions that can be “mirrored” on the donor/agency side, so as to enhance the depth of the Phase 2 evaluation as evidence is provided from both levels. In order to be consistent with country level methodology, it is proposed to examine a number of intended outcomes identified in the Paris Declaration. Seven of the 11 intended outcomes relate specifically to donor/agency actions and the following questions are proposed:
Has the Paris Declaration resulted in less duplication of efforts and rationalized, more cost effective donor/agency activities? It would in particular be relevant to look at Division of Labour and at the Monitoring Survey indicators 4, 9 and 10.

Can more collaborative donor/agency behaviour and reformed and simplified policies and procedures be observed? Examples of delegated cooperation are highly relevant.

To what extent has the donor/agency provided more predictable and multi-year commitments on aid flows? Has there been a change in the nature of conditionalities following Accra? Monitoring Survey indicator 7 provides some information.

Is the level of delegation to field staff adequate to ensure effective aid administration? What prevents further delegation?

What effects has the implementation of the Declaration had on the respective burdens of aid management falling on partner countries and donors/agencies, relative to the changing volumes and quality of aid and of the aid partnership itself? Are these effects likely to be transitional or long term?

23. There are also issues, highlighted under Phase 1, where a deepening of understanding is called for. Three such issues are:

- What is the main problem facing donors/agencies in fulfilling the Paris Declaration commitment to Managing for Development Results?
- What arrangements or mechanisms for Mutual Accountability have been in place and how well are they working? (See Phase 1 Synthesis Report for orientation.)
- What explains the lack of use of country systems even where these are considered relatively strong?

24. The Evaluation Framework for the Phase 2 evaluation and the Generic Country ToR include a framework for conclusions (see Box below) to which the HQ Studies will contribute information and analysis to answer these questions, in particular questions i), ii), iv), vi) and vii).
i. What has been the relevance of the Paris Declaration and the ways it has been implemented to the challenges of aid effectiveness?

ii. 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?

iii. 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?

iv. What effects has the implementation of the Declaration had on the respective burdens of aid management falling on partner countries and donors, relative to the changing volumes and quality of aid and of the aid partnership itself? Are these effects likely to be transitional or long term?

v. What has been the added value of Paris Declaration-style development cooperation compared with the pre-Paris Declaration 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?

vi. What are the key messages for a) national stakeholders, and b) donor countries and agencies?

vii. 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?

4. Approach and Methods

25. Rigour and Comparability: The robustness of the approach and methodology for each study and its results will be ensured by:

a. A consistent stance in the overall evaluation that does not assume attribution of results to the Paris Declaration, but rather takes a critical approach and examines both alternative explanations and an evolution of donor/agency practices pre-dating the Paris Declaration;

b. A set of support mechanisms available to Study and Evaluation Coordinators, Reference Groups and teams, particularly from the Core Evaluation Team, both directly and through research resources and interactive internet facilities [see Section 6];

c. Verification of evidence emerging through ongoing triangulation between the multiple data sources and methods employed;

d. Step-by-step validation of evaluation results from the HQ Studies (with peer review among them encouraged) by the Core Evaluation Team, Donor/Agency 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 or United Nations Evaluation Group (UNEG) Standards;

f. Selection and contracting of Study and Evaluation Teams by established procedures, with protection for the independence and professional integrity of their work, and assuring that all are free of potential conflicts of interest;

g. Using a set of agreed working definitions for key terms\(^9\) to avoid confusion and inconsistent treatment.

26. **Mixed Methods**: Methods for pursuing the evaluations include:

a. *Literature and documentation review* (policy documents, instructions, guidelines, annual plans);

b. *Syntheses* and *meta-analyses of existing evidence* (i.e. secondary sources such as policy, evaluations and research);

c. *Semi-structured interviews* and *focus groups* (key respondents at HQ level and relevant field staff, either by phone or video conference or through selected field visits);

d. *Structured surveys and questionnaires focused on the embassies/country offices located in those of the countries which have volunteered to conduct a country level evaluation*;

e. *Possible use of case studies, in particular a case study on the health sector as this will also be used in the country evaluations. Guidance to country teams for handling this will be available in March /April for further consideration as appropriate.*

5. **Management: responsibilities and accountabilities**


28. **Management considerations**: The key management considerations for an HQ Study are:

- Effective donor/agency management arrangements
- Clarity on roles, responsibilities and accountabilities
- Communication with stakeholders
- Progress reporting

29. **Evaluation Coordinator**: Each study should be led by the agency’s evaluation department or by an independent body which will act as the Evaluation Coordinator. The Evaluation Coordinator is supported by a Reference Group. The Evaluation Coordinator will be responsible for initiating, facilitating and managing the HQ Study as well as for providing feedback to the overall management and Reference Groups. He/she will:

