Evaluation Systems in Development Co-operation

2016 REVIEW



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EVALUATION SYSTEMS IN DEVELOPMENT CO-OPERATION: 2016 REVIEW

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Foreword

Evaluation of development co-operation helps to meet public demands for accountability, and supports transparency by providing evidence about the effectiveness and impact of development policies and programmes. Evaluation also contributes to institutional learning and global knowledge, bringing to light key success factors and obstacles to effective development. High quality evaluation processes and products are important, but strong evaluation systems are needed to encourage the use of findings, ensure the integrity of the evaluation function, and make evaluative evidence readily available for learning. Changes in evaluation systems in recent years reflect evolutions in the development co-operation landscape, including the merger of ministries of international development, foreign affairs, and trade; and the establishment of new evaluation and development oversight bodies. Demand for evaluative evidence is likely to increase with the implementation of the Sustainable Development Goals; in this context growing attention must be given to supporting evaluation capacity development in line with SDG follow-up and review processes.

There is a wide variety and diversity of institutional evaluation arrangements across the membership of the OECD Development Assistance Committee's (DAC) Network on Development Evaluation. This report describes how evaluation functions are structured and organised and contains individual profiles on the evaluation systems of members of the DAC Network on Development Evaluation. The report outlines key changes in DAC members' and multilateral development banks' evaluation systems since 2010 and offers an overview of the current state of evaluation systems in development co-operation ministries and departments.

All members of the DAC Network on Development Evaluation contributed to this effort. We hope that the wealth of information contained in this report will be of use for other organisations looking to establish or make improvements to evaluation systems. The study offers useful information on current practices across the DAC Network on Development Evaluation membership and as a follow up to the 2010 report can be used to track changes in development evaluation systems over time. Finally the study highlights areas where further attention is needed, such as increasing support for evaluation capacity development.

Efforts to improve evaluation policy and practice are ongoing endeavours; evaluation systems must continuously adapt to changes in development co-operation, finding new ways to support learning and accountability. Evaluation, as an essential component of good governance, encourages periodic reflection and adaptation, and has an important role to play in strategic orientations and evidence based policy and programme decision-making.



Penny Hawkins
Chair of the DAC Network
on Development Evaluation

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Acronyms and abbreviations

ADA	Austrian Development Agency
AusAID	Australian Agency for International Development
AFD	Agence Française de Développement
AfDB	African Development Bank
CIDA	Canadian International Development Agency
CODE	Committee on Development Effectiveness (World Bank Group)
CzDA	Czech Development Agency
DAC	Development Assistance Committee
Danida	Danish Development Assistance
DED	Development Evaluation Division (Canada)
DEval	German Institute for Development Evaluation (Deutsches Evaluierungsinstitut der Entwicklungszusammenarbeit)
DG-DEVCO	Directorate-General for International Cooperation and Development
DFAT	Department for Foreign Affairs and Trade (Australia)
DTATD	Department of Foreign Affairs, Trade and Development (Canada)
DFID	Department for International Development (UK)
EBA	Expert Group for Aid Studies (Sweden)
EBRD	European Bank for Reconstruction and Development
EDCF	Korea Economic Development Co-operation Fund
EIB	European Investment Bank
EU	The European Union
EvalNet	OECD DAC Network on Development Evaluation
EvD	Evaluation Department
GAC	Global Affairs Canada
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (Germany)
ICAI	Independent Commission for Aid Impact (UK)
ICEIDA	Icelandic International Development Agency
IDB	Inter-American Development Bank
IEAP	International Evaluation Advisory Panel (UNDP)
IEC	Independent Evaluation Committee (Australia)
IEG	Independent Evaluation Group (World Bank)
IFC	International Finance Corporation
IFI	International Financing Institutions
IOB	Policy and Operations Evaluation Department (Netherlands)
JICA	Japan International Cooperation Agency

Acronyms and abbreviations (cont.)

KfW	Kreditanstalt für Wiederaufbau Development Bank Germany
KOICA	Korea International Cooperation Agency
M&E	Monitoring and Evaluation
MAR	Management Action Record
MAEC	Ministry of Foreign Affairs and Cooperation (Spain)
MCC	Millennium Challenge Corporation
MDB	Multilateral Development Banks
MFA-DCD	Ministry of the Foreign Affairs of the Czech Republic - Development Cooperation Department
MFAT	Ministry of Foreign Affairs and Trade (New Zealand)
MIGA	Multilateral Investment Guarantee Agency
MO	Multilateral Organisations
NAO	National Audit Office (UK)
ODA	Official Development Assistance
ODE	Office of Development Effectiveness (Australia)
OECD	Organisation for Economic Co-operation and Development
PDCA	Plan, Do, Check, and Action
RMES	Results Measurement and Evaluation Stream (World Bank)
SDGs	Sustainable Development Goals
SEO	Special Evaluation Office
SEQAS	Specialist Evaluation and Quality Assurance Services
SIDA	Swedish International Development Cooperation Agency
UNDP	United Nations Development Programme
US	United States
USAID	United States Agency for International Development
WBG	World Bank Group

Executive summary

The purpose of this review is to provide information to assist development organisations in building effective evaluation systems and processes to deliver high quality, credible and useful evaluations. It provides information about evaluation systems in development agencies and multilateral organisations, and analyses experiences from managing evaluation systems across organisations. The study covers the evaluation systems of the 37 members of the DAC Network on Development Evaluation (EvalNet) and 9 multilateral organisations (six development banks, the European Commission, the IMF and the UNDP).

The study analyses experiences from managing evaluation systems across organisations. It identifies features of evaluation systems, and highlights some of the advantages and limitations of these in the context of various organisational structures and evaluation systems. In addition, the review identifies overall trends in evaluation systems, relating them to the review of evaluation systems performed in 2010 (OECD, 2010).

The evolution of evaluation systems

In recent years a number of countries have undertaken reforms of the systems that support the delivery of development co-operation. In terms of the evaluation functions, this has manifested in various ways. Several members established bodies to improve the co-ordination of evaluation across a complex network of agencies, and to provide independent oversight of evaluation across the development co-operation sphere. The creation of the Independent Commission for Aid Impact (United Kingdom) (ICAI), the German Institute for Development Evaluation (DEval) and the Expert Group for Aid Studies (Sweden) (EBA) as oversight or scrutiny bodies, as well as the introduction of the EU Better Regulation package indicate the emphasis on the improvement of performance and greater effectiveness. The merging of foreign policy, trade and development agendas has led to the integration of the semi-autonomous unit of New Zealand Aid into the Ministry of Foreign Affairs and Trade (MFAT), the Australian Agency for International Aid (AusAID) into the Department of Foreign Affairs and Trade (DFAT), and the Canadian International Development Agency (CIDA) merger with the Department of Foreign Affairs, International Trade and Development (DFAIT).

Over recent years, systems of evaluation have become increasingly decentralised. The majority (55%) of organisations reported making use of a combination of centralised and decentralised evaluation, with the aim of increasing cost-effectiveness, relevance and ownership of evaluations for operational units, and supporting the development of capacity in partner institutions. However, ensuring the quality, coverage (of sectors, themes or strategic issues) and consistency of decentralised evaluations is challenging, affecting the usability of evaluations for synthesis purposes. Meta-evaluations help in pointing out weaknesses and where support is needed, contributing to the improvement of systems.

The vast majority of member organisations have a policy document to guide evaluation work, representing an increase since 2010. The purpose of the document varies from providing a policy or set of guidelines to outlining the strategy. The emphasis on strategic questions of development is apparent in recently revised evaluation policies which demonstrate an orientation towards thematic work. However, the actual use of policy/strategy evaluations appears to have become less common (from 92% in 2010 to 60% in 2016). Where 49% of institutions were performing project/activity evaluations in 2010, 76% are now undertaking them.

On the whole, agencies responded to changes in resources affecting the evaluation system, both centralised units and decentralised operations, by focussing on learning and making an effort to increase the relevance and strategic impact of the evaluations commissioned. In general, agencies that benefit from increased resources do not increase the number of evaluations, but rather focus on issues likely to bring about new directions, for example meta-evaluation, innovative methodology, and impact at strategic levels.

The Paris Declaration (2005) and Busan Partnership for Effective Development Co-operation (2011) have concentrated the efforts of institutions on internalising principles of development effectiveness. They brought greater attention to the importance of ownership and mutual accountability. However, this review finds that less than half of the organisations mention the partner countries' role in evaluations, joint evaluations or collaborative partner-donor evaluation in their policies. The balance of emphasis between accountability and learning has continued to shift since the 2010 review of evaluation systems (OECD, 2010). There is an increased emphasis on undertaking evaluation for the purposes of learning; however this is not necessarily at the expense of accountability, as both are recognised to fulfil vital functions and reinforce one another. The recent structural changes mentioned above have to some extent divided the responsibilities for learning and accountability between oversight or scrutiny bodies (accountability) and central evaluation units (learning).

The principle of independence as a function of evaluation systems is well rooted in the culture of EvalNet member organisations. The advantages of independent evaluations in terms of contributing to credibility and accountability are widely recognised. Nevertheless, independence needs to be balanced with the potential of isolation from operations, which is considered by many members to reduce acceptance and use of evaluation findings. The majority of members perceive that they are independent for the most part, although collaboration is necessary during the selection of evaluations to improve their relevance and usefulness for operational units. The organisational independence of the evaluation units is clearly described in the policies of the majority of member organisations, showing that this is a priority.

Evaluation processes

In general, programming of evaluation work is closely linked to operations with evaluations and operational planning becoming increasingly integrated. A significant number of members describe evaluation planning as being synchronised with overall organisational priorities. Decisions on whether evaluations are to be performed for decentralised interventions depend on such criteria as investment thresholds and identified specific needs to provide, develop or improve an evidence-base.

Member organisations have set up structures to assess the quality of evaluation outputs, using advisory bodies, steering committees, reference groups, and special advisors to oversee the work and the process. The quality of evaluations is strongly influenced by the evaluators' capacity and knowledge, derived from their education, past evaluation

experience, the subject of the intervention, and most importantly, local knowledge of politics, institutional setups, culture, and traditions. When decentralised evaluations are carried out, it can be challenging to ensure consistency and rigour, but central evaluation units provide a variety of support mechanisms to operations units, from providing input to specific milestones in the evaluation process to engagement throughout the process. Capacity building of operational units to manage evaluations contributes to the improvement of quality, although staff turnover may pose a risk.

There is widespread recognition in the development community that stakeholder participation in evaluation processes helps to develop sustainability, evaluation ownership and mutual accountability. Despite this only a small number of agencies confirm that frequent or close stakeholder participation is encouraged during evaluation planning and design phases (12% and 16% respectively). Half of EvalNet members encourage partner participation in reference or steering groups. Joint evaluations are considered to be practical if the specific programme is jointly supported. However the management of these evaluations and the formulation of consistent, coherent joint management responses have proven to be a challenge. The challenges have frequently been attributed due to the differences between evaluation systems which have different requirements and priorities.

The dissemination of evaluation findings is not simply a matter of transparency and fulfilling evaluation policy requirements for publication. The interviews and survey responses underline that the timely use of the evaluation findings and recommendations is so important that there is a need to give more thought to the purpose of disseminating information and the most appropriate means to ensure that the information is conveyed and absorbed.

In general, the indication from operations and evaluations teams is that the use of evaluation findings and recommendations depends on the organisational culture and the support of senior managers. The use of evaluations in decision making appears to be driven in part by the need to incorporate evidence in the formulation of new initiatives. There is some evidence that demand is increasing and this is strongly linked to the relevance of the evaluations to management needs. Pragmatic and feasible recommendations encourage the use and acceptability of evaluations.

Reference

OECD (2010), *Evaluation in Development Agencies*, Better Aid, OECD Publishing, http://dx.doi.org/10.1787/9789264094857-en.

PART I

Evaluation systems in development co-operation

Chapter 1

Overview of the 2016 Review of Evaluation Systems in Development Co-operation

The Development Assistance Committee (DAC) Network on Development Evaluation works to foster learning and to support accountability needs through robust, independent evaluation of development co-operation activities. The members and participants of the Network have evaluation units and systems with considerable variety in respect to structures, mandates, polices, and resources. This study looks at how evaluation units are resourced and managed, updating the 2010 study undertaken by the network. This chapter describes the background, motivation and scope of the study, including the methodology and data sources. Overall trends and conclusions offer an overview of the results and main findings.

Introduction

The Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Network on Development Evaluation (EvalNet) undertook a study of evaluation systems and resources in 2010, *Evaluation in Development Agencies* (OECD, 2010a).[1] The increasing complexity of development co-operation, the demand for evidence of development effectiveness and the range of different evaluation practices in developing countries led the EvalNet Secretariat to commission a follow-up study that builds on the analysis performed in 2010.

The purpose of this review is to provide information to assist development organisations in building effective evaluation systems and processes, to deliver high quality, credible and useful evaluations. It provides information about evaluation systems in development agencies and multilateral organisations, and analyses experiences from managing evaluation systems across organisations. The study identifies potential strengths and weaknesses in various organisational structures and evaluation systems.

This study is divided into two sections. Part I of the report includes three chapters that focus on the review of evaluation systems and Part II presents detailed member profiles. In Part I, Chapter 1: Overview of the review of evaluation systems provides the background of the study and highlights the overall trends and conclusions. Chapter 2: Evaluation systems and governance, provides an analysis of the institutional setups, resources, and policies of member evaluation systems, drawing on the survey that was completed by EvalNet members and the interviews with a selection of organisations. Chapter 3: Evaluation processes, discusses the approaches and tools used by members to support the process of evaluation, looking at programming, quality assurance, co-ordination, communication and use of evaluation products. In Part II, the member profiles provide a summary of each member, describing the organisations responsible for evaluation of Official Development Assistance (ODA). The profiles include a brief description of members' evaluation mandates and policies, an overview of the structure of evaluation systems, and information on resources and approach to addressing the principles of evaluation.

Background

The evaluation field has seen considerable progress in recent decades. The institutionalisation of evaluation systems in combination with increasing development assistance budgets and global efforts to improve transparency and mutual accountability, has led to the need for better and smarter evaluation systems. While evaluation systems within various organisations have evolved at different speeds and with slight differences in approach, they now generally share the basic principles laid out by the OECD DAC for adequate evaluation systems: independence; capacity and capability; stakeholder participation and communications; capacity building; knowledge management and co-ordination with donors and country partners (OECD, 1992). Yet to ensure better and smarter assistance through development co-operation, in addition to the production of quality evaluations, it is important to develop effective evaluation systems that incorporate far-reaching knowledge sharing and dissemination of findings.

There is growing and widespread interest in sharing knowledge and practices about evaluation structures and the position of evaluation within the organisation. This was confirmed during the review as was how evaluation management and activities contribute to improving evaluation effectiveness and use. Evaluation systems need to be flexible and to adjust to the resource constraints faced by many institutions and to the increasing role of the private sector in achieving development goals. Moreover a few bilateral agencies have seen the merger of development co-operation agencies with ministries of foreign affairs and Trade. Based on a review of the experiences of evaluation systems in development agencies and multilateral organisations, the study offers an overview of institutional arrangements and evaluation policies of members in the DAC Network on Development Evaluation, providing information to enhance evaluation functions and contribute to development effectiveness.

Research methods

The study incorporated three data collection activities, further described below:

1. A literature review of recent research, policy documents provided by members, and publicly available information relating to member evaluation systems that informed the individual profiles.
2. A questionnaire completed by EvalNet members on the main elements of evaluation systems identified by the network. The full questionnaire can be downloaded from the EvalNet website www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.
3. In-depth face-to-face or Skype interviews with evaluation practitioners, senior managers and operational staff.

The scope of the study included the 37 members of the DAC Network on Development Evaluation (with 40 evaluation units in ministries, development agencies and independent organisations) and 9 multilateral organisations (of which there are 6 development banks, the European Commission, the IMF and the UNDP).

The literature review included working papers and documents produced by OECD DAC, as well as papers produced by multilateral organisations and bilateral agencies. The websites of the members of EvalNet were reviewed to source the basic information regarding their evaluation systems – evaluation policies, reporting procedures, work plans and annual reviews and types of evaluation produced. Finally, peer reviews of EvalNet members' evaluation functions were also used to inform the member profiles.

The online survey questionnaire completed by EvalNet members was designed to address the main elements of interest with respect to evaluation systems, as identified by the Management Group established for this review. The questionnaire was extensively discussed with EvalNet members. Open questions were used to a large extent, in order to obtain the most comprehensive information.

The selection of organisations to be interviewed was undertaken in collaboration with the EvalNet Secretariat based on recent developments in the specific organisations and in order to represent a variety of contexts.[2] Interviews were held with the Agence Française de Développement (AFD), the French Treasury and Ministry of Foreign Affairs, the Ministry of the Foreign Affairs of the Czech Republic - Development Cooperation Department, the Danish Development Cooperation at Ministry of Foreign Affairs of Denmark, the UK Department for International Development (DFID), the Department for Foreign Affairs and Trade of Australia (DFAT), the European Bank for Reconstruction and Development (EBRD), the Directorate-General for International Cooperation and Development (DG-DEVCO) of

the European Commission, the German Institute for Development Evaluation (DEval), the Millennium Challenge Corporation (MCC), the US State Department, the United States Agency for International Development (USAID), the Ministry of Foreign Affairs and Trade (MFAT) of New Zealand, and the World Bank/IEG. Twenty-seven members of staff of EvalNet member organisations were interviewed face-to-face, and another 12 were interviewed via telephone. In total, 39 interviews were held with staff from 15 EvalNet members.[3]

Scope of the study

The present study focuses on the role and management of evaluation systems in development agencies and multilateral organisations. The study addresses decentralised evaluation, however detailed data collection was not undertaken at the operational unit or project level. The main emphasis is on the role of central evaluation units, strategically and as implementers and commissioners of evaluations, but also in terms of the support they provide to operational units. The current study incorporates the views of broader management and operational units in undertaking and using evaluations through a set of interviews. The purpose of this study is not to assess evaluation systems or individual evaluations, although mention is made of how evaluation fits into broader management systems.

The specific member data that informs this study have been provided through a survey questionnaire. The included member profiles were verified by member organisations. The data provided on resourcing of evaluation does not take into account resources for decentralised evaluation[4] covered under operational budgets and makes use of the data provided in the questionnaire and verified in member profiles.

The response rate by EvalNet members to the online questionnaire was very high (96%),[5] providing a strong analytical basis for the study. The quality of data, however, declined for the later open questions likely due in part to the length of the questionnaire. The web-based format resulted in some partial answers and a few unclear statements.

As the study attempts to collate member views, open questions were posed in the questionnaire. A number of broad concepts were referred to in the questionnaire and individual interpretations of these concepts may have differed and affected the responses received. The quality of data obtained therefore varied significantly and affected the extent to which generalities can be expressed. The survey respondents represent evaluation units possibly leading to a degree of bias. The sample of members that were interviewed was selected based on their role within the organisation they represent, but their views may not necessarily express the broader views of the evaluation unit or the organisation. By undertaking interviews with a sample of operations teams and members of the management team, broader perspectives were sought on evaluation systems and their use. However, the investigation during the interviews could not fully capture the wide diversity of EvalNet members' evaluation systems.

A number of organisations are currently undergoing or have recently been subject to significant review, including Icelandic Development Cooperation (ICEIDA) and the Italian Ministry of Foreign Affairs and International Cooperation (MFA), making the provision of accurate, statistical information challenging. The Italian Ministry of Foreign Affairs and International Cooperation is defining updated evaluations modalities and guidelines in consultation with the newly established Italian Agency for Development Cooperation.

Overall trends

As a follow-up to the 2010 report *Evaluation in Development Agencies,* this report provides reflections on general trends in evaluation systems in development organisations. The 2010 report captured the following overall trends in evaluation systems:

- more focus on strategic questions of development
- more attention to the issue of ownership and mutual accountability
- an increase in participatory approaches and joint evaluations
- continuing weak links between decentralised evaluations at the project or country level and the main central evaluation unit at headquarters
- capacity weaknesses within partner countries are a challenge for some development agencies.

This study reviewed these trends in light of the findings from the survey and interviews with a sample of development organisations, and found that some trends persist while others appear to have weakened.

Focus on strategic questions of development

Since 2010, emphasis on strategic questions of development has intensified. The review found evidence for this trend in that:

- Evaluations need to respond to the strategic questions related to development co-operation and defined under intergovernmental agreements, for example to assess progress towards the Sustainable Development Goals.
- Recently launched evaluation policies demonstrate an orientation towards thematic work, and impact and strategic evaluations.
- Evaluation systems have undergone structural changes that address the need for strategic planning, for example: *i)* the restructuring of evaluation within DFID, which led to the centralised Evaluation Department focusing on determining evaluation priorities, among other things; *ii)* the agreement among French development institutions to develop a strategic vision of the position of evaluation systems, and of the objectives to be achieved; *iii)* the reform of the evaluation function in EBRD to fulfil a role that is less process- and accountability-oriented and more strategic.

Attention to the issue of ownership and mutual accountability

Based on the Paris Declaration for Aid Effectiveness, the 2010 review had included mutual accountability as an overall trend, which was further reinforced with the adoption one year later of the Busan Partnership for Effective Development Co-operation by stakeholders from the public sector, private sector and civil society.

Despite recognition of the principle of mutual accountability, partners do not participate to a great extent in the development of evaluations and technical studies. Less than half of the organisations mention the partner country role in evaluations, joint evaluation and collaborative partner-donor evaluation in their policies, and less than half have undertaken evaluation capacity building of partner countries. Findings from the interviews further indicate limited involvement by country partners in evaluations, with the exception of MFAT New Zealand. Thus, there is evidence that the principles of ownership and mutual accountability have yet to result in a high level of partner participation.

Participatory approaches and joint evaluations in practice

The value of participatory approaches and joint evaluations are generally recognised in encouraging ownership and stakeholder-defined solutions. In practice, however, due to management, capacity and time constraints, participation is limited. Meaningful engagement throughout the evaluation process does not appear to be routine. Less than a quarter of members involve stakeholders in evaluation design, and even less in planning and preparing evaluations. By contrast, half of the members encourage stakeholders to participate in reference or steering groups. Due to the regional, thematic or strategic nature of central evaluations, it was suggested that partner government participation is more easily fostered in decentralised evaluations, due to the single country focus.

Joint evaluations are infrequent in multilateral organisations and are more often undertaken by bilateral agencies. The average number of joint evaluations during the last five years for multilateral organisations and bilateral agencies is low. The primary barrier to joint evaluations is reported to be the lack of inter-organisational alignment as well as the time and resources required. Joint evaluations tend to be undertaken for joint programmes, and their use is often determined by the funding modalities.

Improving evaluation capacity at decentralised levels, while linking decentralised evaluation units to central evaluation units is a continuing challenge

The survey results indicate that the links between centralised evaluation units at headquarters and decentralised units at project or country level vary to a large degree, from being rather weak to structured, formal engagement frameworks. A significant stumbling block is the lack of adequate human and financial resources to provide training and support to decentralised evaluation units.

Members are looking for alternative, cost-effective solutions. They indicated significant interest in decentralised evaluation and self-evaluation, underlining their advantages such as, inter alia, cost-effectiveness, accountability, knowledge production and self-learning. Concerns were raised regarding self-evaluations, which are not considered to be robust or reliable evaluation tools. There appears to be a continuing trend towards decentralised evaluations, including setting the necessary resources aside to improve their effectiveness. DFID has successfully established a decentralised evaluation framework that includes the systems to support quality assurance and capacity building. In Australia, the professional evaluation staff from DFAT's central evaluation unit (ODE) are now leading or participating in a small number of decentralised evaluations each year in order to demonstrate how to undertake a high quality evaluation process from initial planning through to dissemination of findings.

Capacity weaknesses within partner countries are a challenge for some development agencies

In 2010, it was stated that "capacity weaknesses, especially in terms of technical skills and specialised knowledge in evaluation remain a challenge for some development agencies" (OECD, 2010b). The large majority of respondents confirm that development of capacity within the organisation is within the remit of evaluation units. In practice, all development organisations are putting efforts into enhancing skills and improving in-house evaluation expertise through internal training, workshops and by making advisory support available. However, challenges of insufficient capacity remain pronounced at decentralised levels; interviews reveal for example that those in charge of overseeing evaluations are

not necessarily experienced in performing or managing evaluations. Whilst 89% of member organisations are responsible for evaluation capacity development within their organisation, less than half are responsible for building the capacity of partner institutions.

In addition to the trends identified in 2010, two additional trends appear to have emerged:

- attention to both accountability and learning
- focus on performance and knowledge management.

Attention to both accountability and learning

Evaluation policies confirm accountability and learning as the twin purposes of evaluation. The issue of accountability continues to be important to development organisations as a paradigm for good governance and transparency. While the importance of accountability is not diminished, there is an increasing focus on the organisational learning element of evaluation systems.

While the survey indicates that over half of the responding organisations are in favour of a balance between learning and accountability, the large majority of organisations also wish to increase the opportunities for learning. Accountability and learning are not mutually exclusive, but rather they feed in to each other, i.e. a learning culture improves the performance of development assistance, and ensures that organisations are held accountable.

Structural changes that have been implemented in bilateral agencies appear to address the issue of accountability and learning. In 2011, the Independent Commission for Aid Impact (ICAI)[6] was created to scrutinise UK development assistance. DEval was established as an overarching entity in the German evaluation system to provide independent assessments of the performance and spending for international development co-operation. These specialised and independent evaluation agencies respond to the accountability requirements, while evaluations units have the opportunity to focus on learning. In Sweden, the Expert Group for Aid Studies (EBA) was set up in 2013 to evaluate Swedish international development co-operation with a more pronounced accent on learning.

Focus on performance and knowledge management

The focus on performance appears to be a priority for all development agencies. During this last decade an increasing number of evaluation units and systems have made use of peer reviews or evaluations of their system or units, with a view to improving their effectiveness and some of these have initiated substantial changes. Quality assurance mechanisms to strengthen the evaluation system have multiplied and diversified through structural changes and the setup of advisory bodies or committees. On the other hand, concerns have arisen about how to disseminate and share the knowledge accumulated from evaluation findings and how to reach the intended recipients. Most respondents to the questionnaires indicate that knowledge management systems are currently considered only partially effective. The interviews confirmed these results for several organisations and point to the importance of establishing effective knowledge management systems to enhance organisational learning.

Conclusions

Evaluation systems and governance issues (setups, policies, and resources):

1. The main function of the evaluations systems established by the members of the OECD DAC evaluation network is to contribute to development co-operation effectiveness. EvalNet members are conscious of the need to provide evidence for accountability, as it represents an intrinsic requirement for transparency and credibility. The majority of members also emphasise learning as a means to a) improve the effectiveness of development work; b) increase the knowhow and skills of staff; and c) help ensure that evaluation is part of the overall organisational culture, feeding into evidence-based policy decisions. While the learning aspect of evaluation is paramount for increasing the effectiveness of co-operation interventions, the majority of members pursue both objectives, working to strike a balance between the two.
2. Oversight/scrutiny bodies have been established by some members and are located alongside the internal evaluation systems of agencies, such as DEval and ICAI. One of the aims is to strengthen the evaluation functions within and between ministries and agencies. These specialised bodies pursue evaluations more for the purpose of accountability towards stakeholders (public offices/officials, citizens and taxpayers) than internal learning.
3. The location of the evaluation system influences not only the way evaluations are conducted, but also affects co-ordination and ownership. Highly centralised evaluation systems tend to address strategic, policy, and thematic needs. Decentralised systems, on the other hand, are closer to projects and programmes, and more likely to work with country stakeholders. The majority of members rely on both elements of the system.
4. Most bilateral agencies are positioned along the continuum between centralised and decentralised evaluation systems. Where decentralisation is a stronger element, it is necessary to build effective support systems to ensure continued quality and rigour, as well as coverage of evaluations. Multilateral development banks maintain a strong centralised function.
5. The average spending on evaluation has largely remained at the same level as reported in the 2010 review (from EUR 4.08 million in 2010 to EUR 4.1 million in 2015). However, the average number of staff per central evaluation unit has decreased since 2010 (from an average of 19 staff members in 2010 to 14.14 in 2015) (OECD, 2010a). The breakdown by agency shows a significant number of members that registered an increase in staffing (19) and budget (15) over the past 5 years. On the other hand, five organisations have experienced significant cutbacks in staff, accounting for the overall decrease in average staff per unit.
6. Member organisations are aware that the credibility of evaluation is partly a function of independence. All agencies have ensured that independence is strengthened, either through a segregation of reporting lines between the evaluation system and operations, or through behavioural independence to avoid conflicts of interests.

Evaluation processes

Greater synchronisation of evaluation planning with organisational strategy has led to improvements in the alignment of evaluation programming and organisational needs. However, there is often an 'evaluation lag' meaning the results may not be made available at the right time.

7. A variety of quality assurance and quality control mechanisms are in place, including the involvement of reference groups, advisory bodies, steering committees and special technical advisors in various stages of implementation. Standards and guidelines are applied by most organisations. In general, more extensive support to quality assurance may be required for decentralised evaluations in order to ensure consistency and rigour.
8. Self-evaluations, evaluability assessments and ex-ante evaluations are used by some members, although their use is not consistent across the membership. Self-evaluations may contribute to promoting an evaluative culture among operational staff. However, there is some scepticism among members about the credibility and reliability of self-evaluations which, in general, are considered to complement other evaluation exercises. When used to replace other types of evaluation, the validation process helps to improve the credibility of the findings. Evaluability assessments are used by a limited number of agencies to foster a focus during the design and initiation of interventions on later evaluation. Similarly, ex-ante evaluations are considered to help provide the groundwork for future evaluations by independent evaluators.
9. Capacity building is generally provided within evaluation units and to evaluation managers and implementers. Although an important function, staff turnover and the relatively low priority given to evaluations within operations units present a challenge for some members. Few organisations deliver partner organisation training, which combined with the limited partner participation in evaluation pose concerns for sustainability. In general, staff accreditation is not considered to be a determining factor in the availability of suitably qualified resources. Sectorial experience, local knowledge and cultural affinity of the evaluator are considered to significantly influence the quality of the evaluation.
10. Dissemination is considered an essential element of evaluation, which goes beyond transparency and fulfilling commitments defined in the evaluation policy. Encouraging the use of evaluation findings and recommendations requires that more thought be given to communication strategies and approaches. Similarly, knowledge management influences both demand and use of evaluation. Information must therefore be produced and presented through a media and in a format that meets demand and supports learning. According to some members, knowledge management should be taken into consideration from an organisational perspective, addressing information needs in a more systematic and holistic manner. Considering knowledge management as a function of the evaluation unit may reduce efficacy, as a knowledge culture needs to be intrinsic across the organisation. Therefore combining dissemination and knowledge management functions requires a comprehensive communications approach that fits into the overall organisational knowledge management strategy.
11. Evaluation use is critical to ensuring effectiveness. The use of evaluations in decision making appears partly to be driven by the evidence needs of new initiatives. There is some indication that demand for evaluation is increasing and may be linked to the perceived relevance of evaluations to management needs. Recommendations must therefore be pragmatic and feasible. Some organisations have begun developing recommendations in collaboration with the management team in order to improve acceptance and ownership. In some cases evaluators may partly take on the role of knowledge broker, translating, aggregating and synthesising findings rather than simply providing expert opinions (Bossuyt, J., Shaxson, L. and Datta, A., 2014).

Improving the effectiveness of evaluation

An effective evaluation system is one in which evaluation findings contribute to the design of programmes and projects, to policy making, and to overall organisation learning and capacity building. An effective system depends mainly on: the credibility and use of evaluation findings; whether learning is taking place; whether evaluation products are of high quality; support by senior management with implementation and follow-up of recommendations; and whether evaluation findings are made public. In order to further improve effectiveness, evaluation units should strive to:

1. **Ensure the relevance of evaluation by aligning it to the needs of other units:** the relevance of evaluation findings is closely linked to the timing of evaluations. The review shows that sustaining senior management's commitment helps ensure that evaluation findings are used. Adopting a proactive approach to defining the work programme in order to fit the needs of operations is likely to ensure that evaluations remain relevant because the information will become available at the right time.
2. **Enable programme designers to 'think' evaluation:** although there is some discussion about the role of evaluators in project formulation (and the implications on independence), by developing the capacity of operations units in evaluation methods and principles, the quality of evaluation and the evaluability of programmes may be improved. This is specifically the case for decentralised evaluation, but may also lead to improvements in centralised evaluations.
3. **The participation of development partners is acknowledged as a fundamental principle for evaluation, despite related challenges:** Partner participation is important to encourage sustainability and ownership at the decision-making level and in the design and oversight of evaluations. Engaging partners from the inception of a project/programme is considered to be valuable to improve the quality of the evaluations performed. This is specifically the case when working with partners that are not accustomed to undertaking evaluations, such as the private sector.
4. **Ensure public disclosure:** the publication of evaluation findings serves the principle of transparency and contributes to accountability. It also brings about recognition for achievement and increases the influence that evaluation may have in an organisation. The introduction of obligatory public disclosure reportedly resulted in improvements in report quality, usability and the feasibility of recommendations. Improvement in the selection of evaluation topics are also reported by a few members. This brought further positive changes in the culture of evaluation, providing more credibility and legitimacy to evaluation systems, and thus enhancing their effectiveness.
5. **Target the communication of evaluation results to the audience**: dissemination and knowledge sharing requires an understanding of target audiences, including their information needs and the most effective media for that specific audience. Dissemination and knowledge management should therefore be part of an organisation-wide communications and knowledge management strategy that specifies the type of materials that will be produced and shared and in what forms.
6. **Develop an evaluative culture:** several members are working to develop an evaluative culture. This poses a significant challenge, but there are elements of the evaluative culture that may be beneficial to introduce while developing a broader strategy. The use of self-evaluation may help encourage internal reflection and learning. An organisational approach to knowledge management would begin to encourage an evaluative culture.

Notes

1. The aim of the study was to "take stock of how the evaluation function is managed and resourced in development agencies and to identify major trends and current challenges in development evaluation".
2. The selection of members was based on a cross-section of evaluation units, specifically those that have undergone significant changes during the past 5 years, such as policy revisions, restructuring, process changes or a merger, but also organisations that have large and small evaluation functions.
3. A list of persons interviewed is provided in the Annex D.
4. Evaluations managed and implemented by operations units.
5. All members completed the questionnaire with the exception of the Greek Ministry of Foreign Affairs.
6. Launched in 2011, ICAI scrutinises official UK aid spending for international development, and reports to the International Development Committee of the UK Parliament. ICAI's work contributes to the accountability of UK Official Development Assistance (ODA) on behalf of the UK taxpayer, by examining whether UK aid is delivering value for money.

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Chapter 2

Evaluation systems and governance

This chapter explores the institutional arrangements and environments for evaluation across the DAC Network on Development Evaluation. The chapter highlights recent changes to evaluation systems since 2010, such as the creation of new evaluation entities and the integration of ministries of development co-operation with ministries of foreign affairs and trade. The chapter outlines the human and financial resources of evaluation units and examines evaluation policies as well as the independence of evaluation systems. The data and analysis is based on a survey of network members, document reviews, and interviews with evaluation units of DAC members and multilateral development banks.

Evaluation systems are set up to provide regular information on the effectiveness of development co-operation interventions as a whole and on specific contributions of the various stakeholders involved in co-operation. Evaluation systems are established in an institutional environment that encourages knowledge sharing about the outcome of operations, as well as practical guidance and recommendations in order to improve operations. The institutional environments of development co-operation agencies and multilateral organisations are evolving and subject to political, technical and financial changes.

Evaluation systems need in some instances to respond to demands with inherently in-built tensions. Such tensions are apparent in the requirement for systems to promote both accountability and facilitate learning. Evaluations are key to providing the basis for holding partners to account for their interventions. Equally important, evaluations analyse successes and challenges, and set benchmarks for partners to learn from and to integrate into their future activities (OECD, 2010). Both demands coexist to varying degrees and force actors to develop practical systems that cater for them. Another example of stress lies in the demand that evaluations are independent from operations and management decisions. This demand is based on the independence that is required for impartial and credible assessments. At the same time, evaluation systems need to be pragmatic and effective, providing a link between the decision makers and operational units of the agencies.

Therefore, this review took stock of the variety of evaluation systems that EvalNet members have set up within their administrative and institutional structures. Some members have opted for centralised evaluation systems; others have promoted a strong decentralisation of the functions. Some agencies and organisations try to keep a balance. In recent years, some organisations have undertaken reforms in their evaluation system, which will be described. As a follow up of the previous review in 2010, this review has looked at the changes in evaluation policies, and furthermore, updated the financial and human resources dedicated to the evaluation function. The section goes on to discuss the issues of accountability and learning, as well as the independence of evaluation units, given their relevance for policy decisions and for the design of administrative structures.

Institutional setup of evaluation units

The following section discusses some of the significant changes that have taken place during the last five years, and the location of evaluation systems within the administrative setup in order to understand the context in which evaluation work takes place. The questions posed in the survey sought to identify the drivers which determine the location of evaluation units within the administration and the position of evaluation systems on the spectrum of centralised and decentralised approaches. The section closes by looking at members' views of the respective advantages and disadvantages that the institutional setup may have, and about the potential factors that drive change.

Recent organisational changes in evaluation systems

In recent years a number of agencies have undertaken reforms of the systems that support the delivery of development co-operation. In terms of the evaluation function, this has manifested in the establishment of bodies to improve the co-ordination of evaluation across a complex network of agencies, and to provide independent oversight of evaluation across the development co-operation sphere.

Creation of overall independent evaluation entities

The German Evaluation Institute for Development Cooperation (DEval) and the UK Independent Commission for Aid Impact (ICAI) are examples of overall independent evaluation entities that have been established over the last six years to improve the influence of evaluations, the quality of strategic evaluations, and the effectiveness and impact of development assistance.

In 2012, Germany founded the German Evaluation Institute for Development Cooperation (DEval) in response to the recommendations by an external evaluation of the German evaluation systems. The evaluation found that there was a lack of coherence within and between the German systems, which were considered to be too fragmented. The most important recommendations were to define a clear division of responsibilities and labour between the different evaluation entities, and to increase the number of strategic evaluations, which are meant to enhance the steering capacity of the Ministry. The overriding goal of DEval is to independently evaluate the performance of German development co-operation interventions. DEval has reportedly already increased the influence of evaluation in the German development agencies, fostered greater visibility of the evaluation system, and improved the quality of strategic evaluations.

In the UK, the Independent Commission for Aid Impact (ICAI) was created in 2011 to scrutinise UK development assistance. ICAI carries out independent reviews of development cooperation programmes and issues related to the delivery of UK aid. Its mandate differs from the NAO (National Audit Office), which undertakes separate reviews/audits while ICAI reviews performance based on DFID evaluations, as well as carries out independent assessments of issues that affect aid delivery. ICAI reports directly to the International Development Committee in Parliament, and as such provides a line of accountability to the UK taxpayer. The creation of ICAI responded to the wish of the government to improve the effectiveness and impact of development assistance being provided across all departments.

The Swedish Government set up the Expert Group for Aid Studies (EBA) in 2013 to "continuously evaluate and analyse Sweden's international development co-operation to improve development co-operation and build up a long-term, high-quality knowledge-base". EBA benefits from what is labelled a "double independence". It works independently from the government, chooses which issues it will evaluate, and to which entity the evaluations will be reported.

The French government had envisaged a similar move towards creating an overall independent entity, but the fact that the evaluation system depends on three different ministries complicated the decision.[1] Instead, the government opted for an Observatory, presided over by a Member of Parliament, providing advice on evaluations in the development co-operation domain only. The Observatory provides the communication link with stakeholders and civil society. It has a more consultative role than the independent ICAI and DEval.

The European Commission adopted the "Better Regulation Package" in 2015 to ensure that EU actions are more effective.[2] This package includes important policy and procedural changes to improve how it functions in many domains, including evaluation. It provides for the systematic publication of roadmaps that describe the problem to be tackled and the objectives to be achieved, feedback and consultation processes, and improved impact assessments, which collect evidence to assess if future EU action is justified and how such action can best be designed to achieve the desired policy objectives. A Regulatory Scrutiny Board (RSB) consisting of three EC Commission members and three external members examines all impact assessments and some major evaluations.

The integration of evaluation for development co-operation

A different kind of reform took place in New Zealand, Australia and Canada. The integration of the semi-autonomous unit of New Zealand Aid into the Ministry of Foreign Affairs and Trade (MFAT), the Australian Agency for International Aid (AusAID) into the Department of Foreign Affairs and Trade (DFAT), and the Canadian International Development Agency (CIDA) merger with the Department of Foreign Affairs, International Trade and Development (DFAIT) represents a new trend of combining the foreign policy, trade and development agenda. In these cases, the evaluation functions continue to be focused on development assistance. However, more recently, the Evaluation and Research team (MFAT New Zealand) has begun to engage with the wider Ministry to incorporate evaluation into its new strategic framework and four-year plan and to help establish an evaluative culture across the wider Ministry.

The MFAT New Zealand evaluation team is responsible for managing and delivering the strategic (sectoral, thematic, programme, policy and practice) evaluations. They are also responsible for the implementation of good evaluation practice, disseminating evaluation, research and results and building an evaluative culture. The Evaluation and Research team also provides technical advice and support to activity managers who are responsible for managing decentralised evaluations that are outsourced. The evaluation function of MFAT New Zealand is supported by an independent Evaluation and Research Board and overseen by the Deputy Secretary for International Development.

The Australian Government took the decision to integrate AusAID into DFAT with the goal of promoting greater coherence between Australia's aid, foreign policy and trade efforts. The Office of Development Effectiveness (ODE) was originally established within AusAID and retained by DFAT as an operationally independent unit to measure and report on the effectiveness of the Australian development assistance programme. ODE's position within DFAT provides it with direct access to aid management systems and personnel, which helps ensure mutual understanding of the work performed. The work of ODE is subject to the external oversight of the Independent Evaluation Committee (IEC), helping to ensure ODE's credibility and independence.

In Canada, CIDA and DFAIT were integrated to create the Department of Foreign Affairs, Trade and Development (DFATD), now called Global Affairs Canada (GAC). The respective evaluation units have been maintained to fulfil their complementary functions. The Development Evaluation Division (DED) addresses programme effectiveness, programming tools, and priority and policy setting. DED also provides technical advice and quality assurance to programme branches and promotes organisational learning.

The roles of centralised and decentralised evaluation units

One of the drivers of the structural changes is the changing configuration of the evaluation function. Centralised evaluation units are based at the organisation's headquarters and conduct evaluations (independent for the most part), and/or oversee or

validate decentralised evaluations. Most also provide technical assistance and training for operational units. In the case of decentralised evaluations, operations units that may be located at the organisation's headquarters or in partner countries, commission and oversee the evaluation. The evaluation can be carried out by the operations units themselves (self-evaluations) or be commissioned to external experts.

The majority of organisations have centralised evaluation units that are responsible for policy formulation; varying degrees of oversight, particularly of external evaluations; capacity building; and technical assistance for all forms of evaluations, specifically to decentralised units. Thirty per cent of survey respondents adopt a solely centralised approach to evaluation while 15% adopt a decentralised approach. Fifty-five per cent of organisations combine centralised and decentralised approaches. Among the multilateral organisation, five (62%) combine the centralised and decentralised evaluation functions and two (25%) undertake evaluations solely through centralised units.[3] Several evaluation units, including African Development Bank (AfDB), DEval, IEG and Policy and Operations Evaluation Department (Netherlands) (IOB) also conduct their own evaluations.

There are many advantages associated with the decentralisation of evaluations to locations close to interventions. According to the perception of the members, evaluations become more cost-effective and evaluation work performed closer to the intervention produces knowledge and information that can contribute to capacity building at local levels and within partner institutions. The survey and interviews suggest that information emanating from decentralised evaluation units caters for requirements at project and programme levels, while also being relevant to strategic decision making.

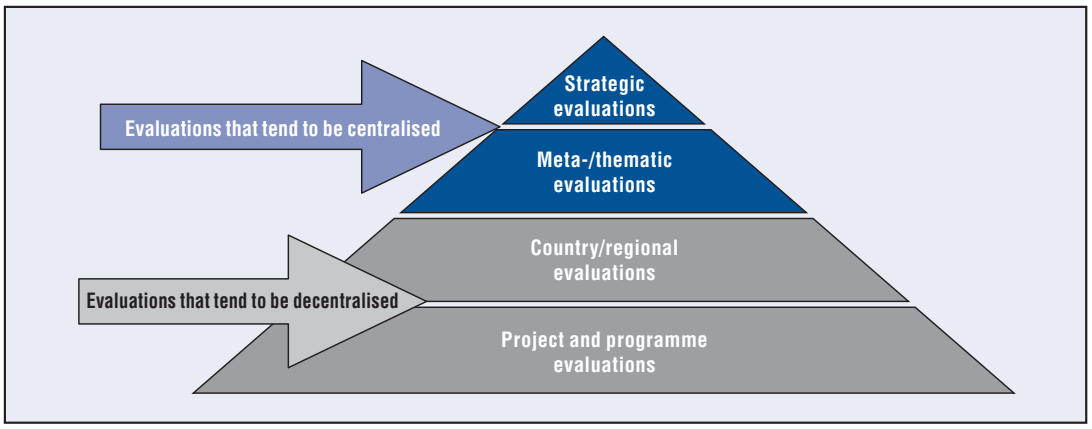
On the other hand, when evaluations are managed centrally, it may be easier to ensure that the quality is consistent as well as to ensure the coverage of evaluations. Furthermore the need for extensive support systems is decreased. Just under half of the survey respondents indicated that they have adequate capacity (in terms of human and financial resources) to provide training, support, advice and technical assistance to decentralised evaluations.

The decentralisation of evaluation in DFID has resulted in some significant adjustments. The introduction of a cadre of professional evaluation advisers that supports decentralised evaluation facilitates the ownership of findings at an operational level. However, more recently, due to resource constraints, there has been a decrease in evaluations advisers: they are either part-time (split between country offices) or perform more than one role, combining evaluation with results management and statistics (based on the interviews conducted for the survey).

To support the evaluation function and work programme, MFAT (New Zealand) has established a range of mechanisms to provide independent technical, subject-specific and cultural experts to support its work. An independent Evaluation and Research Board also gives advice and support to the Aid Programme on evaluation policy, practice and function and endorses the multi-year evaluation programme.

It is challenging to ensure the coverage of evaluations that address the various organisational needs, i.e. strategic, thematic down to programme and project, as confirmed by the Review of Embedding undertaken by DFID (DFID, 2014). This is due to the autonomy provided to the operations units to determine if an evaluation is a necessary. This provides increased flexibility for operational managers (country offices and programme teams) to determine whether or not to perform an evaluation on specific programmes and projects, in line with their Country Strategies, EvD guidance and administrative and planning requirements for developing the business case for new initiatives. This has affected the ability of the central unit to use the decentralised evaluations as the basis for the synthesis work that they are responsible for producing (Figure 2.1).

Figure 2.1. **Typical types of evaluations that are centralised and decentralised**



However, for organisations whose requirement to undertake decentralised evaluations is based on project value and completion, such MFAT New Zealand, the coverage of evaluations was not highlighted as a significant issue.

Co-ordination

An obvious challenge to administering evaluations lies in the necessary links between centralised and decentralised units. The vast majority of members indicate that links are weak or moderate; only five out of 25 respondents describe the links as stronger and formal. Most centralised units conduct quality control for the terms of reference of decentralised evaluations; in some cases, they elaborate the policy for decentralised units, and provide guidance, tools and technical assistance. In some other cases the communications are more frequent with informal discussions and written feedback.

The review shows that the location of evaluation units is important for the substance of evaluations. Most of the agencies stress the prime need for evaluation units at the central level, close to management decision and policy making. But agencies are aware of advantages of evaluation by decentralised evaluation units, alongside operations units. Recently, agencies have moved to strengthen the links between centralised evaluation and decentralised evaluation agents.

In practice, agencies align in different ways at the various structural levels. In Global Affairs Canada for example, the evaluation unit has a team dedicated to provide support to those carrying out decentralised evaluations. Formal links exist also, such as contracts signed between the evaluation team and the centralised unit, with close and direct co-operation during the whole evaluation process via meetings and e-mail communication. The Finnish Ministry of Foreign Affairs strengthens the link by getting a closer insight into the needs of the decentralised evaluators. Every two years, the central evaluation unit commissions meta-evaluations, which are based on decentralised evaluations.

However, for institutions that predominantly rely on decentralised evaluations, co-ordination systems are all the more important. Of the six institutions that responded that this is the case for them, including *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) (Germany), MFA Poland, MFA Slovakia, SIDA, USAID, and the US Department of State, the role of the central evaluation unit is reportedly to be primarily to provide technical

assistance and quality assurance to the decentralised units in undertaking evaluations. SIDA, for instance, confirmed that the links between the central evaluation unit and decentralised units are in fact weak but that this is being improved.

There are also relevant examples of inter-agency co-ordination. Among the French agencies, there is already a markedly close co-ordination among the three evaluation units. The heads of units meet frequently, at least every three months. They organise common working groups and trainings, and set up active cross participation in steering committees. The evaluation units discuss work plans to define joint evaluations, and submit a common report to Parliament.

In summary, the review proposes two conclusions in relation to the institutional setup of evaluation units. Although it is too soon to measure the success of specialised oversight/scrutiny bodies, their creation testifies to the need to provide for robust evidence on accountability by independent scrutiny of development assistance and co-ordination of complex evaluation functions related to ODA. This may point to the view that where accountability is taken care of by the oversight/scrutiny bodies, evaluation units are able to focus on learning. This does not imply, at least not yet, that the accountability dimension will be addressed by specialised autonomous entities. The twin objectives of evaluation, to provide evidence for accountability and the basis for the institution to learn, remain entwined.

The majority of organisations make use of a hybrid of centralised and decentralised evaluation, increasing cost-effectiveness, relevance and ownership of evaluations for operational units, and supporting the development of capacity in partner institutions. However, ensuring the quality, coverage (of sectors, themes or strategic issues) and consistency of decentralised evaluations is challenging, affecting the usability of evaluations for synthesis purposes. In some cases, central evaluation units have set up extensive support systems, providing assistance at all levels of the evaluation process, from the review of the terms of reference, to the templates for quality control and peer reviews. Meta-evaluations help in pointing out weaknesses and the places where support is needed, and as such improve the systems.

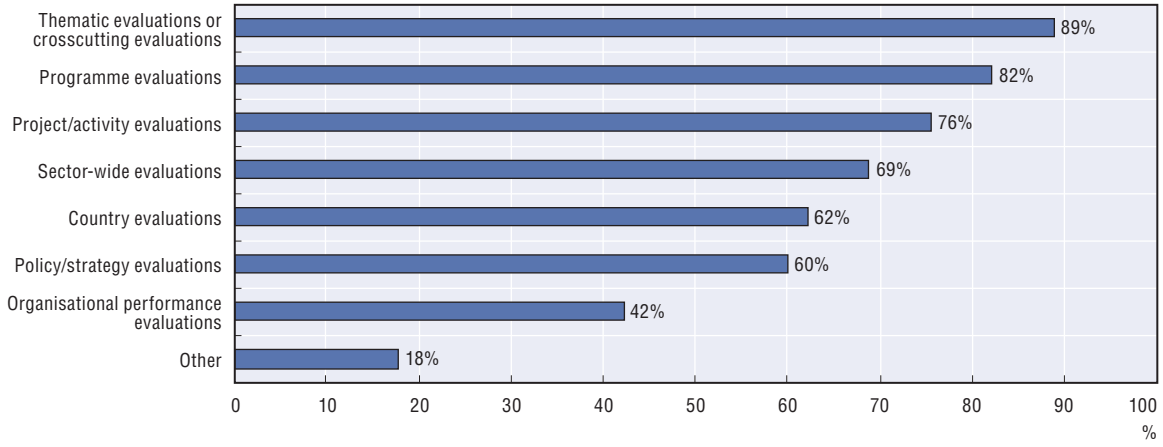
Financial and human resources related to the evaluation system

This section outlines the types and volume of evaluations being implemented, appraises the changes that have been made in human and financial resources committed to evaluation systems since 2010. The section therefore starts with an overview of the different evaluation activities that are undertaken across the member organisations.

Types of evaluation

Figure 2.2 describes the types of evaluations carried out by both multilateral organisations and bilateral agencies. Similar to the patterns identified in 2010, almost 90% of members undertake thematic evaluations. Although there is an increased emphasis in member policies and planning on strategic priorities, the use of policy/strategy evaluations appears to have become less common (from 92% in 2010 to 60% in 2016). Where 49% of institutions were performing project/activity evaluations in 2010, 76% are now undertaking them.

Figure 2.2. **Types of evaluation**
Percentage of responding evaluation units that conduct

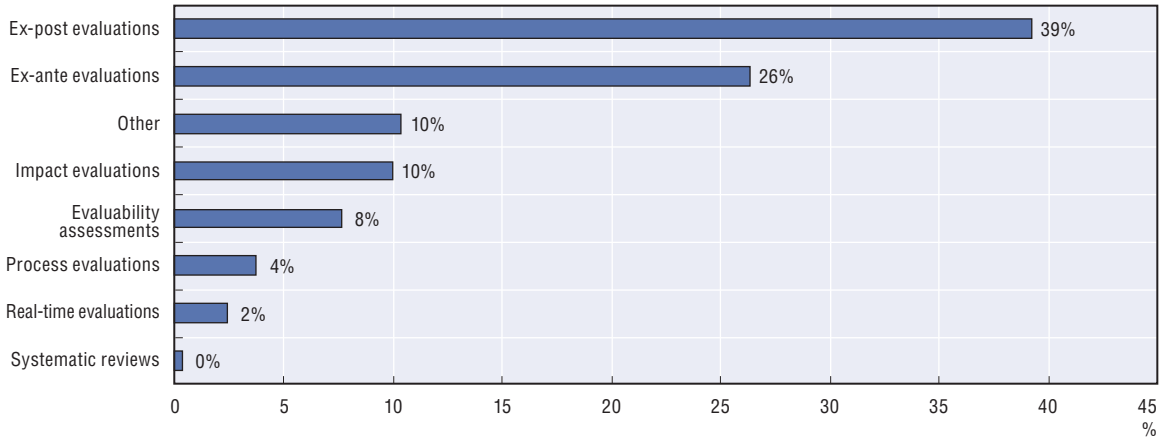


Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The total number of evaluations undertaken during the last five years is reported to be 5 916 (reported by 6 multilateral organisations and 27 bilateral agencies).[4] Although the 2010 review found that the trend was to move away from ex-post evaluations, 39% of evaluations performed in the past five years are reportedly ex-post and 26% ex-ante. Over 580 impact assessments have been performed during the period (500 by GIZ) and 452 evaluability assessments (120 by the Inter-American Bank and 250 by Korea International Cooperation Agency [KOICA]).[5]

Out of the 1 557 ex-ante evaluations performed during the past five years, 1 262 were performed by Japan International Cooperation Agency (JICA) and 200 were implemented by KOICA, reflecting the emphasis in their policies on both types of evaluation. Based on these aggregate figures, an average of 26 reports are produced by each evaluation department per year, similar to the average of 24 in 2010, however due to the variances in terms of the intensity and frequency of evaluations, this may not be particularly illustrative.[6]

Figure 2.3. **Volume of evaluation**
Percentage of evaluations undertaken by type during the past five years



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

Human and financial resources

The comparison of spending and resources allocated to evaluation across member organisations is challenging because of the very different institutional structures, the different evaluation activities that are undertaken and the different methodologies and reporting systems used. Therefore the following section focuses on the trends that are apparent in relation to the resource allocations to the evaluation function and the perceived impact, as described by survey respondents.

Obtaining data on financial resources and average number of evaluations performed was challenging because a range was usually provided. The resources attributable to centralised evaluations were reported, but due to the fact that the budget for decentralised evaluations is taken from the programme or project budget, this data was not available. Evaluation units also undertake other activities such as research and knowledge management, which is indistinguishable from the budget allocated specifically for evaluation.

These challenges aside, the findings of the survey provided some insight into recent changes in the human and financial resources allocated to the evaluation function of member organisations. EvalNet members employed 664.5 staff members in 2016.[7] The average number of full-time evaluation staff has not changed significantly since 2006 (13.8 in 2006 to 14.1 in 2016) (OECD, 2006). Forty-two per cent of organisations reported that their staff had increased, whilst 11% (four bilateral agencies and one multilateral organisation) had decreased their staff.[8]

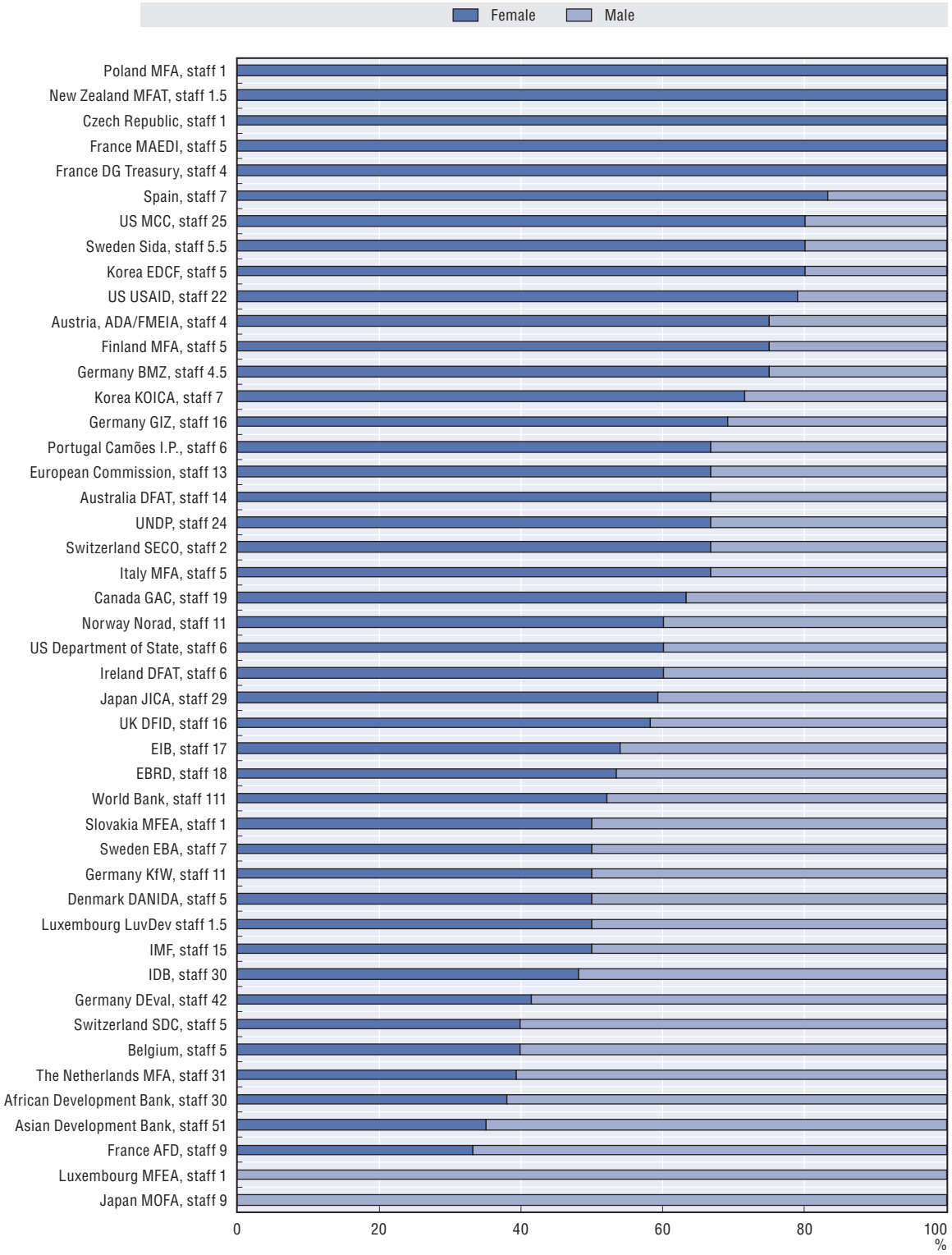
Table 2.1. **Summary of changes over the past five years in budget and staff in multilateral organisations and bilateral agencies**

Changes	Changes to budget		Changes to staff	
	Multilateral organisations (number of)	Bilateral agencies (number of)	Multilateral organisations (number of)	Bilateral agencies (number of)
Increased	3	12	5	14
Decreased	2	8	1	4
Stayed the same	2	14	2	18

Note: Some respondents did not provide complete information on budget or staff. The data in this table does not include non-responses.
Source: Online survey completed by EvalNet members for the purposes of this report, where information was available[9], http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

From the survey, the number of staff working in the evaluation units of bilateral development organisations varies from one person working halftime to 42. Eight out of 37 bilateral agencies have two or less staff in their evaluation units. The staffing ranges from 13 to 111 for multilateral organisations, reflecting the broader scope and budget associated with their activities. Disaggregated by gender, the average percentage of female staff is approximately 62% and 38% male. This is a similar proportion compared to the 2010 data.[9] If administration staff are excluded, the proportion is more balanced: 56% female and 44% male. The proportion of women and men in the role of Head or Director of Evaluation is almost equal (46% of the staff holding these positions are women).

Figure 2.4. **Gender disaggregation of employees working in centralised evaluation units**
(professional and management staff)



Note: The number of staff reported in the vertical axis is the number of full-time equivalents.
Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

During the last year, the budget of evaluation units of 34 bilateral agencies ranged between EUR 30 000 and EUR 20 million. The median budget is EUR 1.05 million and average EUR 2.76 million. Only five bilateral agencies reported a budget lower or equal to EUR 100 000. Eight multilateral organisations reported a budget for their evaluation units of between EUR 3.65 million and EUR 30.6 million.

Table 2.2. **Summary of evaluation resources**[10]

			2015		
Network overall	**Average 2010**	**Average 2015**	**Median**	**Maximum**	**Minimum**
Spending on evaluation (EUR)	4.08 million[11]	4.1 million[12]	1.5 million	30.6 million	30 thousand
Number of staff in central evaluation unit (total staff)	19	14	7	111	0.5
Number of evaluations per year incl. ex-ante evaluations	24	35	8	416	1.0
Number of evaluations per year excl. ex-ante evaluations	n.a.	26	8	163	1.0
Evaluations completed per year per staff member (total staff)[13]	1-2	1-2	1.12	15.9	0.13
Bilateral agencies					
Number of staff in central evaluation unit (total staff)	n.a.	9	6	42	0.5
Budget for evaluation	EUR 1.92 million	EUR 2.76 million	EUR 1.05 million	EUR 20 million	EUR 30 thousand
Central unit budget compared to the development budget	0.16%	0.20%	0.10%	1.00%	0.03%
Multilateral organisations					
Number of staff in central evaluation unit (total staff)	n.a.	34	24	111	13
Budget for evaluation	EUR 7.76 million	EUR 9.96 million	EUR 7.90 million	EUR 30.6 million	EUR 3.65 million
Central unit budget compared to the administrative budget	1.38%	1.19%	1.15%	2.00%	0.16%

Source: Online survey completed by EvalNet members for the purposes of this report and verified member profiles, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The most significant change that has occurred since 2010 is the decrease in the average number of staff. Despite the increase in the average budget for multilateral organisations, there is a decrease in the central evaluation unit budget compared to the administrative budgets.

The central evaluation units of 24 organisations are funded through a budget that is separate from the operational budget.[14] This does not necessarily mean that the central evaluation unit benefits from a budget that is fully independent from senior management. The multilateral development banks, for example the African Development Bank (AfDB), the Inter-American Development Bank (IDB), and the World Bank, are allocated budgets on a distinct budget line over which the senior management has no influence. Most bilateral agencies have budget lines that are separate from the operations units, but are still dependent on senior management or ministerial decision to approve and allocate budgets. MCC presents another approach in that resources for evaluations are included in compacts (projects) at their inception for data collection during project execution; resources from the agency's due diligence budget are provided for the implementation of evaluations, specifically the recruitment of independent evaluators.

The Special Evaluation Office (SEO) (Belgium) undertakes only centralised evaluations, and receives two basic allocations (separated from operational budget): the first one covers SEO's operational expenses and ordinarily amounts to at least 0.10% of the ODA to be evaluated, and the second allocation contributes to the funding of joint evaluations. During the survey some agencies pointed out the need for separate budget lines, and for specific and predictable budgets for centralised evaluations.

Decentralised evaluation is funded from operational budgets for thirteen member organisations, approved by senior management. In some cases, the programmes and projects have already included evaluation funding in their costs, or decentralised evaluations are covered through extra-budgetary funding.[15]

How the agencies responded to a change in resources is even more important than the change itself. The survey responses showed that agencies benefitting from an increase in financial and/or human resources generally used these resources to further develop capacity or quality assurance, to expand their scope of work, or to improve knowledge management.

Where financial and/or human resources remained the same, two agencies indicated that they carry out fewer evaluations while keeping high quality standards; the World Bank notes that the unit has increased internal efficiencies using measures such as a department restructure and the harmonisation of portfolio analyses.

Among the agencies that had to face a decrease in financial and/or human resources, the Ministry of Foreign Affairs of the Netherlands became more selective in conducting evaluations; more critical about the necessity for impact evaluations; and delegating responsibility for decentralised evaluations in combination with an enhanced helpdesk function. The evaluation unit raised concerns about the fact that reduced staff and budgets may affect the quality of evaluations. SIDA decreased the number of centralised evaluations, although it expects an increase in staff of up to five evaluators in 2016. It intends to spend more on resources to improve the quality of decentralised evaluations and draw on them for synthesis and lesson learning. Danish Development Assistance, Danida, on the other hand, conducts slightly fewer and less costly evaluations than before.

Decreases in budgets for operational units have also affected decentralised evaluation. DFID country offices have to prioritise evaluations to be undertaken and consider whether an Evaluation Adviser is a necessary budget expense. Some evaluation advisers therefore cover more than one country office. The production of synthesis reports by the DFID Evaluation Unit is affected by the reduced number and variety of evaluation reports produced, due to budget restrictions.

On the whole, agencies responded to changes in resources affecting the evaluation system, both centralised units and decentralised operation, by focussing on learning and making an effort to increase the relevance and strategic impact of the evaluations commissioned. Thus, agencies that benefit from increased resources do not increase the number of evaluations, but rather focus on issues likely to bring about new directions, for example meta-evaluation, innovative methodology, and impact at strategic levels.

Evaluation policies

The prevalence of evaluation policy documents is an important indicator of the recognition of the priority placed on evaluation as a core function of most organisations. This section reports on changes in evaluation policy documents, highlighting perceived needs and providing examples of a shift in policy for a number of organisations.

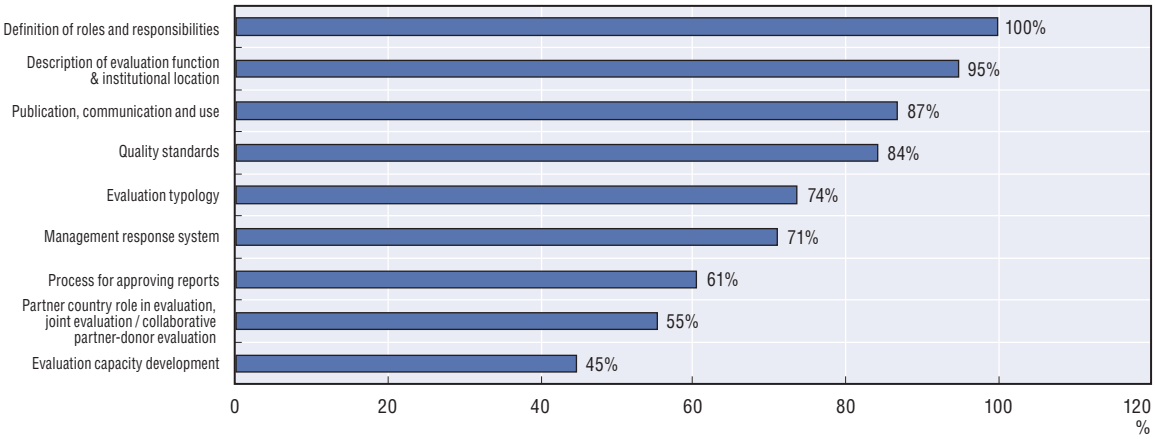
Between 2010 and 2015, there was a notable increase in the number of agencies with a policy document defining their evaluation activities. In 2015 38 out of 46 member agencies (83%) had a policy document, compared to 28 out of 40 agencies (70%) in 2010. Furthermore, those that do not have a policy have sets of guidelines and methods. Five member agencies are in the process of preparing and approving evaluation policies.

Policy content

The majority of policies describe the evaluation function and institutional location, roles and responsibilities, quality standards and publication, communication and use of evaluation reports and findings

Figure 2.5 below provides a summary of the content of members' evaluation policies.

Figure 2.5. **Content of evaluation policies**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

Most of the members surveyed state that their evaluation policies are expected to be revised or updated within the next five years. The aims cited include: to increase evaluations at a strategic level; to be more effective in influencing organisational decisions; and to increase the scope of evaluations.

Despite the achievements that have been made in strengthening the alignment between policy and strategic priorities, there is still room for improvement. On the survey question "whether the policy is congruent with organisational strategy", 14 respondents consider their evaluation policy to be very congruent with organisational strategy (out of which only one was a multilateral organisation); 22 found it moderately congruent (all bilateral organisations); and four somewhat congruent (out of which only three were multilateral organisations). Some respondents would like the evaluation policy to create more ownership within senior management.

Likewise, the relevance of the evaluation policies in relation to actual needs may be furthered. Regarding the responses to the survey on "how to make the policy more relevant to organisation's needs", the main arguments presented include: underlining partner participation; better articulating relationships between evaluation and other related functions such as monitoring, review and research; and balancing the accountability and learning roles of evaluation.

The evaluation policy may need to undergo a change to reflect changes in development policy. For instance, one survey respondent replied that the policy had to be more relevant to organisations' needs: "To take account of the (now) Department-wide remit of the evaluation function, and the Department's new Global Foreign Policy, new development assistance policy and the Department's associated Statement of Strategy (including the roles of business units and their partners in relation to evaluation)."

Among the agencies some distinguish clearly between an evaluation policy and an evaluation strategy. A respondent reply to the survey question on how to make the policy more relevant to the organisation's needs: "I don't think this is a question of having an appropriate policy but of having an evaluation strategy. Politics might change every four years after elections, changing an evaluation policy so frequently seems neither necessary nor appropriate". The African Development Bank's revised policy no longer includes a list of Independent Evaluation products and procedures, which are instead discussed in the Independent Evaluation Strategy.[16] Some other respondents view the policy to be more of a set of guidelines: "We need to include in the policy document how to put our policy into practice and the quality standards. There is also a need to give more instruction on how to use the results of our evaluations."

Comparing with the previous review findings, there are only a few noticeable changes. Whereas there seems to be slightly less emphasis on the need to include evaluation capacity development in the evaluation policy document (45% of the actual policy documents include it, against 50% in 2010), more evaluation policies are including directions on the role of partner countries in evaluation and provide a mandate for joint evaluation and collaborative partner-donor evaluation (55% against 50% in 2010). This is actually a growing tendency, with more institutions envisaging including this.

Significant evaluation policy changes have been made within US agencies, the World Bank Group and EBRD. For example, the updated policy of the US State Department (2015) includes the requirement to publicly post all evaluations within 90 days of their completion. Full evaluations are posted except in the case of sensitive or classified issues where only a two to three page summary is posted. The positive outcome of this new policy is that the requirement to publicly post all evaluations reportedly had a definite impact on the quality of evaluations. This resulted in a better and more careful selection of evaluations to perform and a better quality of evaluations in terms of methodology, validation of data and evidence, and recommendations.

A review of the number of evaluations submitted to USAID's Development Experience Clearinghouse (DEC) has shown a decrease in evaluations from nearly 500 conducted in 1994 to approximately 170 conducted in 2009, despite an almost three-fold increase in programmes.[17] Over that period, the agency's evaluation activities have been subject to both internal and external critiques regarding methodological quality, objectivity, access to evaluation findings, and use of evaluation recommendations for decision making. In January 2011, a new policy entailed important changes:

- The budget allocated to evaluation activities is equivalent to 3% of all programme funds.
- There is now an M&E specialist contact person responsible for each country bureau.
- All evaluations are posted on their website in full.
- Strict requirements for impact evaluations: pilot programme as well as for innovative development interventions.
- Evaluating the performance of all large programmes i.e., equal or greater than the average size of projects in countries.

Since then, an average of more than 200 evaluations is carried out each year, with more than 1 000 evaluations completed since 2011.

The current evaluation policy of MCC was established in 2012. This policy will be updated with more precise guidelines and procedures. These are already applied but have not yet been formalised in the policy itself.

During the 2013 revision of the EBRD evaluation policy, the document was abbreviated significantly from over 70 to 12 pages in order to separate guidance on process from policy. The policy therefore focuses on the basis for the evaluation function at EBRD, including: the coverage and objectives; purpose and principles of evaluation; roles and responsibilities; procedures; access to information and distribution of reports; and special provisions (i.e. role of Chief Evaluator and management of resources). The aim of the 2013 strategy was to integrate evaluation as a core and valuable function within the Bank. At the time, evaluation was considered as an add-on function. The emphasis of the policy also shifted towards a greater balance between accountability and learning.

To summarise, the number and percentage of organisations that have a policy document to guide evaluation work have increased, but the purpose of the document differs from providing a set of guidelines or policy, to being a strategy. Member organisations are placing an increased focus on the relevance of evaluations in relation to the organisation's needs, such that the policy better articulates relationships between evaluation and other related functions such as monitoring, review and research; and balancing the accountability and learning roles of evaluation. An increasing number of agencies view partner involvement as a guiding principle and have either already included this in the policy document, or plan to do so. The evaluation policies are being revised regularly, e.g. in light of changes in structures, or based on new focus areas, e.g. the Sustainable Development Goals (SDGs).

Accountability and learning

The twin objectives of accountability and learning are key to any evaluation system. Since the beginning of independent evaluation practice, the concepts have had contrasting perspectives with shifting weighting towards one or the other perspective. The shifting perspective is summarised by the following quote: "One theory suggests that accountability impedes or undermines learning; and as long as evaluation tries to do both, it will not be effective. The other perspective suggests learning and accountability are mutually reinforcing. In particular, learning is derived from an understanding of success and failure to determine how to be more effective in future. In this case, accountability is the foundation for learning" (Heider, 2016).

Accountability is described by the OECD DAC as follows (OECD, 1991):

> The accountability notion of evaluation… relates to the developmental results and impact of development assistance. It is distinct from accountability for the use of public funds in an accounting and legal sense, responsibility for the latter usually being assigned to an audit institution. Information about the results of development assistance should be provided to the public and their leaders in both donor and recipient countries. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms. [Further,] accountability in development may refer to the obligations of partners to act according to clearly defined responsibilities, roles and performance expectations, often with respect to the prudent use of resources. For evaluators, it connotes the responsibility to provide accurate, fair and credible monitoring reports and performance assessments. For public sector managers and policy makers, accountability is to taxpayers/citizens.

The changing weight on either the accountability or the learning aspect can be illustrated by the history of the World Bank, which was the first development institution to establish an independent evaluation unit. The evaluation unit was set up in 1974 and reported to the Board of Directors. At that time, accountability was the main focus of evaluation. In the 1990s, this focus received severe criticism because operations suffered setbacks and failures due to the emphasis on accountability, at the cost of performance management.[18]

In 2015, an external review of the World Bank Group (WBG) Independent Evaluation Group (IEG) was conducted at the request of the Committee on Development Effectiveness (CODE) (Weiss et al., 2015). This review recommended an increased emphasis on learning, and urged IEG and WBG management "to design, build, and continue to strengthen an overarching evaluation, learning, and accountability policy and system". (Weiss et al., 2015) This system would better enable IEG and CODE to play their respective roles in the cycles of learning, course corrections, accountability, and continuous improvement for the World Bank Group to achieve its development goals.

Beyond the World Bank, the debate also helped to progressively form the concept of institutional learning as a balance to accountability in development organisations. Today, most evaluation units in their policy documents express the view that evaluation pursues both objectives: learning and accountability. The survey largely confirmed this view. Responding to the question of "what is the major purpose of evaluations" the majority of member organisations (26 out of 46) said that they favoured a balance between the two concepts. Six organisations indicated that they viewed the learning part as having slightly more importance, 12 organisations viewed learning as being the sole objective of evaluation. Of multilateral organisations, four proposed a balance between accountability and learning, one favoured the sole objective of learning, and one agency had a slight propensity towards learning over accountability.

The following responses represent a typical sample:

- "Learning is important because the knowledge produced by evaluations is precious and valuable and this needs to be shared for the organisational benefit, but having learning as the sole purpose of evaluation wouldn't require an evaluation function, and especially not an independent evaluation function".
- "We are also aware of (and try to manage) the fact that evaluations can and should be structured depending on the purpose (accountability or learning) and that combining both in the same evaluation may give sub-optimal results".
- "In my view accountability (in particular for an evaluation function that is 'in-house') fosters 'hard top-down management' which produces procedures and a work culture which produces a lot of "rituals" (i.e. documents and processes that are meant to please top management and those who demand accountability, but with limited use for the operational staff). A learning organisation has the potential of doing the opposite, i.e. to foster a work culture where procedures and methods are meaningful for the operational staff".
- "Both are very important, and I would say that a balance is critical. There are few other accountability mechanisms for IFIs, so this is a critical role. Learning is also important, particularly given the unique access to information that evaluation function has".

In summary, the survey results and interviews reflect perspectives on the balance of the two objectives, or rather a preference for one of the objective over the other. The issue of independence of evaluation units, which will be discussed in the next section, is often linked to their accountability dimension.

Independence of evaluation system

This section deals with the principle of independence as a function of evaluation systems that instils trust in the evaluation function as related to governance/oversight (Mayne, 2011).[19] In other words, duly independent evaluations are part of sound management practice. In this respect, independence reflects on three dimensions: organisational independence, behavioural independence, and independence from influences and conflict of interests.

The review asked about the significance of independence. Members' opinions about advantages and disadvantages of independent evaluation units were weighted in favour of advantages. The respondents believe that independence of evaluation results has an important impact on the uptake of results in subsequent decisions.

The advantages of independence that were highlighted by survey respondents primarily related to the increased credibility of evaluations, as perceived mainly by external stakeholders. The objectivity of the evaluation function conveys a commitment to accountability to the public. The political pressures and administrative burdens that are placed on operational units to apply a specific focus are not applied to the evaluation function. This detachment allows the evaluation function to present governing bodies or executive boards with open reflections and assessments that are not framed in furtherance of management's interests and agenda.

On the question "Do you feel that the degree of independence of the evaluation function is sufficient to ensure external credibility of evaluation?" the large majority of respondents from multilateral organisations (five against three) fully agree, while only 10 respondents from bilateral organisations fully agree, 20 agree moderately, and four agree to some extent. There is, no clear trend among the respondents from multilateral organisations on the extent to which independence is perceived as important in the update of evaluation results, while there is a clear weight of respondents from bilateral agencies that find it "important" or "very important".

There is clearly a balance that needs to be struck between independence and isolation. The reported disadvantages include: a lack of connection with operational units; a reduced sense of ownership of the evaluation results, specifically by management, affecting uptake; risk of being perceived as disloyal and untrustworthy or bringing unwelcome criticism that is potentially damaging to upholding confidence and corporate well-being; and the lack of contextual knowledge of those evaluating, necessitating that the evaluands spend significant amounts of time providing this background.

The organisational independence of the evaluation units is clearly described in the policies of the majority of member organisations, showing that it is clearly a priority. Respondents confirm that the principle is well anchored within the multilateral organisations. All but four bilateral agencies respond that the independence of the evaluation units is mentioned within their evaluation policy. In the cases where it not mentioned it is implied.

Reporting lines are an indication of independence: structural independence means that evaluation units do not report to their management, but to boards of directors. This prevents evaluation units from being controlled or influenced by decision makers, and enables them to have access to organisational information and to submit evaluation findings without interference from their management or from project or programme managers. If the evaluation unit is under the authority of an operational or administrative department or senior management than work plans and the preparation and implementation of evaluations may be subjected to internal reviews and controls by those who are being evaluated. This thereby puts at risk the objectivity of the function.

In fact, a considerable number of evaluation units report to operational management, which may give rise to conflicts of interests. The survey indicates that out of 38 bilateral agencies, 21 report to senior management or related departments; five to the Minister or Deputy Minister; two to the Parliament; four to their board of directors; three to the Secretary General of International Development (or Under Secretary); three did not respond. All evaluation units of multilateral development banks report to their Board of Directors

either directly or through their Committee for Development Effectiveness (CODE), except for EIB (reporting is to the Inspector General).

Nevertheless, evaluation units are confident that they are largely independent from operational sections. The overwhelming majority of respondents from bilateral agencies feel that they are fully, or for the most part, independent from the influence of operational staff. Only two staff feel "to some extent independent" and one "not at all independent". Six respondents out of eight from multilateral organisations feel that they are fully independent from operational staff.

The assurance of being independent in cases where there is no formal organisational independence is related to safeguards that protect evaluation units from interference in those bilateral agencies reporting to their management. The review offers some examples:

- In USAID, although the evaluation unit reports to the Head of the Bureau for Policy, Planning and Learning, the Inspector General is the guarantor of independence for central evaluation units, which can if necessary, resort to it in the case of infringement of the independence of evaluation activities.
- In MCC, there is a strong perception of independence even if the evaluation unit is not structurally independent. All evaluations are performed by independent entities. The agency's M&E policy provides for complete independence in terms of method, content, and dissemination of evaluation findings.
- In the evaluation department (IOB) of the Netherlands, independence is guaranteed through its autonomous role in programming and approval of the terms of reference; independence in the evaluation approach (methods and techniques), independence in selection of consultants (if part of the evaluation is outsourced), and reporting. The responsible minister sends the policy reviews and evaluations to parliament, with a policy reaction. All evaluations, policy reviews and studies are published, unless they were committed from the start as internal (organisation) advice.
- In the Ministry of the Foreign Affairs of the Czech Republic - Development Cooperation Department (MFA-DCD), though there is no structural independence, the selection, implementation, and reporting functions are carried out independently and prepared under the guidance of the Working Group of the Council for Development Cooperation, which, along with reference groups composed of independent members, provides some degree of impartiality.

In addition to reporting lines, the evaluation function may be impaired by personal career decisions of the head of evaluation. In this regard, the survey asked whether the recruitment process could create a bias against independence. On the question on whether the posts of heads of evaluation units are filled internally or externally, most respondents marked the question as "not applicable". The remaining respondents were in favour of external recruitment of heads of units. On this basis, the modality used to recruit the head of evaluation is not considered to compromise independence.

In multilateral organisations, only two respondents (against six) replied that the Head of Evaluation Unit has the possibility of moving to another position within the organisation when they leave the role, while in bilateral agencies most of the members (30 against five) could do so. This points to the possibility that organisations need to safeguard independence in cases where the head of evaluation considers career changes. One may draw the cautious conclusion from the survey that neither the recruitment of candidates for positions of head of evaluation unit, nor internal career prospects of heads of units appear to impact the independence and impartiality of evaluation units.

Behavioural independence is defined as "the extent to which the evaluation unit is able and willing to set its work programme, produce high quality and uncompromising reports and to disclose its findings to the Board without management-imposed restrictions. Conflict of interest safeguards guarantee that current, immediate future or prior professional and personal relationships and considerations are not allowed to influence evaluators' judgments or create the appearance of a lack of objectivity" (Picciotto, 2013). Although behavioural independence was not covered by the survey, some of the responses from the survey and interviews highlighted the importance of the principle. The suggestion was made that professionalism and constructive engagement is extremely important for enhancing credibility where structural independence is not strong.

Participation in senior management meetings allows heads of evaluation units to be informed of the organisational strategy and policies. While this can be done through the communication of minutes, physical participation also provides the opportunity to make evaluation better known, thereby contributing to development of the evaluation culture and becoming familiar with the issues at stake at senior levels. The trend is indeed that evaluation unit representatives participate in management meetings. The survey shows that over 80% of bilateral agencies include representatives of central evaluation units in management meetings. The routine participation in management meetings of evaluation staff is varied between the multilateral organisations.

Overall, survey respondents perceive the position of evaluation units to be relatively free from interference. On the question whether the staff "feels that they are able to take decisions regarding evaluation without interference from their supervisors?" 29 respondents from bilateral agencies indicated "always" or "for the most part", whereas six of the respondents replied "to some extent", and one "not at all". Among multilateral organisations, the eight respondents replied "always" or "for the most part". The degree of independence is perceived to be high in relation to evaluation planning and preparation, report writing and dissemination, and lower on the selection of evaluations.

In summary, the principle of Independence as a function of evaluation system, as well as part of the overall institution, is well rooted in the culture of EvalNet members. The advantages of independent evaluation clearly outweigh the disadvantages. In accordance with evaluation principles, the organisations in their entirety have to continuously work on reducing misalignments to integrate the evaluation function into operations. Evaluation unit staff are aware of aspects of independence: organisational independence, behavioural and freedom from interference.

Notes

1. AFD is under the umbrella of 3 ministries: Ministry of Economy and Finance; Ministry of Foreign Affairs and International Development; and Ministry of Immigration, Integration, National Identity and Co-Development.
2. European Commission, Better regulation: why and how, http://ec.europa.eu/smart-regulation/index_en.htm. (All websites were accessed during the period January – May 2016). Better regulation is about designing EU policies and laws so that they achieve their objectives at minimum cost. It ensures that policy is prepared, implemented and reviewed in an open, transparent manner, informed by the best available evidence and backed up by involving stakeholders. Better Regulation is partly based on the REFIT (Regulatory Fitness) Programme 2011-12, which was a rolling programme to keep the entire stock of EU legislation under review and ensure that it is "fit for purpose", that regulatory burdens are minimised and that all simplification options are identified and applied.
3. The IEO of the IMF did not reply to this question in the survey.
4. Data obtained from online survey completed by EvalNet members for the purposes of this report. Excluding ex-ante evaluations this total is 4 359.
5. The individual respondent definition of the types of evaluation may have differed for the types of evaluations, e.g. impact evaluations (which may have included impact assessments) and ex-ante evaluations (which may have included project appraisals).
6. This includes 1 557 ex-ante evaluations and 452 evaluability assessments over the last 5 years, without which the average number of evaluations performed per evaluation department per year is 17.
7. Based on full-time equivalents employed by member organisations as opposed to number of individuals.
8. In the case of BMZ, the decrease was offset by a significant increase in staff at DEval due to the restructure.
9. Figure 2.4 provides an overview of the number of staff disaggregated by gender for all respondents. The number of staff that constitutes the basis for Figure 2.4 is greater than the number of full-time equivalents reported next to the name of agency/organisation as individuals were counted.
10. Data in this table are compared to the 2010 OECD review report. Assumptions have been made that the number of evaluations in 2010 were reported as they were in 2015.
11. Based on average USD:EUR exchange rate of 0.8 for 2010.
12. Based on reported budget in 2015.
13. The numbers are excluding ex-ante evaluations. The annual average including ex-ante evaluations is three to four per staff member.
14. Three organisations did not answer the question or were not explicit.
15. The extent to which changes in resources over the last five years have affected the evaluation work and activities was assessed in the survey with open-ended questions. No information is provided on decentralised evaluations given that centralised units rarely have this information.
16. The ADB's Evaluation Policy currently in force was approved in 2007. In 2012, IDEV submitted a proposal for a revised policy which made significant changes to the 2007 policy. The proposal has been discussed on several occasions by the Board of Directors and has undergone adjustments, but the revised policy has not been approved by the Board yet.
17. USAID's Development Experience Clearinghouse is the largest online resource for USAID-funded technical and programme documentation, with more than 155 000 documents available for viewing and electronic download.
18. Records of the Portfolio Management Task Force (Wapenhans Report) showed a dramatic decline in the performance of the Bank's lending operations: over a third of the Bank projects completed were judged failures by the Bank's staff. Morse et al. (1992), Report of the Independent Review, Resource Futures International.
19. John Mayne in his research on evaluation independence states that "Evaluation systems in development organisations can comprise at least four general types of independent practices: *i)* governance/oversight of the evaluation function; *ii)* using independent evaluators; *iii)* using external reviewers; and *iv)* involving a broad range of stakeholders in the evaluation process" (Mayne, 2011).

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Chapter 3

Evaluation processes

This chapter examines evaluation processes, including the approaches used to ensure the quality and rigor of evaluations, evaluation planning and programming, and how members ensure that evaluation results and findings are fed into future programming. The chapter discusses the use of supplementary evaluation tools such as evaluability assessments, ex-ante evaluations and self-evaluation. Capacity issues and constraints are addressed from both the organisational perspective and in relation to partners and stakeholders, as is participation and joint and collaborative evaluation work. Finally, the chapter discusses evaluation use and demand including dissemination, management response and follow up, and institutional knowledge management.

This section addresses the systems that support the process of evaluation, ensuring that high quality evaluations are performed and the results are fed into future programming. A basis for good evaluations is quality assurance and evaluation capacity, both internal to organisations and partner capacity. Some of the supplementary evaluation tools that are used by members to improve evaluation effectiveness by internalising evaluation at various stages of the process, such as ex-ante evaluations or evaluability assessments, are discussed.

The participation of stakeholders, joint evaluations and donor co-ordination broadens engagement in the evaluation process, thereby adding legitimacy to the evaluation process and increasing its effectiveness. Finally, promoting the use of evaluation products and sharing of knowledge requires that systems facilitate the incorporation of learning into future programming. These components of the evaluation process are summarised in Figure 3.1 and are discussed in the following chapter.

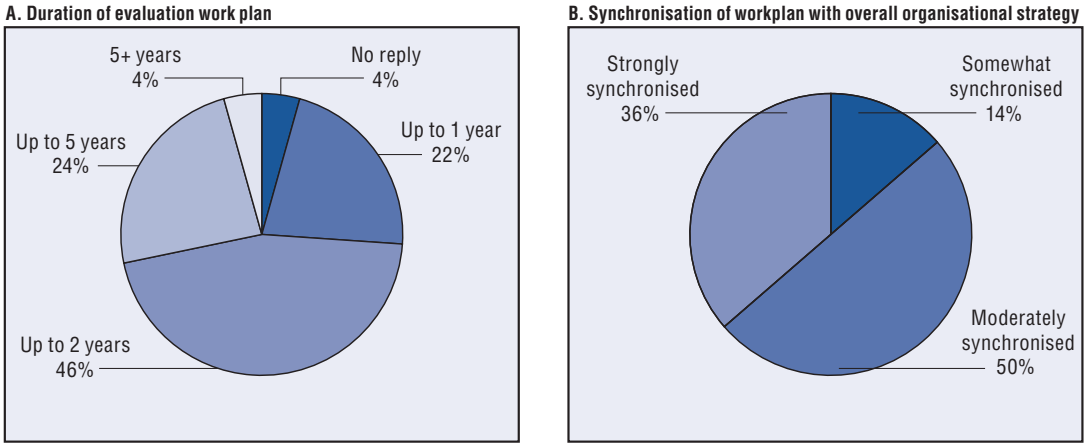
Figure 3.1. **Important components of the evaluation process**



Programming

The approach to the programming of evaluation varies across institutions. Most EvalNet members prepare work plans for one or two years. When work plans stretch over a longer period, they mostly become rolling work plans, as evaluations are planned for in line with the organisation's overall strategy.

Figure 3.2. **Work plan duration and organisational synchronisation**

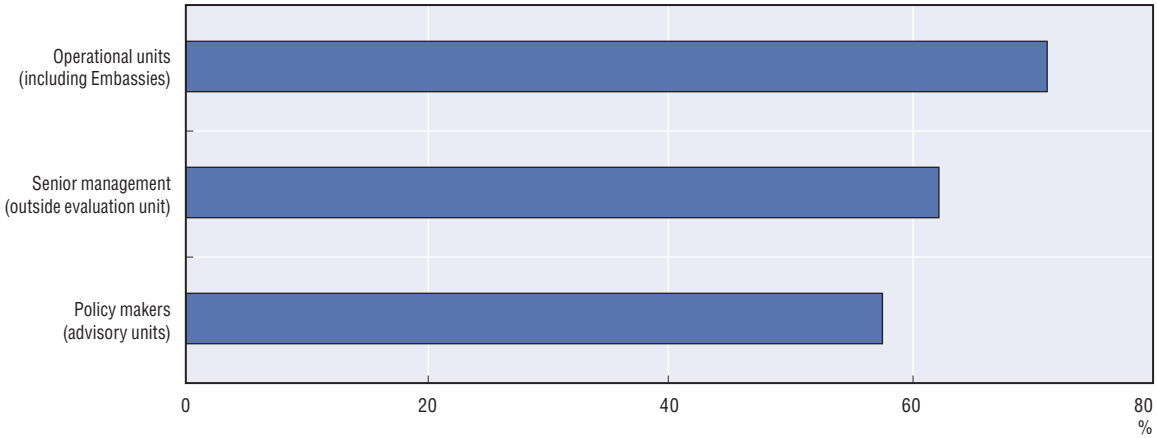


Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

Survey responses overall are positive regarding the degree of synchronisation with organisational strategies. This was also confirmed during the interviews with Danida, DFAT Australia, EBRD, the French Treasury, and MFAT New Zealand. The relevance of evaluations to organisational priorities is considered to affect the use of evaluations and therefore synchronisation with organisational strategy improves use.

As evidenced by the survey responses, there is a growing recognition of the fact that developing evaluation programming in consultation with the management and operational staff is an important element in promoting the ownership of the evaluation process. Operations units and senior management's demand for evidence-based information are key drivers in the programming process. The majority of evaluation units engage policy (advisory) units in formulating work plans (Figure 3.3). Senior management or boards of directors lend legitimacy to the evaluation function by approving evaluation work plans and verifying that they are in line with the overall strategy of the agency/organisation.

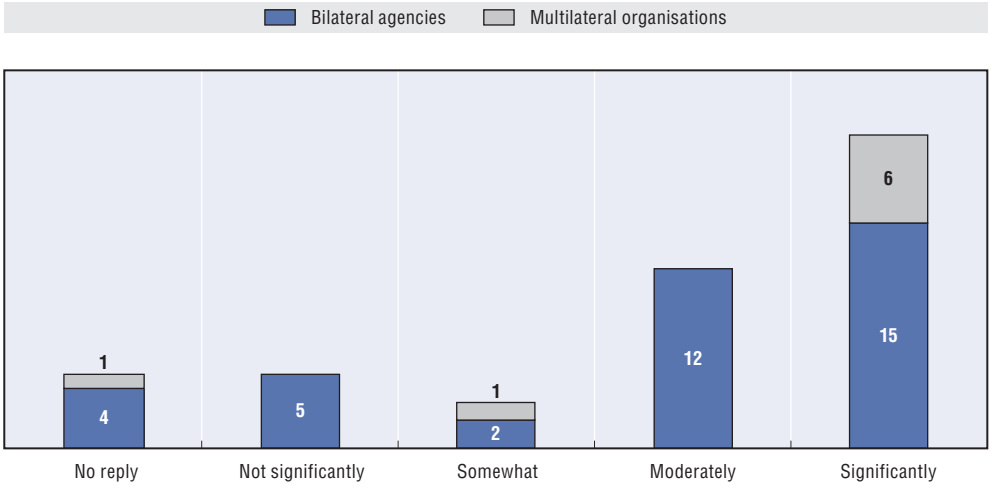
Figure 3.3. **Percentage of organisations that include management, policy makers, and operational units in the formulation of the evaluation work plan**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The co-operation is a two-way process. When evaluation units devise work programmes, they identify the evaluation needs of operations units, management, senior management/ boards of directors, thereby increasing the relevance of evaluations to implementing units and their importance for decision-making purposes. As pointed out in Figure 3.4, the degree to which the work plan meets the demand from the governing authorities is perceived as high; almost half of the respondents consider this to be significant.

Figure 3.4. **Alignment of evaluation work plan to demand from governing authorities**
To what extent does the work plan respond to demand from governing authorities?



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The interviews have provided some examples of how EvalNet members deal with specific planning decisions, showing that some of them have set up specific guidelines that define whether and when projects and programmes should be evaluated, while others use a more adaptable approach:

- DFAT Australia requires operational units to produce an evaluation plan only if the project cost is over EUR 6.8 million.
- Similarly, MFAT New Zealand has set a mandatory threshold of EUR 6 million, but evaluations are also being commissioned for activities that fall under this threshold, indicating a growing demand for an evidence base.[1] Over the past three years MFAT New Zealand has established an evaluation programme that co-ordinates its evaluations across the three levels (strategic, programme and activity) with the objective that they complement and reinforce each other. The country programme evaluations assess the total aid flow and will also assess the impact of the programme on the achievement of wider objectives for New Zealand domestic and foreign policy.
- DFID has adopted a flexible approach to decentralised evaluation programming, allowing programme/country managers to decide whether an intervention should be evaluated. Evaluations are commissioned on the basis that the findings will enhance rather than duplicate the body of evidence for the specific type of programme. In a resource-constrained context, operations managers are reportedly prioritising activity spending over evaluations, which reduces the scope and coverage of evaluations being commissioned.

- Meeting business needs is particularly important for Multilateral Development Banks (MDBs) like EBRD that are required to respond to the private sector priorities, which in turn need to respond to fast-paced change. The "evaluation lag" is considered to be a barrier to informing decision making, specifically in this sector. Assessing the performance of programmes that began more than five years ago is considered to add limited value to present day decision making. EBRD has taken a proactive approach to ensuring that its strategic evaluations are driven by business needs. The unit stays informed of the agenda of the Board of Directors and produces information that will support decisions that are likely to be taken, thereby affirming the value of the evidence base. Where possible, the Evaluation Unit aligns its evaluation programme with management priorities during the planning period, *anticipating* evidence needs. For example, the Evaluation Unit undertook a special study titled "The EBRD's experience in policy dialogue in Ukraine" in anticipation of the EBRD's enhanced policy framework with Ukraine. The review provided the Policy Department with learning points that fed into future programming (Kukula, K.).

In general, planning of evaluation work is closely related to operations and both evaluations and operational planning are becoming increasingly integrated. A significant number of members describe evaluation planning as being synchronised with overall organisational priorities. Decisions on whether evaluations are to be performed for decentralised interventions depend on such criteria as investment thresholds and specific needs to provide, develop or improve an evidence-base.

Ensuring quality

Peer reviews of evaluation systems and units in development organisations underline the importance of evaluation quality, often quoted in conjunction with "credibility". Through the DAC, each member country is peer reviewed every four to five years with the objective to improve the quality and effectiveness of development co-operation policies and systems. Within the last five years, 86% of the member countries have been peer reviewed. Yet, among the respondents to the survey, only 52% replied that an external review of the evaluation function has been carried out in the last five years. This difference is perhaps explained by the fact that the evaluation function is only an element of the DAC peer review, and therefore perceived not to be an in-depth review of the evaluation function. Different mechanisms have been devised to ensure not only the methodological rigour of evaluations, but also the ethics and independence of their processes. Such mechanisms have evolved over time and are now generally within the remit of evaluation units.

Quality of the process and outputs

The DAC Quality Standards for Development Evaluation describe the basic characteristics of a quality evaluation process and report (OECD, 2010a). Evaluation reports should provide a transparent description of the methodological approach, assumptions made, data gaps and any weaknesses in the report to allow the reader to make an informed judgment of its quality. Systematic quality checks are often put in place by EvalNet members to review terms of reference, evaluation methodologies, draft reports and final reports against the DAC standards, to avoid that the quality of the project outputs are affected by a poorly designed evaluation or unclear or overly ambitious terms of reference. Guidelines and templates guide staff in the elaboration of Terms of Reference (ToR) for evaluations, in the briefing of experts and the editing of evaluation reports.

As evidenced in the member profiles and through interviews, several evaluation units underline that quality assurance is the responsibility of the contracted evaluation team, based on standards and clear quality criteria that must be laid out in the technical bid, and with a request to attach a quality assurance report to the evaluation report. These evaluation units subsequently perform the quality control. Quality control checklists are aimed at standardising and formalising practices when reviewing evaluation deliverables. In the AFD Evaluation Unit, quality control starts with a quality-at-entry grid that ensures the evaluability of the project to be evaluated, the soundness of the ToR, the methodological approach and the participation of the right experts in the Reference Group.

The Evaluation Unit in the European Commission ensures that external evaluators know the criteria on which their report will be assessed from the start, as the main quality criteria are set out in the terms of reference in the form of a quality grid. In accordance with the "Better Regulation Guidelines", it is the joint responsibility of the specific steering group and the evaluation manager to assess the work of evaluators during the process and to fill in this grid. Similarly, the French AFD and Portuguese Camões, I.P. also use a grid or matrix to assess the quality of the evaluation product. AFD fills in an overall quality assessment form and sends it to the external evaluation team at the end of each evaluation. Standards/benchmarks are used to assess and improve the quality of evaluation reports.

In 2012, the World Bank Group developed new quality standards to improve approach papers for evaluations. One year later, further improvements were made by clarifying the roles and responsibilities, developing guidelines on the use of advisory panel experts, and introducing a "quality enhancement review" process with guidance materials for better methodologies. The Annual Report 2014 notes that a more comprehensive quality assurance framework has been put in place, which includes a new process for selection and prioritisation of the work programme, and new quality standards for evaluation reports (reviewed by the management and external peer reviewers) (World Bank, 2014).

The IEG work programme 2016-18 includes continual improvements in evaluation methodology and quality assurance. The quality assurance framework thus includes a refined process for the selection and prioritisation of evaluations for inclusion in the work programme, new quality standards for approach papers, and "Stop Reviews" of evaluation reports. "After Action Reviews" have been introduced allowing IEG staff to have a structured debriefing to analyse what happened, why, and how the work could have been done better.

In general, the quality of evaluation implementation is assessed throughout the process. For example, in the Netherlands, IOB has a quality control system which includes internal peer reviewers and reference groups. The IOB evaluator chooses, in consultation with the IOB Director, which experts are to act as internal peer reviewers. The reference groups are partly external, consisting of representatives of policy departments involved in the evaluation, organisations and/or local bodies, and external experts. Each reference group is chaired by IOB management and meets at key points during the process, for example to discuss the draft terms of reference, interim reports and the draft final report.