1. Act as focal point for contact to the overall management and Reference Group for the study;

\(^9\) A Glossary has been prepared as part of the guidance to the Phase 2 Evaluation.
2. Select, set up and then schedule and convene meetings of the Reference Group;
3. Develop final ToR for the study in consultation with the Reference Group; incorporating (if required) a module with donor/agency-specific questions;
4. Provide at least bi-monthly reporting on the progress of the study in line with an agreed common format;
5. Conduct quality control; assuring that the study is of acceptable quality in reference to identified relevant national, regional and/or international standards and drawing on the proactive and responsive services of the Core Evaluation Team and the Evaluation Secretariat;
6. Ensuring the submission, by the agreed deadlines, of emerging findings, draft and final reports to the Core Evaluation Team for inclusion in the Evaluation synthesis work;
7. Sign-off on the report (i.e. approve after consultation with reference/advisory group) prior to payment of consultants;
8. Submit the report to the overall management group for issuing and publishing.

This management role will require significant inputs of ‘dedicated management time’ over the whole study process, with concentrated effort anticipated during the start-up period, inception, 1st draft report and final reporting milestones.

30. **Reference Group**: The purpose of this group is to ensure stakeholders’ buy-in to the evaluation process and results and to assure the independence of the study. The Reference Group is expected to include other relevant government agencies, major stakeholders from civil society, media, academia, and possibly representation from political level. Members are required to make timely inputs into a number of the critical (early) management processes led by the Evaluation Coordinator, namely:

1. Approving the design (the questions to be addressed) of the study. In doing so making a judgment that the scope and scale of the study is ‘doable’ given the resources that are confirmed as being available for the Evaluation Team to work with.

2. (Based on the approved design as above) deciding on selection criteria for the Evaluation Team and selecting the Team in a way that is consistent with the selection criteria (safeguarding against conflicts of interest, covering relevant professional areas, reflecting gender balance and in accordance with national competitive procurement or tender rules).

These roles will require a series of dedicated inputs of time from the individual members of the Reference Group building on a clear and shared understanding of what the HQ Study is aiming to achieve and its role within the overall Evaluation.

31. Evaluation management builds on self-monitoring of progress with the evaluation, and periodic reflection at Reference Group meetings. These meetings will assess the extent to which the HQ Study remains ‘on track’ and actions to be taken if and when ‘gaps’ appear.

32. **Clarity on roles, responsibilities and accountabilities.** The success of this collaborative exercise 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 team selected, contracted and resourced for the HQ Study by latest 1st March 2010**: The Evaluation Coordinator is accountable for this milestone.
being reached with the support of the Reference Group, and for the independence of
the study being maintained throughout the process.

ii. *HQ Study delivered on time*: The Team Leader [or contracted institution for whom the
Team Leader works] of the HQ Evaluation Team is accountable for the organization
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, conclusions and recommendations, as well as a comprehensive
final report which meets evaluation standards, within the contracted timeframe/
 specifications.

iii. *HQ Study of an acceptable quality submitted to the Core Evaluation Team for use in
preparing the Synthesis Report and publishing*: The Evaluation Coordinator, through
successive processes of quality control, is accountable for delivery of a report of
acceptable quality for the Synthesis stage.

33. **Communication with stakeholders**: Each HQ Study is expected to develop and
implement a Communication Plan through which stakeholders for the study within the
country/agency will be kept informed through a variety of media of progress with the study
and through this be encouraged to be informed by and engage in discussion on the Study
findings, conclusions and recommendations. 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 Reference Group.

34. **Progress reporting**: The Evaluation Coordinator, in his/her role as 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 HQ Study
process. This will use a simple proforma to be developed by the Evaluation Secretariat in
consultation with the Core Evaluation Team which will facilitate the updating by the Core
Evaluation Team of the ‘master sheet’ on progress across the various Evaluations and
Studies, both HQ and country.

35. **Development of specific Donor/Agency HQ Level ToR**: These generic Terms of
Reference provide a core set of questions that should be incorporated into all HQ Studies.
Studies can, however, go beyond the core questions to identify local evaluation questions of
relevance to the donor/agency. These ToR will be developed by the Evaluation Coordinator.
Thus major efforts should be made to adapt the common framework in ways that suit
donor/agency specific circumstances, so that agency learning needs are met as fully as
possible.

36. **Financing Donor/Agency HQ Level Evaluations**: Each Donor/Agency HQ Study is
estimated at €80,000. This does not include the cost of possible fieldwork in partner
countries. The Donor/Agency HQ Studies should be financed by the donor/agency in
question.