Involvement of bodies, committees, advisors to oversee quality

The incidence of quality assurance mechanisms is reported to have increased in recent years and their character has diversified. They include the introduction of advisory bodies, committees or special advisors. For example, in 2010, the Belgian Development Cooperation merged what previously were separate quality and evaluation functions, but the results-based evaluation culture only improved when in 2012, a new internal quality control office was introduced in the Directorate General for Development Cooperation.[2]

In the World Bank Group, the Committee on Development Effectiveness (CODE) oversees the adequacy, efficiency and robustness of the World Bank Group monitoring and evaluation systems (including each member institution's self-monitoring and evaluation, and relevant IEG unit's evaluation structures and methodologies). IEG is also creating a new position of a Methods Advisor to enhance the quality and credibility of IEG evaluation work.

The Evaluation Unit in DEVCO works with the specific steering groups to provide comments and feedback throughout the different phases of implementation of the evaluation (inception, desk reviews, field mission, synthesis, etc.). In the UNDP, an International Evaluation Advisory Panel (IEAP) was appointed by the Evaluation Department to provide periodic advice on evaluation strategies, plans, methodologies and deliverables. The panel consists of evaluation experts and scholars from different spheres of knowledge from around the world, whose advice and reviews are requested on an ad hoc basis. Depending on the type of evaluation to be performed, an advisor from the panel whose expertise corresponds to the evaluation will be invited to participate.

In contrast to these larger organisations, the evaluation function of the Czech Ministry of Foreign Affairs relies on specific reference groups that are set up for each evaluation. They are composed of representatives from the Ministry of Foreign Affairs and the Czech Development Agency, and experts from other ministries. To provide relevant evaluation expertise to the quality assurance function, an independent expert on evaluation methodology from the Czech Evaluation Society is invited to participate.

Decentralisation and quality

From the interviews, it is clear that ensuring the consistency and rigour of decentralised evaluations is considered to be challenging, although decentralised evaluations are considered to be positive for enhancing ownership and the uptake of learning. Central evaluation units, as confirmed in the course of the survey and interviews, provide a broad range of support to operations units. They give input to different parts of the evaluation process, such as training and advice, review the terms of reference for the evaluation, as well as engagement work throughout the process. Support is provided to build the evaluation capacity of decentralised operations, provide quality control and assurance, and validate findings.

Some agencies incorporate quality assurance support throughout the process. The Evaluation Department at DFID has the ultimate responsibility for quality assurance. However, DFID has recognised the need for the decentralised units to be able to request assistance to address specific needs. In addition to the assistance from the professional Evaluation Advisers that are posted to country offices, the Specialist Evaluation and Quality Assurance Service (SEQAS), a service external to DFID, is accessible to operational staff throughout the evaluation process, from the definition of terms of reference to the production and assessment of reports. During the reform of the DFID structure to decentralise project/programme evaluations, country offices and operations units were provided with capacity building to enable them to manage evaluations. The challenge has since been to maintain this expertise despite staff turnover, particularly in country offices.

Likewise, DFAT Australia undertakes a review of operational evaluations every two years that assesses decentralised evaluations against DFAT's monitoring and evaluation standards. The review provides DFAT with recommendations for improving decentralised evaluations and identifying good practice examples of terms of reference, evaluation plans and evaluation reports. DFAT provides professional evaluation staff from the ODE

to lead or participate in a small number of decentralised evaluations each year in order to demonstrate how to undertake a high quality evaluation process from initial planning through to dissemination of findings.

In the case of MFAT in New Zealand, a member of the evaluation unit provides support to activities or programme managers throughout the evaluation process. This arrangement was considered by operations staff to be effective for improving the quality of evaluations, specifically in terms of critically reviewing the deliverables produced by external consultants, particularly when the operations staff do not necessarily have technical evaluation experience.

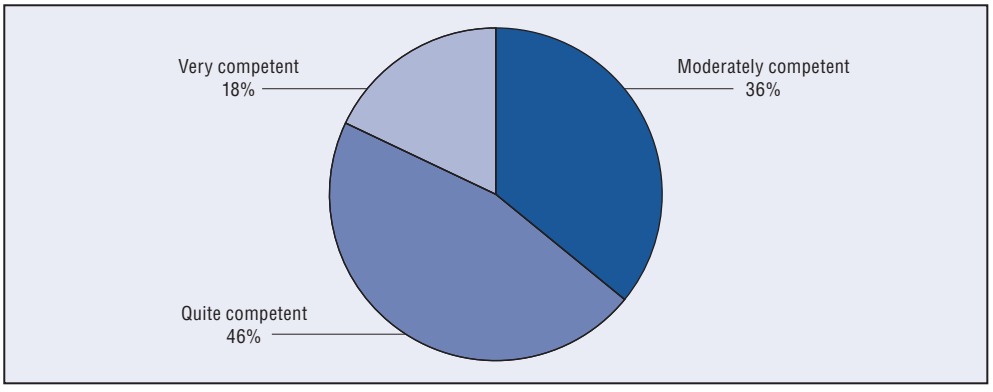
The EBRD focuses on building the capacity of operational staff to conduct self-evaluations. Those who are new to the organisation receive training in self-evaluation and in the internal computerised workflow system. In case of outsourced evaluations, external experts are invited to "practical training sessions" to get an understanding of EBRD's evaluation system and the Bank's needs and activities.

The DAC peer review of the UNDP from 2012 indicates that UN agencies emphasise the need for capacity building and development of relevant national capacity because of the extensive decentralisation of their operations. However, the lack of independence of decentralised evaluations and rather poor quality of the evaluation work impact on the credibility of evaluation results. Despite this, the Independent Evaluation Office scores high in comparison to other UN entities due to its implementation of the policies and systems for decentralised evaluation, including quality assurance mechanisms.

Outsourcing evaluations and the implications for quality

The practice of outsourcing evaluations responds to the need for evaluation competence and evaluation independence. Two thirds of member agencies outsource more than 75% of their evaluations. As illustrated below (Figure 3.5), although over 60% of respondents find that the evaluators are very competent or quite competent, 37% of respondents rated the experts as moderately competent. This may indicate a possible skills deficit affecting the quality of evaluations. Concerns were raised during the interviews regarding the availability of experts with the right combination of expertise to be able to make a qualified assessment and provide pragmatic, relevant, culturally and politically appropriate recommendations.

Figure 3.5. **Respondents' perception of external expert competence**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The context or type of programme or project to be evaluated was considered to be a key element in determining whether experts have the relevant competencies for the specific evaluation assignments. Experts in evaluation are not necessarily experts in all subjects or geographic areas that may be covered when a programme or project is being evaluated. DFID, for example, is actively seeking to ensure that there is a more significant regional/local input in evaluation teams. Likewise, an interview with Danida indicated that although external consultants may appear to possess the relevant technical skills and experience, the lack of country-specific or context-specific knowledge may result in failure to provide a quality assessment.

As mentioned, external evaluators are also commissioned by evaluation units for the independence of their views: given that they do not belong to the commissioning organisations, they should be free of conflicts of interest and of any influence or control from the organisation and/or the people they evaluate. The survey confirms this as only 5% of respondents considered external experts to be lacking in independence.[3]

In summary, member organisations have set up structures to assess the quality of the evaluation outputs, using advisory bodies, steering committees, reference groups, and special advisors to varying degrees to oversee the work and the process. Standards and guidelines have been defined by all members to ensure that reports include the required sections and the content corresponds to certain quality standards. The quality of the implementation of the evaluation is strongly influenced by the evaluator's capacity and knowledge, derived from their education, past evaluation experience, the subject of the intervention, and, most importantly, local knowledge of politics, institutional setup, culture, and traditions. When decentralised evaluations are carried out, it can be challenging to ensure consistency and rigour, but central evaluation units confirm that they provide a variety of support mechanisms to operations units, from providing input to specific milestones in the evaluation process to engagement throughout the process. Capacity building of operations units to manage evaluations is considered to facilitate the improvement of quality, although staff turnover does pose a risk.

Supplementary evaluation tools

Evaluability assessments, ex-ante evaluations and self-evaluation are tools that are less commonly used but form an important element of the policy of some EvalNet members. Evaluability assessments determine at an early stage whether an intervention can be evaluated in a reliable and credible fashion (OECD, 2010b). Ex-ante evaluations are carried out during the planning stage of an intervention. Self-evaluation is a critical review of project/programme performance by the operations team in charge of the intervention.

Evaluability assessments

Evaluability assessments go beyond providing information as to whether a programme can be evaluated. They are also used to describe the objectives, logic and activities of the programme to investigate its credibility, feasibility, sustainability and acceptability. Evaluability assessments are not performed by all development organisations; the results of the survey indicate that 12 out of the 46 EvalNet respondent organisations conduct these assessments. For some members, the evaluability assessments are carried out by operations staff rather than evaluation units.

A number of organisations primarily use evaluability during the preparatory phase of a project or programme. For example, the Inter-American Development Bank (IADB) employs a results matrix and evaluability scores at the approval stage that are validated by the evaluation unit. Whereas MCC assesses the evaluability of projects during the project design stage, ensuring that projects can be evaluated according to applicable methods using indicators for outputs, outcomes, results. Evaluation units of other agencies provide advice and support for project preparation by supporting the design of baselines. Only occasionally do members report being involved in enhancing evaluability during the project cycle. One bilateral agency indicated that evaluation staff do not have the mandate for contributing to projects' evaluability.

Although evaluability assessments are not practiced by all member organisations, a number of members are improving programme design by introducing the theory of change to operations staff, such as EBRD, Danida and IOB. Danida has strengthened its focus on *evaluability* over recent years, incorporating theories of change during the planning phase of development interventions. These enhanced programming exercises play an important role for better evaluations and provide the basis for learning from experience. For this reason, the evaluation unit is training operational staff in charge of designing the programmes in defining theories of change.

Interestingly, UNDP states that the evaluation unit is "no longer involved in programme/project appraisal or other possible junctures of decision-making at which 'evaluability' could be strengthened." The reasoning behind this is that engaging in evaluability is considered to compromise the evaluator and could give rise to a conflict of interests. The Director General of IEG provides a similar view, suggesting that the evaluability of projects and programmes during the preparation phase is the responsibility of the management.

By contrast, in French agencies, it is the evaluation units that are vested with undertaking evaluability assessments. Each year, AFD provides support to 10 to 15 projects in order to strengthen their evaluability. During the project preparation phase, staff from the Evaluation and Capitalization Unit review logical frameworks and indicators to ensure that the projects will be evaluable at completion.

There is no doubt that evaluability assessments are considered a valuable and potentially powerful tool in assisting agencies in developing robust sets of indicators and a well thought through theory of change. The views about the role of the evaluation unit in undertaking evaluability assessments and the implications for independence during subsequent evaluations are divided. Evaluability assessments may evolve as a tool that could be handled by both the evaluation function and operations.

Ex-ante evaluations

There are various forms of pre-assessment: ex-ante evaluation, appraisal and assessment. An ex-ante evaluation is "an evaluation that is performed before the implementation of a development intervention" (OECD, 2010b). However, the approach and methodology of ex-ante evaluations, and their use differ widely.

The survey indicates that only six out of 46 members have conducted ex-ante evaluations in the past five years. JICA and KOICA have conducted 162 and 200 ex-ante evaluations respectively. For JICA, ex-ante evaluations are an integral part of the PDCA (Plan, Do, Check, and Action) cycle of operational evaluations, with the purpose of establishing project documents, which include the log frame/project design matrix and an ex-ante evaluation table. JICA allows for cases where ex-ante evaluations are implemented in a simplified form, without necessarily dispatching an ex-ante evaluation study team (i.e. a desk-based assessment is made within JICA).

A recent EU discussion paper established the usefulness of ex-ante evaluations when measures have an effect at the organisational level (European Commission, 2014a).[4] The EU judges ex-ante evaluations to be a powerful tool when they are integrated with knowledge management and other features of learning organisations rendering organisations more efficient, effective and relevant. Ex-ante evaluations are considered to be crucial for planned programmes and their results should feed into programme design and policy formulation (European Commission, 2014b).[5] By including it as part of the cycle of learning, the process of ex-ante evaluations plays a key role in bringing different stakeholders together to define programmes and identify needs and potential impacts.

Danida incorporates a joint appraisal of country programmes before they are approved. The main purpose of the appraisal is to provide quality assurance of the programme design at all levels, thereby laying the foundation for funding decisions by the granting authority (Danida, 2015). In other words, the so-called appraisal, being part of the agency's knowledge management framework, is a type of ex-ante evaluation.[6]

On the other hand, as ex-ante evaluations are an additional exercise, they may place a resource burden on organisations that are already resource constrained, particularly smaller organisations. To the World Bank Group, ex-ante evaluations delay significantly the launch of policies or programmes; they pose a threat to independence and conflicts of interests; they instead promote "transformational engagement", that cannot always be predicted during an ex-ante evaluation (IEG, 2016).

In summary, ex-ante evaluations are performed using different methodologies, levels of complexity and for different purposes. The count of ex-ante evaluations is higher when appraisals of interventions are included. Ex-ante instruments are considered to represent good practice for detailed planning and co-ordination of stakeholders. However, there are concerns that evaluators lose their objectivity by engaging in project or programme preparatory activities and that the value of the insights may not outweigh the burden. Finally, ex-ante evaluation can be costly, and not all EvalNet members have the resources to add the instrument to their suite of tools.

Self-evaluation

Self-evaluation is "an evaluation by those who are entrusted with the design and delivery of a development intervention" (OECD, 2010b). In practice, self-evaluations are carried out by operations staff who are responsible for their projects and programmes. When evaluation units do not have the means to evaluate all operational activities, self-evaluation mechanisms provide additional information on a greater number of projects. These mechanisms further promote the practices of self-examination and lessons learning by development practitioners. Where self-evaluations are carried out in operational departments, adequate mechanisms need to be defined for validation by evaluation departments if self-evaluation is to have some legitimacy and credibility. Self-evaluation could thus be a valuable tool to enhance evaluation use for learning but it requires supportive organisational contexts, structures and processes (Taut, 2007).

The survey results show that all multilateral organisations except the EU and the EIB have a self-evaluation system with validation performed by central evaluation units. But only seven bilateral agencies use this system (the Czech Development Agency, DFAT, DFID, ECDF, GIZ, KOICA and New Zealand). ODE undertakes an annual spot-check of a random sample of DFAT Australia's self-evaluation reports (aid quality checks). The spot check assesses the robustness of the ratings against several DAC quality criteria.

The IEG World Bank has a long standing history of validating self-evaluations which are undertaken by all Bank Group institutions – World Bank, International Finance Corporation (IFC), and the Multilateral Investment Guarantee Agency (MIGA) - and are conducted at project, programme, and country levels. The purpose of such self-evaluation systems is to foster organisational learning, inform management action, and ensure accountability of results and performance. In turn, IEG's validations (or desk reviews) of certain outputs from the self-evaluation system feed into corporate "scorecards", "dashboards", and other systems. They also provide foundation level material for larger scale evaluations. Due to a general lack of confidence in the objectivity of self-evaluations, the World Bank self-evaluation system incorporates independent validation. The project team submits a completion report, which includes self-ratings of outcomes, Bank performance, and other dimensions of project experience. The IEG does a desk review of the completion report and, in about a third of the cases, downgrades the outcome rating (only 2% of outcome ratings are upgraded).

EBRD has invested heavily in improving self-evaluations and the validation process for self-evaluation reports to ensure the rigour and credibility of evaluation findings. Approximately 50% of self-evaluation reports are selected for in-depth validation. This effectively requires the Evaluation Department to independently assess project performance. The deviation of the assessment scores between the self-evaluator and the Evaluation Department is monitored and efforts have been made to reduce this gap. The remaining 50% of self-evaluations go through a more basic review/quality check process.

Based on responses to the questionnaire, for those organisations for which it is accepted that self-evaluations are a legitimate tool, validation is considered to be necessary. However, several respondents mentioned that validation cannot be rigorous as the validation is based on project reports. As self-evaluations are considered to be an additional activity rather than a replacement for other evaluation tools, members raised concerns about the resource burden they would place on their organisations.

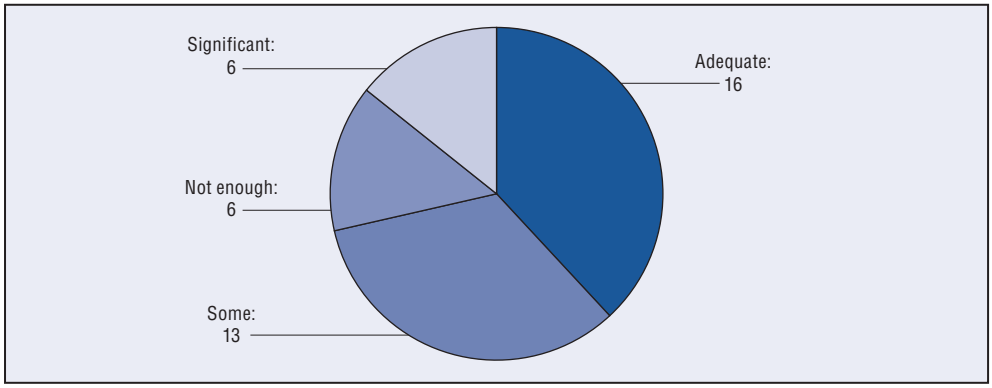
Addressing capacity constraints

Capacity development covers a range of training and support functions, depending on the strategy of organisations. To steadily improve and maintain a high level of quality of evaluations, evaluation systems incorporate knowledge and skills improvement of staff within evaluation units, of evaluation experts for all types of evaluations, as well as at enhancing understanding of operations' staff and partners. The review discussed two sets of measures, one related to capacity building within agencies and the other to the professionalisation of the evaluation industry/business.

Capacity development within EvalNet member organisations

Over 88% of respondents from 35 bilateral agencies confirmed that development of capacity is within the remit of the evaluation unit. The perception of skills of evaluation staff offers a mixed picture. The survey indicates that 22 agencies report that staff have significant or adequate knowledge and skills for evaluating cross-cutting issues, 19 agencies report that staff have either some knowledge or insufficient knowledge (as shown in Figure 3.6). This should be taken as an indication that further investigations are required to understand better the perceived lack of skills and knowledge related to crosscutting issues.

Figure 3.6. **Adequacy of knowledge and skills for evaluating crosscutting issues - gender, environment, and human rights**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

Several central evaluation units mention the provision of general support, technical assistance and training to decentralised units, amongst them the US Department of State, USAID, DFID, and EU. Less than half of the multilateral organisations respondents take on this responsibility. The DFID Evaluation Unit reported that it provided training to all staff in priority country offices to ensure a basis of knowledge to manage and oversee evaluations. Professional evaluation advisers provide support on an ongoing basis. In EBRD and Danida, capacity is being built in developing a robust results management framework, tied in with organisational monitoring requirements. In both institutions, capacity building is being provided to operations teams in developing theories of change and results frameworks for supported interventions, which has also improved the design of evaluations.

For project (activities) evaluations, MFAT New Zealand relies on the specific activity manager to oversee and manage the evaluation, with the support of an evaluation adviser throughout the process. This has proven to be effective in building capacity, while ensuring that a high standard of evaluation is undertaken.

There is a growing prevalence of online tools that are being used to support capacity building in the form of:

- Networks - DFID and the EU established networks for evaluations advisers/correspondents and operations managers to share information and discuss challenges.
- Websites – guidance materials are available on most intranet sites. DEVCO, EU uses the Capacity4Dev conduit, a knowledge sharing platform, to share information both internally and externally.
- Helpdesk – DEVCO will establish an online help desk that programme managers can access to obtain advice and opinions.

Despite the general recognition that building the capacity of operations staff is beneficial to the quality and credibility of evaluations, capacity development is not always considered to be a priority for operations staff due to the internal incentive structures. Staff performance criteria in the World Bank are based on the efficient preparation and implementation of projects/programmes, and there is little incentive for evaluation training or for learning from evaluations. IEG has launched a new learning and knowledge sharing product line, which is beginning to gain traction with operations staff.

DFID mentioned that a significant challenge in sustaining internal capacity is the high staff turnover of evaluation staff or those that have had their capacity built. In addition, staff overseeing decentralised evaluations are often not dedicated evaluation staff, experienced in performing or managing evaluations. The same individual has a number of roles; undergoing a continuous process of learning signifies an extra effort and strain.

The varying degree of quality of evaluators and staff raised questions as to which extent the professionalisation of the evaluation discipline, as covered by accreditation or similar schemes, could add to promoting the standards of human resources and the quality of evaluation, both for in-house and outsourced services. Over two-thirds of survey respondents do not find that the professionalisation and a system of accreditation would lead to the recruitment of more competent internal evaluation staff. Only five out of the 45 respondents expressed an interest in engaging in an external designation or accreditation scheme for the staff of the Evaluation Unit, and few internal staff have participated in external accreditation schemes. In fact, achieving accreditation is considered to be a secondary attribute to ensuring quality and rigour, and thereby legitimacy of evaluation. According to respondents, being accredited does not necessarily guarantee quality; experience is considered to be more important.

However, for some organisations, professionalisation remains an important objective, including for DFID and IEG. DFID has implemented an internal accreditation scheme, currently a professional cadre of 167 accredited staff on three levels of evaluation competence/experience up to the level of Evaluation Manager. For the World Bank Group, IEG has worked with management to establish a new Result Measurement and Evidence Stream (RMES), forming the basis of developing the professional cadre to incorporate talent, knowledge, innovations, standards and operational solutions for measuring and evaluating results throughout the WBG. IEG is also advocating professionalisation through the introduction of new evaluation competencies to be used for recruitment and professional development. It is scaling up in-house mentoring, coaching, and professional training on core evaluation skills and new methodological developments in the profession.

Capacity building support in partner countries

To improve partner countries' accountability and overall development effectiveness, capacity development is crucial, as defined and agreed in the Paris Declaration (2005) and BUSAN Partnership (2011). Evaluation processes are considered to be an opportunity to engage with partners with a view to making use of partner systems and addressing harmonisation and alignment. DEval for example plans to promote evaluation capacity development in partner countries and to build strategic partnerships with academic, research and other organisations. IOB stated that it aims to work closely with, preferably also conducting evaluations with, ministries and research institutes in partner countries. Based on the feedback from the interviews, specific country experience enhances the quality of the evaluation, while at the same time encouraging support for evaluations, acceptance of results and capacity building. Despite this general agreement, only half (20 out of 42) of the members responded that they provide capacity building related to the function of evaluation with partner country stakeholders.

In brief, capacity development in evaluation is an important task for evaluation units. The continuing shortcomings in staff skills and competence related to evaluation are being reported within member organisations primarily at decentralised levels, and in partner countries. Improving the skills base remains a challenge due to staff turnover, but also due to the lower priority given to evaluations over operations. Only a few agencies make use of the professionalisation of the evaluation discipline. Capacity building of partner organisations is not being provided broadly.

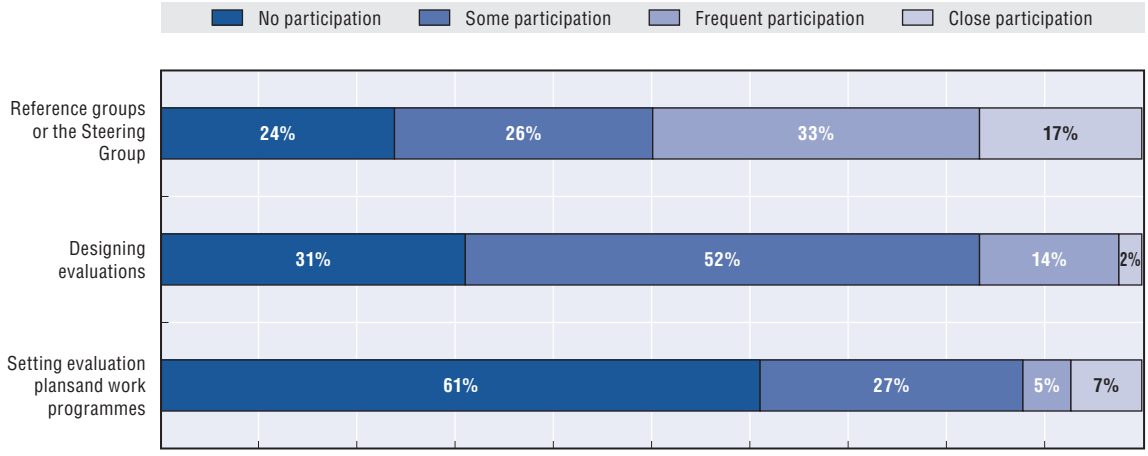
Participation and donor co-ordination

As for international co-operation as a whole, the principles of participation and co-ordination increase effectiveness and credibility in the long run. The review looked at how EvalNet members are enhancing stakeholder participation and increasing the number of joint evaluations in the interests of boosting partner engagement and ownership.

Stakeholder participation

The OECD, the Evaluation Cooperation Group and the United Nation Evaluation Group, among others, promote stakeholder participation, a basic evaluation principle of the Paris Declaration that encourages independence and transparency of the evaluation process. Despite the recognition in the development community that stakeholder participation helps to develop sustainability, evaluation ownership and mutual accountability, only a small number of agencies confirm that frequent or close stakeholder participation is encouraged during the evaluation planning and design phases (12% and 16% respectively); while half of EvalNet members encourage partner participation in reference or steering groups.

Figure 3.7. **Extent of participation of partners and stakeholders in evaluation activities**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

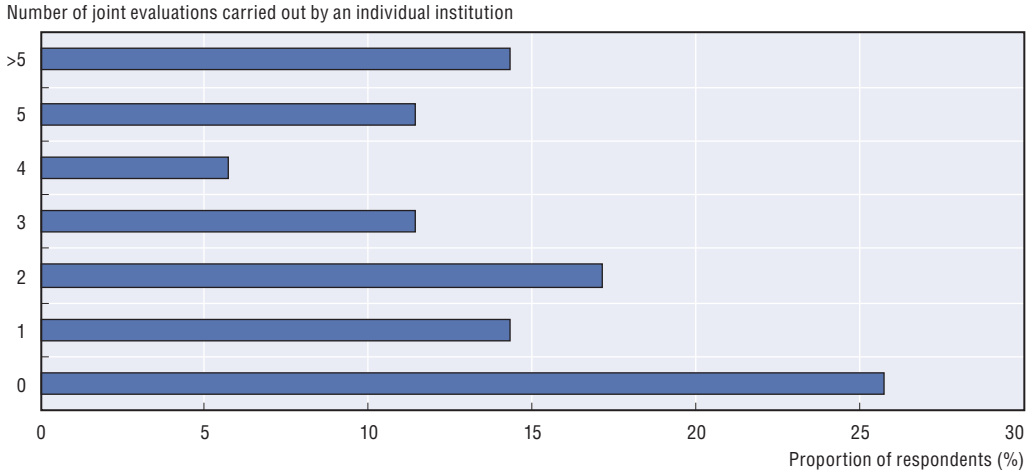
MFAT New Zealand works in regions with significant cultural diversity, which has instilled a strong focus on participation in evaluation. The selection process for independent evaluation service providers incorporates cultural knowledge, skills and competencies, as well as country and sectoral expertise. MFAT New Zealand considers this to be vital to ensuring mutual understanding, facilitating communication, allowing partner voices to be heard and captured, and obtaining a more representative interpretation of findings. Partners participate in evaluation steering committees, engaging in the preparation of terms of reference, the design of the evaluation, and in the development of management responses to recommendations. This is simplified where the partner country has a clearly defined structure for managing development assistance, such as a ministry responsible for donor co-ordination, and can apply the findings of the evaluations across donor-supported programmes.

On the other hand, there are examples of very limited stakeholder participation, as is the case for evaluations commissioned by the World Bank/IEG. There is always some consultation, but usually during the last phases of the evaluations. Participation is mostly left at the lead evaluator's discretion.

Joint evaluations

During the past five years, survey respondents reported a total of 120 joint evaluations (2% of the total). Of these, 15 were performed by multilateral organisations, and 27 were implemented by the EDCF in Korea. Figure 3.8 shows the number of joint evaluation undertaken by the responding members. Only five EvalNet member organisations have carried out more than five joint evaluations during the past five years. They are most often undertaken in collaboration with other bilateral agencies and multilateral organisations.

Figure 3.8. **Number of joint evaluations conducted over the last five years**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The benefits of undertaking joint evaluations are recognised by a number of respondents who value the opportunity to put the evaluation in context for reciprocal learning, increased credibility and legitimacy, greater cost-effectiveness, and reduced transaction costs for evaluands (OECD, 2005). This joint exercise can contribute to mutual trust and reinforce the position of evaluation in partner organisations. Notwithstanding obvious benefits, there are reported to be considerable obstacles to launching joint evaluations, mostly due to delays caused by the misalignment of donor evaluation systems. A respondent mentioned that the maturity of evaluation systems and practices plays an important role in promoting joint and collaborative evaluations, especially with partner countries. Multi donor and multi instruments interventions make the evaluation more complex. According to DFID's evaluation guidelines, the most important element of joint evaluations is that the strategic priorities and objectives of the evaluation need to be aligned and the joint evaluation partners need to be able to minimise their specific evaluation requirements (DFID, 2005). Feedback was received that this was not the case in practice and therefore was discouraging for some institutions.

Danida emphasised that joint evaluations are practical if the specific programme is jointly support. If different sectors and programmes of support are subject to the joint evaluation, there must be clear inter-linkages between them. Similarly, the EU sees joint evaluations as a natural extension of joint programming. However the management of joint evaluations and the formulation of consistent and coherent joint management responses have proven to be a challenge.

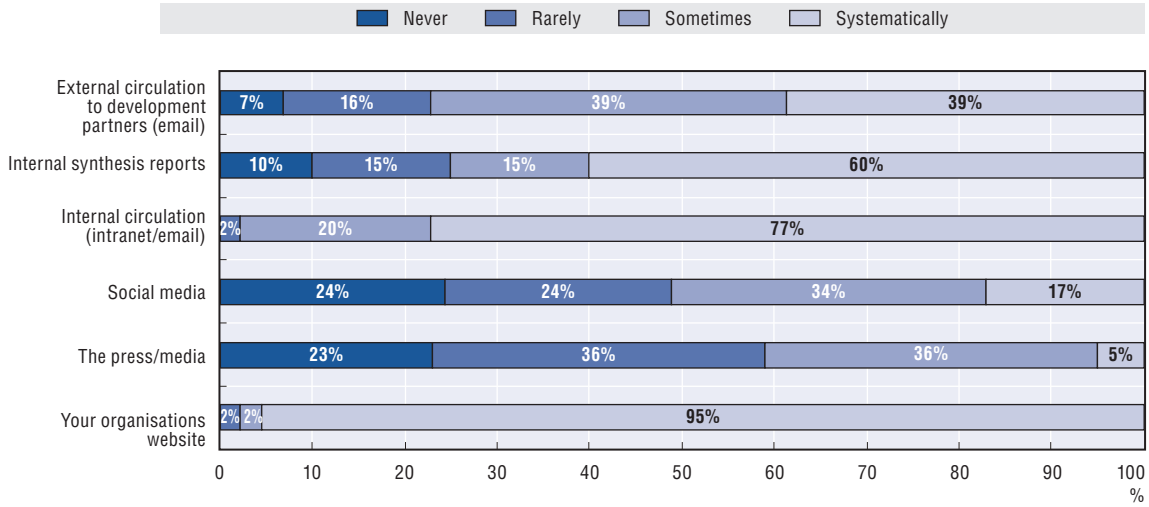
DFAT Australia considers joint evaluation as a valuable approach to encourage the sharing of learning across partners and to avoid overburdening partner governments and beneficiaries with multiple evaluation processes. Joint or partner-led evaluations are encouraged for co-financed or partner-implemented initiatives. A recent report produced by DFAT Australia, the "Quality of Australian Aid Operational Evaluations 2014" (ODE, 2014) states that: "Overall, the quality of evaluations managed wholly by Australian aid staff was found to be at least as good as that of joint evaluations led by partners, and this was generally achieved with fewer resources".

As to participation and joint evaluation in general, the conclusion may be drawn that members are strongly convinced that participation and sharing is an integral part of the success of evaluation work in the long run. There are, however, considerable hindrances to bringing about effective and regular co-operation, linked to differences in systems and cultures, and also difficulties to overcome them operationally.

Dissemination

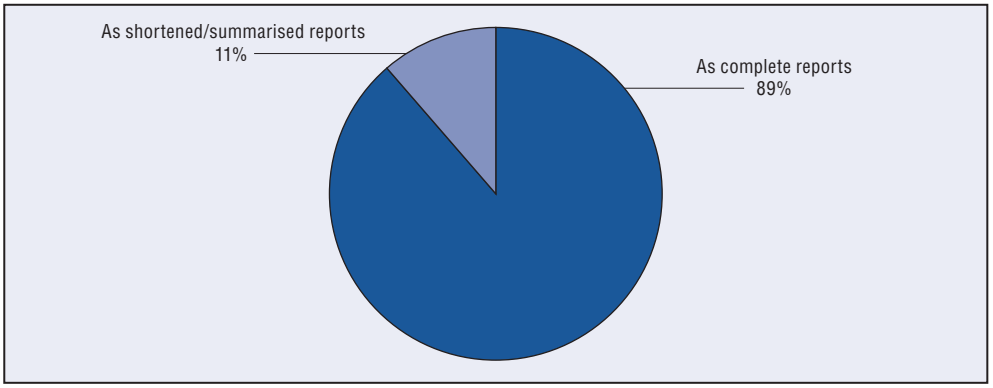
The dissemination of information is becoming increasingly open and transparent. All members, according to the survey, publish the findings and recommendations of the evaluation reports on their organisations' website, the large majority of which in their complete version. Eleven percent of members make them available as summaries. In addition, member organisations have begun to use social media to a limited extent for external publication. For internal circulation, the bulk of information is disseminated via email and intranet.

Figure 3.9. **Dissemination of evaluation reports**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

Figure 3.10. **Findings and recommendations publicly available on organisation websites**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

The majority of member organisations confirm in the survey that they always or often share evaluation reports with partners. Only a small minority (three members) reply that they never share their evaluation reports with partners. In general, local operations units share decentralised evaluations. Centralised evaluations are broadly shared through seminars or in summary reports that can be distributed through operational units.

A 2014 analysis of how evaluations of the EVAL department of the Danish Ministry of Foreign Affairs were used, pointed out that "user-friendly reports and communications will increase their use" (InVirke and Publikum, 2014). Over half of both internal and external users stated that they would use evaluations more frequently if reports were easier to read and to understand. Well-written summaries are the main tool to ensure that findings, conclusions and results from the evaluations are used internally and communicated. Another finding was that the overview and web search function must be improved, but hard copies of the main reports are not essential. The 2016 *Evaluation Policy for Danish Development Cooperation* accordingly stated that communication will be targeted towards different audiences – users, stakeholders, the public in Denmark and in developing countries - using different forms of communication (e.g. seminars) and modes of communication, including social media (Danida, 2016). The survey responses show that several members use various targeted means, to further simplify the publishing of the full report on the organisations' website. "Websites contribute to transparency and make it easy to have all the reports and related documents together. Workshops and public presentations are very useful, since many people don't read the reports or even the summaries". The quality and readability (length) of evaluation reports may be a factor in discouraging the assimilation of information. An encompassing dissemination strategy will take account of the different interests/information requirements of different stakeholders affected by an evaluation. Several other respondents further this belief and a suggestion from one respondent is to use a combination of "external synthesis, workshops, and presentations in different forum, along with external policy briefs, academic papers (if appropriate), training & dissemination workshops".

One organisation replies that they have developed prototypes for communication (infographics, videos, two-pagers, etc.) that are being piloted at the moment to distil evaluation evidence into shorter, easily accessible formats. Several respondents to the

survey underline the growing importance of social media, and recognise the need to use this, although some underline that it is most effective to present evaluation findings for the public on the organisation's website.

The importance of participation for disseminating results, such as technical reviews with the participation of other agencies and academics is highlighted by some respondents. A survey respondent stated "The most effective way to communicate is to identify intended use for intended users and to involve them in the evaluations process." Meetings, workshops, and direct personal contact are mentioned by almost 15% of the survey respondents as useful means of dissemination. They take the form of regular evaluation forums, talks at conferences, capitalisation workshops both at the headquarters and in the partner country or countries.

The above-mentioned feedback also reveals some challenges in disseminating information and putting it into practice. Some survey respondents note that the absorption capacity of the target audiences affects their ability to take on board the knowledge and to implement recommendations, due to many competing priorities and the volume of information being produced. The audiences' perception of the relevance of the topic or the members' resources to properly present report findings also affect dissemination.

Therefore, dissemination is not simply a matter of transparency and evaluation policy requirements for publication. The interviews and the survey responses underline that the timely use of the evaluation findings and recommendations is so important that there is a need to give more thought to the purpose of disseminating information and the most appropriate means to ensure that the information is conveyed and absorbed, rather than simply posting the full publication on the organisations' websites. The various target groups must be defined, along with their need for and use of the information, and how and when they should receive this information, in order to target the audience with the right product. As suggested by a survey respondent: "Each evaluation should have a specific communication plan". The media suggested to be more effective to foster increased assimilation of evaluations include social media, workshops and in-person meetings with the key stakeholders, video-taped outreach events.

Evaluation use and demand

The greatest challenge in evaluation is ensuring that the results of the evaluation activities are used in future programming, as a means of achieving development outcomes and objectives more effectively. This section considers some of the drivers that encourage evaluation use and demand, as well as the ways in which organisations are sharing this information.

Management response and follow-up

The success of the use of management response and follow-up systems is mixed. Of the organisations that responded to the survey, 78% (36 out of 46) have a formalised management response system. Just over 88% of these 36 institutions have a follow-up procedure to monitor the implementation of accepted evaluation recommendations, the majority (77%) of which consider their management response system and follow-up to be adequate. About 60% of all surveyed institutions routinely make management responses publicly available.

The procedures for developing recommendations, formulation of the management response and implementing actions vary between organisations. However, feedback from operations staff underlined the importance of the timing of evaluations, as well as the pragmatism and feasibility of the recommendations put forward. In order to increase the adoption and implementation of recommendations and to improve performance, several agencies have introduced sessions or workshops, involving evaluators, managers and implementing units to discuss recommendations and shape them to ensure they are implementable and practical. This process is valuable for fostering a shared understanding and common ownership for implementation.

MFAT New Zealand has introduced a session that takes place between the external evaluation providers and senior managers to help formulate a collective response to strategic evaluation findings, conclusions, lessons learned and recommendations. The support of the evaluation function by the Deputy Secretary for International Development within MFAT adds legitimacy to these recommendations.

The AFD has adopted a similar procedure whereby recommendations from evaluations are discussed in workshops, attended by the AFD, the specific evaluation committee, and the consultants who carried out the evaluation. The uptake of evaluation recommendations is not compulsory, and there is no verification whether recommendations have been implemented. In the French Treasury, a mechanism to monitor the implementation of follow-up actions for recommendations has been endorsed by the administration and is being used. At DFAT Australia, ODE encourages buy-in, early participation, and agreement on evaluation recommendations by closely involving the implementing units in the Department throughout key stages of the evaluation but particularly through a 'recommendations workshop'.

Senior management at Danida, led by the State Secretary for Development Policy, shows a strong interest in evaluations and discusses proposals for evaluation work plans in collaboration with the EVAL. The State Secretary participates in the follow-up meetings that are held after each evaluation to discuss whether the recommendations are being implemented.

Multilateral organisations have elaborated rigorous mechanisms for tracking implementation of recommendations: their tracking systems consist of reporting on progress against action plans in their annual report for accountability purposes. Management responses are thus public as annual reports are published on the organisation's websites. The World Bank Group created the Management Action Record (MAR) database to enhance the impact of IEG evaluations and build organisational learning, as well as to strengthen accountability related to implementation of evaluation recommendations.

Similarly the EU, which involves senior management throughout the evaluation process, receives a *Fiche contradictoire* from the management at the end of the process, detailing its response to evaluation recommendations and the actions to be taken. The response of the services to the recommendations, as well as the management's commitments to implement agreed actions, are included in all *Fiches contradictoires* and are published on the internet alongside the evaluation report. A follow-up takes place one year after the completion of the evaluation.

As described by interviewees and survey respondents, greater accountability is required of governments, as well as of boards or governing authorities of multilateral organisations, and this leads to increasing demand for the production of evaluations. The supply of evaluations has increased to meet such demand and in some cases, demand is exceeding expectations. The survey indicates that among the responses received, 82% consider that there is strong or moderate demand for evaluations to inform decision making.

Table 3.1. **Demand for evaluation to inform decision making**

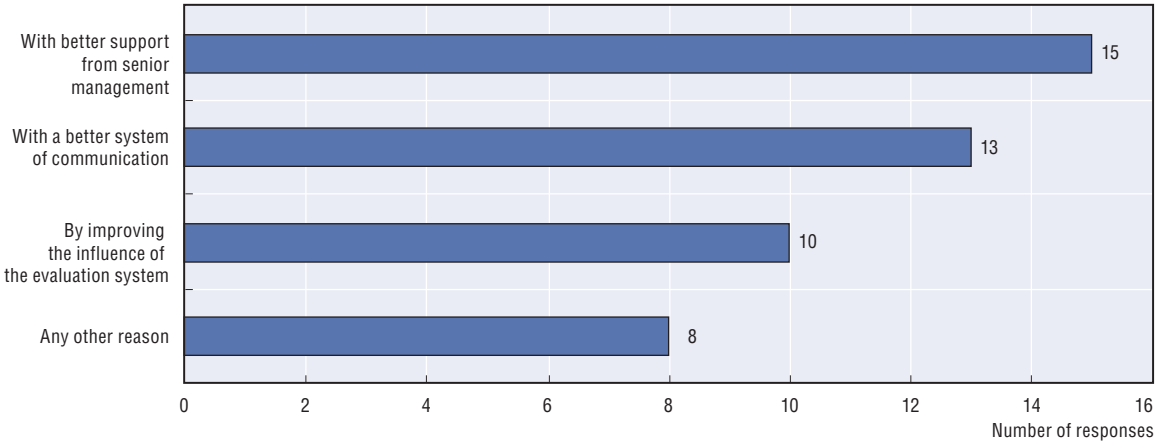
Do you feel that there is demand for evaluation to inform decision making?	
Level of demand	**Number of respondents**
No demand	0
Weak demand	8
Moderate demand	21
Strong demand	15

Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

However, despite the encouraging signs that demand is increasing, survey respondents estimate that only 17% of management and project/programme officers routinely use evaluation findings; 69% of respondents replied that findings are occasionally used. In contrast to this, 91% of respondents say that evaluations have influenced decision making within the organisation, although the examples provided are primarily at the project level.

Interviews with IEG staff indicate that demand for evaluations originates from the Board and from operations. However, demand is not consistent, especially in times of budget reductions, evaluations are seen as exercises for which profitability is insufficient. Moreover the institutional culture is still insufficient to stimulate demand from senior management.

Figure 3.11. **Frequency of responses of ways in which evaluation use could be improved**



Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

According to respondents, better support from senior management and improved communication systems are likely to increase the uptake of evaluation findings (Figure 3.11 above). In general, the indication from operations and evaluations teams is that the use of evaluation findings and recommendations depends on the organisational culture and the support provided by senior managers. If the evaluative culture is weak and is not driven by senior management, then the uptake of evaluation results is likely to be low. For example, the evaluative culture in the French institutions has not yet reached a mature level; as a consequence, there is still insufficient internalisation of evaluation by the organisations, which is further hindered by poor institutional memory due to the turnover of evaluation staff in projects/programmes every three to four years.

Knowledge management

The use of evaluation is closely linked to the broader, organisational knowledge management culture. Digesting large amounts of information and information overload, hinder the incorporation of findings, reducing the effectiveness of evaluation, according to several interviewees. Therefore, significant effort is being placed in defining effective knowledge management systems to provide information to various audiences. Adequate knowledge management systems are essential for organisational effectiveness and sustainability; they need to be embedded in the organisation and to be addressed holistically, according to survey respondents.

The use of knowledge derived from evaluations requires that information is relevant, evidence-based and accessible in a format that is appropriate, therefore linking knowledge management and dissemination very closely. According to the operations teams at EBRD and DFID, one important dimension that is critical to learning is the motivation behind it, e.g. is the operations staff required to provide evidence of previous learning for future projects? The motivation for using knowledge determines whether users are willing to invest energy in seeking out or sharing the information (Andriessen, 2006). Where users need to justify a business case, for example, they will be willing to invest more effort in identifying the supporting data. However, if the motivation is to keep abreast with trends, users will expect the information to be provided to them in a format that highlights key information without requiring a great deal of effort to absorb or digest it.

MFAT New Zealand has invested efforts in condensing evaluation findings and varying the formats of presentations in order to make information available for a number of purposes. Knowledge cafes and evaluation workshops are held not only to share information but also to solicit support from colleagues in problem-solving on specific projects or evaluations. MFAT New Zealand's knowledge cafes are open to attend and centre around three topics that are discussed around three tables. Each discussion lasts for 10 minutes and participants circulate between the three sessions to ensure that a variety of different views and potential solutions can be sought for evaluation challenges.

The majority of member organisations use a combination of systems to organise their knowledge products, including file archives (60% of respondents), databases that can be interrogated (53% of those that responded), and web portals that have more sophisticated tools, such as multi-media and chat functions (49% of those that responded).

Current knowledge management systems are considered to be partially effective as a tool to be used by evaluations, operations and decision-making staff by the majority of respondents (88%), and very effective by just three organisations. The capture of information has been systematised by some organisations. The responsibility for maintaining the knowledge management tools varies across organisations. In some cases, the responsibility lies with the evaluation implementer, as is the case at the EBRD. However the more common approach appears to be that the knowledge management function is one of the tasks performed by the evaluation unit. During the interviews, there was consensus that knowledge management should be improved.

Table 3.2. **Effectiveness of knowledge management systems in being actively used by evaluation/operations and decision-making staff**

In your view, is your knowledge management system effective in terms of being updated and actively used by evaluation/operations and decision-making staff?	
Level of effectiveness	**Number of respondents**
Not effective	2
Somewhat effective	23
Moderately effective	16
Very effective	3

Source: Online survey completed by EvalNet members for the purposes of this report, http://www.oecd.org/dac/evaluation/reviewofevaluationsystems.htm.

It appears that significant work is being undertaken by a number of organisations in addressing the shortfalls of their knowledge management systems. The principal challenges identified by respondents to improve their systems are the usability of the IT software in terms of search functionality, gathering and presenting the broad range of materials in a meaningful way, and finding innovative methods to communicate lessons learned. Interestingly, the majority of suggestions for improvements relate to IT solutions, such as apps and blogs, which can be used to share information. However, this addresses only one element of developing a knowledge management system.

In large organisations, knowledge management systems have been elaborated with mixed success. The EBRD undertook a survey that demonstrated that just under half of the operations team were using the lessons learned from previous evaluations. The EBRD has a database of lessons learnt from all evaluation activities that can easily be filtered to provide a list of lessons. However, this database needs to be continuously vetted to ensure the quality of information. While DFID has tried to implement systems for lessons sharing, the IT systems have not been designed for this purpose and therefore do not facilitate the use of lessons and recommendations. Similarly, the EU does not have a central repository for recommendations and lessons learnt, although work is in progress to remedy this to include a workflow to ensure regular input from evaluation findings.

IEG produces a series of learning products but plans to take additional steps towards enhancing organisational learning. The World Bank Group has been through a reform and reorganisation over the past two years, which will impact on the effectiveness of the overall knowledge management structure, which was limited by a lack of interconnectivity between units. To better reach out to and ensure co-ordination with operations departments, the IEG/WB has set up a co-ordination mechanism that consists of twelve co-ordinators in charge of liaison between evaluation and operations. Similarly, the US State Department has several knowledge management systems, but they are not well co-ordinated, which poses a problem for dissemination and knowledge sharing.

There is some evidence that demand is increasing and this is strongly linked to the relevance of the evaluations to management needs. The recommendations put forward need to be pragmatic and feasible. Some organisations have begun developing recommendations with the management team in order to ensure acceptance of them and ownership. Knowledge management needs to be addressed from an organisational perspective, holistically addressing information needs. This suggests that if knowledge management is considered to be a function of the evaluation unit, this may reduce its efficacy, because the knowledge culture is not intrinsic across the organisation.

Notes

1. The thresholds in local currency are respectively AUS$ 10 million and NZ$ 10 million.
2. A Royal Decree of February 2010 merged the Internal Quality Control and Evaluation Office of the Directorate General for Development Cooperation with the Special Evaluation Office, creating a new office with a new mandate.
3. No respondents indicated the "somewhat weak" category.
4. "New measures may be tested and evaluated ex-ante. This may be useful in particular when the measures have an effect throughout the organisation" (European Commission, 2014a).
5. "The role of the ex-ante evaluation is thus reinforced in the new programming period. It should ensure that the operational programmes clearly articulate their intervention logic and can demonstrate their contribution to the Europe 2020 strategy" (European Commission, 2014b).
6. In the Netherlands, IOB conducts specific studies and (systematic) literature reviews also for the purpose of ex-ante evaluation.

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PART II

Profiles of members of the DAC Network on Development Evaluation

Introduction and key for the member profiles

While the core functions of all development evaluation units are similar, the management and institutional setups vary widely. To complement the broad picture, this section captures the diversity of approaches to evaluation in development institutions. An individual evaluation profile for each member of the DAC Network on Development Evaluation is provided.

Introduction

This section provides an individual evaluation profile for each member of the DAC Network on Development Evaluation based on a review of evaluation policies and guidelines, DAC Peer Reviews and responses to a member questionnaire in late 2015/early 2016. Each profile provides information on the core elements of the evaluation function setup and management, including the mandate of the unit, mechanisms to protect independence and ensure quality, reporting lines and distribution of evaluation reports.

A box for each member describes the human and financial resources available in the evaluation unit and the number of evaluations produced on average each year. A key to the symbols used is provided below.

Please note: these profiles provide a snapshot of evaluation policies at one period of time (end 2015/early 2016) and are subject to change.

Key to evaluation profiles

Profiles for DAC members include a diagram with an overview of the evaluation setup to illustrate reporting lines. Central/main evaluation units are in blue and other units with evaluation functions are shown outlined with a dotted line. Programme/operational units are shown in light blue and high level policy groups or ministries are shown in dark blue. A snapshot of evaluation resources for the main/central development evaluation unit is provided. The total budget for the evaluation unit is shown in EUR, unless otherwise indicated.[1] Staff members in the main/central evaluation unit are represented by people symbols, using gender specific data where possible, divided into employee categories of management/director, evaluation professionals and support staff.

- The symbol  represents one female staff member
- The symbol  represents one male staff member
- The book  symbol indicates average number of evaluations produced per year (unless otherwise specified)

1. Currency exchange rates are based on an average rate for 2015.

African Development Bank Group (AfDB)

Independent Development Evaluation (IDEV)

Evaluation Mandate

The African Development Bank's (AfDB) independent evaluations are managed by the Independent Evaluation Department (IDEV), whose mission is to enhance the development effectiveness of the AfDB through evaluations of strategies, policies, operations, processes and procedures. IDEV's mandate covers:

- independent and instrumental evaluations
- oversight of self-evaluation processes and products
- proactive engagement in evaluation partnerships and knowledge-sharing activities.

IDEV's core objectives are to:

- contribute to enhanced learning
- provide a basis for accountability
- promote an evaluation culture within the AfDB and regional member countries (IDEV 2016).

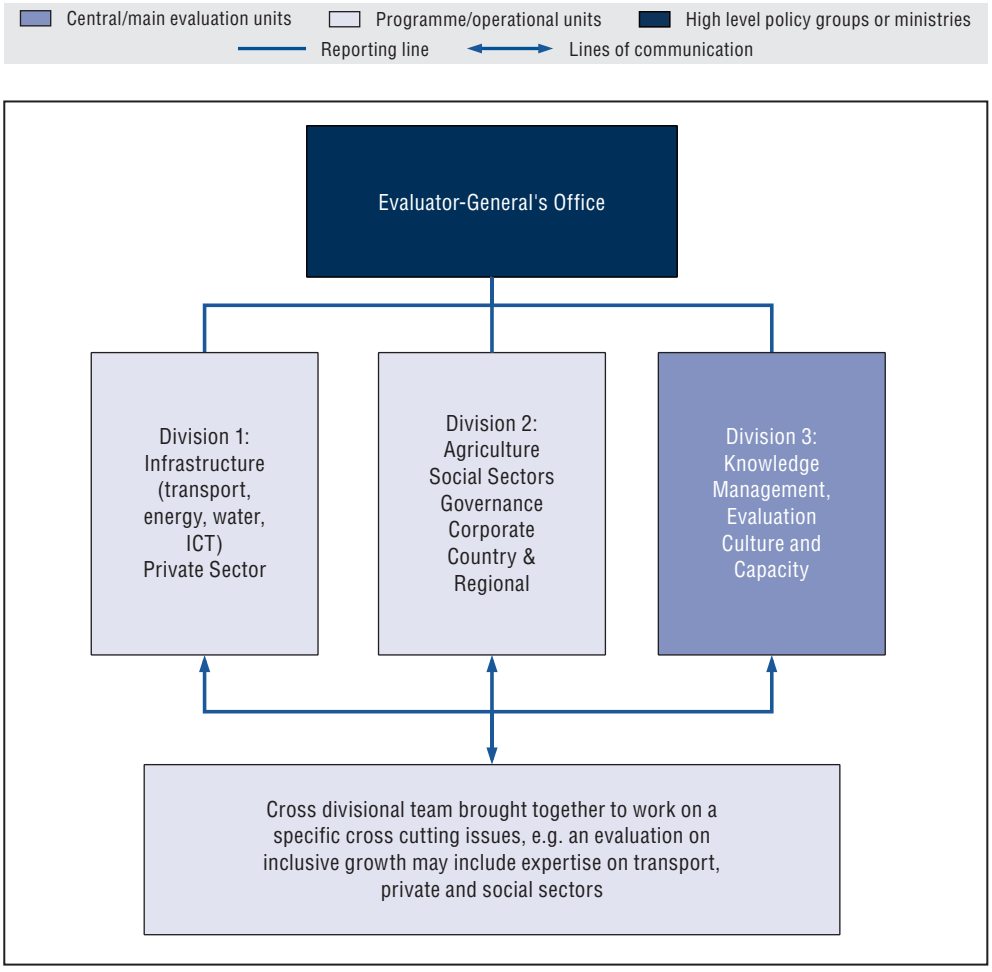
The current evaluation policy was approved in 2007 (OPEV 2007). In 2012 IDEV commissioned its first self-assessment, which highlighted how the department should consider reprioritising and rebalancing its evaluation products, while improving the quality and impact of its work. This self-assessment became a driver for the formulation of new policies; a revised policy introduced significant changes as compared to the 2007 policy and is under consideration by the AfDB Board of Directors. In parallel, an Independent Evaluation Strategy (2013-2017) was developed and implementation began in 2013 (IDEV 2013).

The strategy is being realised through the implementation of three-year rolling work programmes, the most recent of which was approved by the Board in December 2015 and covers the period 2016-2018. The following priorities were embedded in the programme:

- A shift in emphasis from stand-alone project evaluations to country and regional strategy evaluations, as well as thematic/sectoral and corporate evaluations.
- A strong knowledge management, dissemination and outreach function to share the knowledge generated by evaluations and ensure that evaluation findings are used in operations, strategies and policies of the AfDB. The aim is to strengthen IDEV's role as a knowledge broker to support the AfDB in managing its operations efficiently.
- Strengthening evaluation systems, capacity and evaluation culture in the AfDB and within the region. Through this and work carried out to improve self-evaluation within the AfDB, IDEV will contribute to managing for development results (IDEV 2015).

Organisational Structure and Reporting Lines

IDEV is a separate entity reporting directly to the AfDB's Board of Directors through its Committee on Operations and Development Effectiveness (CODE). There is no direct involvement in operational and policy work, but the Evaluator-General attends senior management operations and policy committee meetings to keep close collaboration with management and feed lessons from evaluation as needed in the discussions. The three-year rolling work plans are drafted in consultation with operations units and governing authorities (OECD 2010, IDEV 2016).



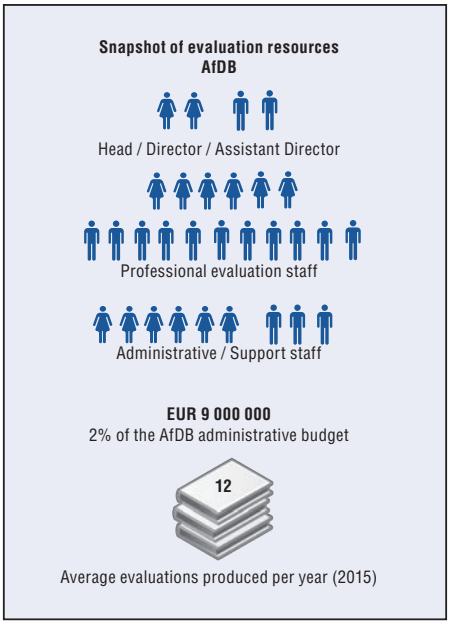
The Independent Evaluation Strategy in 2013 described the new internal organisational structure of IDEV, introducing three core divisions as opposed to the previous two divisions. Two divisions are in charge of specific evaluations, divided by thematic focus areas. The third division specifically addresses knowledge management, supporting self-evaluation and is leading activities for strengthening evaluation capacity in regional member countries (IDEV 2013).

Types of Evaluation

IDEV adheres to international standards for the quality of its evaluation, in particular the OECD DAC Quality Standards for Development Evaluation and the ECG "Big Book on Good Practice Standards".

- Project completion report and supervision report validations and validation syntheses
- Project cluster evaluations
- Impact evaluations
- Country/regional/sector-wide evaluations
- Thematic/corporate evaluations
- Evaluation syntheses

Resources



IDEV has a total of 30 staff that includes support staff. Additionally, the unit has 11 long-term, full-time consultants who contribute to evaluations, knowledge management and evaluation capacity development as the need arises.

The budget for centralised evaluations is independently managed and amounts to EUR 9.4 million for the year 2016, which is an increase from 2015.

Over the previous work programme period (2013-2015), IDEV delivered 78 Project Completion Report (PCR) and Extended Supervision Report (XSR) validations, 3 PCR/XSR validation syntheses, 5 project cluster evaluations, 25 project results assessments, 1 impact evaluation, 18 country strategy evaluations, 12 sector and thematic evaluations, 6 corporate evaluations, and 35 knowledge management and learning events (IDEV 2016, IDEV 2015).

Principles of Evaluation

Independence

The Evaluator-General, head of IDEV, reports directly to the AfDB's Board of Directors through its Committee on Operations and Development Effectiveness (CODE). CODE maintains oversight of IDEV's work, endorses and recommends the IDEV's work programme and associated budget to the Board of Directors for approval. CODE also ensures that the department's budget is ring-fenced and free from management influence. Through its operational setup, IDEV is independent from the AfDB's operational and policy work (IDEV 2016).

Competence and capacity building

While there is no specific AfDB policy on evaluation capacity development (ECD), the evaluation department is involved in ECD activities to support external evaluation associations and networks, including support for training activities. The 2013 reorganisation underlined a growing commitment to capacity development, especially supporting ECD in regional member countries. The strategy mentions the option of an evaluation accreditation scheme for new and current staff at IDEV. Internal skills constraints are also addressed through the provision of training and hiring of external consultants when necessary.

Transparency and participation

The Independent Evaluation Strategy underlines the importance of transparency. Formal management responses are provided by senior management and published along with evaluation reports.

The 2013 strategy outlined the plans for establishing a Management Action Reporting Mechanism, which is intended to ensure clarity over which recommendations management accepts, how it intends to respond to them, action deadlines, and whether these are met

in practice. All evaluation reports on country, sectoral or thematic topics are discussed by CODE. Evaluation reports are published and results are communicated to AfDB staff and to external stakeholders in full and summary form and through feedback workshops (IDEV 2013, OECD 2010).

IDEV publishes all evaluation publications, including management responses to evaluations. The website provides public access to IDEV's key information and publications. The internal and external circulation of reports to development partners occurs systematically, and social media is increasingly being made use of. The unit focuses on creating specific outreach products to identified target audiences.

Knowledge management

From the 2013 reorganisation of IDEV, a new focus on knowledge management has been outlined. IDEV put resources towards regional learning events, evaluation community of practice events, a wide dissemination of evaluation reports, and the publishing a quarterly knowledge publication. A new website for IDEV was also launched in 2013 and revamped in 2015, creating better access to knowledge products (IDEV 2015).

Co-ordination with donors and country recipients

Collaboration with other donors is sought for country assistance evaluations, thematic or sector reviews, and in the areas of knowledge management and evaluation capacity development. Partner countries are consulted at the start-up of the evaluation, during the evaluation and at the submission of the reports.

Quality assurance

To ensure the highest quality, IDEV has implemented since 2013 a dual system of review covering both design documents and final reports. The individual yearly work programme of each IDEV staff includes the peer review of two to three evaluations conducted by colleagues. In addition, the main reports produced for each evaluation are reviewed by at least one external expert reviewer using standardised review guidelines and templates. IDEV has established a sitting expert panel for the comprehensive evaluation of the AfDB's development results, which is the department's major undertaking for 2014-2016.

For decentralised (self-) assessments and evaluations commissioned by AfDB management, quality assurance can be provided on request by the Quality Assurance and Results Department. The unit can provide advice, review Terms of Reference, review draft reports, etc., but there is no explicit mandate to provide support to assessments conducted by the operational management.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Asian Development Bank (ADB)

Independent Evaluation Department (IED)

Evaluation Mandate

The Independent Evaluation Department (IED) of the Asian Development Bank (ADB) is mandated to evaluate sovereign and sovereign-guaranteed operations (public sector operations) and non-sovereign operations supported by the Bank; and the policies and strategies, practices, and procedures that govern them. The objective of evaluation in ADB is to assess development effectiveness and the long-term results of (i) ADB operations; (ii) country partnership strategies; and (iii) ADB policies, plans, practices, and procedures.

To respond to this objective, the IED is assigned the following functions:

- to assess issues of development effectiveness and the use of resources
- to derive lessons and best practices to promote sustainability and the development effectiveness of ongoing and completed operations
- to recommend appropriate measures for the design of future operations, country partnership strategies, and sector policy or strategy, as well as changes in ADB policies, practices, and procedures
- to follow up on recommendations that are accepted by ADB.

Responsibility and scope of activities

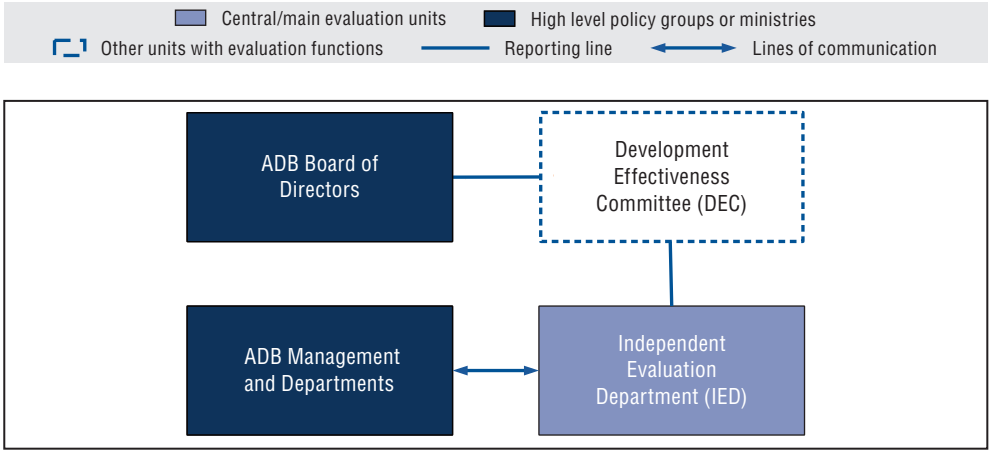
The first tier is self-evaluation of operations carried out within one or two years after the completion or other relevant stage of the project implementation. All ADB's supported operations that are completed and have used ADB resources, need to be self-evaluated and the findings are made public on ADB's website. This applies both to loan and grant supported operations and to ADB's grant-based technical assistance activities. The responsibility for self-evaluation rests with operations departments and other support departments in ADB. The methodology for self-evaluations of operations is similar to that employed by IED for independent project evaluations. It follows OECD DAC guidelines on evaluations and good practice formulated by the group of multilateral development institutions in the Evaluation Cooperation Group (ECG). Every evaluation broadly assesses the operation's relevance, effectiveness, efficiency, sustainability and arrives at an overall success rating. The operation's development impacts are separately rated, and also the performance of ADB and the borrower. Each evaluation identifies lessons and provides some recommendations and follow-up actions.

IED's work falls into the second tier of ADB's evaluation system. IED validates around 80% of the self-evaluated operations in terms of its success based on a random sample approach. It does not validate ADB's short completion reports produced for its technical assistance activities, but it sometimes conducts special evaluation studies, and also conducts one to three cluster evaluations of technical assistance projects each year. IED produces 10-15 project performance evaluation reports a year for completed loan or grant based operations. These are independent evaluations of operations that are often purposely selected because of a special interest or because the results can feed into larger studies. In addition, IED completes one to five project evaluations a year for ADB's private sector operations.

Other responsibilities of IED are to:

- provide comments on newly proposed operations and selectively provide feedback on ongoing operations in terms of evaluation
- assist in developing evaluation capacity in both operations departments in ADB and in developing member countries
- disseminate the results and lessons of its evaluations.

Organisational Structure and Reporting Lines

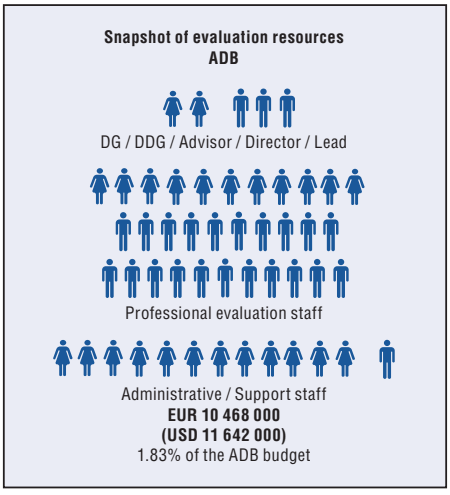


IED reports to ADB's Board of Directors through the Development Effectiveness Committee (DEC). The DEC consists of six members of the Board of Directors. The President appoints the members of the DEC, in consultation with the Board, and designates one of them as the Chairperson. The DEC provides the oversight function for ADB's independent evaluation and plays a central role in the communication between the IED and the Board. The DEC oversees the evaluation programme, reviews all IED reports, reports to the Board on important development effectiveness issues, and assists the Board in ensuring the achievement of the desired outcomes and the efficient use of resources. IED annually prepares and updates its rolling three-year evaluation work programme in consultation with both ADB Management, the DEC and the Board. The work programme is reviewed by the DEC and subsequently submitted to the Board for approval.

Types of Evaluation

IED conducts not only project/programme-level evaluations, but also broad-based evaluations such as country assistance programme evaluations, validations of country partnership strategy final reports, impact evaluations, real-time evaluations, corporate evaluations, thematic/sector evaluations, and some topical papers on special subjects. Some eight to ten of these broader reports are completed every year. IED produces one annual evaluation review each year, which is presented to ADB's Board of Directors and discussed in a special meeting. IED operates in line with internationally accepted principles for the evaluation of development assistance, in particular the OECD DAC evaluation guiding principles and the good practice standards issued by the ECG.

Resources



IED prepares an annual budget proposal based on the annual work programme. The DEC provides advice on the proposal and endorses it before it is submitted to the Board. For 2016, IED's budget is USD 11.64 million, representing about 1.83% of the total ADB budget. In addition, IED applies for a technical assistance grant of around USD 2 million every year to finance some special evaluations.

Fifty-one staff are engaged in the implementation of evaluations in IED and based in headquarters, 21 of which are international staff, 11 are locally hired national officers and 14 staff providing administrative support. IED is led by a Director-General, a Deputy Director General, an Advisor, two Directors and a Lead Professional.

Principles of Evaluation

Independence

In the area of organisational independence, the Head of IED, the Director General (DG), is appointed by the Board upon recommendation of the DEC, in consultation with the ADB President. He/she is not permitted to work in other areas within ADB after completing the five-year, non-renewable term. During this period, the DG can only be removed by the Board on the grounds of inefficiency or misconduct. The DG is exempted from the formal annual performance review process; however, the Chair of DEC, in consultation with other DEC members, provides written annual feedback on his/her performance. The DG plays a major role in the selection of IED personnel but procedures are in accordance with ADB personnel selection and recruitment guidelines, as all IED staff except the DG are transferable to other units in ADB if they apply for positions.

To avoid conflict of interest, IED evaluators and management exclude themselves from evaluating or approving a report on any project/programme/activity/entity that they worked on, appraised, or had decision-making or approval responsibility for in a previous capacity, or when they expect to have such involvement in the future. Similar care is also taken in the selection of consultants.

Competence and capacity building

Mandated with developing evaluation capacity, IED has provided regular training and workshops to stakeholders from ADB member countries on topics such as results-based monitoring and evaluation and evidence-based self-evaluation. Since 2009, IED has been undertaking internal workshop sessions within ADB and its country offices in preparing project and TA completion reports. In 2011, IED introduced a five-month on-the-job training programme in evaluation methods and approaches, with the aim of institutionalising results-based monitoring and evaluation. In 2014, IED started a two-year training programme for the executing agencies in order to strengthen their skills for evidence-based self-evaluation. A programme to support collaboration in project evaluations with staff of central evaluation units in ADB's developing member countries was established in 2015.

Transparency

All independent evaluation reports are disclosed on the ADB website in line with ADB's Public Communications Policy. The IED also discloses its work programme, ADB management and IED responses to evaluation reports. IED also makes the validation reports for the self-evaluations available online. Project evaluations for ADB's private sector operations are disclosed after removing commercially-sensitive information.

ADB's Management responds to evaluation findings and recommendations. ADB Management's responses and the DEC Chair's Summaries of Discussions (if available) are included prominently in evaluation reports and also separately disclosed.

Knowledge management

IED disseminates findings of its independent evaluation reports through the evaluation information system, called EVIS - a database of evaluation lessons - that provides users with an easily accessible source of searchable evaluation information and employs various parameters to refine a search. It is accessible publicly through the IED website. The website also promotes and disseminates outreach materials that emphasise learning from evaluations. It also produces evaluation derivate products such as:

- *learning curves*, which bring findings and recommendations of independent evaluations to a broader range of readers
- *learning lessons*, which provide key lessons drawn from evaluations and may include contexts derived from literature review
- *case studies,* designed to expose specialised material from evaluations
- multimedia content such as photo essays, audio and video podcasts, all targeted to different types of audience.

The IED website is the main information and media platform but IED also maintains social media platforms for communicating and disseminating evaluation information for greater outreach. IED also maintains an enquiry desk, which responds to internal and external queries about evaluation products and services.

To monitor the progress of the implementation of recommendations defined by in the evaluation reports, the ADB has a management action record system. The evaluators enter recommendations produced by the report, and those accepted by the Management are tracked with the associated action plans. The DEC monitors the actions taken in response to recommendations and records the progress at least twice a year. This system is not public but new and completed actions are reported and reviewed in IED's Annual Evaluation Review.

Co-ordination with donors

IED co-ordinates evaluation practices and activities with other multilateral development banks through the ECG and its working groups. The ECG's mandate focuses on evaluation principles, standards, and good practices. IED also participates in the evaluation activities of multilateral and bilateral agencies through the OECD DAC Evaluation Network and the United Nations Evaluation Group.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Australia

Office of Development Effectiveness (ODE),
Department of Foreign Affairs and Trade (DFAT)

Evaluation Mandate

In late 2013 the Australian Government decided to integrate management of the aid programme into the Department of Foreign Affairs and Trade (DFAT) in order to better align Australia's diplomatic, trade and development efforts and provide a stronger platform for an improved aid programme. This was followed in June 2014 with the announcement of a new aid policy and performance reporting system. Policies and procedures relating to aid evaluation remained relatively consistent throughout this period, with the exception that Office of Development Effectiveness (ODE) mandate was expanded to include a role in quality assuring the assessments made in DFAT's annual Performance of Australian Aid report.

The ODE is an operationally independent unit within the Department of Foreign Affairs and Trade (DFAT). ODE builds stronger evidence for more effective aid. It assesses DFAT's internal aid management systems, evaluates the performance of the Australian aid programme and contributes to evidence and debate about aid effectiveness. ODE's work is subject to the external oversight of the Independent Evaluation Committee (IEC).

Responsibility and scope of activities

ODE's responsibilities span three core areas:

- It carries out performance and quality analysis to test and quality assure DFAT's internal aid performance assessment system.
- It conducts its own strategic evaluations with a policy, programme, sectoral or thematic focus.
- It supports and reviews the operational evaluations commissioned by DFAT programme managers, and on occasion takes the lead in conducting these.

ODE's strategic evaluations are often across multiple countries, regions or sectors.

Operational evaluations typically cover individual activity or regional programmes. DFAT's current interim policy covering operational evaluations encourages managers to adopt a principle-based approach and to commission an evaluation at the time when it is most likely to be of value from a management perspective.

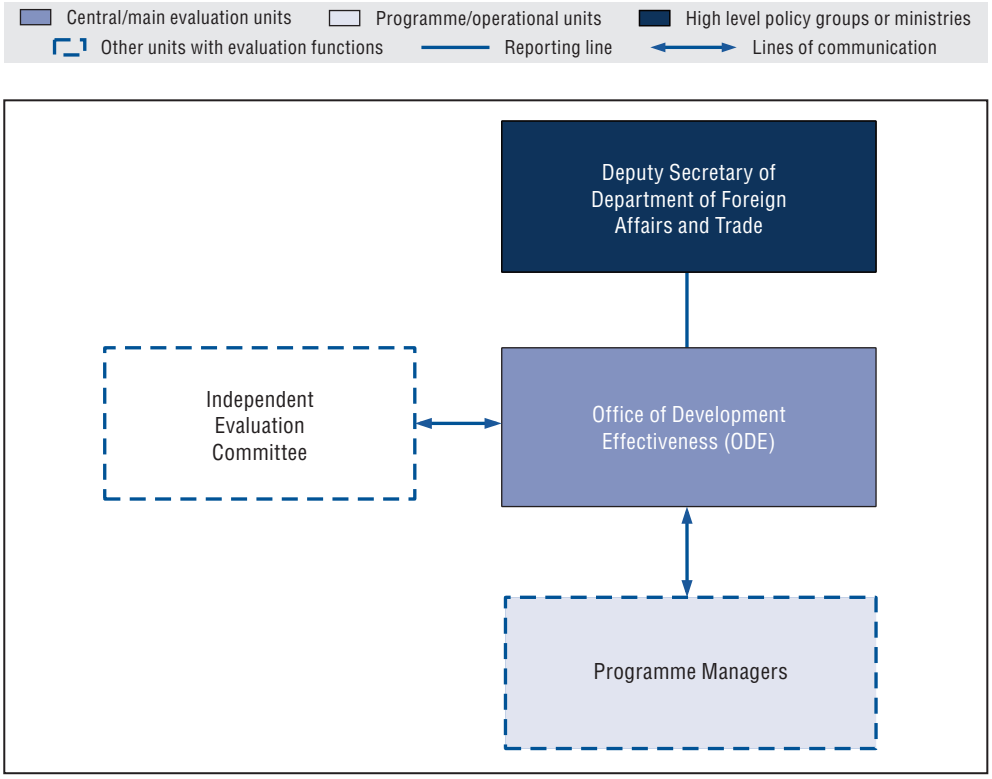
As the central point of expertise on aid evaluation ODE also:

- monitors compliance with DFAT's evaluation policy and drafts internal guidelines on how to manage evaluations
- provides technical support to staff managing operational evaluations
- periodically analyses the quality of completed operational evaluations including examining the robustness of evidence, highlighting findings for wider use and dissemination, and recommending measures to improve evaluation quality and utility.

ODE is redrafting DFAT's aid evaluation policy, with the objective of encouraging fewer, better evaluations.

Organisational Structure and Reporting Lines

ODE is separate from other divisions in DFAT, with the Head of ODE reporting directly to a Deputy Secretary.



The IEC was established in 2012 to provide an additional element of independence, quality control and credibility to ODE's work. It is an external advisory body consisting of three independent members (including the Chair) and one Departmental representative. The IEC reviews and endorses all ODE products, providing independent advice during their production. IEC external members are appointed by the Minister of Foreign Affairs.

ODE's work plan covers two years and is formulated through a process of extensive consultation within and outside DFAT. The work plan is endorsed by the IEC, approved by the Secretary DFAT and published on ODE's website.

Types of Evaluation

ODE's performance and quality analysis work monitors the department's aid performance management and reporting systems, and independently quality assures the assessments they produce. Findings from this work support ODE to fulfil its role of quality assuring and verifying the assessments made in an annual Departmental report on the Performance of Australian Aid (PAA). ODE independently analyses the performance assessments made in the PAA to ensure that they are robust. In doing so, ODE helps the department and the Australian Government to assess how the Australian aid programme is delivering against its objectives.

ODE supports and conducts operational evaluations, which are independent assessments of the performance of Australian aid investments. They provide evidence to inform programme management decisions, contribute to broader learning and help to enhance the accountability of Australian aid.

- Thematic evaluations
- Orgnisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/Strategy evaluations
- Project/activity evaluations

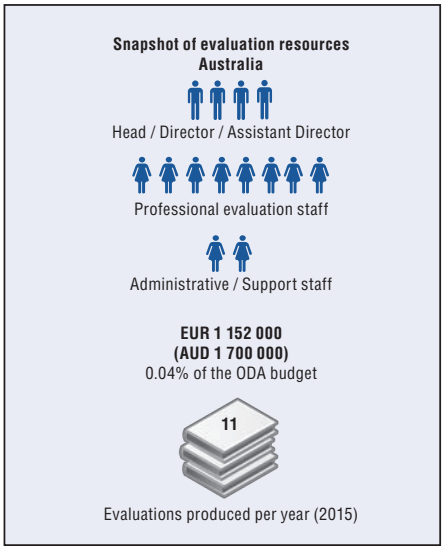
ODE's strategic evaluations are broad assessments of Australian aid that focus on key policy directions, specific development themes and sectors or large programmes, be they geographic or global. These evaluations usually examine a number of investments and often across multiple countries, regions or sectors. They may also include assessments of aid funds expended by other government departments. By virtue of their scope, these evaluations tend to be time, and resource, intensive.

Evaluations would typically cover all elements of the DAC criteria, but also usually address questions that are tailored to requirements of the programme and its key stakeholders.

Resources

ODE has a full time equivalent staff cohort of 14 employees. ODE has its own budget allocation although, at times, operational evaluations are funded by programme areas. Resources are considered appropriate.

The budget allocated for centralised evaluation for 2015-2016 is AUD 1.7 million, which is 0.04% of the development budget.



Principles of Evaluation

Independence

Independence is supported through the organisational setup, with ODE reporting directly to a Deputy Secretary (rather than through a Division) and the oversight of the IEC. ODE's position within DFAT provides it with direct access to aid management systems and personnel, putting it in a good position to understand, and influence, the work of the department.

Competence and capacity building

ODE employees are considered to have qualified competence and their skills are maintained and constantly improved through training, mentoring and external academic study.

Transparency and participation

ODE synthesises, publishes and disseminates lessons from its evaluations via various methods such as newsletters, workshops and seminars. Both operational and strategic evaluation reports, quality assessments, lessons learned, and aid evaluation policy are made available on the website. It regularly co-hosts evaluation forums with the Development Policy Centre at the Australian National University and participates in a range of professional conferences and seminars.

DFAT has a formalised management response system where the responses to ODE recommendations are cleared at First Assistant Secretary level and provided within 28 days. Management responses are published as an integral part of ODE reports and ODE monitors and reports on implementation progress at regular intervals.

Knowledge management

ODE ensures that programme areas are provided with evaluation tools such as guidance documents, a set of M&E standards and examples of good evaluation products. In collaboration with professional evaluators and organisations, ODE provides ad-hoc courses, seminars and workshops on evaluation for the DFAT staff. ODE is tending to hold recommendation workshops with all key stakeholders prior to finalising its reports.

Co-ordination with donors and country recipients

During the past five years, ODE has conducted two evaluations that included aid funding appropriated to other government departments (Australian Centre for International Agricultural Research; Attorney General's Department and the Australian Federal Police); each of which required close inter-departmental co-ordination and collaboration.

Quality assurance

ODE conducts regular reviews of DFAT's operational evaluations and programme reporting systems. ODE's most recent meta-evaluation of operational evaluations (DFAT 2014), found the majority of independent evaluations to be credible, however the design of some evaluations and the capacity to manage evaluations had room for improvement.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Austria

Evaluation Unit, Austrian Development Agency (ADA),
Austrian Development Cooperation (ADC)

Division for Evaluation, Development Policy and Strategy,
Federal Ministry for European and International Affairs (FMEIA)

Evaluation Mandate

The responsibility for evaluations of Austrian development assistance is shared between the Federal Ministry for European and International Affairs (FMEIA) and the Austrian Development Agency (ADA). The ADA is the operations unit for Austrian Development Cooperation (ADC) and includes a separate Evaluation Unit under the Executive Unit for Evaluation and Statistics. Overall, Austria distinguishes between internal and external evaluations, where 'internal' refer to evaluations managed by project partners themselves and 'external' to evaluations managed by ADA and FMEIA.

The evaluation work of the ADA is primarily guided by two documents: the «Guidelines for Evaluation in Austria's Official Development Cooperation» (2001) referred to as Evaluation Policy and the «Guidelines for Project and Programme Evaluation» (2009). The first document describes three distinct objectives of evaluation, addressing the key stakeholders engaged in ADC: Austria, the recipient country and the international community (of donor nations). The objectives are:

- learning from experience from implementation and operational management
- assuming responsibility towards the Parliament and the public
- deepening understanding of operational management, participants, experts, and the public (ADC 2001).

Whilst the 2001 «Guidelines for Evaluation» have not been updated since their initial formulation, they remain largely in line with the standards approved by the OECD DAC and an update is planned for 2016. The later project and programme guidelines explicitly refer to the OECD DAC evaluation criteria and list the following characteristics for all evaluations conducted:

- The five OECD DAC evaluation criteria of relevance, effectiveness, efficiency, impact and ––sustainability are covered.
- Cross-cutting issues such as poverty, gender and environment are taken into consideration.
- The intervention logic (e.g. logical framework) is analysed (ADC 2009).

Responsibility and scope of activities

The types of evaluation undertaken, the responsibilities and scope are described below:

- Type I: external evaluations (strategic). Type I evaluations either focus on themes/subjects, strategies/policies, instruments, cross-cutting activities and country programmes seen as having strategic importance for Austrian development co-operation or relate to projects carried out on a direct/bilateral basis with a partner country or make a contribution to multilateral projects or programmes.

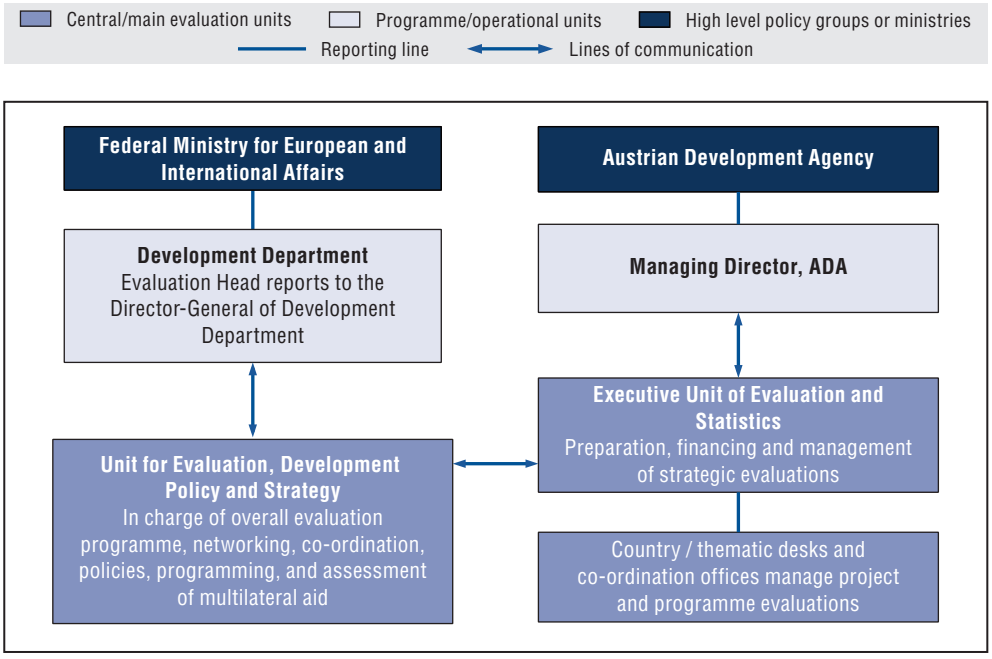
- Type II: external evaluations (programmes, projects). Type II evaluations relate to projects financed or co-financed by the Austrian government. The evaluations are initiated, contracted and supervised by the country or sector desks of ADA or the Co-ordination Offices in co-operation with the ADA Unit of Evaluation and Statistics. Evaluations of this type are funded from the project budgets.
- Internal evaluations (programmes, projects). These evaluations of projects financed or co-financed by the Austrian government are initiated, contracted and carried out by the implementing agencies/contractors themselves. Terms of Reference of internal evaluations have to be approved by ADA and quality control is undertaken by the Evaluation and Statistics Unit in co-operation with relevant ADA staff.

The Evaluation and Statistics Unit also manages the provision of evaluation training for staff within the ADA, the FMEIA and partner institutions and also functions as a help desk.

Organisational Structure and Reporting Lines

While the FMEIA has the overall responsibility for development co-operation, the responsibility for evaluations is shared between the FMEIA (Division for Evaluation, Development Policy and Strategy of Section VII Development) and ADA (Unit Evaluation). Within the FMEIA, the evaluation staff reports to the Director-General of Development Co-operation (Section VII under the Federal Ministry for Europe, Integration and Foreign Affairs). The ADA Evaluation Unit as part of Evaluation and Statistics reports to the Managing Director of ADA.

In 2015, the Executive Unit for Evaluation of the Austrian Development Agency (ADA) was changed into the Executive Unit for Evaluation and Statistics (OECD 2010).



Representatives of FMEIA and ADA regularly meet to discuss and monitor the implementation of ongoing evaluations and reviews.

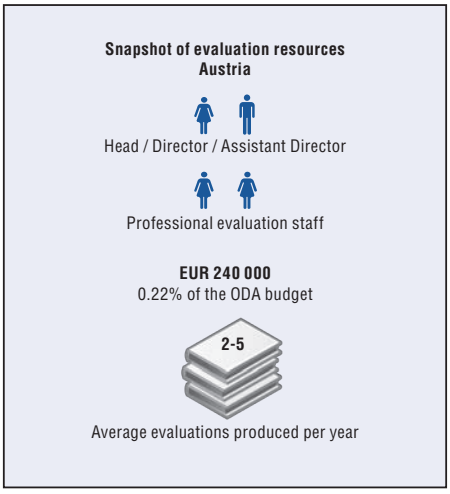
Planning for strategic evaluations covers a two-year period and is subject to approval by Section VII under the Federal Ministry for Europe, Integration and Foreign Affairs. The plan is developed jointly within ADA and the Ministry.

Types of Evaluation

The OECD DAC criteria are systematically adopted during evaluations.

- Thematic evaluations
- Programme evaluations
- Country programme evaluations
- Policy/strategy evaluations
- Project evaluations

Resources



The ADA and the FMEIA develop a joint two-year evaluation plan and allocate approximately up to EUR 240 000 per year for centralised strategic evaluations, depending on the evaluation plan. Decentralised or 'internal' evaluation plans (project and programme evaluations) have a budget line within their respective programme budgets. The total budget of these evaluations varies from year to year. Fifteen strategic evaluations/reviews have been carried out during the past five years (OECD 2015).

There are currently four evaluation managers; three in ADA's Unit for Evaluation and Statistics and one in FMEIA. There is however limited capacity for conducting evaluations within the FMEIA.

Principles of Evaluation

Independence

The Evaluation Units in both ADA and the FMEIA consider themselves to be completely independent entities because a) the evaluation function is separate from programming and delivery of Austrian development assistance, and b) all strategic evaluations and all project and programme evaluations managed by ADA are conducted by external consultants who are hired on a competitive basis. This supports independence in evaluation results and recommendations.

Independent audits of operational and administrative procedures and ADA in-house supervisory procedures are performed via external auditors (ADA 2014).

Competence and capacity building

Apart from managing strategic evaluations and supporting project and programme evaluations, the ADA Evaluation and Statistics Unit also conducts evaluation training for staff and partner organisations. Since 2008, 15 trainings related to evaluation were conducted. Topics included: planning and management of evaluations; latest international evaluation trends; selected evaluation topics; indicators and logframes; monitoring; and theory of change. Quality control, discussions and feedback regarding Terms of Reference are also

seen as part of learning and capacity building. The unit also engages in methodological discussions about impact evaluations and studies. The agency is a member of "learn4dev" and thus has access to training programmes through this competence development network (OECD 2015).

Transparency and participation

National counterparts are consulted throughout the evaluation process and project evaluations are planned together, whether they are implemented by multilateral organisations, NGOs or the partner country's sub-national authorities (ADC 2009, OECD 2015). Evaluation results are systematically made publicly available and shared with the local counterparts, implementing entities and other relevant stakeholders in partner countries. This happens through a variety of media, including the official organisation's website, press/media, social media, internal circulation via email and external circulation to development partners.

ADA has a formalised management response system, which includes a follow-up procedure to monitor the implementation of the accepted evaluation recommendations. The ADA Evaluation Unit includes all recommendations in a matrix that is sent to relevant stakeholders for discussion. Internal meetings are held to formulate precise actions for each recommendation. Once a first management response is agreed upon, at least once or twice a year the Evaluation Unit requests an update of the matrix. Management responses are not made public.

Knowledge management

Since 2010, ADA has developed a more structured approach to knowledge sharing, thereby improving accumulated knowledge on best practice and shared lessons, such as between country offices. A primary focus has been organisation and management processes, the development of which is included in the latest annual business plan. Additionally, ADA has planned the establishment of an intranet and information management systems for sharing knowledge among relevant internal and external partners (ADA 2014).

Co-ordination with donors and country recipients

Co-ordination with donors and country recipients is generally strong in ADA. Participation is encouraged in evaluation planning, design, reporting and dissemination. The «Project and Programme Guidelines» suggest more extensive use of joint evaluations in the future, especially for more comprehensive projects and programmes. During the past five years, four joint evaluations have been carried out with partner countries and institutions (Denmark, Sweden, Uganda and UNIDO).

Quality assurance

In addition to managing centralised evaluations together with the Ministry, the ADA Evaluation Unit also conducts quality control for all decentralised evaluations and approves Terms of Reference. This is considered to improve the quality of the evaluation significantly.

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Belgium

Special Evaluation Office (SEO)

Evaluation Mandate

The 2013 Law on Development Co-operation provides the mandate to the Special Evaluation Office (SEO) to undertake centralised evaluations. Decentralised evaluations are performed by the project or programme partners themselves, including the Belgian Development Agency (BTC). The SEO was established in 2003 and its mandate was amended in 2010 and 2014 by Royal Decree. The mandate includes:

- evaluating development interventions
- ensuring accountability
- building evaluation capacity in partner countries
- harmonising and certifying evaluation systems put in place by development partners responsible for the implementation of Belgian development assistance.

The Belgian Overseas Development Assistance (ODA) evaluation policy (2014) aims to encourage the measurement of development results and impact of Belgian co-operation (OECD 2015). There are plans to develop a new evaluation policy in 2016, which will build upon the 2014 version.

Responsibility and scope of activities

The SEO has the sole responsibility for oversight of evaluation and for carrying out both strategic and policy evaluations. The SEO assesses and reports on Belgian development aid to provide decision makers with actionable recommendations to improve future choices and strategies for development co-operation.

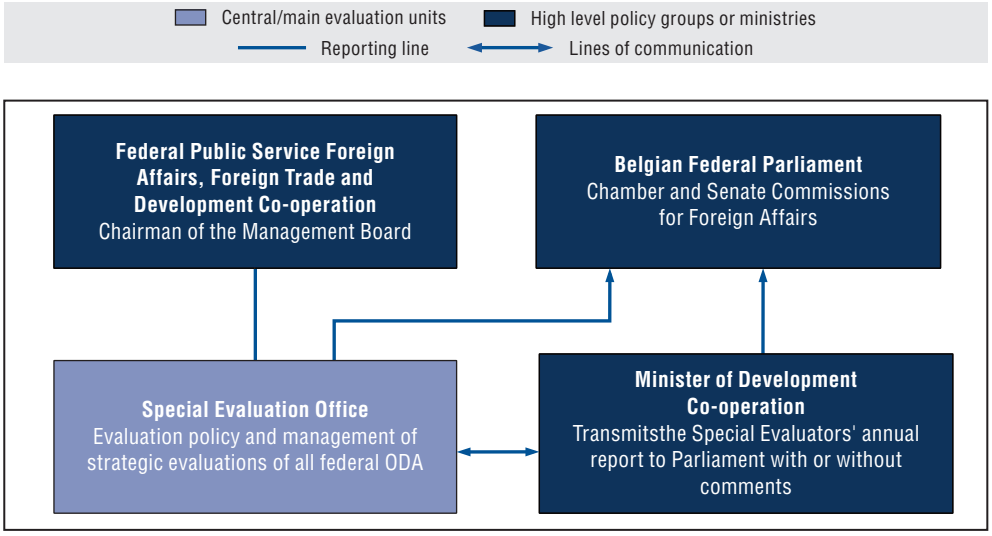
The conclusions and recommendations of evaluations are aimed primarily at policy makers, including the Minister of Development Co-operation, the Directorate General for Development Co-operation (DGD), as well as heads of governmental and non-governmental co-operation. Evaluation findings on the implementation of development co-operation policy and resource allocation are reported to the Parliament and general public on the implementation of development co-operation policy and resource allocation.

The SEO prepares an annual report for the Belgian Parliament on its work as well as its main findings on Belgian development co-operation assessed during the year. It also summarises and analyses management responses to the specific evaluations conducted.

The Belgium Development Agency (BTC) conducts project/programme evaluations at centralised as well as project level and it is the responsibility of SEO to assess the independence, credibility and usefulness of the reports produced by BTC. SEO and BTC consult on a regular basis to put this responsibility into practice (DGD 2014).

Organisational Structure and Reporting Lines

The SEO is part of the Federal Public Service (i.e. ministry) of Foreign Affairs, Foreign Trade and Development Co-operation. It falls under the administrative authority of the President of the Management Committee (Secretary-General) however the SEO is structurally independent (OECD, 2010). The SEO is led by the Special Evaluator, who has financial delegation to contract the expertise required for achieving credible evaluations. The Special Evaluator has to be filled externally and is appointed for a period of three years. Upon contract end, the Evaluator is not permitted to take up another position within the organisation.



For each evaluation, a reference group is established, composed of the main stakeholders. This reference group is responsible for: commenting on the methodology and the intermediary and final evaluation products; controlling the quality of the evaluation process; contributing to the dissemination of evaluations.

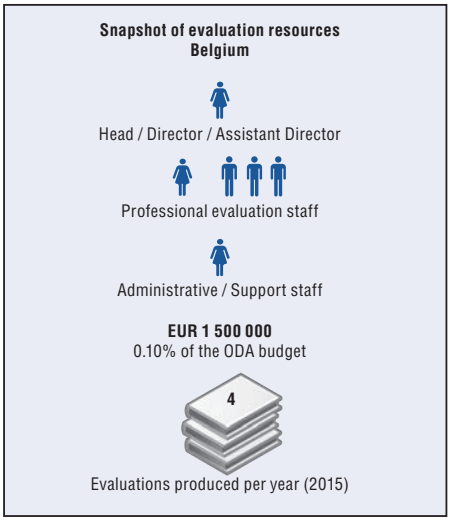
Types of Evaluation

The Belgian evaluation policy and work is aligned with OECD DAC principles and quality standards.

- Thematic evaluations
- Sector-wide evaluations
- Country evaluations
- Policy/strategy evaluations

Resources

The SEO consists of five full-time professionals, including the Special Evaluator, reduced from ten in 2010. The Office has a separate budget line, outside the DGD budget, to ensure that it has adequate financial resources. This budget covers centralised evaluations for which the budget has remained roughly the same for the last five years. The Service's expenditure is planned every year and is entered in the development co-operation budget as two separate basic allocations: SEO operational expenses and funding of joint evaluations. The FPS Foreign Affairs seconds the personnel that are needed to fulfil SEO's mandate to the Special Evaluator (DGD 2014).



Principles of Evaluation

Independence

In order to secure the quality and credibility of its assessments, the SEO is established as a separate unit whose operational independence is secured by an independent budget. The Special Evaluator reports to the Parliament via the Minister of Development Co-operation. The SEO uses external consultants recruited by a public tender to carry out the evaluations. The Office defines the scope of the evaluation, draws up the specifications and monitors the quality of the evaluation process. Assessment teams are mixed and include local experts, if possible (DGD 2014, DGD 2015).

Transparency and participation

In order to improve transparency to the general public and stakeholders, DGD has initiated a range of activities. In 2011, a governmental open data portal was launched followed by a commitment to publish to the International Aid Transparency Initiative Standard by 2014. Transparency and communication is practiced before, during and after evaluation. Evaluation reports and the management responses are disseminated to stakeholders and the general public routinely through the official website, internal circulation via intranet/email and internal synthesis reports, as well as external circulation to development partners.

The current management response mechanism can be considered to be an informal one as there is not yet a consolidated procedure. The SEO prepares an annual report for the Minister of development that includes a synthesis of the results of evaluations conducted during the previous year, as well as a summary of the management responses to these evaluations. The report of the Special Evaluator needs to provide an insight into the implementation of recommendations of previous evaluations.

Competence and capacity building

Participation in regular seminars and training courses are supported by financial resources so that staff can update their knowledge. Staff training at DGD is planned for annually and includes some joint training with BTC, which has a positive influence on collaboration and a common vision of development co-operation.

Co-ordination with donors and country recipients

The SEO regularly participates in joint evaluations supported by the specific budget allocated for this activity. Local stakeholders, partners and beneficiaries in partner countries are mainly involved through briefings and debriefings during evaluation field missions.

Knowledge management

The governmental open data portal is one of the tools to communicating the results from the work of DGD, SEO and BTC to the general public. In addition to this, annual reports are published synthesising findings from the evaluations performed. A recent re-organisation (2012) of the DGD by the Belgian Government included an increased strategic focus on strengthening the Directorate-General's role as a decision-making and knowledge centre for development co-operation. One of the seven objectives in DGD's management plan is to become a knowledge centre in order to support the effectiveness of projects and programmes (DGD 2014).

Quality assurance

The evaluation policy recognises that the credibility of evaluations is largely determined by the availability of reliable data. The SEO supports implementing partners and bodies, including BTC, in developing and introducing instruments for monitoring and collecting data on interventions, specifically the collection/production of reliable primary and secondary data.

A new internal quality control office was established at the DGD in 2012 to support the results-based and evaluation culture. The service assists in the development of skills, evaluation methods and instruments, in order to realise within the Directorate-General the concepts of quality improvement and results-oriented management. The service also ensures quality control of the reports and evaluation systems of the partners of the Belgian development co-operation.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Canada

Development Evaluation Division (DED), Global Affairs Canada

Evaluation Mandate

In July 2013, Canadian International Development Agency (CIDA) and the Department of Foreign Affairs and International Trade (DFAIT) amalgamated to create the Department of Foreign Affairs, Trade and Development (DFATD). In November 2015, the DFATD was renamed Global Affairs Canada.

The two evaluation teams that existed previously in the different departments are maintained, keeping their complementary functions. One unit focuses on evaluating foreign affairs and trade-related issues, the other on development programming. Both of them have some distinct accountability as well as some that overlap. The modalities of their co-operation are currently being defined.

The Treasury Board Policy on Evaluation (2009) provides each department in the government the mandate to conduct evaluations for its own activities. The Policy states that evaluation should provide an evidence-based, neutral assessment of the value for money (i.e. relevance and performance [effectiveness, efficiency and economy]), of the government programmes to inform decision making and to support accountability, managing for results and policy and programme improvements based on lessons learned and best practices.

Global Affairs Canada's Development Evaluation Division (DED) is part of its Strategic Policy Branch. The DED evaluations inform programme effectiveness and programming tools, as well as priority and policy setting.

The Policy on Evaluation requires that 100% of direct programme spending be evaluated over a five-year cycle. This Policy is applied to all departments across the government and is in the midst of being updated. The new policy is expected to bring performance monitoring and evaluation closer together and attempt to increase the flexibility with which it can be applied in different contexts.