6. **Support Arrangements**

37. **Services to HQ Studies**: The Core Evaluation Team has been in place since September
2009 and in respect to ensuring the integrity of the HQ Studies within the overall Phase 2
Evaluation Synthesis is charged with providing the following set of support services to the
evaluation processes:
• Design for the approval of the Evaluation Management Group and the International Reference Group a “Generic Terms of Reference” for HQ Studies that will serve to guide data-gathering in a way that will enable comparison and the synthesis of findings.

• Provide professional advice to the Evaluation Coordinator and members of the Reference Group on the basis for and processes of selection, contracting and briefing of HQ Evaluation Teams.

• Provide ongoing advice and support to HQ Evaluation Teams to ensure the coherence of the study and the comparability of its different elements.

38. To make best use of the resources at the disposal of the Core Evaluation Team a series of engagement points - proactive and reactive - has been identified (see Table below) between the Team and the processes of the HQ Studies. These are designed to help lay solid foundations and clear tracks for HQ Studies to follow, support adherence to evaluation standards as the studies progress, provide guidance if/where Study/Evaluation Teams run into problems, and facilitate peer-to-peer sharing and learning between HQ Study Teams. Support will be mainly web-based, remote support, but can also be face-to-face on a selective basis.

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

<table>
<thead>
<tr>
<th>Activity/ Event</th>
<th>Persons involved (from donors/agencies undertaking study)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Workshop (September 2009)</td>
<td>Evaluation Coordinators</td>
</tr>
<tr>
<td>Inception Report Presentation (event) – 1 month into the process</td>
<td>HQ Evaluation Team presentation to Evaluation Coordinator and the Reference Group</td>
</tr>
<tr>
<td>Team analysis ‘stage’ – August</td>
<td>HQ Evaluation Team</td>
</tr>
<tr>
<td>Draft report to National Reference/ Advisory Group (event)</td>
<td>HQ Evaluation Team presentation to Evaluation Coordinator and the Reference Group</td>
</tr>
<tr>
<td>Possible Emerging Findings peer exchange events</td>
<td>HQ Evaluation Team and Evaluation Coordinator</td>
</tr>
<tr>
<td>Final Report to Reference Group</td>
<td>HQ Evaluation Team presentation to Evaluation Coordinator and the Reference Group</td>
</tr>
</tbody>
</table>

39. The Core Evaluation Team is developing a web-based knowledge management system – an “Extranet” – for the Phase 2 Evaluation. The National Evaluation Coordinator, HQ and Country Evaluation Teams and Reference 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 Evaluation Team and the country and donor/agency 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 Evaluation, HQ Study or Supplementary Study process.
7. Audiences, Stakeholders and Usefulness of the Evaluation

40. 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.

41. Key constituencies include the executive and legislative branches of government in the partner countries, their 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.

42. The 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.

43. These new HQ Studies will, together with the eleven conducted in Phase 1, supplement the Country-level Evaluations. Additional light will furthermore be shed by a small number of “supplementary studies” that can ensure adequate coverage of important issues. Together, these elements are intended to provide adequate depth and breadth in the evaluation.