Responsibility and scope of work

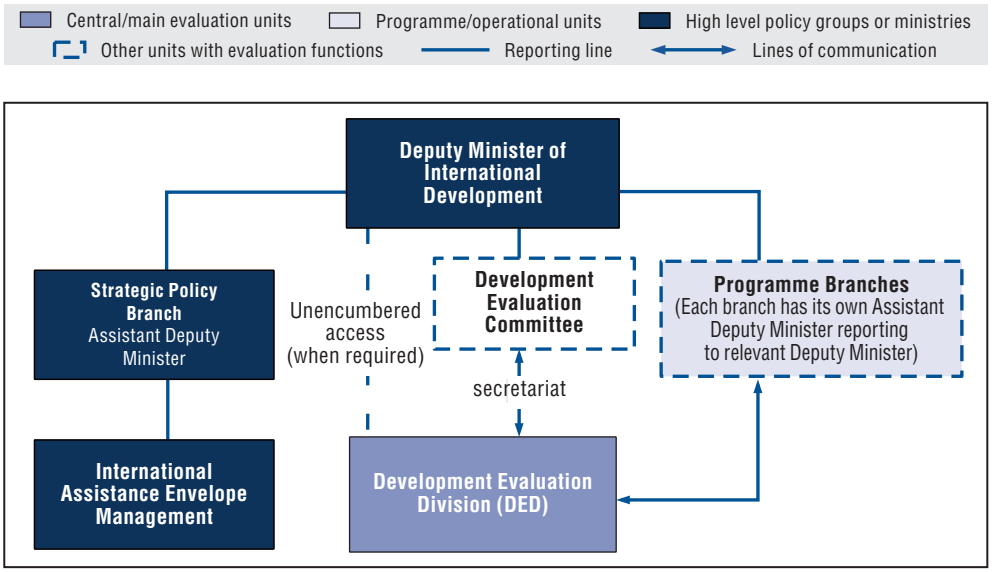
The DED's responsibilities cover:

- developing the Evaluation Plan which focuses on corporate evaluations, but also includes the decentralised evaluations planned by Programme Branches
- ensuring neutral, rigorous and cost-effective corporate development evaluations
- disseminating evaluation knowledge across the Department to promote organisational learning
- instituting a systematic approach to track the implementation of recommendations in management response and action plans
- providing technical advice, training and quality assurance services to Branches
- revising and advising on the accountability and performance provisions to be included in Cabinet documents
- ensuring continuous access to external qualified evaluation consultants
- developing and maintaining beneficial strategic alliances with key stakeholders internally and externally
- supporting the Development Evaluation Committee to ensure effective governance and oversight.

While Programme Branches fund and manage their own project-level evaluations, the DED provides technical advice and quality assurance services for them. The decentralised evaluations are at times jointly, co-managed with other donors and/or development organisations.

All, or part, of corporate and branch-led evaluations are usually contracted to external consultants. Evaluations are always carried out in collaboration with DED.

Organisational Structure and Reporting Lines



The Head of Development Evaluation reports to the Director-General of the International Assistance Envelope Directorate (IAED) who subsequently reports to the Assistant Deputy Minister of the Strategic Policy Branch. The International Assistance Envelope is a dedicated pool of resources that enables the Government of Canada to deploy its international assistance nimbly and responsively. The IAED determines international assistance priorities and make broad funding decisions. As per the Policy on Evaluation, the Head of Evaluation has unencumbered access to the Deputy Minister in charge of development co-operation in Global Affairs Canada, as required.

As per the Policy on Evaluation, Global Affairs Canada has a Development Evaluation Committee which is assigned the responsibility for advising the Deputy Minister on all development evaluation and evaluation-related activities of the department. It is chaired by the Deputy Minister, supported by the Head of Evaluation on evaluation matters and structured with specific roles and responsibilities.

The Committee comprises external experts and senior executives who are appointed by the Deputy Minister on the advice of the Head of Development Evaluation. While the Committee functions as an advisory body to the Deputy Minister on development evaluation activities, the Committee supervises the DED as its secretary. The Committee gives external expertise and perspectives to strengthen evaluation-related deliverables, serves to help ensure neutrality and an additional layer of quality control. For instance it provides independent review and advice on evaluation and recommends approval of final evaluation reports. The Committee also helps leverage evaluation results to strengthen policy and programming, and position the department's development evaluation approach within a broader international context, and reviews of the adequacy of the resources allocated.

The Development Evaluation Plan covers five years and involves various actors in the formulation process. Programme Branches review the units of accountability to be evaluated and negotiate the appropriate timing for evaluations within the five-year period, taking into account programme realities and the context in implicated countries. Policy makers help identify thematic areas requiring evaluation and advise on the prioritisation of other evaluations. At senior management level, all Assistant Deputy Ministers are required to approve their Branch-specific evaluations noted in the overall plan and the final plan is then approved by the Deputy Minister.

Types of Evaluation

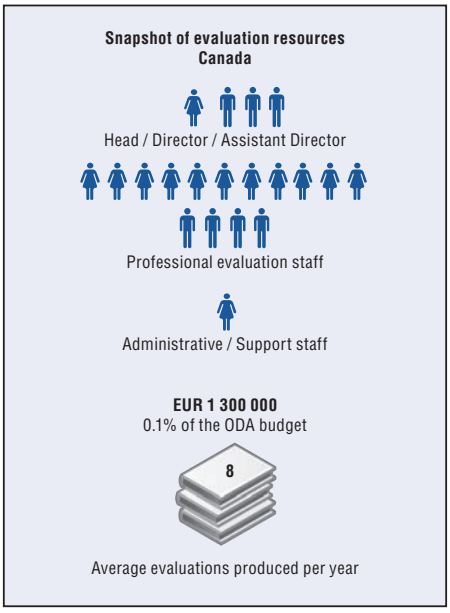
According to the Evaluation Plan for the past three years, the types of evaluation the DED carries out cover: country/regional programme evaluation, thematic evaluations, and reviews of the development effectiveness for multilateral organisations. DED follows the OECD DAC Principles for Evaluations of Development Assistance (for instance, in addition to the Treasury Board Secretariat (TBS) Policy on Evaluation requirements, the DED also considers the sustainability criteria laid out in the said principles).

Resources

After the organisational restructure, the number of staff has been maintained. The DED has 19 full-time positions in total.

According to the Five-Year Development Evaluation Work Plan 2015-2016, in order to carry out the planned evaluations of the year, CAD 2 million for FY 2015-2016 is budgeted from a separate corporate budget for centralised evaluations, while decentralised evaluations are funded within the programme budget. For centralised evaluations CAD 1.7 million is allocated for the salary of 19 full-time equivalents.

Principles of Evaluation



Independence

The DED is part of the Strategic Policy Branch and free from the operations branches and the decision-making process. The Head of Development Evaluation is given a direct access and reporting line to the Deputy Minister of International Development. The aforementioned Development Evaluation Committee provides independent review and advice on development evaluation, which ensures neutrality of evaluations.

Competence and capacity building

Training and retention of trained staff is a priority. The DED has identified the need for more experienced evaluators due to the increasing complexity of the evaluations. The DED is considering engaging in an external designation or accreditation scheme for measuring the competence of the staff and exploring this issue with the broader Federal Government and the evaluation community.

Transparency and participation

Transparency is considered highly important in Canada and various efforts have been made since 2011. An Open Data Portal was launched, which made statistical data and other information on Canada's international assistance available. As a member of International Aid Transparency Initiative (IATI) and Open Government Partnership, Canada is now also committed to broadly publicising more information on its development co-operation activities and results. However, not all decentralised evaluations are made available publicly and their dissemination is at the discretion of those who commissioned the evaluation.

All evaluations include recommendations. It is mandatory that management responses be provided for each recommendation and made public. They must include concrete and time-bound actions. Accountability for ensuring that actions are completed is at the Assistant Deputy Minister level, with ongoing monitoring by the Deputy Minister.

Knowledge management

The Global Affairs Canada website makes a wide range of information on Canada's development co-operation activities available. It includes documents such as country strategies, evaluation reports, plans and dissemination materials such as newsletters, photos, videos and an interactive map of projects funded by Canada.

Co-ordination with donors and country recipients

Canada has participated in joint evaluations with other bilateral and multilateral organisations actively. Since the previous study, Canada participated in joint evaluations led by European Commission and the Netherlands. It also funded and jointly managed evaluations with multilateral organisations such as the current H4+[1] Joint Programme Canada and Sweden (Sida) 2011-2016. The DED is actively engaged in the evaluation community as well. Not only in OECD DAC, but the DED is also a member of MOPAN's Technical Working Group and Steering Committee and promotes an integrated methodology to assess the development effectiveness of multilateral organisations. Canada's ongoing relationship with the Nordic+ Evaluation Group and 3ie (a network on impact evaluation) will continue.

Externally, the DED is aware of increased engagement with developing country evaluation functions, but evaluation capacity building is not part of the official responsibility of the DED.

Quality assurance

DED provides the Programme Branches with the quality assurance in managing and implementing evaluations based on the OECD DAC Quality Standards for Development Evaluation. It has a team dedicated to provide support to those carrying out decentralised evaluations in reviewing Terms of Reference, work plans, evaluation reports, and management responses. The Evaluation Committee also functions as an external layer of quality control.

Notes to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

1. Joint Partnership of UN Agencies Working Together to Improve Women's and Children's Health.

Czech Republic

Development Cooperation & Humanitarian Aid Department, Ministry of Foreign Affairs (MFA)

Evaluation Mandate

The Czech Republic was the first Central European country to become an OECD member state in 1995. It was approved as the 26th OECD DAC member in 2013 following a review conducted by the OECD DAC in 2006.

The Act on Development Cooperation and Humanitarian Aid was passed in 2010, which provided the Ministry of Foreign Affairs (MFA) with the mandate to co-ordinate Czech development co-operation and conduct evaluations. The Czech Development Agency (CzDA) was also established by the Act.

The Development Co-operation Strategy of the Czech Republic 2010–2017 sets out the strategic framework and the functional details of monitoring and evaluation of Czech development assistance. The Strategy outlines that evaluations provide feedback and are to be considered during the preparation of new programmes or projects and to inform decisions on the allocation of additional funds in a given country or sector. The Project Cycle Methodology for Bilateral Development Projects complements the Act and serves as the reference document for evaluation activities. The new Strategy is being produced for the post-2017 period and will replace the current one.

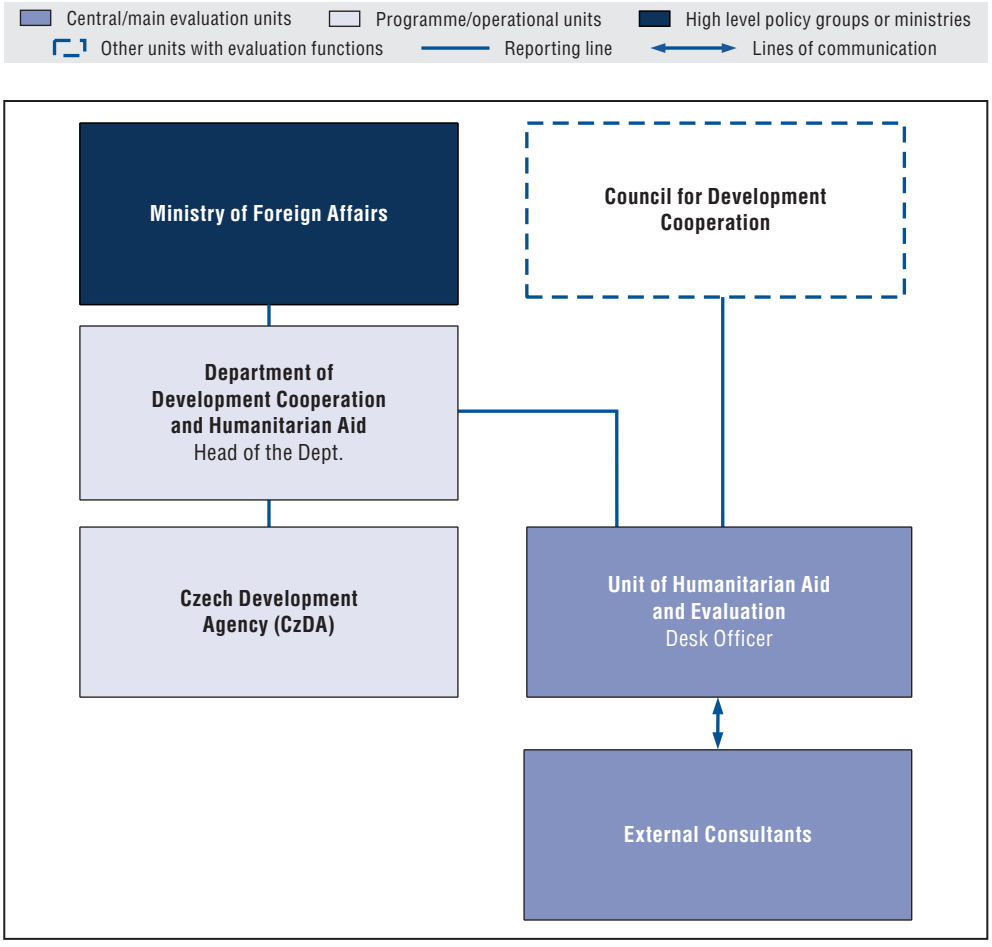
Responsibility and scope of activities

The evaluation function is embedded in the Department of Development Cooperation and Humanitarian Aid. This Department comprises three units: the Unit for Bilateral Development Cooperation, the Unit for Multilateral Development Cooperation, and the Humanitarian Aid and Evaluation Unit. The Desk Officer for Evaluation is responsible for evaluation of the projects and programmes carried out by the CzDA and the MFA, as well as by other relevant partners. However, as all projects and programmes evaluations are outsourced and internal human and financial resources are limited, the Desk Officer's responsibility is primarily the management of evaluations of individual or sector-specific groups of projects, programmes or sectors of bilateral development co-operation. The evaluations performed for strategic purposes are also partly conducted by external consultants.

Organisational Structure and Reporting Lines

The Desk Officer for evaluation reports to the Head of Department, who reports to MFA senior management.

The Council for Development Cooperation ensures inter-ministerial co-ordination and coherence of the goals and priorities of development co-operation and other instruments of government policy. The Council sets up Working Groups for various specific activities in development co-operation, including evaluations. The Evaluation Plan is prepared annually in collaboration with the MFA, the Council and the CzDA to reflect the policy needs and management priorities of Czech bilateral ODA. The Evaluation Plan is approved by the Council and by MFA senior management. The Desk Officer is the focal contact point for external consultants.



Types of Evaluation

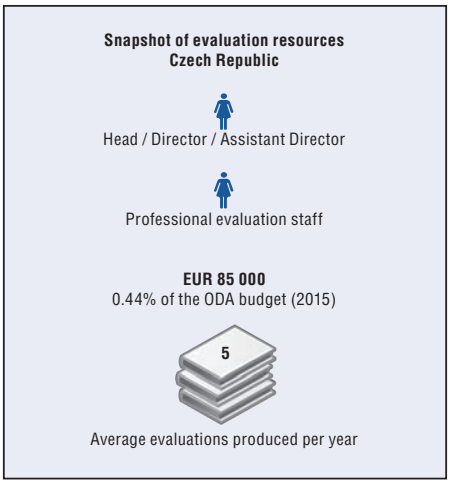
- Thematic/cross-cutting evaluations Sector-wide evaluations
- Programme evaluations
- Project/activity evaluations

The OECD DAC criteria are applied, as well as cross-cutting principles of the Czech ODA. In 2014, the MFA conducted four sector evaluations of development activities, one project evaluation and one meta-evaluation, which analysed 20 evaluation reports from 2012 to 2013.

Resources

The evaluations have a separate budget line and are prepared as part of the Annual Plan for Development Cooperation. The separate budget line provides for evaluation tenders. CZK 5 million is allocated per year in 2016 and 2017.

The Desk Officer is the only employee working in the field of evaluation, although evaluation is not their only responsibility.



Principles of Evaluation

Independence

The Department responsible for the evaluation function and the implementation agency CzDA are separate departments that report into the same management structure. Although there is no structural independence, external consultants are contracted based on public tenders. Evaluators are required to provide a written declaration of independence.

Competence and capacity building

When the Czech Republic began undertaking evaluations, in order to strengthen evaluation capacity, a Czech official was seconded to the UNDP Bratislava Regional Office. The capacity of evaluation is now being built through training, as well as the learning-by-doing approach. Moreover, general evaluation training for local evaluators is provided by the Czech Evaluation Society (EPDET) in collaboration with a specialised NGO (Czech Forum for Development Cooperation financially supported by the MFA).

Transparency and participation

To enhance accountability and transparency, all evaluation reports on individual ODA projects are published on the MFA website in Czech and English. Evaluation plans are published on the MFA website. The evaluation plan for 2016 has recently been approved and published. Information on ODA projects per country, co-operation arrangements with other donors, and the legislation framework are made public through the MFA website. Social media and blogging are also used as a means of dissemination.

Knowledge management

Evaluation results are published and shared via internal communications channels, the MFA website, reference groups within the MFA, and presentations. The evaluation reports are forwarded by the evaluation unit to the MFA management and the Council for Development Cooperation. Moreover the evaluation unit produces an annual report of evaluations for the preceding year and presents the findings to the MFA. When relevant, the MFA and the CzDA directly implement recommendations from evaluations, and adjustments are made to the Project Cycle Methodology and other relevant documents. All relevant participants in partner countries are also informed via e-mail about the publication of evaluation reports/summaries on the MFA website in English.

Co-ordination with donors and country recipients

One joint evaluation has been conducted with the MFA of the Slovak Republic.

Quality assurance

To ensure quality, a Reference Group is organised for each evaluation. It consists of representatives from the MFA, the CzDA, as well as experts from other Ministries (related to the evaluation), and an independent expert on evaluation methodology (Czech Evaluation Society). In addition to the Reference Group, the Working Group for evaluations under the Council for Development Cooperation provides comments and general meetings with the Council itself take place at the end of the evaluation cycle. A meta-evaluation of the evaluation system was carried out in 2014, as well as an independent peer review by the Czech Evaluation Society.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Denmark

Evaluation Department (EVAL),
Danish International Development Agency (Danida)

Evaluation Mandate

Danish development co-operation is evaluated by the Evaluation Department (EVAL) located in the Ministry of Foreign Affairs (MFA). Its primary task is to plan, design and implement evaluations of development co-operation implemented by Danida. EVAL disseminates evaluation results and lessons internally and externally.

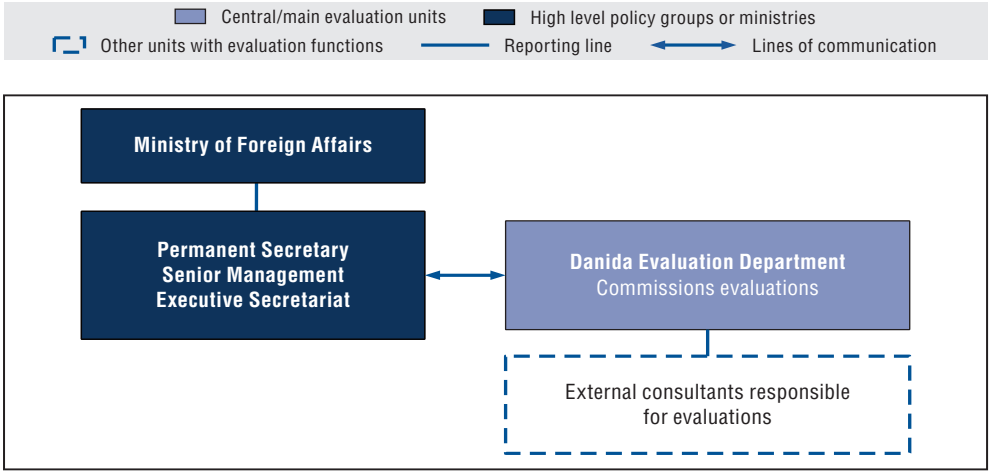
The Evaluation Department contributes to policy and strategy development in Danida by providing information on experiences gathered through own and other donors' evaluations. Furthermore, it is responsible for the support provided to development research.

In 2014, the Evaluation Department announced that new approaches to evaluation would be tested in the coming years, including improving evaluability of development aid interventions by the systematic use of the theory of change (ToC) in programme design and evaluation, and introduction of real-time evaluations (RTE). A peer review was commissioned by the Evaluation Department in 2014 to perform a review of the work of the department, its policies and guidelines, including the above foreseen changes, with a view to improve the quality and impact of Danish development assistance (Danida 2014a, Danida 2014c).

The result of this process was the release of a new Evaluation Policy in February 2016 (Danida 2016) which sets out the objective and mandate of the Evaluation Department. The policy signals a move towards broader evaluations, covering topics such as development and trade, development security, the development climate, and the incorporation of the Sustainable Development Goals into evaluation work. The policy stresses the importance of strengthening evaluability in the design and programming phase, strengthening of learning and management response processes, as well as strengthening of the quality procedures. The policy is expected to be reviewed in 2017.

In addition to the policy, the Evaluation Department is revising the Danida Evaluation Guidelines from 2012 (Danida 2012a). These guidelines address in more detail procedures, processes and issues on methodology, transparency and quality assurance.

Organisational Structure and Reporting Lines



The evaluation function is placed in the MFA, whereas Danida is the implementing agency of Danish development co-operation. The Evaluation Department reports to the Minister of Foreign Affairs (MFA) through the State Secretary for Development Policy and is independent of the operational functions of the MFA.

A two-year rolling evaluation programme is produced by the Evaluation Department in close consultation with the operational departments and embassies. The draft programme is reviewed and, if necessary, activities prioritised in discussion with senior management and the Council for Development Policy. The programme is published on the MFA home page for public hearing. The Minister and the Parliament also have opportunity to comment and propose amendments to the draft. Finally, the programme is approved by the Minister responsible for development co-operation and forwarded for comments to the Foreign Policy Committee of the Parliament.

Senior management meets twice a year for an Evaluation Meeting, which has been established in order to increase the focus on evaluation results and promote institutional learning. Issues related to evaluation, including the evaluation programme, general learnings from evaluations, and follow-up to evaluations are discussed during these sessions (Danida 2016).

Types of Evaluation

- Thematic evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Real-time evaluations

The evaluation policy and guidelines underline a commitment to the OECD DAC criteria for development evaluation. The criteria are used as a tool in the evaluation process to ensure that the evaluation covers issues of importance to answer the essential questions of any evaluation: what worked, what did not work, and why, and what next? Other criteria such as coherence and co-ordination are added when considered to be of specific interest to the subject of evaluation, for example fragile contexts and humanitarian assistance.

Real-time evaluations (RTE) have been introduced to enhance learning and encourage the efficient adaptability of programmes. An RTE is an independent, external evaluation process that runs in parallel to a programme, while this is being implemented, and regularly makes evaluation findings available for the ongoing implementation (Danida 2016).

Resources

The Evaluation Department has a staff of five professionals. They annually manage six to eight major evaluations and several minor evaluation studies.

The evaluation of the entire portfolio of Danida development aid is under the mandate of the Evaluation Department and may be subject to evaluation. Typically, around 8-10% of the annual Danish bilateral development aid budget is evaluated at various levels (Danida 2014c).



Danida centralised evaluations are financed through the evaluation budget and focus on impact and sustainability. Programme reviews are financed through the operations budget and assess technical and operational issues. Programme reviews are carried out by the Technical Advisory Services.

Six evaluations are expected to be finalised in 2016 and another six to seven initiated. In addition to this, a number of RTEs of Danida country programmes and evaluation studies will be undertaken (Danida 2015a).

Principles of Evaluation

Independence

Independence is ensured through the organisational setup of the Evaluation Department. The Head of the Evaluation Department reports directly to the Minister responsible for Development Cooperation through the State Secretary. External evaluators conduct all evaluations and an important function of the Evaluation Department is to protect the evaluators from undue pressure from stakeholders, including implementing partners and staff at the MFA. The introduction of new tools and tasks, namely ToC and RTE, means that the Evaluation Department will be working more closely with operational units. To ensure independence of the evaluation, the evidence base and analysis is sound, improving the credibility of findings based on methodologies that can be tested.

Competence and capacity building

All staff participate in courses to strengthen knowledge about evaluation methodology and processes. Operational staff have received training in the development of ToC and results frameworks to facilitate and support implementation, monitoring and evaluation. The Evaluation Department supports partner countries in attending international training programmes and specific courses through the Danida Fellowship Center.

Transparency and participation

The Evaluation Policy and the Danida Evaluation Guidelines highlight the importance of transparency both in the organisational setup for each evaluation, as well as for the external dissemination of evaluation results. All evaluation reports and studies are published on the Evaluation Department's and the MFA's websites (*www.openaid.um.dk/en*). Additional dissemination products are produced for the wider public in order to support transparency. This includes the use of social media to reach a broader audience.

A formalised management response system is in place for all evaluations. The responsible operations unit co-ordinates the management response and follow-up to the evaluation. The follow-up actions of the evaluation are discussed in evaluation meetings headed by the State Secretary for Development Cooperation (Danida 2016).

Knowledge management

Further to the publication of all evaluation reports and studies, annual reports and evaluation programmes are also published online for internal and external use. A tool for knowledge management is the bi-annual newsletter 'Eval News', providing relevant information from the Evaluation Department on finalised, ongoing and upcoming evaluations, events, and news on evaluation policy and methodology. To support continued development and learning, the Evaluation Department has the option to commission

follow-ups to evaluations. This is an instrument designed to improve the evaluability of an existing programme, providing assistance to implementation teams in defining results and success (Danida 2016).

Co-ordination with donors and country recipients

Denmark participates actively in joint evaluations. Over the past five years, approximately five joint evaluations have been carried out with evaluation offices of other development agencies and organisations. Partner countries are systematically informed about evaluation work plans and preparations. They participate in the design of evaluations and are always part of the reference groups when relevant. Based on the objectives of the UN 2030 Agenda for Sustainable Development, the new evaluation policy stresses that learning and accountability in partner countries is an objective of evaluation. The Evaluation Department therefore intends to:

- involve development partners in planning, implementation and use of concrete evaluations
- conduct joint evaluations with partners with partners in the lead
- support dedicated training of partners from developing countries though support for international training programmes
- support development of evaluation methodologies and their use and ensure that knowledge and evidence produced are made freely and easily accessible (MFA 2016).

Quality assurance

Danida makes a distinction between quality assurance and quality control. Quality assurance is the responsibility of the contracted evaluation team and the standards are laid out in the technical bid. The Evaluation Department conducts quality control of all evaluations throughout the evaluation process. The Evaluation Department frequently makes use of evaluation reference groups and external peer reviews to improve the quality of the evaluations.

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European Bank for Reconstruction and Development (EBRD)

Evaluation Department (EvD)

Evaluation Mandate

The EBRD has introduced significant changes to its evaluation function since 2010. With the appointment of the current Chief Evaluator, the emphasis was placed on ensuring the rigour of evaluations undertaken by the Bank. A new evaluation policy was introduced and approved in 2013, replacing the existing policy update from 2010.

The EBRD Evaluation Department (EvD) is mandated to evaluate the performance of the Bank's completed projects and programmes. It systematically analyses the results of both individual projects and wider themes defined in the Bank's policies. The core objective of evaluation is to contribute to the Bank's legitimacy, relevance and to superior institutional performance. To achieve its core objective, the EvD fulfils two primary functions:

- It provides a critical instrument of accountability through objective, evidence-based performance assessment of outputs and outcomes relative to targets.
- It contributes to institutional learning for future operations by presenting operationally useful findings.

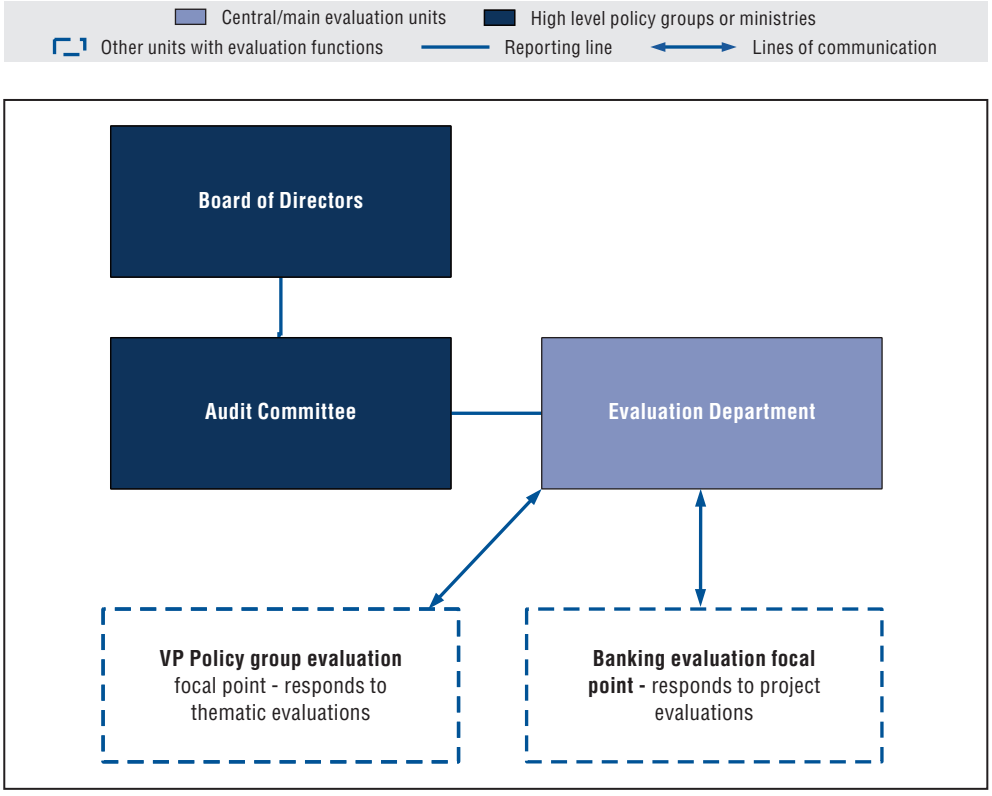
The 2013 policy defines the scope and objectives served by the evaluation function in the EBRD. The policy outlines the evaluation-related activities and responsibilities of the Evaluation Department (EvD), Management, and the Board of Directors (the Board) and any subordinate bodies designated by the Board. It sets out the principles guiding evaluation in the EBRD and the specific internal roles and responsibilities required to accomplish effective evaluation. It describes the process for obtaining a management response to evaluation findings, accessing information, use of findings, internal circulation and external disclosure. In addition, it sets out important role of the Chief Evaluator, the EvD work programme and budget, and the EvD staff (EBRD 2013a). The policy was shortened significantly primarily by stripping out the guidelines and procedures of evaluation making it an accessible and focused strategic document.

Responsibility and the scope of activities

The emphasis of the evaluation function has shifted from that of accountability towards lessons learning. Evaluation is performed through three separate exercises:

- Operation Performance Assessments - the ex-post evaluation of projects is performed by the Operations Team involving a self-assessment of project performance against indicators and targets defined during project inception. The EvD quality assures all these assessments and validates a statistically representative sample of them (see quality assurance). Synthesis reports are produced bi-annually to the insights from the validation exercises.
- Operation Evaluations – an independent exercise that consolidates findings across a cluster of projects, such as specific technology or country. These are performed by EvD staff assisted by consultant technical specialists if necessary.
- Special Studies – strategic studies that are commissioned to inform policy and decision-making based on current Bank priorities, such as gender mainstreaming or the development of a new agribusiness sector strategy.

Organisational Structure and Reporting Lines



The EvD is accountable directly to the EBRD's Board of Directors through its Audit Committee. The Chief Evaluator is appointed by the Board and is not part of the management structure. The main line of communication with the Board is through the Audit Committee, which consists of seven board representatives that have the delegated responsibility to "periodically review and evaluate the functions performed by the Evaluation Department" as part of general strategic oversight of evaluation in the Bank.

The EvD prepares rolling multi-year work programmes of evaluation activities through a consultative process with the Audit Committee, other Board members, Management, and banking staff. The work programme is commented on by Management, reviewed by the Audit Committee, and approved by the Board of Directors.

Types of Evaluation

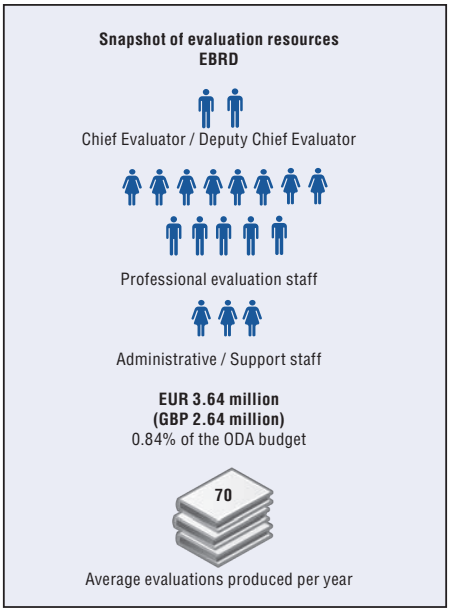
- Thematic evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Policy/strategy evaluations
- Project/activity evaluations
- Corporate evaluations
- Country evaluations (from 2017)

EBRD has developed a performance evaluation framework that makes use of the OECD DAC criteria. The main evaluation criteria are relevance, results, efficiency, and other attributes (including sustainability, client/partner contribution, innovation and merit features).

Resources

The EvD prepares its multi-year work programme and budget. The budget is reviewed by the Audit Committee and the Budget and Administration Affairs Committee, and is then submitted for approval during the Board meeting where the Bank's overall business plan and budget are discussed.

The EvD budget is approximately GBP 2.64 million for the centrally managed Operation Evaluations and Special Studies. The Operation Performance Assessments are funded by the operational department budgets. Roughly 350 evaluations have been carried out during the past five years. As of 2016, the Department has a total of 18 staff, including the Chief Evaluator.



Principles of Evaluation

Independence

The level of structural independence is considered to be very strong in the evaluation operations. Independence is supported through the organisational setup, where the Evaluation Department reports directly to the Board of Directors, through its Audit Committee. Although self-evaluation is primarily used on a project/programme level, the EvD validation of findings and independent assessment of a sample of operations ensure a rigorous system. External expertise is used selectively for the Operation Evaluations and Special Evaluations – all evaluations are normally led by EvD staff. If considered necessary consultants are used for specific areas of technical expertise.

Transparency and participation

An Annual Evaluation Review presents an overview of EvD's deliverables and activities during the previous year, highlighting specific analysis, findings and recommendations, and provides the Board of Directors, Management and the public with an overview of management responses (EBRD 2015b, EBRD 2016). A new tracking system was introduced in recent years, requiring management to provide a structured response to all evaluation report recommendations and develop action plans within 60 days (EBRD 2015b). As a result of the new policy, the EvD distributes evaluation findings more widely and has made efforts to streamline the lessons databank. The modality of self-assessment does not encourage partner participation and joint evaluations have been executed with varied degrees of success, reducing their relevance.

Competence and capacity building

The EvD commissions specialist training for internal capacity building. It provides training for new entrants and core banking staff that will be undertaking Operation Performance Assessments during the year. Training includes the use of the performance assessment framework, project monitoring and results frameworks.

Knowledge management and use of evaluations

EvD has increased its knowledge dissemination efforts and tools, leading to a wider range of evaluation material available to the Board, Management and operations teams. Operation Evaluations are circulated in full to Board and Management; summary versions are placed on the Bank's website. Special Studies are circulated in full internally and are placed on the external website. The presentation of completed special studies to staff is also now standard practice. The EvD has also updated and redesigned its intranet pages to provide a better platform to communicate its work to the Board and Bank Management and staff (EBRD 2015c). A learnings database is driven by learnings derived from all evaluation exercises, and use of the system is increasing. Evaluation reports and evaluation abstracts are distributed to senior management and made available to operational staff through an intranet-based Evaluation Reports Centre.

Co-ordination with donors and country recipients

EvD typically does not undertake joint evaluations. Partner country stakeholders are not involved in the evaluation process.

Quality assurance

To assure quality the Chief Evaluator and/or Deputy reviews all reports before publication. The EvD reviews all Operation Performance Assessments, and approximately 50% of them undergo an in-depth validation. The Evaluation Audit Committee reviews selected evaluations in meetings where all board Directors can participate. The EvD generally follows the Good Practice Standards established by the Evaluation Cooperation Group of multilateral development banks.

In 2015, EvD piloted a new performance rating system with the objective of capturing and explaining results more accurately (EBRD 2014b). In order to ensure quality in their evaluations, the Evaluation Department has appointed an External Advisory Panel of Experts to peer review individual studies, provide expert advice to the Evaluation Department, or develop and deliver customised training. These experts are evaluation professionals and are drawn upon on an intermittent basis to provide input into the EvD's independent studies and advice on strengthening the Bank's evaluation products and processes (EBRD 2016).

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

European Commission (EC)

Evaluation Unit, Directorate General for International Cooperation and Development (DG DEVCO)

Evaluation Mandate

The Evaluation Unit covers the evaluation of the development co-operation policy for the Directorate-General for International Cooperation and Development (DG DEVCO) and the European External Action Service (EEAS). The Evaluation Unit is in charge of the evaluation of the European Union's (EU) co-operation and development programmes in third countries, with the exception of enlargement candidate countries, neighbourhood countries and humanitarian aid. It covers the following regions and their corresponding EC external co-operation instruments: Africa, Caribbean and Pacific Countries (ACP), Asia (including Central Asia) and Latin America.

During the past years, several structural changes have affected the evaluation system.

- In 2015, the Evaluation Unit was strategically placed under the Task Force Knowledge, Performance and Results under DG DEVCO. This reorganisation was a means to ensure a more coherent effort to shift the culture of DG DEVCO to one of learning. DG DEVCO seeks to strengthen the quality of the evidence generated by evaluation, and to use the evidence more systematically in its programming and policy decision making.
- The publication of the Better Regulation (EC 2015a) package in May 2015 introduced several new requirements for "major" evaluations undertaken by the EU: publication of an evaluation roadmap for stakeholder feedback during a period of four weeks; open public consultations for 12 weeks; and development of a Staff Working Document (SWD) for all evaluations that summarises and presents the final results of the evaluation process. These changes therefore directly influence the way centralised evaluations are managed in DG DEVCO.
- Following the 2014 transfer of the Neighbourhood Directorate of DG DEVCO to the former Enlargement Directorate-General, the new Directorate-General for Neighbourhood and Enlargement Negotiations (DG NEAR) established its own evaluation function and the corresponding staff were transferred. As a result, DG DEVCO no longer covers geographical evaluations from the Neighbourhood region, though joint work on thematic evaluations is undertaken.

The DG DEVCO Evaluation Unit works on the basis of an Evaluation Policy (EC 2014b) that covers evaluation of development co-operation in the framework of the EU. It states what is to be evaluated and how evaluation is managed in the EU. In addition to this, the Better Regulation package has set out new guidelines for evaluation (EC 2015b). As per the policy, the mandate of the Evaluation Unit is to:

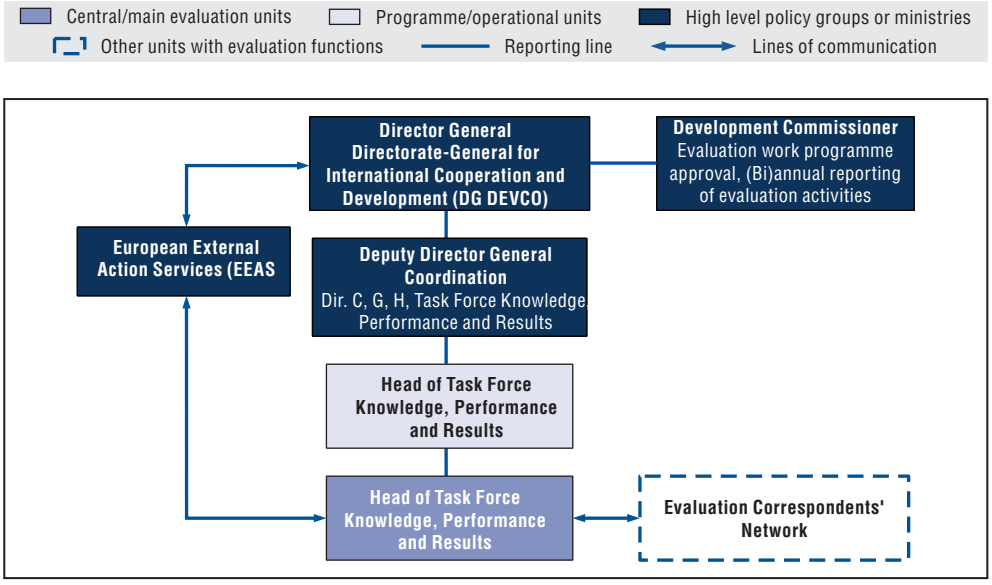
- Provide institutional level co-ordination and ensure the coherence of evaluation activity by:
  - designing the Evaluation Policy for EU development co-operation,
  - setting the procedures for evaluation planning, management and dissemination,
  - monitoring overall quality, utility and independence of evaluation work,
  - co-ordinating reports to the External Relations Commissioners on evaluations undertaken by EuropeAid
  - meeting regularly with other EU actors to co-ordinate evaluation work.

- Provide support and develop capacities by:
  - developing the necessary tools and methodologies to ensure high quality evaluations
  - developing training and mapping competencies
  - providing methodological support to operational services in charge of project and programme evaluations
  - managing and moderating the network of evaluation correspondents.
- Manage strategic evaluations through the:
  - preparation of the work programme for strategic evaluations, in consultation with EEAS, Delegations and EuropeAid services
  - commissioning, managing and giving final approval for strategic evaluations
  - disseminating and ensuring the follow-up of strategic evaluations.
- Co-ordinate with other stakeholders engaged in evaluation of development co-operation internally and externally (EC 2014b).

In addition to the policy, the Evaluation Unit is working with a set of methodological tools and guidelines.

Organisational Structure and Reporting Lines

Various stakeholders are involved in the evaluation of projects, programmes, policies and instruments across the EU. The Evaluation Unit is an independent unit that, since 2015, has organisationally been part of the Taskforce Knowledge, Performance and Results. The unit is led by the Head of Evaluation, who reports to the Head of Taskforce Knowledge, Performance and Results and to the Deputy Director General of DG DEVCO. The unit manages centralised geographical and thematic evaluations, as well as evaluations of instruments, while programme and project evaluations are decentralised (carried out in the field or by operational units in the headquarters) but are supported and co-ordinated by the Evaluation Unit.



The Evaluation Unit operates on a five-year rolling evaluation work programme. The definition of the programme is based on an extensive, internal consultation process, including bilateral discussions with all DEVCO geographic, thematic and policy directors. The draft work programme also includes consultations with the EEAS and comments from the DGs of NEAR and ECHO. The evaluation work plan is approved by the Development Commissioner, in agreement with the High Representative/Vice-President (HR/VP) and Commissioners for Neighbourhood and Humanitarian Affairs.

The Evaluation Unit is currently managing the Evaluation Correspondents' Network, which was set up in 2014 to improve the quality of project evaluations and to strengthen the evaluation culture in DG DEVCO and across EU Delegations. It brings together those responsible for evaluation across DEVCO (and the EEAS) and facilitates exchange of experiences, ideas, and knowledge generated by evaluation.

At the operational level, EU Delegations and operational units in headquarters are responsible for planning and managing project and programme evaluations. Every unit develops its own evaluation work programme and manages project and programme evaluations.

Types of Evaluation

Centralised strategic evaluations

- Major (incl. instruments)
- Thematic (incl. aid modalities and budget support)
- Geographic (country, regional)
- Sectorial (incl. sector-wide approaches)

Decentralised evaluations

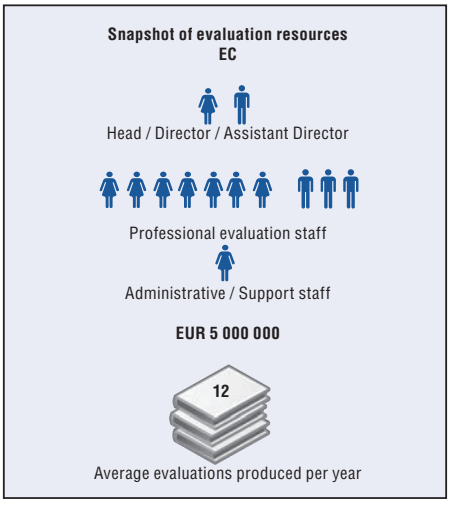
- Project/activity evaluations
- Programme evaluations

DEVCO evaluation work is based on the five OECD DAC criteria. In addition to this, EU added value and coherence are taken into consideration as important evaluation criteria.

Resources

The Evaluation Unit has a staff of 13 full-time employees, which is a reduction over the past five years in line with overall staff reduction targets within the Commission.

Centralised, strategic evaluations are funded through the general EU budget or the European Development Fund (EDF), whereas the decentralised evaluations are funded by operational budgets. For the former, the unit has a budget of around EUR 5 million per year, which has remained stable in recent years.



Principles of Evaluation

Independence

The organisational structure ensures independence: the Evaluation Unit reports directly to the Task Force Knowledge, Performance and Results, without the involvement of operational and administrative units. External consultants carry out all evaluations. Strategic evaluation reports are approved by the Evaluation Unit and are not subject to revision by line management.

Transparency and participation

Evaluation findings, recommendations as well as management responses are published as complete reports and actively shared with partner countries. The Evaluation Unit systematically uses the website, social media, and email to disseminate results internally and externally.

The EC has a formalised management response system in place. The systematic follow-up on management responses is ensured through a fiche-contradictoire, which sets out the recommendations of the evaluation and the action to be taken in response to those recommendations. The progress made in implementing actions is reported in the fiche-contradictoire after a year. The fiche-contradictoire is validated by management and published on the website.

Competence and capacity building

It is the role of Evaluation Unit staff to develop evaluation capacity within the organisation as well as for partner institutions. EuropeAid and the Commission Secretariat General have developed training packages at basic, intermediate and advanced levels, to cover the skills areas needed for evaluation. Staff who manage evaluations should undertake at least basic level training. Staff holding specific posts in evaluation are expected to progress to the advanced level. Additional training is provided for specific methodological areas such as evaluation of budget support and capacity development. In addition to training, EuropeAid and EEAS actively promote exposure to evaluation practice and encourage staff to follow an evaluation as a member of a reference group. In order to further support the work performed on decentralised evaluations, the Evaluation Unit intends to set up an Evaluation Support Service Team (ESST) to function as a help desk and support effective training for external partners. This support function is part of the Evaluation Unit and is covered by its mandate.

Knowledge management

Knowledge management is supported by a public information web portal that contains multi-media materials, allows for the exchange of views and lessons learnt, as well as relevant documents. A specific tool, Eval Module, for further supporting knowledge management is soon to be launched. The Eval Module is an IT application which aims to meet three objectives:

- to improve the quality of evaluations, workflow management with systematic follow-up and accountability for all evaluations conducted by headquarters and EU Delegations
- to create a central repository of evaluation reports to ensure visibility and better use of evaluations findings
- to improve exchanges on project and programme evaluations and to draw lessons.

Co-ordination with donors and country recipients

The Evaluation Unit systematically provides information to partner countries and institutions on work plans and evaluations. Stakeholders from partner countries frequently participate in evaluation reference groups or steering groups.

The EU encourages and undertakes joint evaluations, to align with aid effectiveness priorities and to deliver the EU commitment to increase joint programming and interventions, notably when funds are pooled (e.g. budget support, blending modalities). In this regard, joint evaluations address two major objectives: i) facilitating joint programming and drawing conclusions and lessons to be learned from experiences of joint programming; ii) improving the number and quality of joint actions. Joint evaluations also provide higher strategic conclusions and recommendations. In addition, the EU also encourages when possible the involvement of the partner countries in joint evaluations (notably for budget support evaluations). This is seen as a factor to enhance the ownership and develop a culture of evaluation and expertise locally. The Evaluation Unit has carried out six joint evaluations during the past five years in collaboration with bilateral donors, other multilateral agencies, and partner institutions.

Quality assurance

Quality assurance is applied to the evaluation process and evaluation products, and conforms to the OECD DAC Quality Standards for Development Evaluation. The Evaluation Unit is responsible for ensuring consistency in evaluation by setting standards and approaches and by providing operational guidance and templates. Evaluations are systematically quality assured throughout the entire evaluation process; terms of reference are guided by a template, and approved by the manager of the evaluation manager, each deliverable of the evaluation is reviewed by the evaluation manager, and final reports are published together with an internal quality assessment (EC 2014b). In 2015, a new Regulatory Scrutiny Board was established replacing the Impact Assessment Board. With a broader mandate, the new Regulatory Scrutiny Board will assess the quality of impact assessments and major evaluations conducted by the Commission, provide fitness checks of existing legislation, and issue opinions on reports in line with relevant guidelines (EC 2015c).

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European Investment Bank (EIB)

Operations Evaluation (EV)

Evaluation Mandate

The EIB Group consists of the European Investment Bank and the European Investment Fund. 2015 saw the 20th anniversary of the European Investment Bank's (EIB) evaluation function Operations Evaluation (EV). EV's activities have been extended to all areas of the EIB Group since 2005.

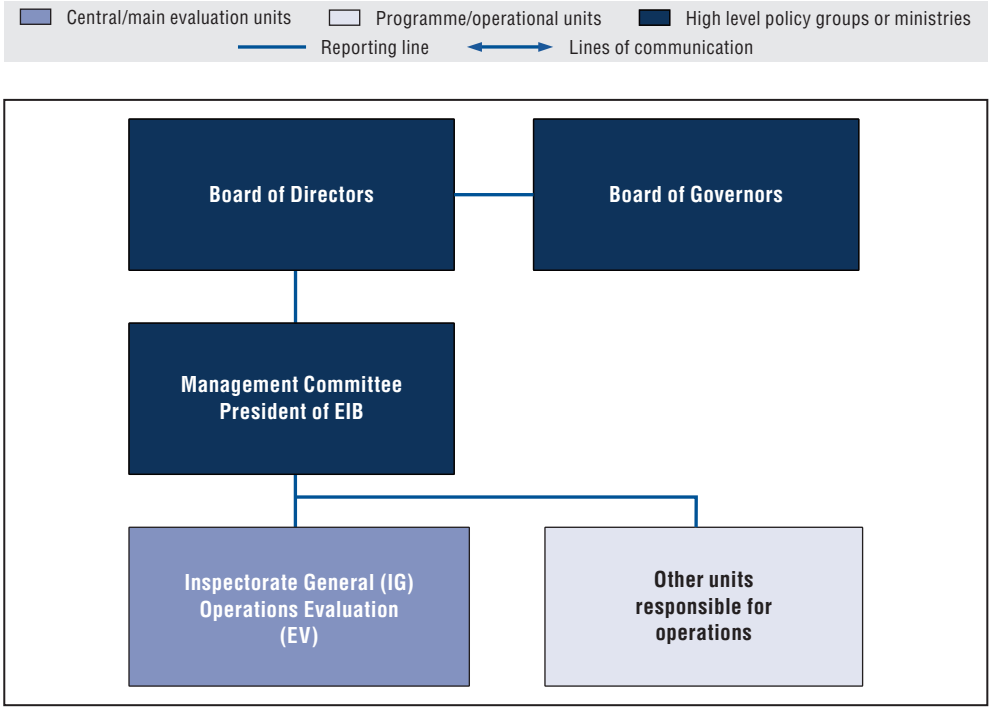
EV carries out independent ex-post and ongoing evaluations often at a thematic level for the EIB Group. The objective of evaluation is to assess the EIB Group's activities with a view to identifying aspects that would improve operational performance, accountability, and transparency.

The evaluation mandate covers both the public and private sector operations supported by the various types of financial resources supported by the EIB group, as well as related policies and strategies. EV may identify aspects of EU policies that may need to be reviewed by the appropriate bodies to enable the EIB Group to improve effectiveness.

Although there is no evaluation policy, the role and scope of EV are elaborated in the Operations Evaluation Terms of Reference.

Organisational Structure and Reporting Lines

EV is positioned under the Inspectorate General (IG) in charge of the four control and accountability functions: Internal Audit, Fraud Investigation, Operations Evaluation, and Complaints Mechanism. The Inspector General has direct access to the Bank's President and the Management Committee. The Head of EV reports to the IG. Evaluation reports, however, are approved only by the Board of Directors.