8. Donor/Agency HQ Study Timeline

44. The table below charts the sequence of events for the HQ Studies.
# Work-plan and Schedule

<table>
<thead>
<tr>
<th>Period/Date</th>
<th>Activity for Donor/Agency HQ Evaluations</th>
<th>International</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oct/Nov 2009</td>
<td>Name Reference Group, secure Evaluation funding, plan procurement/ team recruitment processes</td>
<td>Development of Draft Generic Terms of Reference based on London discussions</td>
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<tr>
<td>1 Dec 2009</td>
<td>International Reference Group approves Generic Terms of Reference</td>
<td></td>
</tr>
<tr>
<td>Dec 2009/ 1st March 2010 (latest)</td>
<td>Select and contract Evaluation Teams</td>
<td>Core Evaluation Team support to Study/Evaluation Coordinators as required</td>
</tr>
<tr>
<td>By 30&lt;sup&gt;th&lt;/sup&gt; April 2010</td>
<td>Country and Donor/Agency HQ Teams submit inception reports</td>
<td>Core Evaluation Team submits Inception Report</td>
</tr>
<tr>
<td>15&lt;sup&gt;th&lt;/sup&gt; May 2010</td>
<td>Coordinators/reference groups approve inception reports</td>
<td>Management Group approves Inception Report</td>
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<tr>
<td>Mar-Sep 2010</td>
<td>HQ Evaluation Teams conduct Evaluations, with regular reporting to Reference Group as specified in their Terms of Reference</td>
<td>Core Evaluation Team maintains liaison with Donor/Agency HQ-level Teams including responding to queries from these teams, sharing experience/good practice/model instruments across teams</td>
</tr>
<tr>
<td>15&lt;sup&gt;th&lt;/sup&gt; Sep 2010</td>
<td>Submission of first draft report including summary of findings by each Country Team and Donor/Agency HQ-level Team to Evaluation Management Group and Core Evaluation Team</td>
<td>Core Evaluation Team prepares consolidated emerging findings by 15 October</td>
</tr>
<tr>
<td>1&lt;sup&gt;st&lt;/sup&gt;-4&lt;sup&gt;th&lt;/sup&gt; Nov 2010</td>
<td>Meeting/workshop of Country and Donor/Agency HQ study team leaders, Core Evaluation Team and International Reference Group to discuss emerging findings and the plan for the Synthesis</td>
<td></td>
</tr>
<tr>
<td>Nov-Dec 2010</td>
<td>Production/submission of Country and Donor/Agency-level reports (deadline 31&lt;sup&gt;st&lt;/sup&gt; Dec 2010)</td>
<td>Drafting Synthesis Report</td>
</tr>
<tr>
<td>Jan-Apr 2011</td>
<td>Circulation of first draft Synthesis Report for a 10 day period for validation/comment by the Donor/Agency HQ Evaluation Teams, with the opportunity for first inputs by HQ Reference Groups as well as the International Management and Reference Groups</td>
<td>Circulation of refined (second) draft Synthesis Report to International Reference Group 14 days before meeting with the opportunity for further inputs by Donor /Agency HQ and Country Teams and Reference Groups</td>
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<tr>
<td>Apr 2011</td>
<td>Meeting of the International Reference Group to comment on the draft Synthesis Report</td>
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<tr>
<td>Apr-May 2011</td>
<td>Dissemination of Evaluation results</td>
<td>Finalisation of Synthesis Report</td>
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<tr>
<td>May-Sep 2011</td>
<td>Dissemination activities/inputs to preparations for High Level Forum</td>
<td></td>
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<tr>
<td>Sep-Oct 2011</td>
<td>4&lt;sup&gt;th&lt;/sup&gt; High Level Forum in Seoul</td>
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Appendix A

Draft Outline for Donor/Agency HQ Studies Reports

December 2009

No outline was proposed during Phase 1, but it has proven useful to encourage a certain standardization to ensure full coverage of key evaluation questions and facilitate the synthesizing of findings. This outline is proposed as a “minimum” list of what the report should ideally contain.

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 Donor/Agency X
- Purpose and scope of the Phase 2 Evaluation, including donor/agency specific questions
- Approach, methodology and limitations

B. Methodology and Limitations (Max. 2 pp.)

- Case study methodology
- Field level assessments

C. Donor/Agency HQ Findings (Max. 25 pp.)

Contextual factors

- Staff
- Budget
- Geographic spread of programme
- Multi/bilateral share, share provided to vertical funds, and aid modalities (project, programme, budget support, technical assistance etc.)
- Organizational structure, including decentralization
- Policy coherence

Overall assessment

Short description of status and explanatory factors for progress or constraints to implementation of each of the principles:

- Ownership
- Alignment
- Harmonization
- Managing for Development Results
- Mutual Accountability
Assessing Commitment

- Internal factors (political level, strategic level, operational level, monitoring and evaluation)
- External factors (peer pressure, EU Code of Conduct (for some), civil society)

Assessing Capacities

- Institutional capacity (such as information, knowledge, resources, training, procedures and guidance, institutional set-up including decentralization)
- Systemic capacity, i.e. factors that extend beyond the individual organization or organizations that are responsible for the donor country’s aid programme (such as for example the status of an organization or the fact that a large number of agencies are involved)

Assessing Incentives and Disincentives

- For individuals (career, professional satisfaction, personal commitment, peer pressure)
- At agency level (domestic political pressure, international peer pressure, performance/disbursement obligations, resources, visibility)
- At level of government (policy coherence)

D. Key Conclusions, Lessons and Recommendations regarding the Generic Evaluation questions (if applicable) (Breaking out conclusions, lessons and recommendations) (Max. 5 pp.)

Are we doing the right thing?
Are we doing it right?
Are we doing it in the best way?

E. Findings on the Donor/Agency Specific Evaluation Questions (if adopted) (Max. 15 pp.)

[Possible sub-headings]

F. Key Conclusions, Lessons and Recommendations (if applicable) around the Donor/Agency-Specific Evaluation Questions (if adopted) (Breaking out conclusions, lessons and recommendations) (Max. 5 pp.)

G. 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: Terms of Reference for Donor/Agency HQ Level Studies
Annex 4: Selected Additional References