The work programme is drafted by EV and typically covers a period of up to three years. In this context, interviews with senior management are carried out to collect views and information on recent changes on the Bank's strategy. The Management Committee discusses the draft of the work programme and provides feedback. The Board of Directors discusses and approves the work programme.

Types of Evaluation

In the EIB, evaluations are conducted in a centralised manner. The evaluations are always led by EV and only part of the evaluation is conducted by external experts.

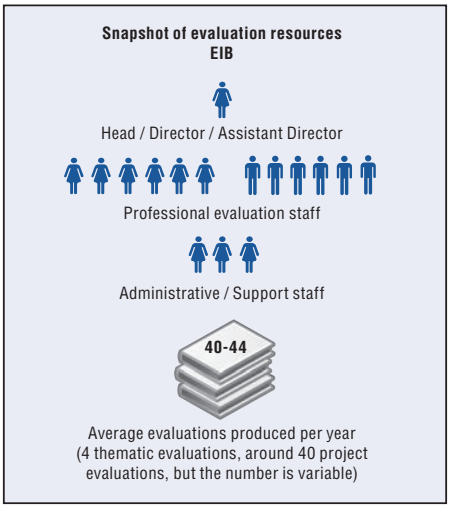
- Thematic/cross-cutting evaluations
- Sector-wide evaluations
- Programme evaluations
- Policy/strategy evaluations
- Project/activity evaluations

For evaluations, EV applies the OECD's widely accepted criteria, including relevance, effectiveness, efficiency, and sustainability. Besides these, due to the nature of the organisation, a special focus is paid to financial aspects. In particular, the EIB's financial and technical contribution to the project compared to other funding alternatives and the Bank's performance in terms of its overall project cycle management are taken into account.

The geographic scope of the evaluation is usually by region or sub-region. Evaluation of projects often takes place 18 to 36 months after the project is completed.

Resources

There are 17 full-time employee equivalents in EV. The Terms of Reference for EV stipulates that it shall have sufficient human resources, on a rotating basis, and financial resources to ensure the fulfilment of its mandate. The budget for EV is under a separate budget line and it is approved by the Board of Directors.



Principles of Evaluation

Independence

Independence was further strengthened when the current Terms of Reference for EV was approved in 2009.

The Head of EV reports to the IG. The IG has direct access to the President of the Bank, to the Audit Committee and to the Board of Directors, reflecting the reporting lines of the different functions under his responsibility. EV is never involved in project formulation, approval, and implementation. The hiring condition and the employment period of the Head of EV are not stipulated in the Terms of Reference. After finishing the term of employment, the Head of EV is allowed to take up another position within the organisation. The EIB

management cannot modify an evaluation report or block its issuance to the Board and EV is autonomous to define the evaluation programme.

Competence and capacity building

Despite the vast volume of the EIB operations, EV is the single evaluation unit in the group and has a relatively small tea, and therefore recognises the importance of staff competence. EV has a budget available for training, but it has been difficult to find relevant trainings that meet its needs and those of a financing institution.

Transparency and participation

Evaluation reports, processes and methodologies are summarised concisely and made available on the EV's webpage.

The EIB management is obligated to provide an official reply to the recommendations produced in the evaluation reports. The management responses are always published with the report. EV periodically reports on the status of the implementation of the recommendations.

EV is responsible for the EIB Group's external relationships related to evaluation in collaboration with the Press Office and Communications Department. In the field of evaluation, EV also co-operates with other international financial institutes, multilateral development banks, the European Commission and bilateral organisations co-ordinated by the OECD.

Knowledge management

The findings, conclusions and recommendations of the evaluations are communicated to operational staff, the EIB Group decision makers and stakeholders. The intranet is also used as a main vehicle to share these learnings.

Co-ordination with donors and country recipients

When feasible, joint evaluations with other institutions could be performed. No joint evaluation has been conducted during the past five years.

Quality assurance

Self-evaluation at the operational levels is often conducted, and the EIB uses self-evaluations to assess its own activities. EV is not mandated to validate self-evaluations of operations due to its limited resource.

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Finland

Unit for Development Evaluation (EVA–11), Ministry for Foreign Affairs

Evaluation Mandate

The Ministry for Foreign Affairs (MFA) manages and co-ordinates most of the Finnish development co-operation programme. Under the MFA, the Department for Development Policy is responsible for providing overall guidance on the implementation, planning and monitoring of Finland's development co-operation policy, and holds direct responsibility for the operational activities for multilateral and civil society organisations development co-operation as well as humanitarian aid. Regional departments are responsible for the implementation of bilateral co-operation. The institutional arrangements and responsibilities for evaluation are defined in the Decree on the Ministry for Foreign Affairs 550/2008(1280/2013) and the Evaluation Norm 1/2015. The Unit for Development Evaluation (EVA-11) is an independent administrative unit formally responsible for the development of the evaluation system, commissioning large-scale evaluations, and ensuring its effective use.

Responsibility and scope of activities

According to the Decree on MFA and the Development Evaluation Norm, EVA-11's responsibilities include (MFA 2015):

- implementation of centralised evaluations, e.g. strategic and policy-level evaluations concerning development policy and development co-operation
- evaluation guidance concerning development policy and development co-operation
- capacity building and training
- dissemination of information on evaluation results
- overall development of the evaluation function of development policy and development co-operation, and participation in international evaluation networks and joint evaluations.

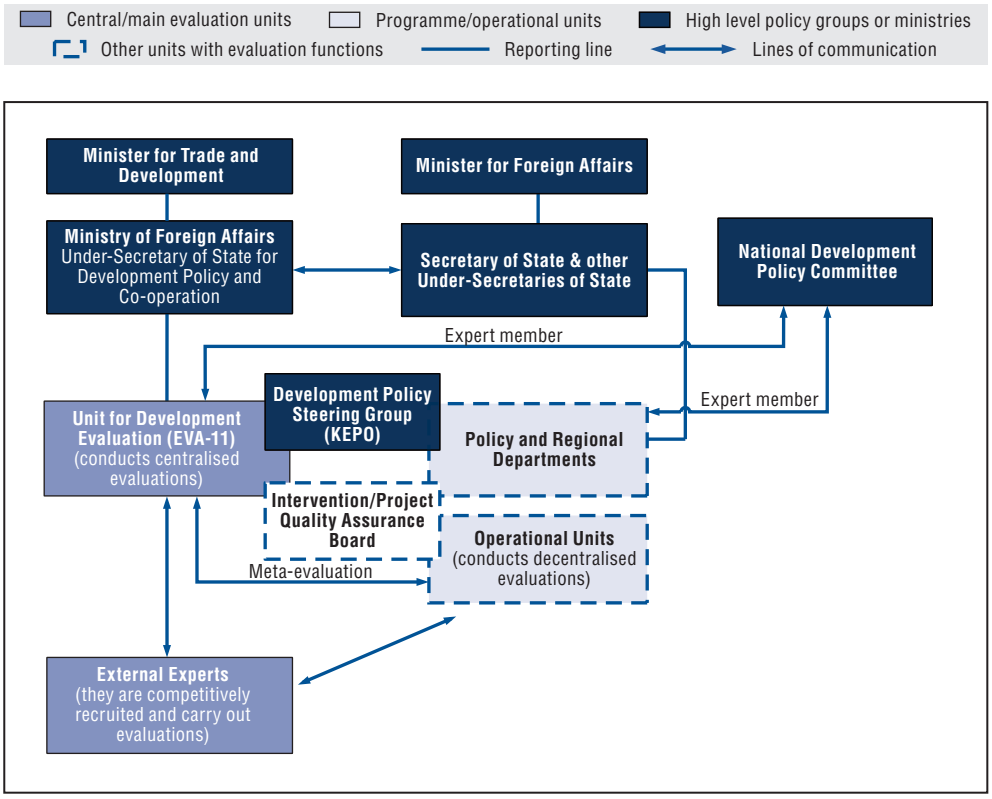
A combination of centralised and decentralised evaluations is used to measure performance at different levels. EVA-11 undertakes comprehensive and strategic evaluations to assess policy effectiveness, country strategies, financing instruments, processes, results, theme or sector-based programmes, and partner programmes (MFA 2015b). The decentralised evaluations conducted by the operational units focus on project or programme performance (e.g. appraisals/ex-ante evaluations, mid-term and final evaluations).

Organisational Structure and Reporting Lines

EVA-11 became an independent administrative unit in January 2014 and reports to the Under Secretary of State for Development Cooperation and Development Policy.

The evaluation unit is part of the Intervention/Project Quality Assurance Board of the MFA. EVA-11 is expected to ensure that evaluations are used for intervention planning, that the evaluability is high and that an initial evaluation plan is integrated in the funding proposal. Furthermore, EVA-11 is also part of the Development Policy Steering Group of the MFA and an expert member of the national Development Policy Committee to facilitate participatory evaluation planning and provide advice on evaluation-related issues. The planning cycle covers three years, the first of which is elaborated in detail. The ministry-level evaluation plan is prepared by EVA-11 in co-operation with policy makers, senior management, as

well as implementing units. The evaluation plan is discussed with the Development Policy Steering Group (KEPO) and later presented to the Under Secretary of State for approval. Both centralised and decentralised evaluations are included in the plan. The practical planning of the decentralised evaluations is done by the implementing units themselves.



Types of Evaluation

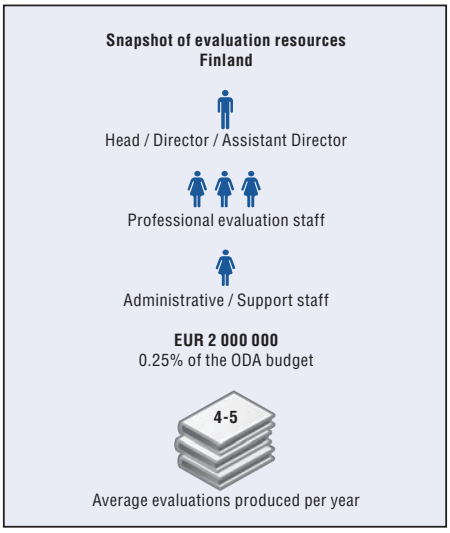
Finland applies the criteria and standards of the OECD DAC and the EU in all centralised and decentralised evaluations. The commissioner of the evaluation specifies what evaluation criteria should and should not to be applied in the Terms of Reference for each evaluation.

- Thematic/cross-cutting evaluations
- Sector-wide evaluations
- Programme evaluations
- Policy/strategy evaluations
- Project/activity evaluations

Resources

EVA-11 is currently staffed by five full-time evaluation staff. Within EVA-11, some of the full-time positions are staffed by secondees from other departments. Centralised evaluations are funded through a specific budget, while decentralised evaluations are included in the programme budget. The indicative evaluation plan and budget are included in the project proposal stage.

During the past 5 years, 15 ex-post, 5 evaluability assessments, 2 process, 1 real-time, and 3 other type of evaluations were conducted. From 2016, EVA-11 resources will be reduced by 20%. This will result in a decrease in evaluation conducted per year from 4 or 5 to between 1 and 3.



Principles of Evaluation

Independence

Independence of EVA-11 is supported by the direct line of reporting between EVA-11 and the Under-Secretary of State for Development, as well as by a definition of responsibilities of the evaluation unit in the Decree on the Ministry for Foreign Affairs. All evaluations are conducted by external consultants and potential conflicts of interests are strictly assessed. The evaluation unit is responsible for the overall management of centralised evaluations. However, the decision-making mandate for the overall budget for human and financial resource rests with the MFA.

Competence and capacity building

EVA-11 organises evaluation training for the MFA staff located in Helsinki and provides web-based learning also for the staff in local embassies, as well as development partners. This is done in collaboration with the MFA Staff Development Unit. A training plan is produced and regularly updated. The EVA-11 provides help desk support to other operational units and embassies with evaluation issues.

Transparency and participation

Finland is committed to the International Aid Transparency Initiative (IATI) and promotes transparency and openness of information. According to the evaluation norm (1/2015), all evaluation reports are made available on the website. Public presentations are organised when more comprehensive and strategic evaluations are conducted. These presentation and related materials are also available on line on the MFA website. Policies, guidelines and plans, including the evaluation manual, evaluation norm, and evaluation plan are also publicly accessible although some of them are only available in Finnish (see references for document links).

A management response is provided to all evaluations carried out by the MFA. The response to centralised evaluations is produced by a working group that represents the responsible departments or units. The Evaluation Unit acts as a secretariat, facilitating the

work and following up on the implementation of the recommendations. The Chair of the working group takes the prepared response, actions and status to the Under Secretary of State for her formal approval.

The decentralised evaluations use the management response as part of the management cycle of the project. It is discussed with the steering groups/management groups of the relevant programmes, or included in the preparation of the following phases of the programme.

Knowledge management

All programme-related and evaluation-related documents are managed and stored in the internal information management system. A database specifically for the purposes of sharing information on evaluations is under development. The database will include a search function using key words and other parameters to ensure that information is accessible to different departments, stakeholders and citizens.

When conducting actual evaluations, all stakeholders are requested to support in the collection of documents and other materials for the evaluation.

Co-ordination with donors and country recipients

Finland has conducted two joint evaluations in the past five years with the EU and Sweden. The MFA advocates for the development of evaluation capacity in partner countries and their participation in joint evaluations as equal partners. Two partner-led evaluations were conducted in 2012, and the use of country systems in development co-operation was assessed with counterpart evaluation bodies in 2015. EVA-11 promotes the improvement of the evaluation function through participation in international networks and conferences.

Quality assurance

All evaluators are required to follow the clear guidelines on quality assurance and they are often requested to attach a quality assurance report. EVA-11 does not assess individual reports, but encourages the managers to make use of peer reviews instead.

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France

Evaluation and Knowledge Development Unit (EVA), French Development Agency (AFD)

Evaluation and Performance Unit (EVA), Directorate General for Globalisation, Culture, Education and International Development (DGM), Ministry of Foreign Affairs and International Development (MAEDI)

Development Activities Evaluation Unit, Treasury Directorate General (DG Treasury), Ministry of Economy and Finance

Evaluation Mandate

France's Development Assistance evaluation system is divided among three main actors:

- **The Evaluation Unit at the Ministry of Foreign Affairs and International Development (MAEDI),** attached to the Directorate General for Globalisation, Culture, Education and International Development (DGM). The Evaluation Unit primarily conducts strategic evaluations of assistance provided through DGM, methodological support to other departments and development of evaluation culture via partnerships.
- **The Evaluation Unit for Development Activities of the Directorate General of the Treasury (DG Treasury)**, which reports to the head of the Department of Multilateral Affairs and Development. The Evaluation Unit is responsible for conducting and managing evaluations of development activities undertaken by the Ministry of Economy and Finance (French contributions to multilateral organisations, projects and programmes).
- **The Evaluation Unit at the French Development Agency (AFD)**. AFD is the primary implementing agency and houses the Evaluation and Knowledge Development Unit (EVA). The Evaluation Unit is responsible for: *i)* defining evaluation methods and the quality assurance process; *ii)* managing the production of impact analyses of some of the programmes AFD supports; *iii)* managing thematic or strategic evaluations; and *iv)* carrying out meta-evaluations and developing a knowledge base on specific topics.

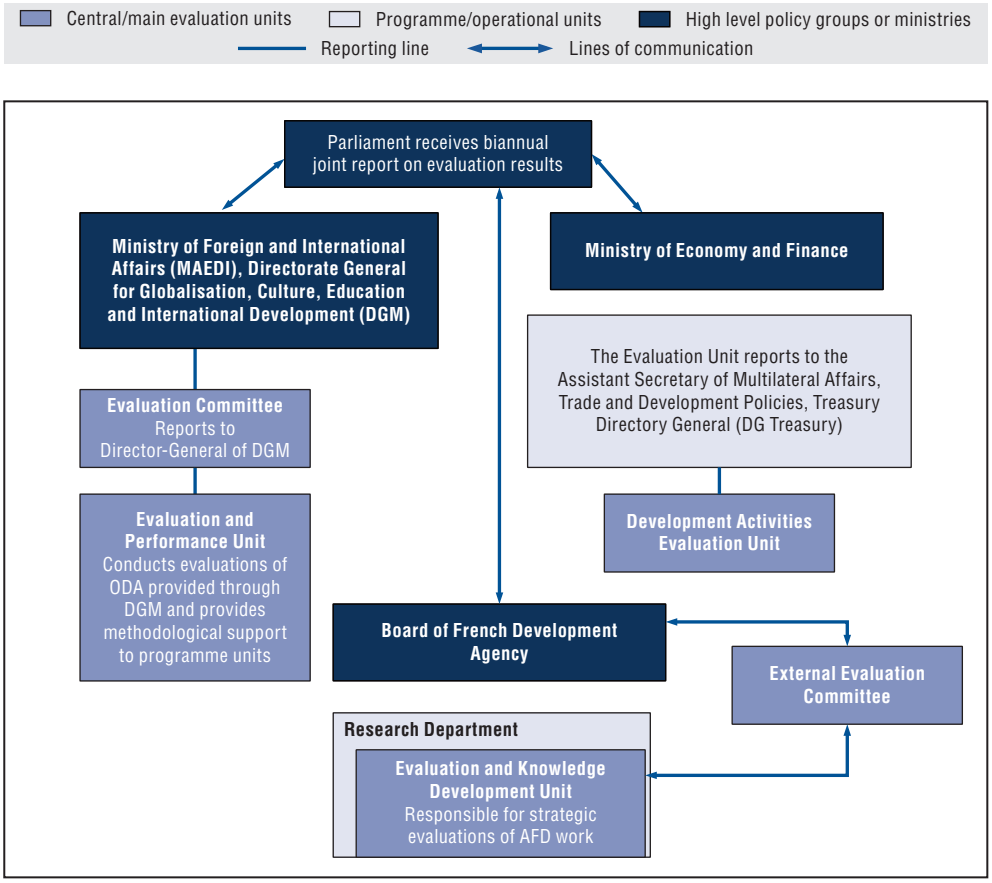
All three units have similar protocols for managing, implementing and disseminating evaluations and evaluation results. The three units work together to create a joint and co-ordinated evaluation programme and many evaluations, notably evaluations of cross-cutting issues, are managed jointly by the three units. A joint report on development policy and international solidarity, including a synthesis of related evaluation results prepared by the three units, is submitted by Government to Parliament.

AFD released an updated Evaluation Policy in October 2013, building on the 2010 French strategy for development co-operation, and the framework document AFD Strategic Orientation Plan (POS3) for 2012-2016.

The DG Treasury's Evaluation Policy dates back to 2010 (DG Treasury 2010). A review and update of this policy will be carried out in 2016 in order to improve: *i)* the criteria for defining the evaluation programme; *ii)* evaluations' planning; and *iii)* follow-up mechanisms to the recommendations.

Organisational Structure and Reporting Lines

France has sought to strengthen the coherence of its evaluation activities by improving the steering of development co-operation among the three main bodies involved. The three agencies co-ordinate their approaches, meet frequently (at least every three months), organise common working groups and training, and set up cross-participation in steering committees. Joint evaluations are carried out among the agencies every year.



At the MAEDI, the Evaluation Unit accounts for its work to the General Director who reports to the Minister's office once a year on the work programme and to the Secretary-General on key conclusions and recommendations at the end of each evaluation.

DG Treasury's Unit reports to the Head of Multilateral Affairs and Development. At AFD, the Evaluation Unit is part of the research department within the strategy division. It reports to the AFD's Director-General and accounts for its work to the Evaluation Committee, which reports directly to the Board of Directors. The Evaluation Committee was set up in 2010 to review the relevance and the quality of evaluation activities, their planning and budget. It is composed of representatives of the three ministries and independent experts.

MAEDI drafts a three-year work programme on the basis of consultations with the different geographic and thematic directorates. An Evaluation Committee meeting is organised once a year, headed by the Director-General for DGM and composed of representatives of all directorates, DG Treasury and AFD. At this meeting, upcoming evaluations are discussed in order to update the three-year work programme. Moreover, the Ministry has set up a formalised management response system through which directorates

define a set of actions in response to recommendations. Progress against implementing the actions is reported on to the Committee.

AFD drafts three-year work plans that are subject to approval by the AFD Managing Director after an external Evaluation Committee has reviewed and commented on them. A formalised management response system was implemented in 2014, which specifies that management must formally respond to any evaluation. Following this, operational units respond to the recommendations and responses are published on the AFD website. Currently, there is no mechanism to monitor the implementation of the accepted recommendations from evaluation reports.

DG Treasury drafts three-year work plans based on extensive consultations among operational units and policy makers. The plan is eventually subject to approval by the Director-General. The Treasury has a formalised management response system, where recommendations and subsequent responses are published along with the evaluation report. The mechanisms to monitor the implementation of the follow-up actions taken by operational services vary from one instrument/programme to the other in order to adapt it to the specific type of evaluation. The evaluation unit reports to the Director-General on the follow-up.

At the end of 2015, an Observatory of France's Development Assistance was set up. It establishes supervision by the Parliament of the multiannual evaluation programmes of France's development assistance and encourages increased co-ordination and co-operation of the three evaluation units.

Types of Evaluation

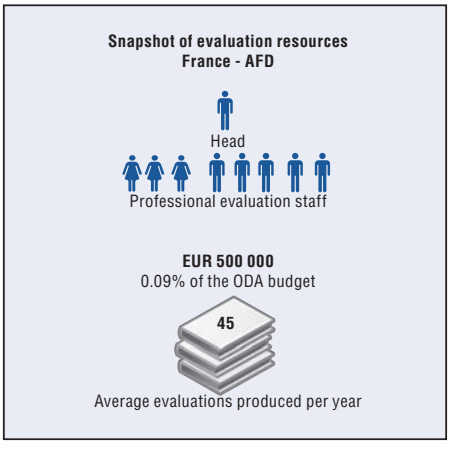
- Thematic evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Project/activity evaluations

All three institutions use the OECD DAC evaluation criteria. The AFD Evaluation Policy (2013) specifies additional selection criteria for evaluations, i.e. added value, evidence gap and evaluability.

Resources

The human resources allocated to evaluation are five officials at MAEDI, four at the DG Treasury and nine at AFD.

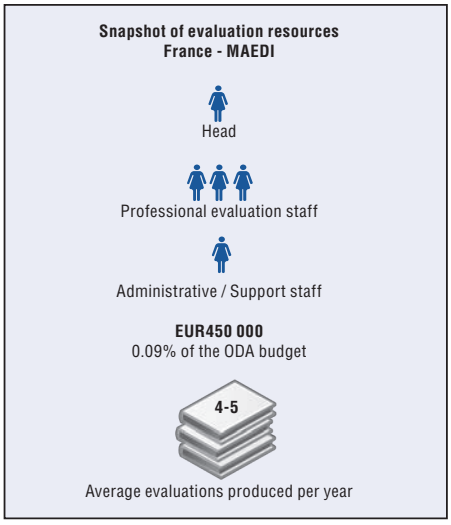
The evaluation unit of the MAEDI only carries out centralised and strategic evaluations, with a budget of EUR 450 000 for an average of four to five evaluations per year.

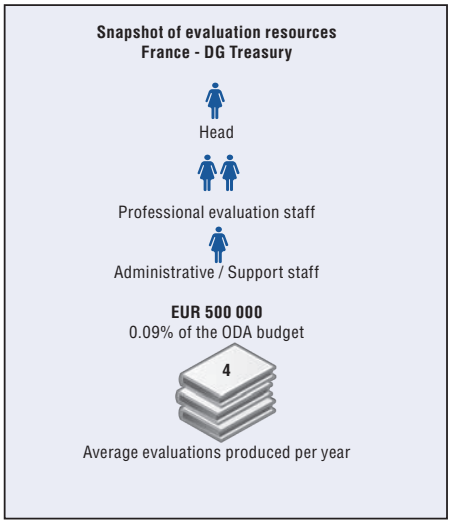


During the past five years, more than 20 strategic evaluations have been carried out. In addition, decentralised project and programme evaluations are conducted by thematic directorates or delegations at field level. These evaluations are financed with credit from the 209 Programme "Solidarity Towards Developing Countries" under the budget of the MAEDI (AFD 2013).

In the AFD, decentralised evaluations are funded by the State budget, while centralised evaluations are funded by a separate AFD budget. EUR 500 000 were budgeted for evaluations in 2015 and more than 200 ex-post, impact, evaluability and systematic evaluations have been carried out the last five years. The total operational budget is EUR 1 500 000 including the budget for decentralised evaluations (AFD 2013).

The DG Treasury only carries out centralised evaluations, also with a budget of approximately EUR 500 000. During the past five years, roughly 20 evaluations have been finalised and published.





Principles of Evaluation

Independence

The level of independence in the institutional setup and in implementation is considered by all three actors to be very strong. At all three agencies, evaluations are entrusted exclusively to external evaluators, selected by calls for tender. They are monitored by ad hoc steering committees which includes representatives from relevant administrations and external stakeholders (including experts representing civil society, the research sector, the private sector, in the case of some evaluations carried out by DG Treasury, and representatives of Parliament in the case of evaluations carried out by the MAEDI).

Competence and capacity building

The French evaluation units have a prominent focus on capacity building training in evaluation. Capacity building was the overall responsibility of the Evaluation Unit of the MAEDI till 2012, which organised trainings for evaluation consultants in partner countries to support capacity development (OECD 2010). Training is now no longer delivered by the staff of the Evaluation Unit and is restricted to MAEDI officials in charge of project and programme evaluations. Instead, the three agencies organise common training.

AFD itself promotes and develops collaboration and exchanges on evaluation with its external partners and focuses on contributing to building the evaluation skills of local stakeholders. Decentralised project evaluations mainly use local consultants with the aim of building local evaluation skills. AFD's training centre, CEFEB, proposes an 'evaluation' module in its Master's in Public and Private Project Ownership. The Evaluation Unit also plays a support advisory role for the evaluation entities of its key partners who are striving to improve their own evaluation practices (AFD 2013).

Transparency and participation

Transparency is supported by two portals (MAEDI 2016, AFD 2016), intended to bring together all data about French government policies and to give the public better access to information about achievements in partner countries. The evaluation reports are published on the website of each organisation (MAEDI, DG Treasury and AFD) and are also accessible from the OECD website. In addition to external communications, internal communication is facilitated through internal circulation of news as well as an internal synthesis reports.

Knowledge management

Learning is considered to be the primary purpose of evaluation. The AFD have set up a dedicated document databases for knowledge sharing as well as internal information web portals that contain multimedia materials, allow for sharing of views, as well as relevant documents. Besides the MAEDI external website where evaluation reports are published, the evaluation unit shares guidelines through the MAEDI Intranet. The three agencies organise common working groups to exchange knowledge, identify best practices and improve joint evaluations.

Co-ordination with donors and country recipients

The 2010 DG Treasury policy underlines the Ministry's commitment to joint evaluations, with both external partners, as well as AFD and MAEDI. The policy notes that joint evaluations are beneficial for a multi-agency institutional setup as the broader scope impacts beyond the results of one single agency and increases capacity building.

The 2013 Guidelines highlight AFD's wish to participate in joint evaluations both as leading actor and as a participant in other donors' evaluations (AFD 2013). The AFD has participated in three joint evaluations in the past five years. Stakeholders from partner countries frequently participate in designing evaluations, in reference groups to the evaluation and to a lesser degree in designing the evaluation programme. Value is placed on the involvement of local authorities, seen as necessary to encourage ownership of the results (OECD 2013).

MAEDI is prone to engage in joint evaluations with DG Treasury and AFD and also to participate in steering committees established by these two agencies. Moreover, the three agencies participate as members of the steering committees for EU evaluations.

Quality assurance

To ensure the quality of evaluations in the DG Treasury and the MAEDI, the evaluation unit has recently developed a quality control checklist aimed at homogenising and formalising practices when reviewing evaluation deliverables. An overall quality assessment form is filled in and sent to the external evaluation team at the end of each single evaluation.

In the AFD Evaluation Unit, quality control starts with a quality-at-entry grid that ensures the evaluability of the project to be evaluated, the soundness of the Terms of Reference, the methodological approach and the participation of the right experts in the Reference Group. The Reference Group is then set up to support the evaluation. Once the evaluation is finalised, an evaluation quality grid is filled to assess the quality of the evaluation, which is then reviewed by the Evaluation Committee. The Evaluation Unit is committed to helping improving the quality of decentralised evaluations, which it reviews and validates.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Germany

German Institute for Development Evaluation (DEval)

Evaluation and Research Division, Federal Ministry for Economic Cooperation and Development (BMZ)

Corporate Evaluation Unit, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

Evaluation Department, KfW Development Bank

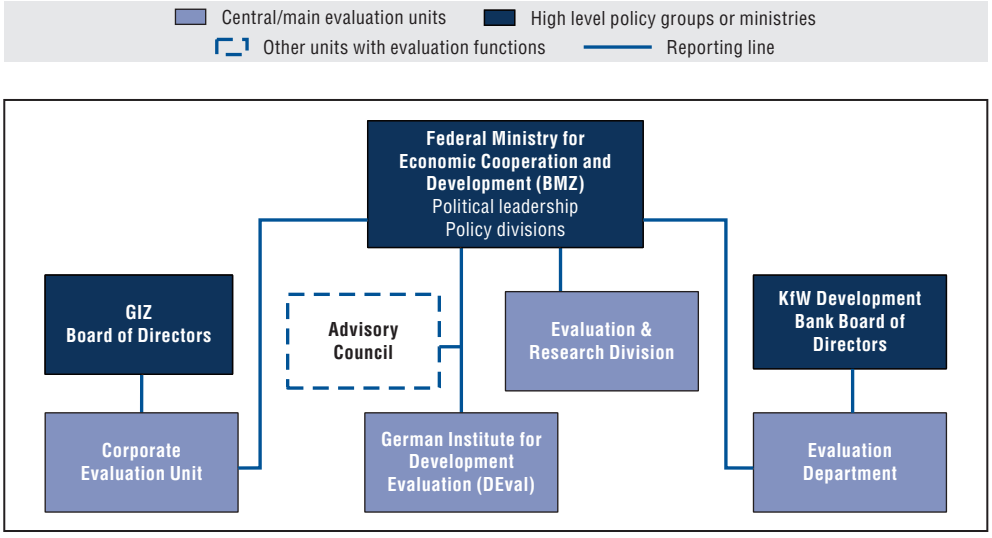
Evaluation Mandate

At the request of the Federal Ministry for Economic Cooperation and Development (BMZ) an external evaluation of the German development evaluation system was carried out and published in 2009, which found the German system to be incoherent, fragmented and lacking sufficient capacity at the strategic level. This led in 2012 to the creation of a separate public entity, the German Institute for Development Evaluation (DEval), which is primarily tasked to perform strategically relevant and mostly complex evaluations for all German development activities. The main actors involved in the German development co-operation evaluation system are[1] :

- **The German Institute for Development Evaluation (DEval)**. DEval is mandated by the BMZ to conduct independent and strategically relevant evaluations for all German development activities. It also conducts meta-evaluations, selective quality checks of project evaluations, contributes to the development of evaluation methods and standards and engages in evaluation capacity building.
- **The Evaluation and Research Division, German Federal Ministry for Economic Cooperation and Development (BMZ)**. The Evaluation and Research Division was the primary entity performing strategic evaluations in Germany until 2012, when DEval was established. Since then, it has largely ceased commissioning evaluations, with occasional exceptions, including reviews and participating in management groups of joint evaluations. However, BMZ retains the function to guide the overall evaluation system, setting core standards and assigning roles and responsibilities to the main evaluation actors[2] as far as the area of its competence is concerned.
- **The Corporate Evaluation Unit, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)**. GIZ and KfW Development Bank are the two largest implementing agencies of the BMZ. The Evaluation Unit of GIZ performs corporate and strategic evaluations; examines the methodological quality of project evaluations steered by project implementers and carried out by independent evaluators; releases the summary reports of project evaluations; develops the evaluation instruments and standards; and designs institutional learning processes for its own activities.
- **The Evaluation Department, KfW Development Bank** focuses mostly on standard ex-post and impact evaluations of individual projects and programmes financed by the Bank (with federal funds and leveraged private funds) on behalf of the German Federal Government. It also conducts thematic evaluations and meta-analysis of its evaluations.

While each implementation agency has an evaluation policy, the evaluation functions of DEval and the BMZ are guided by various policy documents that define its roles and responsibilities. Due to the significant restructure, there is a need for a new evaluation policy that reflects the formation of DEval, underlines the existing roles and responsibility of GIZ, KfW Development Bank and DEval, and delineates the new role of the BMZ.

Organisational Structure and Reporting Lines



DEval and GIZ, and KfW Development Bank (part of KfW Banking Group[3]) are federal government organisations. BMZ is represented to varying degrees in their governing bodies and is the main commissioning party for the implementing agencies. GIZ is responsible for the implementation of technical co-operation and capacity development and KfW Development Bank provides financial assistance in line with German development co-operation policy. In terms of evaluation, DEval conducts evaluations at the federal level. The reporting lines for each agency are summarised in the text box above.

Reporting Line

DEval reports to BMZ, to its Advisory Council; and through BMZ to the Committee of Economic Cooperation and Development of the German Bundestag.

GIZ Corporate Evaluation Unit reports to the responsible member of the Management Board*

KfW Development Bank's Evaluation Department reports to the responsible member of the Board of Directors of KfW Banking Group*

*The evaluation units of GIZ and KfW Development Bank report to BMZ (both evaluation and policy departments) at least as far as project/programme-level evaluations are concerned (related to BMZ financing).

The evaluation functions of the three entities prepare their work plans in line with the following procedure:

- DEval: The multi-annual evaluation programme is drafted by DEval in consultation mainly with BMZ and DEval's Advisory Council[4], which also includes parliamentarians from each political party represented in the German Bundestag. The consultation process also includes civil society and Members of Parliament. The draft version of the programme is sent to the Advisory Council and has to be approved by the political leadership of BMZ. It is subsequently submitted to the Parliament.
- GIZ undertakes decentralised evaluations of projects commissioned by BMZ with a commission volume of greater than EUR 1 million and a duration of at least three years at the end of their term. Based on a proposal submitted by the Evaluation Unit, an annual programme of corporate strategic evaluations is decided on by the senior management of GIZ. It is then approved by the management.

- KfW Development Bank: The annual work plan is formulated by the Evaluation Department itself and formally approved by the responsible board member of the KfW Banking Group.

Types of Evaluation

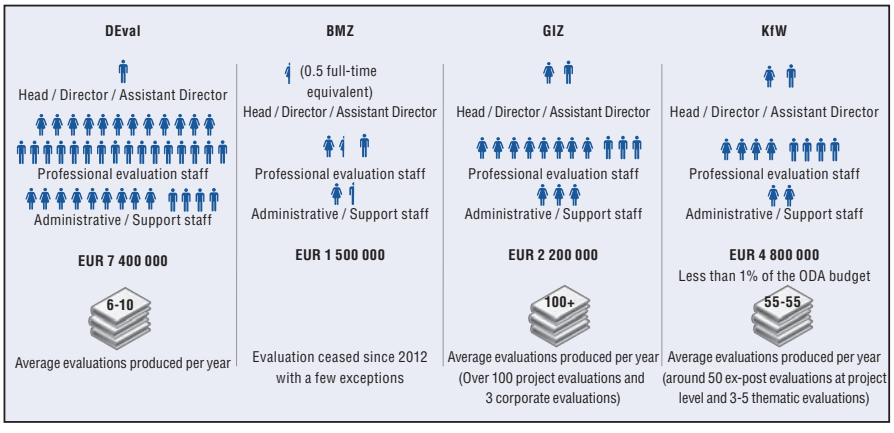
DEval	GIZ	KfW Development Bank
Thematic/cross-cutting, Sector-wide,Programme, Country, and Policy/strategy evaluations	Corporate strategy evaluations (centralised) Service delivery, corporate strategy Project evaluations (decentralised)	Thematic/cross-cutting, Random sample (50%) of ex-post programme/project evaluations
Carried out mostly by the internal staff	Carried out by internal and/or external experts partly in collaboration	Carried out mostly by internal staff
OECD DAC. Occasionally complementarity and coherence	OECD DAC. Flexible addition of other criteria according to the evaluation issues	OECD DAC. Additionality when relevant

The table presents the types of evaluations conducted in the three largest entities carrying out evaluations. It also shows to whom the evaluations are assigned and what criteria are applied. DEval focuses on policy issues and conducts strategic evaluations. All evaluations include members of the DEval staff on the evaluation team. GIZ and KfW Development Bank conduct mainly project and programme-level evaluations. These evaluations form the basis of thematic meta-evaluations. GIZ also undertakes corporate strategic evaluations. Approximately 25-30% of KfW Development Bank's and almost all of GIZ's evaluations are drafted primarily by external experts. Currently, GIZ and KfW Development Bank evaluate an appropriate random sample of all completed programmes/projects (in the case of KfW Development Bank it is 50%). The evaluations conducted are aligned with national and international standards and quality criteria such as those laid down by the OECD DAC.

Resources

There are separate budget lines in the federal budget for evaluations performed by DEval and BMZ, including funds for evaluation capacity development. The budget for DEval is provided in the form of institutional grants as part of BMZ's annual budget plan.

GIZ has a separate allocation of funds for centralised evaluations, whereas decentralised evaluations, mainly project evaluations, are covered by project funding. KfW Development Bank's Evaluation Department receives an annual allocation of funds (and of staff) within the overall operational budget of the Bank. Both are indirectly financed through the federal budget to a large extent. In total, the expenditure on evaluations adds up to approximately 0.2% for independent evaluation and less than 0.5% of bilateral ODA.



Principles of Evaluation

Independence

Scientific independence in conducting evaluations (selecting evaluation questions and designs and approaches/methods and drawing conclusions and making recommendations) is enshrined in the DEval charter. DEval is an independent entity and institutionally separated from BMZ, but it requires the consent of BMZ for its evaluation programme. Transparency of the evaluation processes is also strengthened by the involvement of DEval's Advisory Council, which includes Members of Parliament, academia and civil society. The Director of DEval is recruited externally on a three to five year contract and is not permitted to subsequently take a position in DEval, GIZ or KfW for a 12-month period after completing the term.

The GIZ Corporate Evaluation Unit reports directly to the Management Board. As a corporate unit it is separate from and independent of GIZ's operational business.

The Director of the Evaluation Department of KfW Development Bank reports to the responsible member of the Board of Directors of the KfW Group. The Director is recruited externally from academia. The Director's contract usually covers a five-year term initially, but it can be renewed or extended by mutual consent.

Competence and capacity building

DEval is staffed by experienced and qualified evaluation professionals. Similarly, GIZ and KfW Development Bank staff is knowledgeable and highly skilled. When specific knowledge is required, gaps can be closed by recruiting external experts. Moreover, the demand for evaluation expertise from the operations departments is high. The KfW Evaluation Department co-opts staff from relevant operational departments, as long as the delegated staff member is independent from the design and implementation of the projects to be evaluated. This secondment is considered to facilitate institutional learning. Most of GIZ's programmes include a component for strengthening monitoring and evaluation systems, which contributes to capacity building of partner countries M&E skills.

Transparency

Currently, each agency has its own platform for dissemination. DEval reports are published and available on the institute's website as complete documents, as well as policy briefs that summarise the most important findings of an evaluation.

BMZ, GIZ and KfW Development Bank also disclose summary reports on their respective websites. KfW Development Bank has published summaries of all of its project/programme evaluation reports since 2001 on its website in both German and English (currently around 800 reports). GIZ also has a publications database with a search function that includes approximately 38 000 publications, including evaluations. In addition, BMZ, GIZ and KfW Development Bank each maintain a transparency portal that discloses the information on its development co-operation per sector, region, and country with an interactive map. Germany is a founding member of IATI and has been publishing budget and ODA data for years according to the standards.

BMZ and GIZ have a formalised management response system. BMZ makes public its responses to the evaluations conducted by DEval and external consultants, while GIZ publishes the findings of evaluations on the internet, in accordance with GIZ transparency policy. Every two years, GIZ and KfW each publish a report on the evaluation findings from all evaluations commissioned on BMZ-funded projects and programmes.

Knowledge management

DEval is currently developing a system to monitor the outputs and outcomes of the institute in order to advance knowledge management within the institute. Moreover, DEval intends to improve the linkages between individual evaluations in order to create synergetic messages in key areas of interest. Co-ordination and harmonisation among the different organisations in knowledge sharing is not yet sufficiently ensured and will be a priority in the coming years.

Co-ordination with donors and country recipients

KfW Development Bank conducted 15 joint evaluations during the past five years with other bilateral agencies and multilateral organisations, as well as partner countries. Until 2012, BMZ also actively conducted joint evaluations mainly with other bilateral agencies and partner countries where feasible, and participates in several joint evaluations. DEval currently carries out joint evaluations with partner countries. GIZ has not participated in joint evaluations.

Quality assurance

In the current setup of the German evaluation system, DEval also undertakes meta-evaluations and selectively quality checks project-level evaluations conducted by GIZ and KfW Development Bank. The GIZ Evaluation Unit conducts a quality check of decentralised project evaluations and is responsible for assisting in the formulation of summary reports. Every 8-10 years, BMZ initiates evaluation system reviews (including also financing for NGOs).

Notes to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

1. Besides the four main actors mentioned here, there are other public agencies and a considerable number of German non-governmental organisations that receive BMZ-funding and also perform their own evaluations in accordance with the BMZ guidelines.

2. DEval, GIZ and KfW Development Bank evaluation units

3. KfW is an agency under the German public law and is jointly owned by the German federal government (80%) and the 16 federal states (20%). KfW Development Bank provides development finance on behalf of BMZ, funded partly by the federal (BMZ) budget, partly by leveraged private or third party funds.

4. The GIZ Vice-Chair of the Management Board is member of the Advisory Board of DEval.

Iceland

Icelandic International Development Agency, ICEIDA (closed)

Ministry of Foreign Affairs

Evaluation Mandate

As of 1t January 2016, following the adoption of an Act of Parliament amending the Icelandic Act on Development Cooperation (2008), all activities of the Icelandic International Development Agency (ICEIDA) were transferred to the Ministry for Foreign Affairs (MFA) and ICEIDA ceased operations. The purpose of the amendment to the Act was to simplify the organisational framework that supports the Icelandic Government's development assistance in order to maximise results and ensure value for money.

The MFA has assumed all legal and professional obligations previously vested in ICEIDA and an evaluation unit has been set up in the Ministry responsible for bi- and multilateral ODA. The Ministry is foreseen to adopt a similar evaluation policy statement as ICEIDA however this has yet to be published (MFA 2016).

Iceland became a member of the OECD Development Assistance Committee (DAC) in 2013. Significant efforts were invested in the formulation of a strategy on monitoring and evaluation for ICEIDA, to systematically examine the long-term impact of its activities in partner countries. Once the restructure has been completed, the Ministry will continue to follow all OECD DAC criteria for evaluation and build on the progress made by ICEIDA (MFA 2013).

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Inter-American Development Bank (IADB)

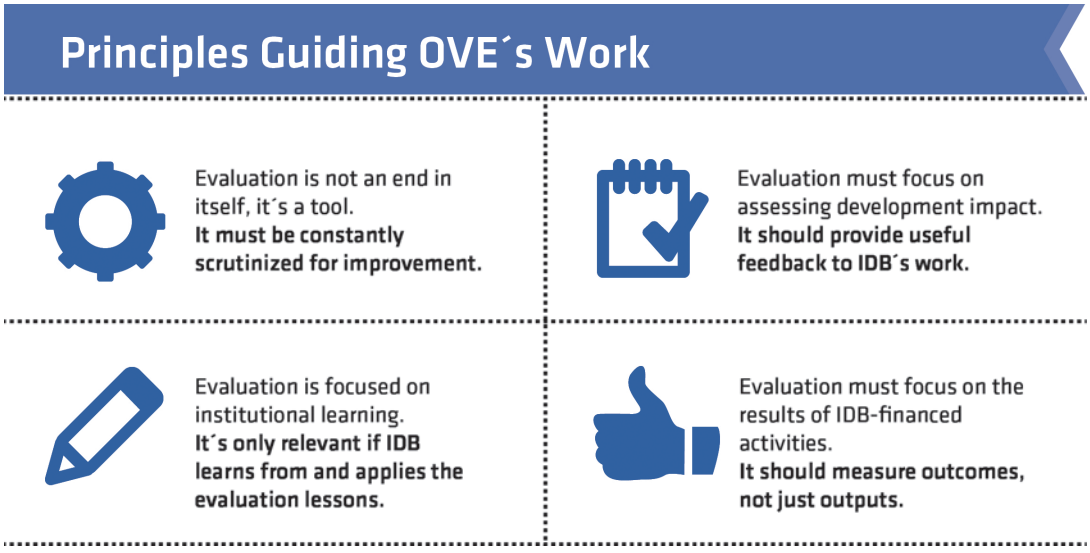
Office of Evaluation and Oversight (OVE)

Evaluation Mandate

The Office of Evaluation and Oversight (OVE) is an independent body of the Inter-American Development Bank (IDB), responsible for externally evaluating IDB's projects and performance.

Since a reorganisation in 1999, the Board of Executive Directors mandated the OVE to conduct evaluations; produce oversight reviews of corporate strategy, processes and instruments; provide normative guidance on evaluation issues; and contribute to evaluation capacity building in the region. In recent years, the OVE has increased its efforts to improve evaluation training among regional governments (IDB 2016).

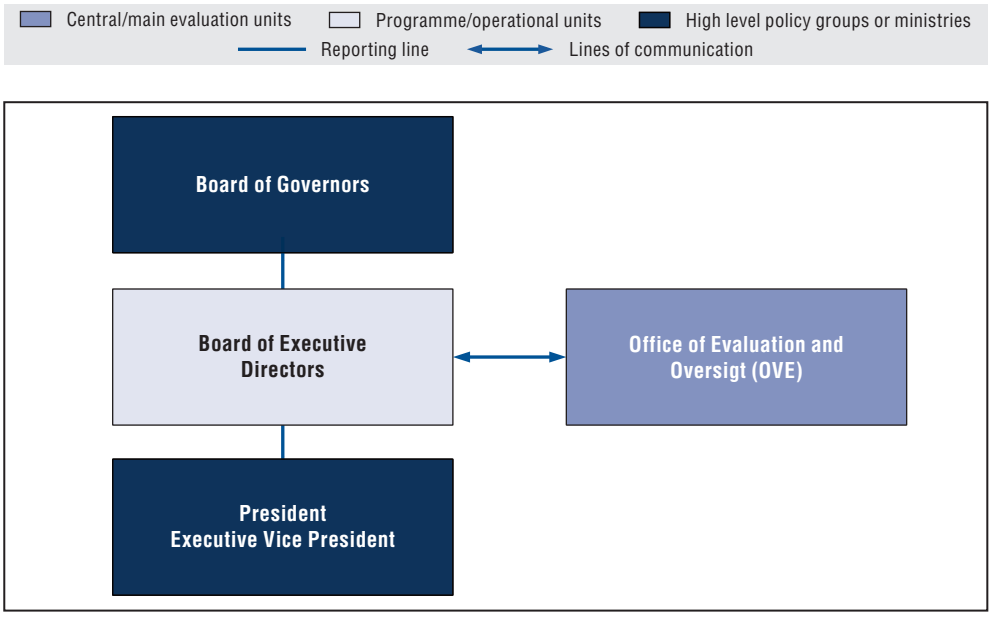
The OVE follows the guidelines and approaches of the Evaluation Cooperation Group (ECG) of the Multilateral Development Banks. In recent years, IDB has sought to improve the Bank's project evaluation architecture through the design and adoption of a Development Effectiveness Matrix and a growing incorporation of impact evaluations in projects (IDB 2014, IDB 2016). For the IDB, evaluations are aimed at improving IDB's development effectiveness as well as promoting institutional learning. This dual function is the foundation for four core principles that guide the OVE's work (IDB 2016):



- Evaluation must be constantly scrutinised for improvement.
- It should provide useful feedback to IDB's work.
- It is only relevant if IDB learns from and applies the evaluation lessons.
- It should measure outcomes, not just outputs.

Organisational Structure and Reporting Lines

The OVE is an independent unit, reporting directly to the Board of Executive Directors. It is headed by a Director, who does not participate in senior management meetings.



The OVE develops Annual Work Programmes that show planned evaluations and proposed budget in the coming year and an indicative list of evaluations for the following year. The work programmes are built around five areas: *i)* country programme evaluations; *ii)* sector and thematic evaluations; *iii)* project evaluations and impact evaluations; *iv)* corporate evaluations; and *v)* evaluation capacity building.

The OVE delivered the first Annual Report to the Board in early 2015. Its Annual Reports provide information on OVE evaluation findings, on validation results, and on the implementation of the OVE's recommendations by Management (IDB 2014).

Types of Evaluation

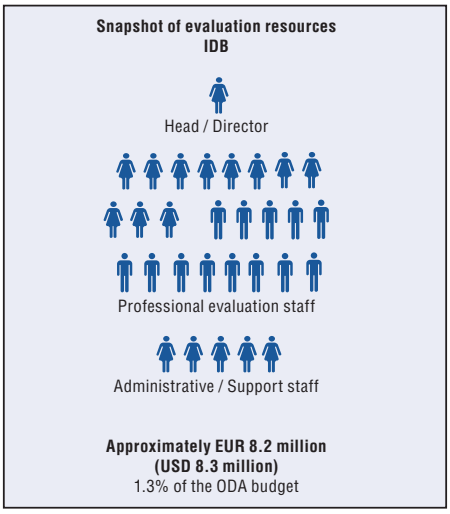
- Thematic evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Project/activity evaluations

IDB follows the OECD DAC criteria in evaluation planning and implementation.

Resources

The OVE comprises a team of 30 staff and a number of research fellows and consultants, totalling approximately 50 full-time staff. OVE staff are independent and report directly to the IDB's Board of Executive Directors, who approves the office's work programme on an annual basis.

The budget for 2015 amounted to EUR 8.2 million, approximately 1.3% of IDB's administrative budget. OVE's budget is a separate line item within the IDB; operational units fund decentralised evaluations from their respective budgets. Overall, the OVE's budget and staffing have expanded about 25% over the past four to five years.



Principles of Evaluation

Independence

The independence of OVE is secured through its institutional setup, as the office is a separate unit, reporting directly to the Board of Executive Directors. Efforts are made to ensure that OVE's work is free from external influence at all stages of the process, including the planning of work programmes and budget, formulation of terms of reference, staffing of evaluation teams, execution of evaluations and approval of reports.

Competence and capacity building

OVE's mandate covers external evaluation capacity development and the 2015-2016 work programme shows considerable focus on evaluation capacity development, both within IDB and with partners and country counterparts in the Latin American and Caribbean region. The OVE participates actively in the multi-donor Centers for Learning on Evaluation and Results (CLEAR) Initiative and is taking a lead role in supporting its activity in the region (IDB 2014). Internally, the OVE is consistently allocating budget resources to internal staff training (one week per staff).

Transparency and participation

The OVE shows significant commitment to outreach and transparency, which is supported by the Access to Information Policy that was enforced in 2011, upon approval by the IDB's Board of Executive Directors in mid-2010. The general principle of the new policy is to publicly disclose information unless one of the ten exceptions listed in the policy is applicable—which has not occurred to date, according to IDB itself. Therefore, the documents and information produced by the OVE comply with the new policy, aimed at fostering transparency and dissemination. Following the policy, all OVE documents are made available to the public by default, an initiative which is underlined in the annual work programmes (IDB 2016, IDB 2014).

Likewise, management responses are dictated by internal policy, although the management team does not clear or approve the reports. Reports are submitted to the Policy and Evaluation Committee of the Board and afterwards to entire Board of Executive Directors.

Knowledge management

The OVE's website provides information on the unit, past and ongoing evaluations, as well as sources of further documentation on evaluation in the IDB. Since 2014, annual reports are being produced for internal knowledge sharing as well as external outreach purposes. The OVE and IDB Management are developing an online system endorsed by the Board of Executive Directors to track implementation of the OVE's recommendations, learning from and building on evaluation experience (IDB 2014).

Co-ordination with donors and country recipients

Country partners are not systematically involved in setting evaluation plans or in reference groups for evaluations. During the past five years, one joint evaluation has been carried out in collaboration with other multilateral development banks.

Quality assurance

To ensure quality, the OVE has set evaluation guidelines and also submits evaluations for internal OVE peer review, discussion with relevant bank technical and operational staff, and the Audit and Evaluation Committee of senior management.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

International Monetary Fund (IMF)

Independent Evaluation Office (IEO)

Evaluation Mandate

The Independent Evaluation Office (IEO) was established to conduct objective and independent evaluations on issues relevant to the mandate of the Fund. It complements the review and evaluation work within the Fund. It thus improves the Fund's ability to draw lessons from its experience and more quickly integrate improvements into its future work.

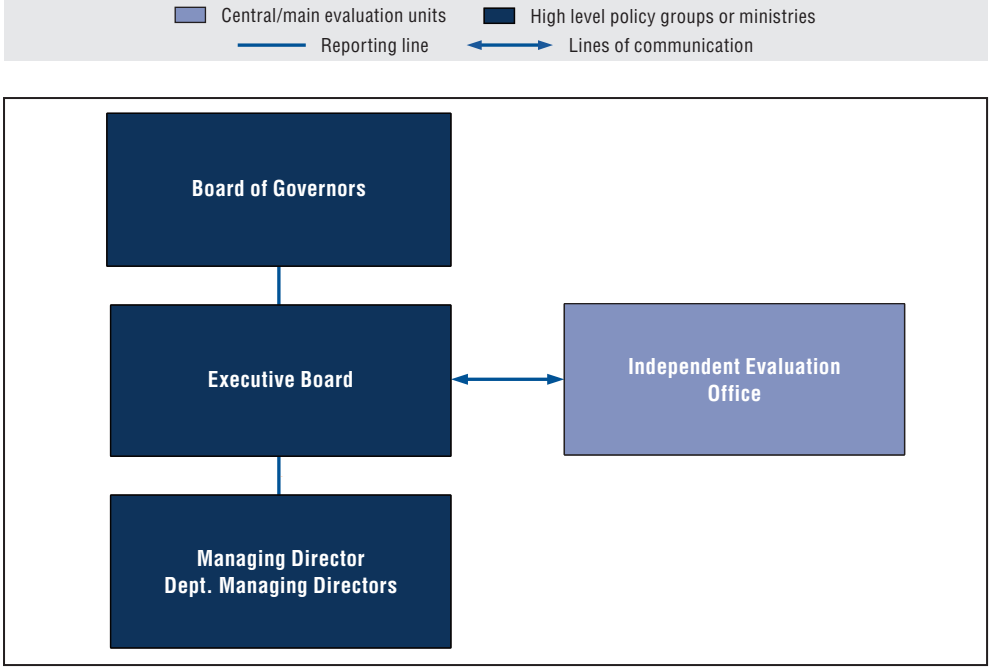
The IEO's mission is to:

- enhance the learning culture within the Fund
- strengthen the Fund's external credibility
- support the Executive Board's institutional governance and oversight (IEO 2016, IEO 2015a).

The IEO has sole discretion on the selection of evaluation topics. It continuously consults with internal and external stakeholders on a possible list of topics over the medium term which is used as an input for determining the work agenda. The IEO conducts independent evaluations of IMF policies and activities and, upon occasion, revisits previous assessments. The IEO does not validate IMF self-evaluation activities.

Organisational Structure and Reporting Lines

The IEO functions as an independent organisation within the IMF, reporting to the Fund's Executive Board. It is headed by a Director who is appointed by the Executive Board. The Director is not part of the IMF management structure in either a formal or informal capacity. IEO reports are transmitted to the Executive Board through the Board Evaluation Committee and shared concurrently with Management.

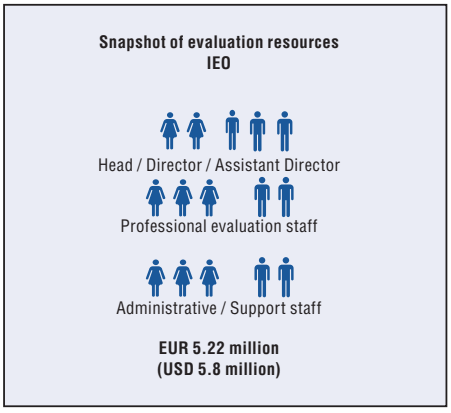


Types of Evaluation

- Thematic evaluations
- Policy/strategy evaluations
- Activity/operations evaluations

IEO evaluations follow the OECD-DAC criteria and evaluations assess these dimensions relative to the policies and activities of the IMF. The IEO does not conduct impact assessments; it does, however, assess intermediate outcomes. As for sustainability, this criterion is included in the assessment of effectiveness.

Resources



The IEO Director is appointed by the Executive Board for a non-renewable term of six years. In exceptional circumstances, the term may be extended by the Executive Board by no more than one year. The Director is responsible for the selection of IEO personnel (including external consultants), the majority of whom come from outside the Fund (IEO 2015a).

The IEO operates with a total of 15 staff. Its total budget proposal for FY2016 amounts to USD 5.8 million, representing zero real growth from FY2015. The FY2016 work programme included three ongoing evaluations (now completed), the launch of two new evaluations, and the preparation of two evaluation updates (IEO 2015c). The IEO evaluation work plan covers a period of two years during which, on average, one or two evaluations are completed.

Principles of Evaluation

Independence

The independence of the IEO is secured through its institutional setup, working autonomously from IMF operational staff and management and at "arms' length" from the IMF Executive Board. The IEO staff are appointed directly by the IEO Director and a majority of its personnel come from outside the IMF. In addition, the IEO staff report exclusively to the Director of the IEO.

The budget of the IEO is subject to the approval of the Executive Board, but its preparation is independent of the budgetary process of IMF management. The IEO work plan is presented to the Executive Board for consultation but is not subject to the Board's approval. The IEO has sole responsibility for drafting evaluation reports and annual reports.

Transparency and participation

All IEO outputs, including but not limited to solicitation for comments on evaluation approach papers (Issues Papers), evaluation reports/revisits, and follow-up (summaries of Executive Board discussions and management/staff responses), are made publicly available online. The IEO may also submit comments to the management response for consideration by the Board.

In addition to the website, the IMF systematically shares results through the press/media, internal circulation (intranet/email), and external circulation to stakeholders. At times, it conducts outreach and dissemination activities, mostly in the context of stakeholder partnerships.

Knowledge management

The IEO has various tools available for knowledge management, including a file archive, a dedicated documents database and an information web portal that contains multimedia materials.

Co-ordination with donors and country recipients

The IEO's work plan is established by the Director in light of consultations with interested stakeholders, from both inside and outside the IMF. Country authorities and other local stakeholders are involved in the evaluation process, most often as participants in workshops or surveys or as interviewees for specific evaluations. The IEO also reports directly to the International Monetary and Financial Committee (a sub-set of the Board of Governors of the IMF) twice per year.

Quality assurance

To ensure quality, the IEO uses expert advisory groups, peer review groups and workshops at key phases of the evaluation cycle. It also seeks advice from outside expertise as needed. An Evaluation Completion Report is undertaken following each evaluation in order to chronicle processes and document evidence, as well as to elicit lessons learned in conducting respective evaluations. These reports are circulated to all IEO staff.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Ireland

Evaluation and Audit Unit / Department of Foreign Affairs and Trade

Evaluation Mandate

Irish Aid is the Irish Government's official aid programme and is a division of the Department of Foreign Affairs and Trade (the Department). The Irish Aid Evaluation Policy (2007) defines evaluation in the Irish Aid context as being the systematic and objective assessment of the design, implementation and results of an ongoing or completed project, programme or policy by assessing the effectiveness of the intervention against its stated objectives.

Evaluations are overseen and planned for by the Evaluation and Audit Unit, an independent entity within the Department. Their mission is:

"To maintain an efficient, effective, relevant and independent evaluation and audit function within Irish Aid through the execution of evaluation and audit exercises, facilitating acceptance of their findings and contributing to policy development within the overall programme" (Evaluation Policy 2007).

The Unit is mandated to evaluate not only the ODA managed by the Department, but also other activities across the Department. The Evaluation and Audit Unit also provides the internal audit function for the Department.

The Department intends to review and update the 2007 policy in 2016.

Responsibility and scope of activities

Both centralised and decentralised evaluations are undertaken of Ireland's ODA. Centralised evaluations are implemented by the unit often in collaboration with multilateral and bilateral partners.

- The Unit's responsibilities cover a wide range of activities such as:
- the preparation of annual and multi-annual work plans for the Unit
- management of evaluation-related activities
- quality assurance of evaluations; dissemination of key findings and publication of reports;
- providing feedback from evaluations to policy, strategy, planning and appraisal cycles;
- provision of advice and training on monitoring and evaluation work for the operational divisions; and technical support to the Audit Committee.

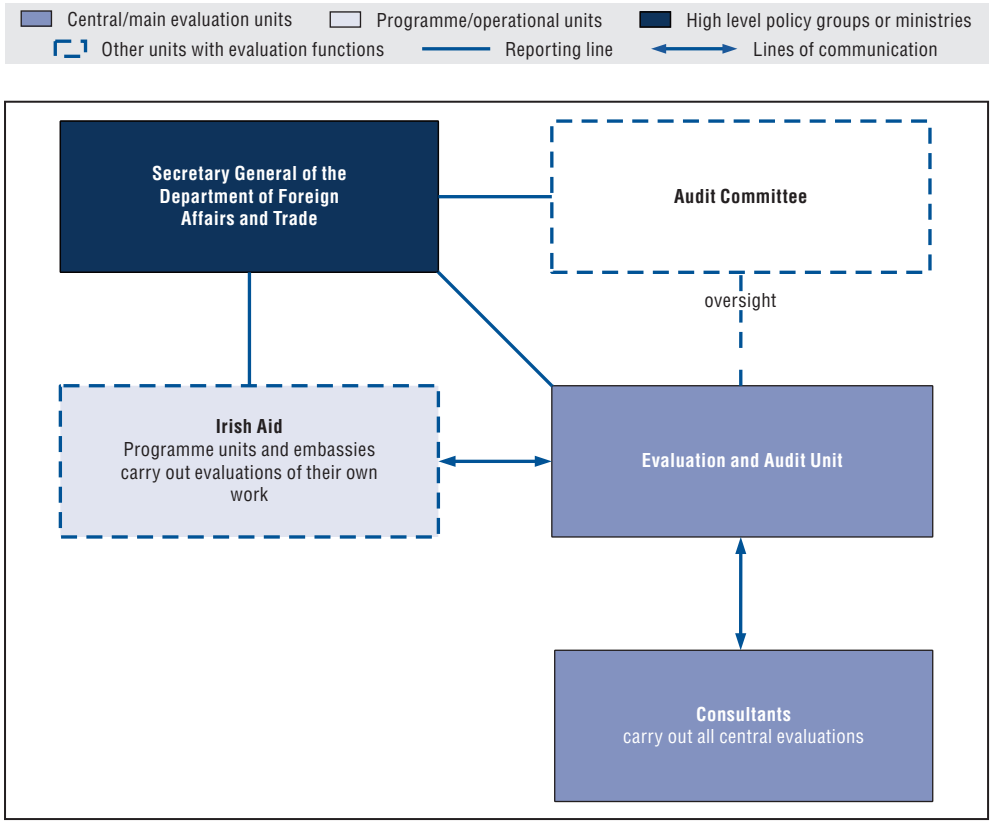
Besides the evaluations managed by the Evaluation and Audit Unit, the operational divisions and embassies may also commission evaluations that are directly relevant to their working areas. The Unit provides advisory support to business units and programme managers in planning and undertaking such evaluations and other evaluative type of work.

Organisational Structure and Reporting Lines

The Evaluation and Audit Unit is a stand-alone unit, which reports directly to the Secretary General of the Department.

The Audit Committee reports to and advises the Secretary General, and provides an independent appraisal of audit and evaluation arrangements with a view to strengthening internal controls, fraud and risk management. The members of the Committee are fully independent, and have backgrounds in audit, governance, development, and public service management. The Committee meets at least six times a year.

The Irish Aid Independent Expert Advisory Group provides advice to the Minister on the overall orientation and strategic direction of the Irish Aid programme; it may review and comment upon evaluation reports produced by the Unit.



The multi-year rolling work plan is prepared through a consultative process to identify evaluation priorities, including roles played by different actors both within and external to the Department. The plan is approved by the Secretary-General.

Types of Evaluation

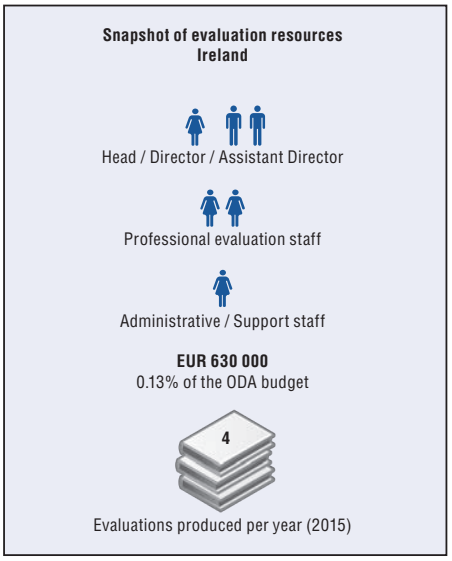
- Thematic evaluations
- Policy/strategy evaluations
- Activity/operations evaluations

The main tasks of the Unit are to manage and/or conduct evaluations of primary strategic importance to the Department. During the past five years nine ex-post evaluations, one evaluability assessment, and three other types of evaluations have been conducted. The Unit follows the DAC's evaluation criteria and uses coherence and complementarity as additional criteria.

Resources

The Unit has six full-time staff responsible for the evaluation activities. Centralised evaluations are funded through the Unit's own budget, while decentralised evaluations are included in programme budgets.

There has been considerable change in human resources during the past five years. Financial resources have remained largely constant during that time.



Principles of Evaluation

Independence

The Evaluation and Audit Unit is independent of the operational divisions and directly reports to the Secretary General of the Department. Ordinarily, evaluations are conducted by external independent consultants who are recruited through an open competitive tender process.

Competence and capacity building

The Unit considers that professionalisation and a system of designation/credentialing would help to reinforce the internal and external legitimacy of evaluation. Four staff members have engaged in internal or external accreditation programmes. Ireland rolled out extensive training for staff to develop its capacity on results-based management and delivering results.

Transparency and participation

All evaluation reports are uploaded on the Irish Aid's website. Other relevant documents are also made available on the website with a link to social media. The dissemination of the information derived from evaluation reports is arranged in various ways such as formal workshops, briefings, or targeted distribution of reports. Press releases may also be prepared for Value-for-Money reviews and for other major evaluations.

To ensure that the findings and recommendations produced by evaluations are taken into consideration by the operational divisions, a management response will be formally documented as an action plan and published together with the evaluation. The management response states which recommendations are to be acted upon and rejected. In the case of rejection, the reasons are also clearly stated. The Audit Committee reviews completed evaluation reports and the associated management responses.

Parliamentary oversight is provided by the Committee of Public Accounts and the Joint Committee for Foreign Affairs and Trade. Irish Aid engages in dialogue with the NGO community, universities and the media. Irish Aid is also committed to the International Aid Transparency Initiative (IATI) Registry and is therefore bound to make aid data available to the public.

Co-ordination with donors and country recipients

Ireland actively seeks to undertake joint evaluations. Two joint evaluations have been carried out over the last five years with Denmark and the United Kingdom. The country also supports the capacity building in evaluation of implementing partners through training and aims to develop strong systems that bring change and results.

Quality assurance

The «Evaluation Operations Manual» guides serves as guidance for evaluators on quality standards and is a useful reference guide for introducing staff to evaluation.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Italy

Evaluation Unit/Ministry of Foreign Affairs and International Cooperation (MFAIC), Directorate General for Development Co-operation (DGDC)

Evaluation Mandate

In 2014, the new law on General Rules Governing International Development Cooperation came into force, aiming at systematically updating the Italian development co-operation system and effectively establishing a new management structure. This includes the creation of the Italian Agency for Development Cooperation under the Ministry of Foreign Affairs and International Cooperation.

Italy's Evaluation Unit, Office IX for Evaluation and Visibility, is situated in the Ministry of Foreign Affairs and International Cooperation (MFAIC) under the Directorate General for Development Cooperation (DGDC). The Evaluation Unit was established to conduct evaluations, develop strategic orientations for evaluation work and to ensure the quality of evaluations.

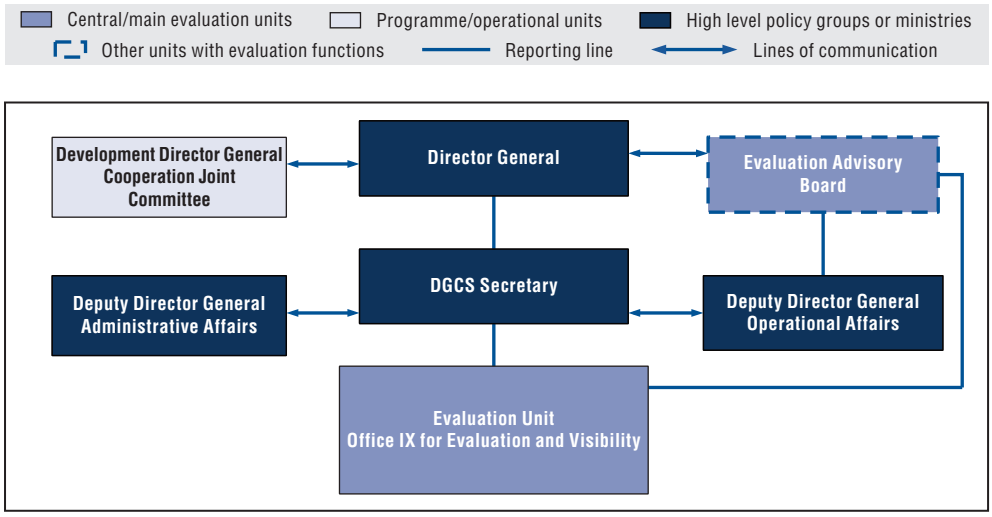
The work of the Evaluation Unit is at an early stage. The Unit is focusing on creating a baseline for its work before setting clear strategic directions for the evaluation programme. The policy document "Italy's Development Cooperation in the 2014-2016 Three-Year Period" (DGDC 2014) confirms that a major effort will go into creating an evaluation system for development aid projects and commits to establishing a systematic evaluation model based on the OECD DAC principles (DGDC 2014). An evaluation strategy has been developed in line with the OECD DAC evaluation principles, while the new evaluation strategy guidelines are currently being elaborated.

The DGDC is reviewing its strategic criteria for identifying evaluation needs and priorities in light of new programming requirements. Building on this work, the Directorate is planning to elaborate an overall evaluation model for the work of the Evaluation Unit (OECD 2014).

Organisational Structure and Reporting Lines

The Evaluation Unit is located within the DGDC and is supervised by the Head of the Evaluation Unit, who participates in senior management meetings. The Unit is supported by the Evaluation Advisory Board, appointed by the Director-General of Italian co-operation. The Board functions as an external advisory committee, providing strategic advice to the Evaluation Unit.

The Unit develops three-year work plans, which are drafted with input from operational units, policy makers and senior management outside the Evaluation Unit. The most recent multi-annual evaluation plan and budget covers 2014-2016. The Development Cooperation Joint Committee (which replaced the Development Board of the Italian Cooperation as of 01 January 2016) is responsible for the final approval of evaluation strategy guidelines.



Types of Evaluation

- Thematic evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Project/activity evaluations

Projects and programmes for evaluation are evaluated according to the OECD DAC criteria.

Resources

The Evaluation Unit is employed by five full-time employees. It has a separate budget line, covering approximately EUR 345 445 in 2015 for centralised evaluations. The unit carried out 5 evaluations in 2012, 12 evaluations in 2013, 4 evaluations in 2014, and 3 evaluations in 2015. The unit is in the process of strengthening their evaluation resources, aiming at increasing the number of evaluations carried out.



Principles of Evaluation

Independence

Evaluations are carried out by external consultants to guarantee the independence of the evaluations. All of the evaluations are outsourced and conducted by external consultants, selected through tendering. The Evaluation Unit itself is located in the Office IX, Visibility and Evaluation, and therefore subject to oversight by the direct line manager (OECD 2014).

Transparency and participation

Italy has taken steps to increase transparency and comply with the commitment to implement a common standard on aid transparency made at the Forum in Busan, 2011. DGDC has established an open-data electronic platform that is accessible to external and internal actors (www.openaid.esteri.it).

DGDC has established a communication unit and taken a number of initiatives to engage with the media to reach out to broader audiences, using new communication tools, particularly the organisation's website, internal circulation and synthesis reports, and to a lesser degree social media and external circulation to development partners.

The Evaluation Unit manages its own communication activities on evaluation results. Italy is in the process of formalising a management response system, so that the findings of the evaluations will guide strategic decisions. Italy widely disseminates evaluation results among stakeholders and beneficiaries (OECD 2014).

Competence and capacity building

The Evaluation Unit is responsible for developing the evaluation capacity of its own staff, who are encouraged to attend relevant training courses.

Knowledge management

The Evaluation Unit has established an archive for managing information and knowledge currently available. All completed evaluation reports are available for public download. Additionally, the Unit circulates evaluation reports and synthesis reports internally in the DGDC in order to enhance internal knowledge sharing.

Co-ordination with donors and country recipients

Stakeholders from country partners do not participate in setting evaluation plans and designing evaluations. DGDC participates in joint evaluations and have carried out two joint evaluations in the past five years. These evaluations were carried out with the EC and UNDP.

Quality assurance

The Evaluation Advisory Board is an external advisory committee that provides quality assurance and strategic advice to the Evaluation Unit on ways to strengthen independence, improve the quality of evaluations conducted and promote the dissemination of findings. The Evaluation Advisory Board attends each internal presentation of the evaluation results and assesses the quality of each report.

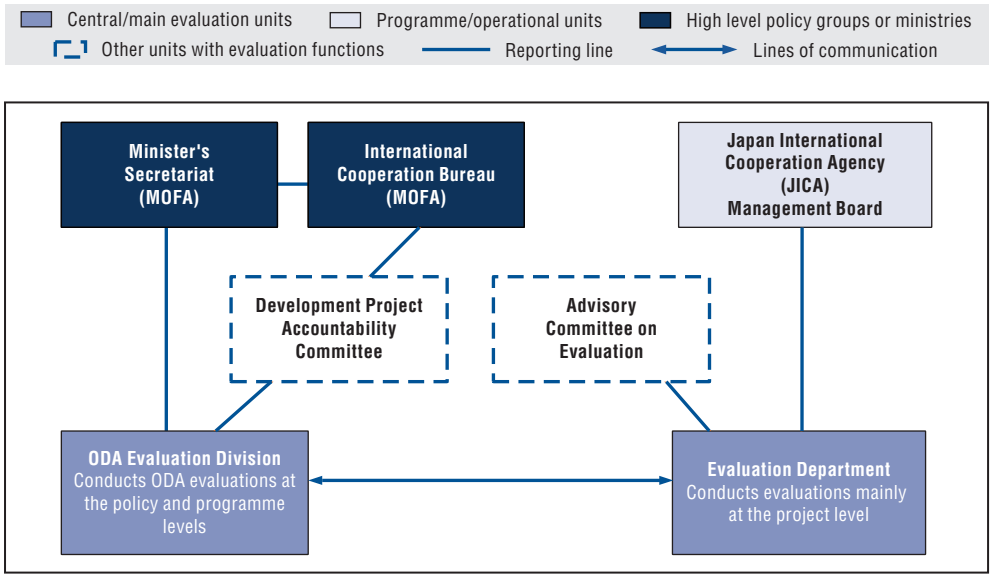
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Japan

ODA Evaluation Division/Ministry of Foreign Affairs (MOFA)

Evaluation Department/Japan International Cooperation Agency (JICA)

The Ministry of Foreign Affairs (MOFA) and Japan International Cooperation Agency (JICA) are responsible for development co-operation in Japan. Each organisation has a division or department that is responsible for evaluation activities although there are interlinkages between them.



ODA Evaluation Division, MOFA

Evaluation Mandate

The ODA Evaluation Division conducts and administers evaluations for development co-operation activities provided by MOFA based on the Order for Organization of MOFA. The Development Cooperation Charter which was approved by the Cabinet in February 2015 emphasises the importance of evaluation to implement effective and efficient ODA, stating: "In the light of the importance of evaluation not only for improving effectiveness and efficiency but for accountability to the public, Japan will conduct evaluations at the policy and programme/project levels and feed the results back to the decision-making and programme/project implementation processes".

Responsibility and scope of activities

MOFA implements evaluations at the policy and programme levels. MOFA conducts 1) policy-level evaluation, e.g. country/regional assistance and priority issue evaluations, and 2) programme-level evaluation, e.g. aid modality and sector programme evaluations, by contracting external consultants. The ODA Evaluation Division supervises the consultants contracted externally and ensures the evaluation reports are prepared in a consistent manner, monitors the progress, and provides support during the desk and field study.

Organisational Structure and Reporting Lines

In 2011, the ODA Evaluation Division was relocated to the Minister's Secretariat from the International Cooperation Bureau which is in charge of ODA policies. Before the restructure, the Evaluation Division was a subsidiary of the Aid Policy and Management Division of the International Cooperation Bureau.

The ODA Evaluation Division prepares an annual ODA evaluation plan together with the operational units and this plan is subsequently approved by the Deputy Vice-Minister of the Minister's Secretariat. The plan is reported to the Development Project Accountability Committee held by the International Cooperation Bureau of MOFA. The Committee was established in 2011 and plays a central role as the feedback mechanism in Japan to discuss new ODA projects. The Committee consists of external experts from NGOs, the private sector, academia and the press.

The Director of the ODA Evaluation Division reports evaluation results to the Deputy Vice-Minister of the Minister's Secretariat, the Director-General of the International Cooperation Bureau within MOFA, as well as to the Development Project Accountability Committee, as illustrated in the chart above. The ultimate responsibility rests with the Deputy Vice-Minister of the Minister's Secretariat.

After evaluation lessons are disseminated to the ODA policy makers and relevant implementing divisions of MOFA and JICA, response measures for the evaluation recommendations are developed through consultations of the Internal Follow-up Meeting on ODA Evaluation held by the ODA Evaluation Division. MOFA prepares the Annual Report on Japan's ODA Evaluation that contains a summary of the findings and recommendations, response measures and the implementation status of these measures.

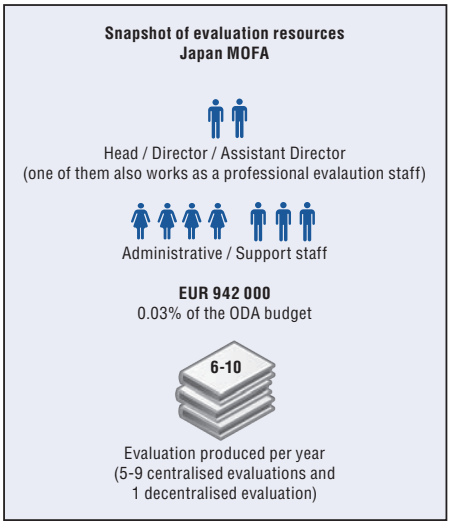
Types of Evaluation

- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations

Having used the OECD DAC criteria as reference, MOFA developed the following three: relevance of policies, effectiveness of results, and appropriateness of processes. Moreover a new evaluation criterion, referred to as the diplomatic viewpoints, has been added recently, enabling MOFA to assess the extent to which ODA is furthering Japan's diplomatic interests.

Resources

There are nine full-time employees in the ODA Evaluation Division. One of the Directors doubles as a professional evaluation staff. The budget of ODA evaluation is funded within the operational budgets of MOFA.



The budget of the ODA Evaluation Division was reduced thus the Division selects themes that are aligned with Japan's core competencies to develop the ODA evaluation reports. The ODA Evaluation Division conducts a mix of centralised evaluations and decentralised evaluation (led by partner governments or organisations) each year. This combination helps to improve partner country evaluation capacity.

Principles of Evaluation

Independence

The relocation of the ODA Evaluation Division contributes to its strengthened institutional independence. The method of selecting the Director of the Division changed in 2011 and the post is filled through an open recruitment procedure. The term is two years with no possibility for him/her to take up other positions.

Competence and capacity building

The skill constraints of the internal evaluation staff are dealt with in occasional study sessions. The Division appreciates involvement of certificate holders of the Japan Evaluation Society when selecting external consultants.

Transparency and participation

In order to improve the "visualisation" of evaluation effectiveness, MOFA has introduced a rating system for policy and programme-level evaluations, which is assessed by external experts. The system aims to improve the quality of the evaluation and is also used in JICA. The Division also sends summarised versions of the ODA evaluation reports to the embassies of partner countries.

Since 2001, MOFA has been hosting ODA Evaluation Workshops and promoting understanding of the evaluation issues and methodologies in the Asia-Pacific region to improve evaluation capacity.

Co-ordination with donors and country recipients

One joint evaluation has been conducted in FY 2015 with the National Economic and Development Authority (NEDA) of the Republic of the Philippines. Joint evaluations are considered to be a constructive exercise for enhancing development of the evaluation capacity of partner countries, as well as promoting mutual accountability.

Evaluation Department, JICA

Evaluation Mandate

JICA implements ODA projects, of which all are subject to evaluations. The legal basis of JICA's evaluations is the Act on the Japan International Cooperation Agency, Independent Administrative Agency, which provides the Evaluation Department with the mandate to execute ancillary tasks of the implementation of Japanese development co-operation. The Evaluation Department is mainly responsible for the planning and co-ordination of project evaluations, the development of evaluation methodologies, and management and implementation of evaluations. The evaluation scope, process, and setup are described in the JICA Guidelines for Operations Evaluation.

Responsibility and scope of activities

The Evaluation Department carries out ex-post evaluations in collaboration with external evaluation consultants (centralised evaluation) for the projects over JPY 1 billion, to ensure a more objective assessment. The overseas offices carry out ex-post evaluations internally for projects from JPY 200 million to less than JPY 1 billion with the support of the Evaluation Department (decentralised evaluation). The operational departments of JICA implement ex-ante evaluations for individual projects supported with technical co-operation, ODA loans, and grant aid. This division of tasks ensures that the knowledge of project details and contexts stored in operational departments or overseas offices is incorporated in the evaluation reports. The Evaluation Department itself supports the decentralised evaluations by commenting on drafts of evaluation reports and training JICA staff.

Organisational Structure and Reporting Lines

The Evaluation Department is one of the headquarter divisions in JICA. The Head of the Evaluation Department reports directly to the Management Board of JICA.

JICA established the Advisory Committee on Evaluation in 2010 to enhance the quality of evaluations and strengthen feedback of evaluation results. It meets twice a year and advises on further improvement of JICA's operations evaluations. The Chair of the Committee is an independent external expert who is supported by professionals appointed by the President of JICA. The evaluation work plan covers up to one year and is first drafted by the Evaluation Department and approved by the Management Board. The results of evaluations are reported by the Evaluation Department to the Management Board.

Types of Evaluation

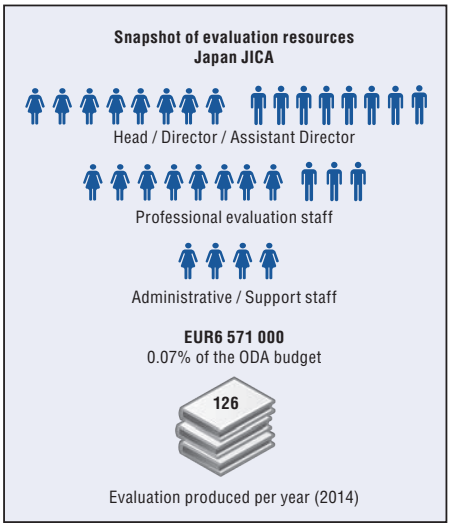
- Project and programme evaluations
- Impact evaluations
- Thematic evaluations

The evaluations are conducted in line with the OECD DAC criteria.

For the past five years, 1 262 ex-ante, 795 ex-post, 10 impact, and 12 thematic evaluations were conducted. The number of ex-post evaluations is expected to increase. Mid-term reviews are carried out, but often considered as part of project monitoring management.

Resources

JICA's Evaluation Department is staffed by 29 full-time employees. The budget of the Evaluation Department is independent from other departments. Budget and staffing increased due to the increase in the number of evaluations that were required.



Principles of Evaluation

Independence

The Head of the Evaluation Department reports to the Management Board and safeguards an independent reporting line. The Evaluation Department itself is impartial of the operations. The use of external consultants for large-scale projects also contributes to independence.

Competence and capacity building

The Evaluation Department provides training programmes on the development of M&E indicators for JICA staff. The evaluation staff also participate in seminars and lectures for basic and more advanced evaluation expertise.

Transparency and knowledge management

JICA has developed an online knowledge website, which provides access to information on projects, know-how and lessons learned per sector. The Evaluation Guideline has continuously been revised for further improvement and the current version is the second edition. Guidelines are available on the JICA website, as well as the Annual Evaluation Reports and the Standard Indicator Reference, to improve JICA employees' capability.

When projects are formulated, lessons learned from past projects are taken into consideration. The Evaluation Department also holds seminars for other departments to inform them about evaluation results.

The Development Project Accountability Committee holds a meeting at MOFA, which is attended by the Evaluation Department when new JICA projects are discussed. Moreover, JICA and MOFA hold a Collaborating and Learning Meeting once or twice a year in order to share information.

Co-ordination with donors and country recipients

A few operations evaluations are co-implemented with both multilateral and bilateral donors and government partners. JICA exchanges information with their counterpart evaluation units, which facilitates mutual learning and improvement of evaluation skills.

Quality assurance

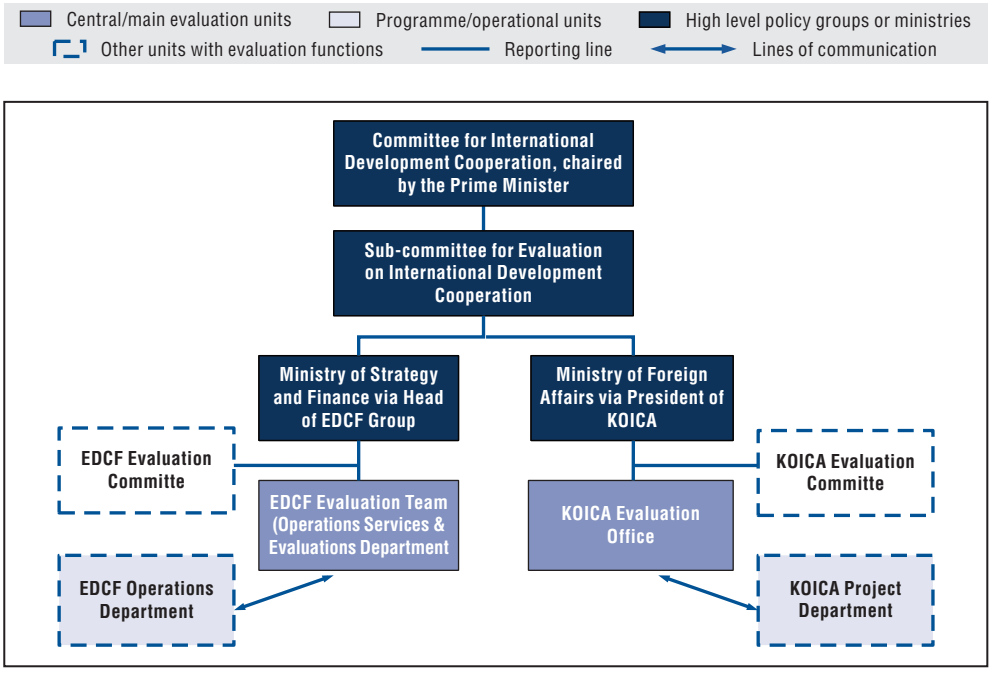
As the internal evaluation is conducted jointly by the Evaluation Department and field offices, validation of the internal evaluations is not practiced. The rating system mentioned above has also been adopted for the evaluations conducted by external evaluators.

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Korea

Evaluation Office/Korean International Cooperation Agency (KOICA)
Evaluation Team/Economic Development Cooperation Fund (EDCF)

Korea's development aid is provided through the Korean International Cooperation Agency (KOICA) and the Economic Development Cooperation Fund (EDCF). KOICA is responsible for bilateral grants and the EDCF for bilateral loans. Both agencies have their own evaluation unit.



Evaluation Office/Korean International Cooperation Agency (KOICA)

Evaluation Mandate

The Evaluation Office evaluates KOICA's development co-operation activities. The Framework Act on International Development Cooperation entered into force in 2010 mandates KOICA to prepare an evaluation plan and evaluate achievements and outcomes of ODA projects. The Committee for International Development Cooperation (CIDC) is responsible for preparing guidelines on evaluation of Korea's international development co-operation. KOICA's evaluations comply with its «Development Cooperation Evaluation Guidelines» established in 2008 and updated in 2014.

Responsibility and scope of activities

The Evaluation Office is responsible for:

- establishing evaluation policies, strategies and plans
- drawing up evaluation institutions, regulations, and guidelines
- monitoring evaluation of the project implementing departments

- executing evaluations based on the annual evaluation plans
- studying and developing evaluation methodologies by reviewing international evaluation issues and agendas
- reinforcing organisational evaluation capabilities
- enhancing partnership with other donor organisations and partner countries.

The Evaluation Office undertakes evaluations including ex-post evaluations and checks evaluation progress and consults other departments by laying out the evaluation direction and standards, while project departments administer ex-ante, interim, and end-of-project evaluations. The Evaluation Office also conducts evaluability assessments to select evaluation targets, design the evaluation implementation methods, develop the evaluation questions, and prepare for publication.

Organisational Structure and Reporting Lines

The Evaluation Office reports to the President of KOICA, who in turn reports to the Ministry of Foreign Affairs. Both KOICA and EDCF adopt the same reporting structure, where the ministries of each agency report to the Sub-Committee for Evaluation on International Development Co-operation (SC). The SC consists of senior-level officials of the respective ministries, executives of KOICA and EDCF, and civilian experts chaired by the Deputy Minister for National Agenda of the Prime Minister's Office (PMO). The SC subsequently reports to the Committee for International Development Cooperation (CIDC). The CIDC consists of 25 members chaired by the Prime Minister together with ministers of relevant government departments, and external experts.

Every year, the Evaluation Office establishes an annual evaluation plan and convenes the KOICA Evaluation Committee for deliberation. After the approval of the President, the plan is submitted to the Sub-Committee for Evaluation by the CIDC for deliberation and approval. The Evaluation Office implements annual evaluations based on the approved annual plan. Evaluation results are reported and reviewed at the Sub-committee for Evaluation's regular meeting.

Types of Evaluation

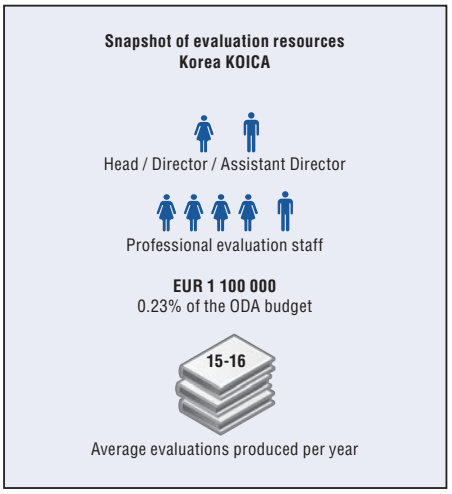
- Thematic evaluations
- Policy/strategy evaluations
- Sector-wide evaluations
- Country evaluations
- Project/programme evaluations

Over the past five years, KOICA conducted approximately 400 ex-ante evaluations, 250 end-of-project evaluations, 73 ex-post evaluations, 3 impact evaluations. The Evaluation Office mainly conducts ex-post evaluations according to the annual evaluation plan. The Evaluation Office carries out evaluability assessment for every project within two or four years after the completion. Based on the guidelines and standards for selecting projects, the Evaluation Office examines relevance to policies, applicability, usefulness, and evaluation feasibility. The Evaluation Office develops guidelines and standard indicators with the aim of maximising the use of evaluation findings. All evaluations comply with DAC Quality Standards for Development Evaluation.

Resources

The evaluations conducted by the Evaluation Office and project departments are financed within KOICA's annual operational budgets. Evaluations conducted by project departments, including ex-ante evaluation and end-of-project evaluations, are not included in the central evaluation budget.

The Evaluation Office is staffed by 7 full-time employees. The current human resources are insufficient considering the number of evaluations conducted per year by the Evaluation Office.



Principles of Evaluation

Independence

With increasing attention on development effectiveness, KOICA established an evaluation team in 1996. The evaluation team was reorganised into the Evaluation Office in 2006 and was then elevated to an independent unit placed directly under the president of KOICA in 2011 to ensure the independence of evaluations. This is reinforced through the recruitment of external consultants are hired on a competitive basis for evaluations managed by the Evaluation Office.

Competence and capacity building

Evaluation staff usually receive online and on-site training opportunities in evaluation field for capacity development. The Evaluation Office takes the role of reinforcing organisational evaluation capabilities. The staff in project departments are encouraged to participate in training programmes to deepen their understanding of project evaluation. Moreover, evaluation manuals issued by the OECD DAC are constantly translated and published in Korean, in order for the staff to improve their understanding of international evaluation practices and standards.

Transparency

The Evaluation Office publishes and disseminates evaluation results to the KOICA headquarters, overseas offices, other government departments and agencies in partner countries. The reports and annual evaluation plan for the following year are also publicly available on the website.

Knowledge management

Since 2009, KOICA has operated a feedback system to effectively reflect evaluation outcomes to future projects in an attempt to execute programmes in a more efficient way reflecting upon evaluation results. The Evaluation Office summarises recommendations produced in evaluation reports, assesses their feasibility in consultation with project departments and determines the final response. The Evaluation Office supports the responsible department to map out a feedback plan and monitors execution of the feedback actions.

Since 2013, the Evaluation Office adopted a Project Result Rating System in the ex-post evaluation to indicate the effectiveness of projects. Each project is assessed and rated in the evaluation report for its relevance, effectiveness, impact, efficiency and sustainability in accordance with OECD DAC evaluation criteria. The Office constantly delivers evaluation results to the public in a more objective and comprehensive way with active application of the evaluation rating system.

Co-ordination with donors and partner countries

KOICA exchanges information and conducts joint evaluations with the evaluation departments of several bilateral agencies. Recently KOICA evaluated a health project in Vietnam with USAID and a public administration project in Tanzania with JICA. In addition, the Evaluation Office also carries out joint evaluations with other domestic ODA agencies to strengthen their network and share the findings within KOICA and with related institutions.

The Evaluation Office requests experts in partner countries to join KOICA's end-of-project evaluations. The Office also holds ODA evaluation seminars on a regular basis since 2013 to strengthen the capacity of partner countries.

Quality assurance

The Evaluation Office conducts quality assurance for evaluations conducted both by internal and external experts according to KOICA's 'Quality Assurance Criteria.' The Criteria help ensure the quality of evaluations, which is also subject to the OECD DAC evaluation quality standards. The Office makes a concerted effort to assure the credibility and enhance the quality of evaluation reports to ensure findings from reports are valid and meaningful. Evaluation reports can be released only after the approval process of the independent evaluation committee consisting of internal and external members is completed. The Evaluation Office monitors end-of-project evaluations and provides advisory support for project departments upon request.

Evaluation Team/Economic Development Cooperation Fund (EDCF)

Evaluation Mandate

The EDCF supports partner countries in providing of loans for their economic development. The EDCF's loans are administered by the Export-Import Bank of Korea under the supervision of the Ministry of Strategy and Finance. The Evaluation Team conducts evaluations for the EDCF activities.

The Framework Act on International Development Cooperation is also the legal basis for the EDCF's ODA activities and provides the EDCF with the mandate to conduct evaluation of its operations. The Evaluation Team in the EDCF Coordination Group conducts evaluations for the EDCF's activities. It is responsible for:

- planning evaluations
- managing evaluations
- verifying the project completion evaluation implemented by the Operations Department
- providing lessons learned and recommendations obtained from the evaluation reports to the Operations Department and the Planning Department.

The primary purpose of project evaluation is to improve quality of the EDCF assistance by incorporating lessons learned and recommendations drawn from similar projects in the past while ensuring accountability and transparency by providing evaluation results to various stakeholders (EDCF 2015a).

Responsibility and scope of activities

The Operations Department implements ex-ante evaluations, which is an assessment/review of important indicators before project appraisal. Project completion evaluations are conducted in the simplified form by checking the consistency between the original implementation plan and the outcome of the project by the Operations Department as well within one year after the project completion. Ex-post evaluations focuses on the results and goals achieved and are performed two years after the project completion evaluation. In order to maintain objectivity, ex-post evaluations are performed by external experts contracted by the Evaluation Team.

Organisational Structure and Reporting Lines

The EDCF Evaluation Team belongs to the Operations Services and Evaluations Department of the EDCF Coordination Group. The Head of the Evaluation Team reports to the Head of the Department and the Executive Director of the EDCF Coordination Group. The Executive Director subsequently reports to the Minister of Strategy and Finance.

The EDCF Evaluation Committee is headed by the Executive Director of EDCF Group and is composed of heads of related Departments. The EDCF Evaluation Committee examines and deliberates the basic policies and contents of EDCF project evaluations, relevance of evaluation ratings, rigour of evaluation reports and a way to feedback evaluation results.

An annual evaluation plan is drafted by the Evaluation Team in collaboration with the Operations Department. The Executive Director of the EDCF Coordination Group approves the evaluation work plan. Then the plan is subsequently submitted to the Sub-Committee for Evaluation at the CIDC for final approval.

Types of Evaluation

- Thematic evaluations
- Sector evaluations
- Country evaluations
- Project evaluations

During the past five years, the EDCF conducted 92 ex-ante, 30 ex-post, 6 impact evaluations, 5 evaluability assessment and 7 systematic reviews. The Evaluation Team foresees a significant increase of ex-post evaluations, as many projects will soon be mature enough for evaluation.

EDCF evaluations are primarily guided by the OECD DAC criteria. For impact evaluations, the EDCF has however introduced “significance” instead of “impact” on a trial basis. This is designed to measure the EDCF’s contributions to concrete economic development in the partner countries. EDCF has also added new interpretations to the other four criteria. This pilot experience was shared with the OECD DAC Evaluation Network. For other evaluations, the criteria on crosscutting issues, including gender, environment, and human rights are added.

Resources

There are five full-time staff equivalents employed in the Evaluation Team. The financial resources have increased to accommodate a growing number of the evaluations to be performed.



Principles of Evaluation

Independence

The Evaluation Team is independent from the Operations Group. The Team reports to the Executive Director of the EDCF Coordination Group and to the Director-General of the EDCF Operations Services and Evaluations Department.

Competence and capacity building

The EDCF enhances the capacity of evaluation personnel by carrying out evaluation-related training and conducting joint evaluations with other donor agencies or partner countries.

Transparency and participation

Not only evaluation reports and annual reports are publicly available on the website, but also contractual agreements, selection of experts, operational results, and funding resources. At the end of the each year, an annual wrap-up meeting is held to present the evaluation results to the Executive Director and the Director-Generals. The results confirmed by the meeting will be the basis of management responses and turned into long and short-term action plans for project improvement.

Knowledge management

As is the case in KOICA, the EDCF shares the evaluation results across the organisation as well as the agencies in partner countries. Evaluation results obtained in joint evaluations are shared with the partner countries through mid-term workshops and discussed further.

In 2013, the CIDC constructed an ODA monitoring system, which is a computerised web-based database. Data of all the ODA projects is entered not only by KOICA and the EDCF, but also all other Korean ODA agencies. It provides the information on where and what the each agency is doing and hence make the co-ordination between the two agencies more effective and efficient.

The system is still under improvement and the information entered is so far used to build a database, not yet for informed decision making on ODA planning. The EDCF and KOICA have regular meetings to discuss the co-ordinated and harmonised ODA implementation.

Co-ordination with donors and country recipients

The EDCF hosted its first joint evaluation with recipient countries in 2011 and co-hosted the EDCF-OECD International ODA Evaluation Seminar in 2013. Since then, EDCF has been engaged in a number of joint evaluations with recipient countries as well as KOICA. The EDCF has also established regular consultation channels with other ODA agencies.

Quality assurance

The Evaluation Team validates the project completion report, which is a form of self-evaluation at the end of the project. The validation conducted by the Team is to improve the quality of the project completion evaluation. The EDCF has also adopted the new quality standard for evaluation quality assurance.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Luxembourg

Monitoring, Audit and Evaluation, Quality Control Division, Ministry of Foreign and European Affairs (MFEA)

Expertise and Quality Directorate, Luxembourg Development Cooperation Agency (LuxDev)

Evaluation Mandate

In 2015, a new overall Evaluation Policy was developed and launched by the Directorate for Development Cooperation and Humanitarian Action at the Ministry of Foreign and European Affairs (MFEA) in consultation with Luxembourg Development Cooperation Agency (LuxDev), the Ministry's implementing agency for development co-operation. The Policy is an overarching framework for the entire evaluation system of Luxembourg's development interventions, determining key objectives and priorities. The Policy sets out the distribution of evaluation tasks between the MFEA and LuxDev, with the MFEA handling external evaluations and LuxDev delivering internal, independent evaluations. Internal and external evaluations have different but complementary objectives which mean that there is close consultation between the two actors in the evaluation process (OECD 2012).

The evaluation mandate of the MFEA is defined in the 2015 Evaluation Policy. This document is complemented by a series of additional internal documents, further detailing and guiding the MFEA's work in relation to various types of evaluations and evaluation co-ordination and implementation processes. The revision of existing and development of additional resource documents is currently ongoing.

LuxDev systematically performs internal, independent mid-term and final evaluations of all its projects and programmes. LuxDev undertakes two types of internal evaluations: self-evaluations, managed by the Operations Directorate and the implementing partners themselves (with a more operational focus), and independent evaluations, managed by the Evaluation and Knowledge Management Department (Expertise and Quality Directorate). The internal, independent evaluations are driven by the Evaluations and Knowledge Management Department, which reports to the Expertise and Quality Directorate (LuxDev 2015). Apart from the general 2015 Evaluation Policy, its work is based on internal policy from 2014, mandating it to identify good practice and lessons for the future, as well as to provide information on the effectiveness of LuxDev's work, to meet the agency's accountability obligations.

Responsibility and scope of activities

Division of responsibility and types of evaluation performed by the MFEA and LuxDev

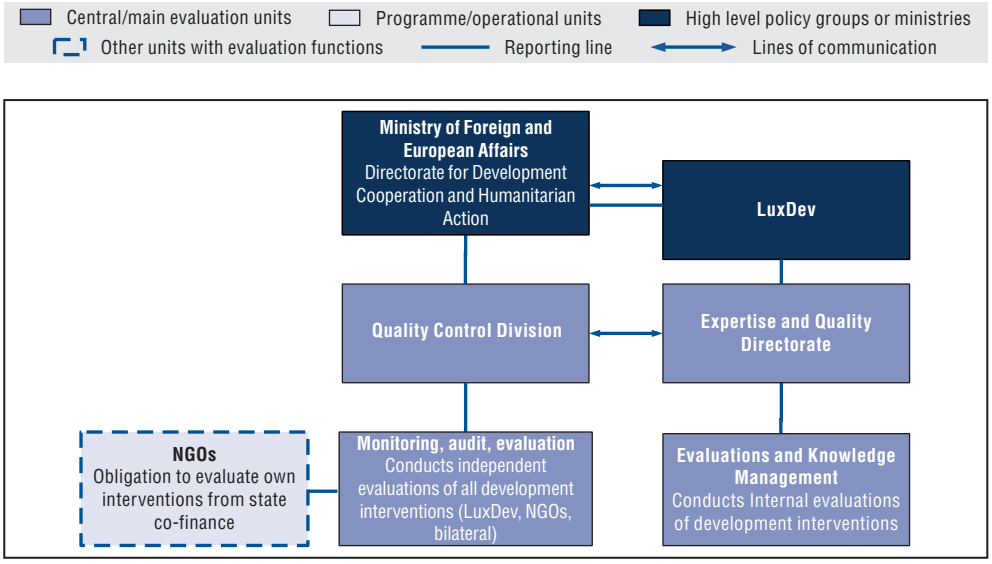
MFEA	External evaluation (with a mandate for all interventions)	- External evaluation of all development co-operation interventions financed by the MFEA - Strategic evaluation during or at the end of strategic country programmes - Mid-term reviews of the strategic country programmes - Thematic or sectoral evaluations - Ex-post impact evaluations
LuxDev	Independent evaluation (of LuxDev programmes only)	- Mid-term evaluation - Final evaluation

Source: (OECD, 2012), http://www.oecd.org/dac/peer-reviews/LUXEMBOURG%20in%20CRC%20template%20April%202013.pdf

Organisational Structure and Reporting Lines

Both evaluation departments are institutionally separate from the operations teams. The Head of Evaluations at the Ministry reports directly to the Director of Development Cooperation. The LuxDev Evaluations and Knowledge Management Department reports to the Expertise and Quality Directorate. The Ministry and LuxDev co-ordinate their evaluation programmes in order to assure complementarity.

Multi-annual evaluation plans are developed and co-ordinated by the Quality Control Division, based on an internal participatory consultation process within MFEA and subject to approval by the Minister of the MFEA. This plan covers all its actors and instruments and closely co-ordinates the evaluations covering bilateral activities with LuxDev, whose evaluation programme is imposed upon them by their general project programme (MFEA 2015).



Types of Evaluation

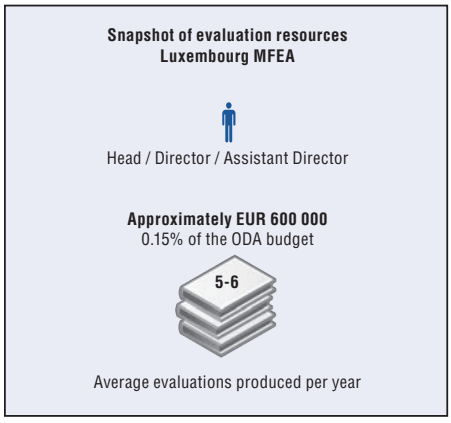
- Thematic evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Project/activity evaluations

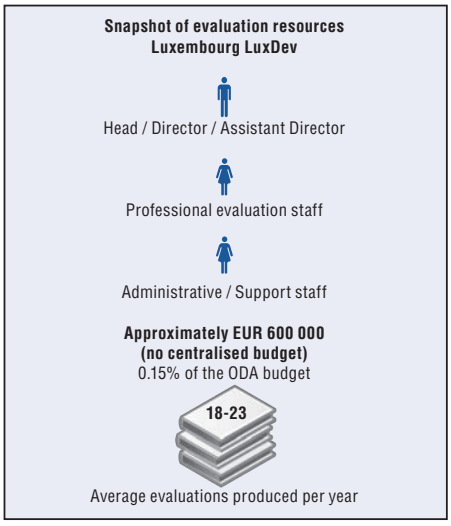
The work of the MFEA and LuxDev is guided by the OECD DAC criteria for evaluation, which is confirmed in all existing policy documents and guidelines. These criteria form a basis for the work from the evaluation planning phase to the publication of evaluation reports. The MFEA and LuxDev are also systematically assessing thematic and cross-cutting themes, namely good governance, gender, and the environment and climate change as part of evaluations (MFEA 2015).

Resources

The Evaluation Unit of the MFEA has one full-time employee in charge of organising the evaluations within the Quality Control Division, which is an increase from a part-time employee. The evaluations are conducted by independent consultants, engaged through public tenders.

The staff at LuxDev have also been reinforced and the piloting of evaluations has been transferred exclusively to the Expertise and Quality Directorate, away from the Operations Department. This has resulted in greater independence and closer collaboration with MFEA. Two staff (1.5 full-time equivalent) in the Directorate work exclusively on evaluation.





Evaluations are separately budgeted for in the MFEA, while LuxDev evaluations are funded from project/programme budgets. The overall budget available amounted to approx. EUR 600 000 in 2015 per agency. Roughly 25-30 evaluations are carried out per year, which is expected to remain the same level in the future.

Principles of Evaluation

Independence

Both evaluation departments are institutionally separate from operations management. Most of the external evaluators appointed by the MFEA and LuxDev are publicly tendered. The evaluation teams will usually consist of sector specialists and regional experts. Moreover, the Ministry and LuxDev require that local experts be associated to each mission in order to complement the external consultants' view with their local insight.

Competence and capacity building

Internal staff in the evaluation departments are provided general training on evaluations and take part in several international knowledge sharing and capacity building networks. This ensures a better understanding of the challenges faced in evaluations and in project implementation.

Transparency and participation

Information on the evaluation work of the MFEA and LuxDev is publicised on their respective websites, through executive summaries of all evaluations carried out. The full evaluation reports are distributed internally and to project stakeholders. Reporting on evaluations and results is done via regular meetings with senior management in the Ministry and LuxDev, via distribution to partner countries, and in bi-monthly meetings with NGO representatives and Ministry staff. The MFEA has established close working relationships with NGOs who are obliged to audit and evaluate their own activities from a specific amount of state co-finance for their activities. Evaluations also feed into the Annual Declaration on Development Cooperation by the Minister to the Parliament. At the MFEA, a system for management response has been formalised, ensuring that recommendations are taken into account to improve the quality of future interventions or to address any issues identified.

Knowledge management

Since 2010, joint sector expertise units have been established in the MFEA and LuxDev to encourage effective knowledge management among others. LuxDev has developed a database on evaluations and has organised internal thematic or sectoral workshops to share the lessons drawn from the evaluations. The MFEA also has a knowledge management system in place, storing evaluation reports for internal use.

Co-ordination with donors and country recipients

Partner country stakeholders frequently participate in designing evaluations and in reference groups for both agencies. They are also invited to define evaluation plans and work programmes. Joint evaluations are carried out to some extent – two such evaluations have been implemented in the past five years. As country programmes are signed jointly with other partner countries, the country programme reviews are per se joint exercises. The MFEA is part of the Multilateral Organisation Performance Assessment Network (MOPAN) for the evaluation of multilateral organisations, including joint assessments.

Quality assurance

The Directorate of the MFEA contains an Evaluation and Quality Control Division, which manages external impact evaluations of ODA overseen by the Directorate for Development Cooperation and Humanitarian Action. The Division is responsible for ensuring the implementation of the evaluation policy and programme, monitoring the follow-up process to recommendations made in specific evaluations and functions as an administrative co-ordinator. LuxDev's Quality Department has guidelines and templates in place to guide staff in the elaboration of Terms of Reference for evaluation missions, in the briefing of experts and the editing of evaluation reports. Ad-hoc evaluation committees provide additional oversight (OECD 2010, MFEA 2015).

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Netherlands

Policy and Operations Evaluation Department (IOB),
Ministry of Foreign Affairs (MFA)

Evaluation Mandate

The Policy and Operations Evaluation Department (IOB) is an independent unit responsible for evaluation activities for the Ministry of Foreign Affairs (MFA). Given the mandate and independence of IOB, the directorates general remain responsible for the evaluation of foreign policy, foreign trade and development co-operation. In addition to evaluations led by IOB, departments and embassies commission decentralised evaluations. The Evaluation Policy (2009) and guidelines for evaluation define the objective of IOB as:

"to increase insight into the implementation and effects of the Dutch foreign policy realised by the MFA and its operations. Better knowledge of the outcomes of development cooperation allows policy makers to devise measures that are more effective and focused."

IOB's scope of work includes:

- conducting evaluations for learning and accountability purposes
- programming evaluations in the field of development co-operation, foreign trade and foreign policy
- improving the quality of evaluations by developing quality requirements and evaluation guidelines, advising on evaluation design and implementation, and systematic assessment of evaluations
- strengthening evaluation capacity in partner countries
- communicating evaluation results.

IOB conducts policy reviews, impact evaluations, process and other evaluations and studies. The policy reviews give an assessment of a specific policy area of the Dutch government with a comprehensive analysis of a general or operational policy objective. Ministries are obliged to conduct these reviews every five to seven years. The policy reviews rely on information gathered in separate evaluations. Ex-post impact evaluations look into the net effects of the policy. IOB also carries out short evaluations, synthesis studies and ad-hoc research. Operations departments and embassies undertake evaluations of projects and programmes.

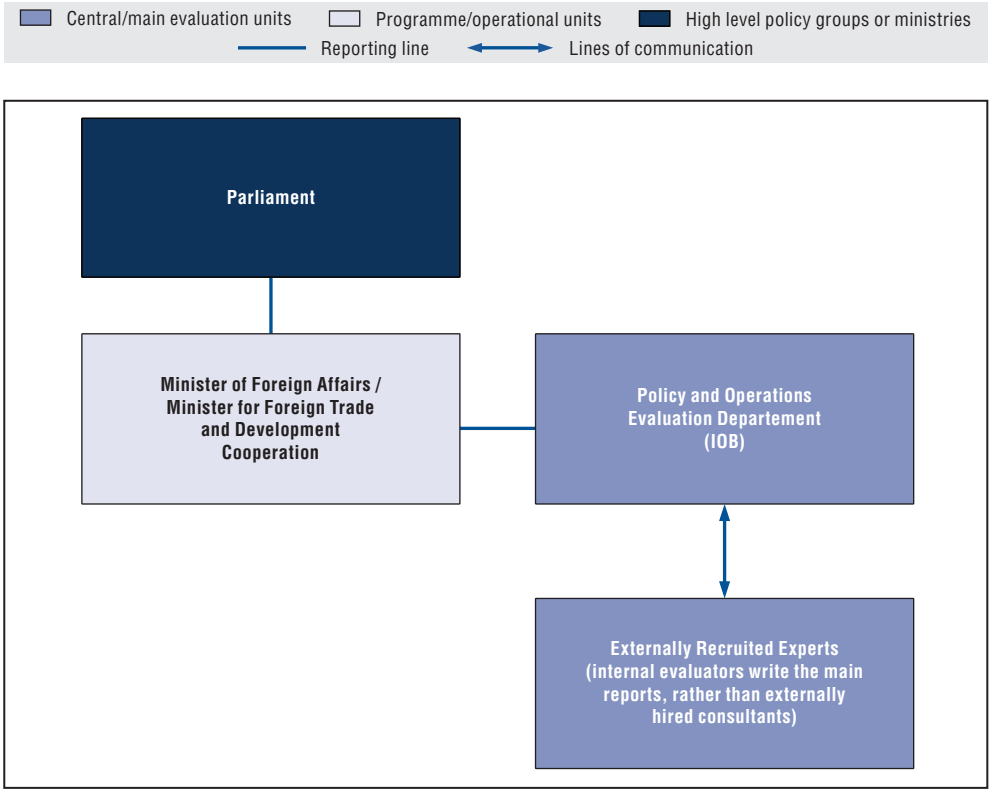
In line with policy developments in the Netherlands, the IOB's work has shifted from evaluation of individual projects towards evaluation of foreign trade and foreign policy.

Responsibility and scope of activities

In general, IOB conducts larger programme evaluations, while departments, embassies and implementing agencies are responsible for decentralised evaluation, such as the evaluation of individual projects, subsidies and instruments. IOB is responsible for managing the evaluations and the dissemination of the results. The IOB evaluators conduct individual evaluations and write policy reviews and synthesis reports. Part of the evaluation may be contracted to external consultants with specialised knowledge of the particular topic, particularly if the evaluation is commissioned jointly with partner institutions. Typically the IOB's internal evaluators write the main reports, rather than externally recruited consultants. External consultants are often recruited for case studies. The Director of IOB is responsible for the contents of the final reports (including evaluations, reviews and studies).

Organisational Structure and Reporting Lines

IOB is placed under the authority of the Deputy Secretary-General of the MFA. The Head of IOB reports to the Deputy Secretary- General of the MFA.



The reporting line of the Head of IOB varies depending on the type of evaluation. In case of policy reviews, the report goes to the Parliament with a policy reaction from the Minister of Foreign Affairs and/or the Minister for Foreign Trade and Development Cooperation, after discussion by the Council of Ministers. In general, individual evaluations that will be part of a policy review will be published without a policy reaction from a Minister, unless it is agreed with one of the Ministers to send the report to Parliament. Studies may be published directly, though the timing and modality will be discussed with the management of the Ministry. The IOB Director approves the individual evaluation reports.

Until recently, an Advisory Panel advised on the usability of evaluations. The Panel consisted of the personnel with technical skills and experience of evaluation and development co-operation. Currently IOB is working on the development of a new panel or advisory board. This panel or board should include the three policy areas of Development Cooperation, Foreign Trade and Foreign Affairs.

Proposals for the Evaluation Programme are discussed inter alia with the Financial and Economic Affairs Department and the Directors-General. The Director of IOB, and subsequently the Directors-General for Foreign Policy and Foreign Trade provide the final approval. Approval of the Director-General for International Cooperation (DGIS) is not required, though IOB aims at coordinating the programming with the DGIS.

Types of Evaluation

- Thematic and cross-cutting evaluations
- Sector-wide evaluations
- Programme evaluations
- Impact evaluations
- Policy/strategy evaluations
- Project/activity evaluations
- Systematic reviews

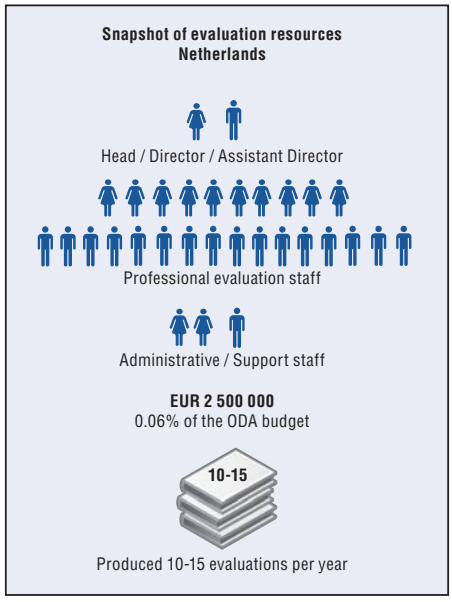
IOB uses the OECD DAC criteria as well as other criteria such as additionality, coherence, and cross-cutting issues (gender).

Resources

IOB has 26 researchers and evaluators working on a full-time basis.

A separate component of the annual budget is allocated to centralised evaluations. The budget for the evaluation programme is discussed in the Audit Committee and the management of the MFA.

Decentralised evaluations conducted by departments and embassies are financed from the programme budgets. This is defined during the project design phase.



Principles of Evaluation

Independence

IOB is institutionally separated from the operations departments and embassies. The Head of IOB reports to the Deputy Secretary-General of the MFA. The Director of IOB is recruited externally with a seven-year fixed contract.

Competence and capacity building

The skills of the evaluation staff are maintained by internal and external training. When needed, consultants or researchers are hired.

IOB itself has a help desk function and it advises the staff outside the evaluation unit upon request. Support is typically provided on methodological issues, Terms of References (ToR), assessment of bids, participation in reference groups and feedback on draft reports. No particular financial resources are allocated on delivery of training, but informal contacts between evaluators and policy officers are maintained.

Transparency and participation

Most evaluations are made public. The only exceptions are specific requests from departments to analyse or assess specific internal topics.

Knowledge management and use

IOB is responsible for communicating the evaluation results and ensuring with the Policy Department that they are fed into policy. All the IOB's evaluations, research and annual reports can be accessed on the website. IOB also disseminates the evaluation reports via other media, lectures, interviews, articles, conferences and seminars.

Co-ordination with donors and partner countries

For the past five years, about nine joint evaluations have been carried out with bilateral agencies and partner governments, such as the European Commission Evaluation Unit, line ministries in Mozambique, Nigeria, Tanzania and Zambia and the University of Ghana. Working with other donor countries is recognised as being useful, especially when more than one donor supports the same programme.

Quality assurance

In order to ensure high quality reports, there is a quality control system in place with several instruments. Firstly, the IOB Director appoints internal peer reviewers to each evaluation. The reviewers provide advice during the entire process to the evaluator on evaluability and evaluation approach, the ToR, steps in the evaluation process as well as to the draft final report before it is submitted to external reference group. Secondly, an external reference group is established, consisting of internal staff and external experts, and meets at key moments during the process (e.g. to discuss the draft ToR, partial reports and the draft final report). Thirdly, the draft of the ToR is discussed within IOB. Fourthly, the evaluator him/herself conducts a self-evaluation of the evaluation in a systematic manner and checks its responsiveness against the Terms of Reference (MFA 2009). Finally, the IOB Director approves the report when all steps have been taken and if he/she agrees that the report complies with all quality standards.

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New Zealand

Evaluation and Research Team/Ministry of Foreign Affairs and Trade (MFAT)

Evaluation Mandate

The last five years have seen a period of significant change for the organisation and management of New Zealand's development co-operation. In 2009, the management of the New Zealand Aid Programme (the Aid Programme) was transferred from a semi-autonomous unit (known as NZ Aid) and integrated into the Ministry of Foreign Affairs and Trade (MFAT).

MFAT's Evaluation Policy (updated in June 2014) sets the core requirements for conducting strategic, programme, policy and practice, and activity evaluations. The policy reflects the OECD DAC Principles of Evaluation for Development Assistance and applies the DAC Evaluation Quality Standards for Development Evaluation. It is supported by operational guidelines, knowledge notes, evaluation resources and staff training.

The Evaluation Policy highlights that evaluation: (i) provides evidence to assess whether the Aid Programme is making a difference by using the most effective and efficient methods to support sustainable development; (ii) assesses the distinctive contribution of the Aid Programme to the generation of results and (iii) contributes to a body of evidence and experience to support future policy directions and development practice improvements. New Zealand utilizes evaluation findings for decision-making, learning and accountability purposes.

The Evaluation and Research (ER) team operates outside the design, delivery and management of the New Zealand Aid Programme's development interventions and its planning and reporting functions. The ER team is responsible for managing and delivering the strategic (sectoral, thematic, programme, policy and practice) evaluations. It is also responsible for the implementation of the Evaluation Policy and provides advice and support for activity evaluations.

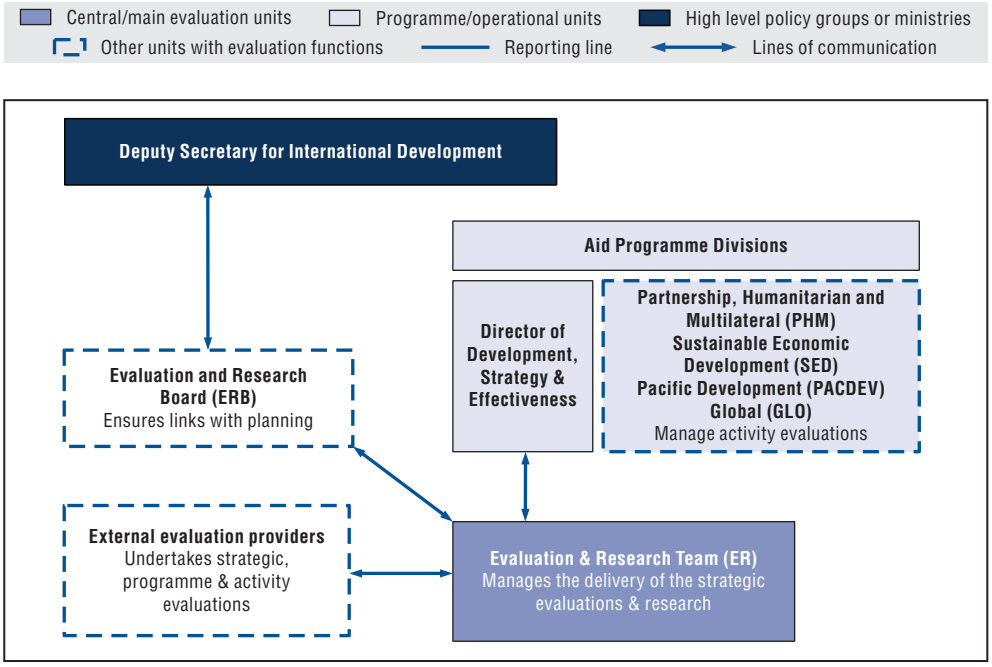
Programme evaluations are commissioned every six to ten years, in line with the programme cycle. Activity evaluations are performed at any point in time during the activity lifetime and/or after completion. These are led by an Activity Manager. Evaluations of activities can be commissioned if the evaluation is deemed to be useful for decision making, learning or accountability. However, they are mandatory where the Aid Programme's investment exceeds NZD 10 million.

Organisational Structure and Reporting Lines

In 2013, the ER team was re-established with new roles and responsibilities. The primary focus was to create a new evaluation function, system, processes and to build an evaluative culture. This included establishing a coherent multi-year evaluation work programme across three co-ordinated levels: strategic, programme and activity level. The intention is that evaluations at the different levels complement and reinforce each other.

An independent Evaluation and Research Board (ERB) was also established to provide advice and support to the Aid Programme's senior leadership team and to the ER team on evaluation and research policy, practice and function. The multi-year evaluation and research work programme is also endorsed by the ERB.

The Aid Programme's senior leadership team is responsible for the overall governance and implementation of the evaluation and research programme. This includes consideration and response to the evaluation findings and lessons learned.



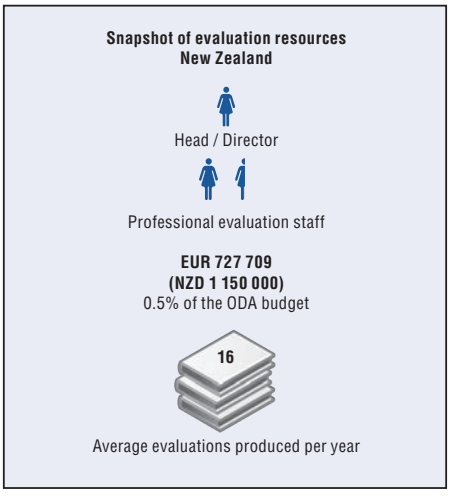
Types of Evaluation

- Thematic evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Project/activity evaluations

During the last five years, over 55 activity evaluations have been completed. Five strategic sector-wide evaluations and four country programme evaluations have also been delivered.

The evaluation programme is reviewed annually to ensure it is responsive to the strategic and operational needs of the Aid Programme. Strategic evaluations are selected to address significant issues (e.g. sectoral, thematic, programme, policy or process) across the Aid Programme. New studies are also identified and the prioritisation of evaluations is discussed based on a set of agreed criteria. These criteria ensure that the work programme is aligned to the Aid Programme's three year strategic plan and its core priorities.

Resources



The ER team has three staff members. Two staff members are focused on evaluation and research; one staff member (0.5 full-time equivalent) is focused on disseminating results evaluation and research findings. The ER team is responsible for:

- the development of the New Zealand Aid Programme's evaluation programme
- commissioning strategic evaluation and research
- providing assistance to staff commissioning activity evaluations to help ensure they are relevant, robust, timely and useful
- ensuring that the New Zealand Aid Programme implements good development evaluation practice (through evaluation policy, resources and training)
- disseminating evaluation results and building an evaluative culture.

The ER team has a centralised and dedicated three-year budget for the execution of its multi-year (2015-2019) strategic evaluation and research programme. This amounts to NZD 8.5 million, which is an increase from the previous three years. A three-year work programme also exists for activity evaluations. These evaluations are funded from the activity budgets.

Principles of Evaluation

Independence

The ER team operates outside the design, delivery and management of the Aid Programme's development interventions and its planning and reporting functions. Evaluations are carried out by external specialists who have no vested interest in the outcomes of the evaluation and are independent of those responsible for policy making and for the delivery of development assistance. These external specialists are selected through competitive tenders with transparent criteria. The evaluation governance structures, management processes and quality assurance mechanisms also help safeguard independence, as does involving a broad range of partners and stakeholders in the evaluation process.

Competence and capacity building

The Aid Programme's evaluation learning programme places stronger emphasis on real-time support based around individuals' needs, which complement scheduled evaluation training courses. This ensures that support is relevant and timely and more directly contributes to the usefulness of evaluations. This is reinforced by evaluation resources available on the Aid Programme's intranet.

Partners are included in evaluation governance groups, promoting capacity development and increasing ownership and usage of the evaluation findings. Partner representation in our programme evaluation working groups is actively encouraged. These groups include subject matter experts. Proposals from indigenous-led evaluation teams or from evaluation teams which include indigenous evaluators are also encouraged.

Other capacity building initiatives with partners include training workshops, secondment opportunities and the provision of ongoing advice and support to help build evaluation capacity, when and where opportunities arise.

Transparency and participation

There is systematic dissemination of evaluation results and lessons. All evaluations are published on MFAT's intranet and Internet. Evaluation results are reported to senior management and the ER Board.

Findings are also shared with partners and stakeholders. Interim findings from the Samoa and Tokelau country programme evaluations were recently shared with Government officials, Apia post, and other key stakeholders.

Evaluation findings are also used in a range of reports, including external reports such as the 2012/13 - 2014/15 Triennium Results Report Development that Delivers: Results Achieved (yet to be published) and MFAT's annual report to Parliament, which includes information from evaluations (OECD 2015, 2010).

Knowledge management

In 2013, New Zealand developed a knowledge and results strategy with a five-year time frame. This strategy outlines a series of initiatives to share evaluation, research and results and to build an evaluative culture. This involves a commitment to using the right evidence to inform decision making, planning, strategies, policies and practice.

A dedicated knowledge intranet site also makes evaluation resources available to Aid Programme staff, including evaluation briefs and evaluation insights that highlight lessons learned. Evaluation outcomes (as well as experience and good practice on aid management challenges) are communicated through interactive sessions (including 'brown bag lunches' and 'catch up cafes'), seminars and workshops.

Other initiatives include regular result and evaluation stories, a synthesis of lessons learned from activity evaluations, and sector synthesis reports that present key themes and lessons learned on each of the Aid Programme's priority sectors.

Co-ordination with donors and country recipients

New Zealand has experience with both joint and partner-led evaluations and has participated in nine during the past five years. The Evaluation Policy encourages partner-led or joint evaluations (where this is considered to be appropriate). The Aid Programme also works in partnership to ensure OECD DAC quality standards apply in order to promote evaluation quality, utilisation and learning. Where partners lead the evaluation, New Zealand uses partners' evaluation systems and accesses the evidence they generate.

Quality assurance

Over the past five years a number of initiatives to improve the quality of the Aid Programme's evaluation have been instigated. These include:

- using independent evaluation advisors for strategic evaluations to provide specialised evaluation technical and subject knowledge
- undertaking evaluative assessments as part of stage one of an evaluation - to determine the feasibility of undertaking the evaluation and reinforcing the "stop/go points" to ensure that the evaluation only proceeds when assured of delivery value

- establishing supplier pools of evaluation providers that will deliver quality work to the standards and quality expected (includes application of the OECD DAC Evaluation Quality Standards for Development Evaluation)
- undertaking independent quality analysis of activity evaluations against the New Zealand Aid Programme Quality Standards for activity evaluations
- providing real-time and ongoing advice and support for activity evaluations by the ER team
- undertaking independent peer reviews of evaluation deliverables.

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Norway

The Evaluation Department,
Norwegian Agency for Development Cooperation

Evaluation Mandate

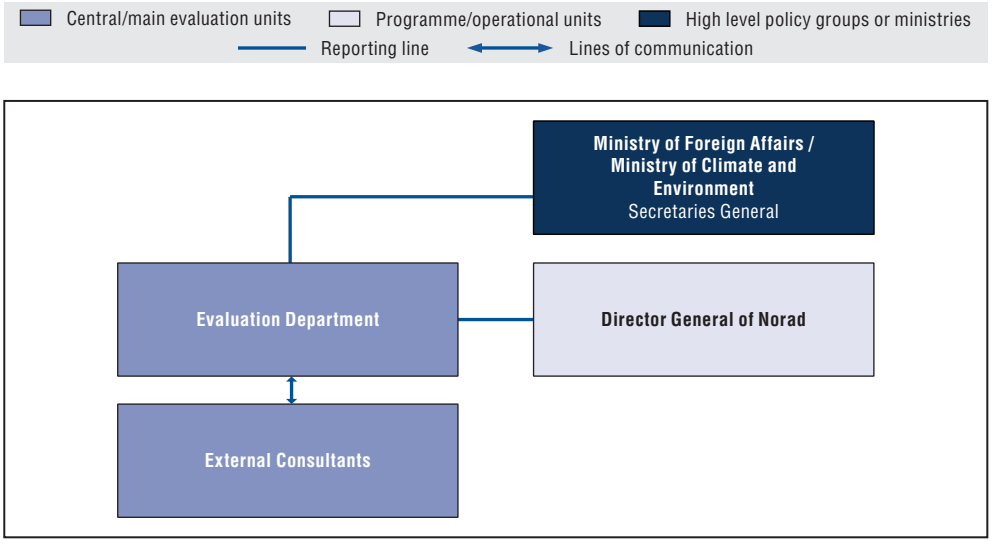
The Evaluation Department is the unit responsible for initiating and implementing independent evaluations of development co-operation activities financed under the Norwegian development co-operation budget, and communicating these results to the public and decision/policy makers. The Evaluation Department is located in the Norwegian Agency for Development Cooperation (Norad). The key objective of evaluations is to identify lessons learned in a systematic way, so that they can be used in policy development and serve as the basis for operations activities.

The Department's function and role is defined in the «Instructions for Evaluation Activities in Norwegian Aid Administration» issued in 2015. The Instructions empower the Evaluation Department to decide what to evaluate, how to evaluate and to provide and communicate recommendations for follow-up.

Responsibility and scope of activities

The Evaluation Department is responsible for initiating and planning evaluations and studies on the whole spectrum of Norwegian development co-operation, regardless of co-operation partner or who manages the funds. The evaluations and studies are normally carried out by external consultants. The Department prepares Terms of Reference for the evaluations in consultation with other parties inter alia the operations departments, embassies and other stakeholders. It is also responsible for assessing and selecting the external consultants, for assuring the quality of the work, for providing recommendations and for communication. In its advisory capacity, the Department supports Norad, the embassies, and the MFA in relation to evaluation methodology and represents Norway in the international evaluation arena.

Organisational Structure and Reporting Lines



The Department is led by the Evaluation Director and directly reports to the Secretaries-General of the Ministry of Foreign Affairs and the Ministry of Climate and Environment. The constitutional responsibility to manage the Norwegian aid budget is shared by the two Ministries. The issues related to Reducing Emissions from Deforestation and Forest Degradation (REDD) are reported to the Ministry of Climate and Environment.

The Evaluation Director reports to the Head of Norad on administrative matters. The separate instructions regulating the Department's responsibilities are in line with the overall instructions for Norad (OECD 2013). There is no Evaluation Advisory Board or Committee in the framework of evaluation of Norway's development co-operation.

The Evaluation Department formulates a two-year rolling Evaluation Programme. Suggestions to the Programme are widely sought from internal and external stakeholders. The final approval of the programme is made by the Evaluation Director and is subsequently submitted to the Secretaries-General of the Ministries.

Types of Evaluation

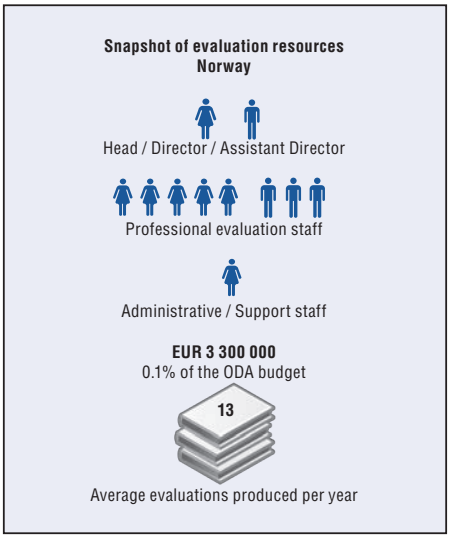
- Thematic/cross-cutting evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations

Norway's evaluations are guided by the OECD DAC criteria. Over the past five years, 6 real-time, 14 ex-post, 1 impact, 19 process, and 5 other types of evaluation have been carried out. The selection of evaluation subjects is based on three criteria defined by the Ministry of Finance: risk, type and strategic importance.

Resources

Currently the Department is staffed by 11 full-time employee equivalents. While the staff capacity has remained the same over the last five years, the budget for evaluation activities has decreased.

Both centralised and decentralised evaluations are covered by the operational budget. The Department is however aware of the need for a separate budget line for evaluations, since being an integral part of the Norad's budget and staffing plan makes the Department's financial and human resources unpredictable.



Principles of Evaluation

Independence

The Evaluation Department is organisationally part of Norad but reports directly to the Secretaries-General of the Ministries of Foreign Affairs and Climate and Environment. The evaluations are normally carried out by external consultants and researchers selected through an open competitive procedure and free from conflict of interests. The Department does not have any financial independence.

Competence and capacity building

The Department's capacity to conduct evaluations is considered to be sufficient and their active work in the evaluation community is recognised. The staff in the Evaluation Department attend trainings internally and externally. Participation in evaluation societies and producing and presenting publications are encouraged.

Transparency and participation

The annual results report on the website is the primary tool for communicating the results of Norway's ODA to the general public. All evaluation reports and evaluation plans are made public. The website contains multimedia materials to facilitate the sharing of views and documents. The statistical portal built in 2011 also contributes to increasing the transparency of the use of development co-operation funds.

For each evaluation, full access to written and verbal sources in the ministries, Norad, and the embassies is provided to the consultant. Management of the ministries is required to respond to the recommendations produced in the evaluation reports within six weeks by providing an action plan. Annual updates are provided on the implementation of the action plan.

Once an evaluation report is officially published, the evaluation author is permitted to republish the work externally in other forms, which opens up evaluation findings to larger audiences and increases dissemination.

Knowledge management

The website provides easy access to various handbooks and reference documents from both national and international sources related to evaluation. Evaluation reports are shared internally and are used to support budget proposals, providing evidence of the merits of the approach. The evaluation results are in some instances shared with partner countries through presentations and production of separate communication materials in local languages.

Co-ordination with donors and country recipients

Joint evaluations and actual collaboration with other donors is limited. For the past five years, five joint evaluations have been carried out with other Scandinavian bilateral organisations, the African Development Bank, the World Bank and the UNDP.

Quality assurance

The Evaluation Department is responsible for quality assurance of evaluations carried out by external consultants. External reviews of the Evaluation Department have been done on a regular basis. Decentralised monitoring and evaluation activities are supported by the quality assurance departments in MFA and Norad, which provide guidelines, assistance, and training to staff to improve the evaluability of projects and programmes. The Evaluation Department does not have a formal role as quality assurer for decentralised evaluations. Those with management responsibility for Norwegian development co-operation activities are expected to conduct quality control and promote learning in relation to their activities.

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Poland

Development Cooperation Department (DCD)/
Ministry of Foreign Affairs (MFA)

Evaluation Mandate

Poland joined the OECD DAC as the 28th member in 2013. Since the Special Review performed by the DAC in 2010, Poland has made efforts to establish the legal and political foundations, identifying a clear focal point, and creating systems for monitoring and evaluation. The Development Cooperation Act was drafted in 2011 and the Multiannual Development Cooperation Programme 2012-2015 was prepared, which serves as the basis for the planning and implementation of the Polish development assistance including monitoring and evaluation activities.

The Development Cooperation Act mandates the Minister responsible for Foreign Affairs to evaluate the effectiveness of the implemented development goals set out in the Programme. The Deputy Minister, the Under-Secretary of State for Development Cooperation, acts as the National Coordinator for Development Cooperation and supervises the Department of Development Cooperation (DCD). On behalf of the Minister, the DCD evaluates Polish development co-operation.

Poland's development assistance has been the subject of evaluation since 2012. The Independent Position, equivalent to a principal advisor (hereinafter Evaluation Post) and in charge of the evaluation of Polish development co-operation, was created within the DCD in the Ministry of Foreign Affairs (MFA). The most recent Multiannual Development Cooperation Programme 2016-2020 provides a clearer definition and the roles of evaluation.

Evaluation of Poland's development co-operation has the following key objectives (MFA & Polish aid, 2015):

- to assess how effectively the Programme goals have been attained
- to consolidate development policy
- to support the decision-making process in the context of programming, including decisions on whether to continue programme/project funding
- to inform policy makers, partner organisations and the general public about the results of development measures.

Responsibility and scope of activities

The Evaluation Post is tasked to plan, prepare and oversee the process of evaluation of Polish development co-operation financed through MFA development co-operation budget. The Evaluation Post also analyses the findings of evaluations and disseminates its results.

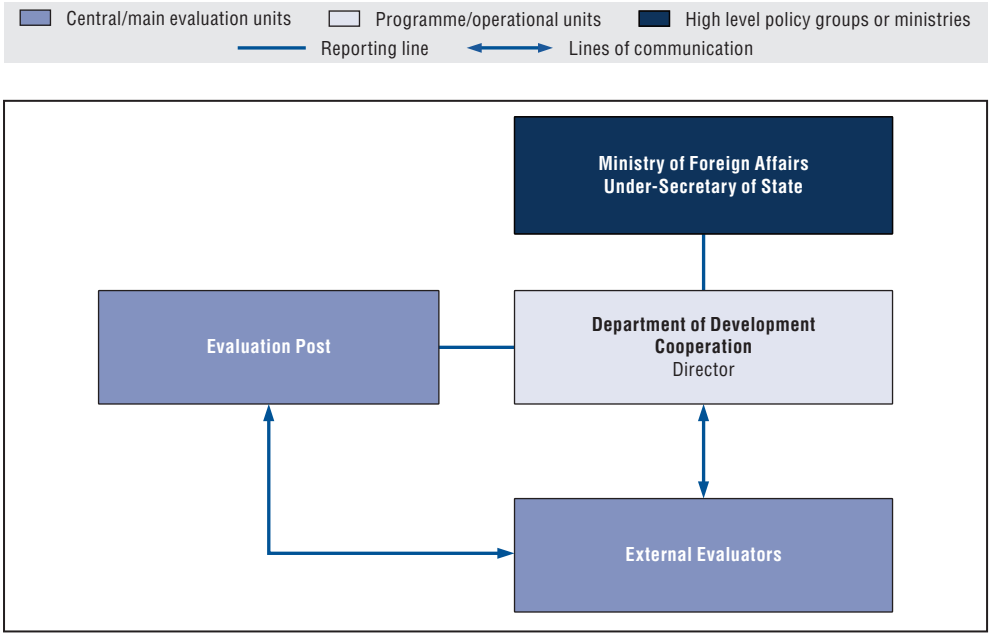
According to the 2015 and 2016 Evaluation Annual Plans, all the evaluation activities are assigned to external evaluators. The MFA may prepare and conduct its own internal evaluations, which will be complementary to the external evaluations.

Organisational Structure and Reporting Lines

The independent Evaluation Post is placed within the DCD and reports directly to the Director of the DCD. The DCD Director subsequently reports to the the Under-Secretary of State.

The Evaluation Post and the Development Cooperation Department supervise the external evaluators.

All stakeholders are consulted in evaluation planning including management, policy makers, operations units, and partner countries.



Types of Evaluation

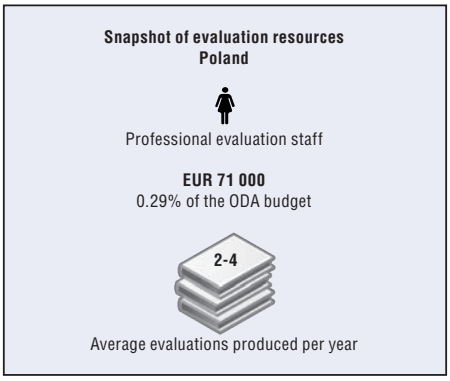
- Thematic/cross-cutting evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Project or cluster of projects evaluations

The OECD DAC standards and principles are applied to evaluations in Poland. Moreover, the standards used by the National Evaluation Unit and the Polish Evaluation Society are also taken into account. Poland primarily conducts ex-post and mid-term evaluations. Ex-post evaluations focus on annual and modular tasks that have been completed, especially on programmes, projects and groups of projects (MFA & Polish aid 2015).

Resources

The Evaluation Post in the DCD is the single employee who is engaged with evaluation activity on a full-time basis. The MFA has been increasing the Ministry's capacity for development co-operation since 2010, but currently there is no plan to scale up the size of the evaluation function.

Both centralised and decentralised evaluations are financed through the operational budgets.



Principles of Evaluation

Independence

The Evaluation Post is separated from the operations units. Evaluation is carried out by external companies selected through a public tender procedure, pursuant to the Public Procurement Act and the MFA's internal laws and regulations. The Evaluation Post does not engage in project/programme operations. As the unit is so small, ensuring independence is challenging.

Competence and capacity building

The Evaluation Post participates in external trainings and conferences and shares the knowledge gained with the DCD staff at department meetings and in written reports.

Transparency and participation

Poland also draws on the Busan principles: ownership, focus on results, transparency, responsibility, inclusive partnerships. Knowledge and information on the evaluation of development co-operation is publicly shared. On the Polish Aid website, evaluation results are translated into English and made public and shared with stakeholders, including partners' administrations via diplomatic staff. Legal frameworks, annual evaluation plans and reports are also publicly available.

Poland has a formalised process for management response and follow-up system. The staff responsible for the theme evaluated assess evaluation results and implement recommendations. Partner countries are informed of evaluation results and recommendations first. A yearly status update takes place at a meeting with the management of the Department.

Knowledge management

Evaluation results are not only made public and discussed during an open meeting with stakeholders but also presented once a year at one of the Development Cooperation Policy Council meetings. Conclusions and recommendations from evaluations are directly introduced into the project cycle (in the process of yearly planning and management).

Co-ordination with donors

No joint evaluations with other donors have been conducted yet.

Quality assurance

The DCD Director first approves the quality standards for evaluation process. The contracted evaluators ensure that the report meets the standards. The Evaluation Post monitors compliance, and subsequently the Director confirms the quality standards compliance.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Portugal

Evaluation and Audit Unit (Gabinete de Avaliação e Auditoria - GAA), Institute for Cooperation and Language (Camões, I.P.)

Evaluation Mandate

In 2012 Portugal underwent a major organisational reform. The Portuguese development agency, the Portuguese Institute for Development Support (IPAD), was merged with into Camões, the Institute for Cooperation and Language (Camões, I.P.). Since the merger, Camões, I.P. is responsible for both development co-operation and Portuguese language and cultural activities.

Camões, I.P. has a unit responsible for the evaluation of Portuguese development co-operation and Portuguese language and cultural promotion activities, the Evaluation and Audit Unit (Gabinete de Avaliação e Auditoria - GAA). GAA is in charge of the evaluation of development co-operation, delivered directly and through line ministries, as well as internal audit.

The role and institutional setup of GAA are guided by the Evaluation Policy currently under development. The new Evaluation Policy grants GAA the mandate to evaluate all development co-operation interventions and to ensure quality of evaluations conducted by line ministries. Through evaluation, GAA aims to deepen the knowledge about the implementation of programmes and projects and their results, to support the evidence-based decision making and to promote the continuous improvement in the areas of intervention of Camões, I.P.

Responsibility and the scope of activities

The evaluation of Portuguese development co-operation is centralised. There is no decentralised evaluation of development co-operation in Portugal. GAA's duties include:

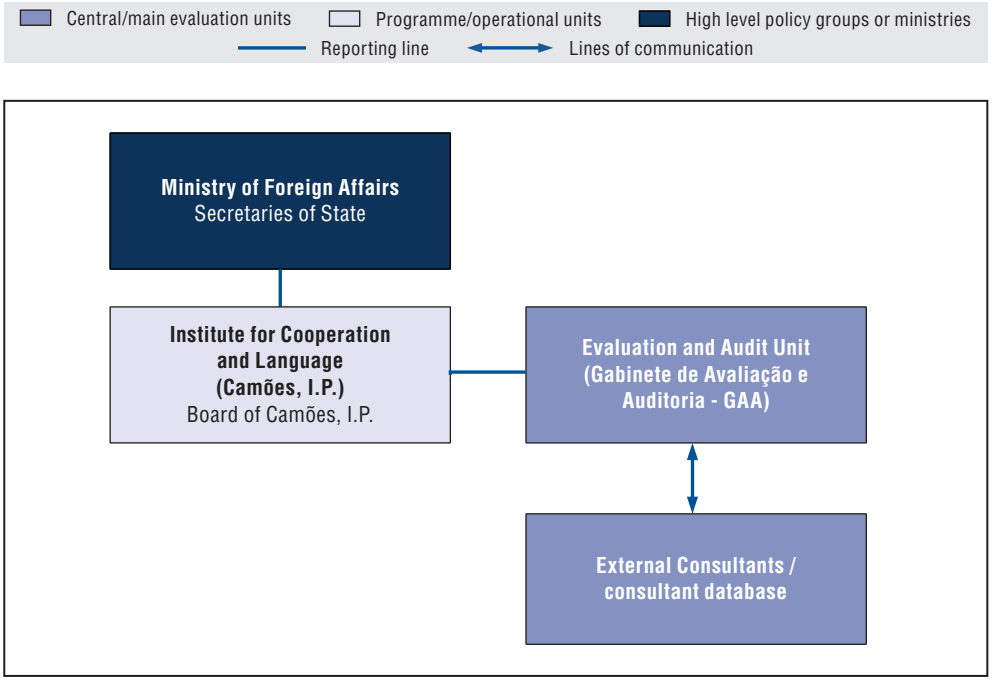
- managing and implementing internal evaluations
- promoting, managing and monitoring external evaluations
- collaborating in joint evaluations
- dissemination of evaluation results and information
- ensuring the incorporation of lessons learned into the future actions
- ensuring the quality of the evaluations
- providing technical support related to evaluability.

Camões, I.P. delegates some responsibilities, such as the support function for project monitoring, to the staff based in Portugal's six partner countries, but they are not responsible for evaluation.

Organisational Structure and Reporting Lines

GAA has a direct reporting line to the Board of Camões, I.P. Camões, I.P. further reports to two Secretaries of State within the Ministry of Foreign Affairs.

GAA drafts a triennial work plan in collaboration with the operational units and policy makers, so that the demands to be placed on evaluation subjects and the information gap for decision making are addressed. The work plan is subsequently submitted to the Board of Camões, I.P. for approval.



Types of Evaluation

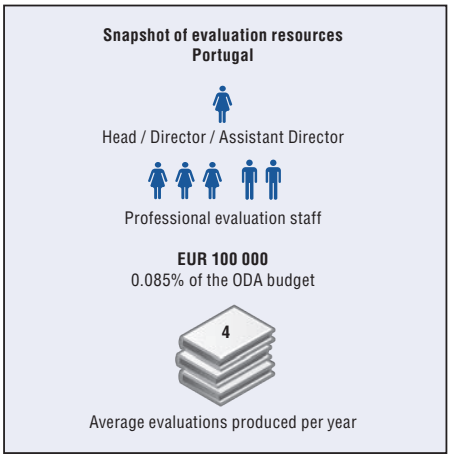
- Thematic evaluations
- Programme evaluations
- Country evaluations
- Project/activity-level evaluations

GAA applies the OECD DAC criteria for their evaluations, as well as the 3C principles (co-ordination, complementarity and coherence), and added value and visibility.

During the past five years, 9 ex-post evaluations, 6 process evaluations, 1 evaluability assessment and other type of evaluation were conducted. GAA plans to invest in impact evaluations in order to better assess the projects' impact/outcome-oriented results rather than outputs realised. Fifteen development-related evaluations and 5 language-related evaluations will be conducted during the 2014-2016 period.

Resources

The number of evaluation staff has increased, as the GAA's workload has also expanded as a result of the merger. The evaluation staff in the former IPAD was composed of only two or three however GAA is currently staffed by six full-time employees, five of which engage in evaluation activities.



Camões, I.P. has separate budgets for the different organisation units. The 2014-2016 evaluation plan does not define the budget for evaluations, but the budget attached to evaluations in 2015 is EUR 100 000 excluding salaries.

Principles of Evaluation

Independence

The level of structural independence is considered to be strong. The Head of GAA reports directly to the Board of Camões, I.P. and GAA is independent of the operations units.

Competence and capacity building

Competence of the evaluation staff is addressed by training and also complemented by hiring external consultants and local experts in the partner countries. As a means of reinforcing the human resource and making best use of the available expertise in the country, Camões, I.P. has built a database of evaluators. Although the registration in this roster is non-binding, interested individuals and collective entities with competences to evaluate the interventions in the areas of Portuguese language, culture and co-operation are registered.

Transparency and participation

Final evaluation reports are made publicly available only after a discussion with all relevant stakeholders. The relevant operations units fill in the fiche contradictoire identifying the actions to be taken in order to meet the recommendations. The follow-up actions are later defined and implementation of the accepted recommendations monitored. GAA also publishes an annual report, which highlights progress made on implementing the recommendations provided and identifies lessons learned. Final evaluation reports and other key documents such as evaluation policy and annual reports are made available on the website mostly in Portuguese, which is the official language of the country's development co-operation.

Knowledge sharing

Portugal is aware of the need for investing in a systematic knowledge sharing mechanism that promotes informed decision making. Portugal started to develop an integrated information system in 2013-2014 to follow the Busan commitments. The new system would enable online data input through an electronic platform that would automatically validate data, provide the facility for online consultation and downloading of statistical data.

Co-ordination with donors and country recipients

Portugal has conducted six joint evaluations during the past five years. All of them have been with the Ministry of Foreign Affairs of the partner countries (Angola, Cape Verde, Mozambique, Timor Leste and S. Tome and Principe).

Camões, I.P. makes efforts to involve country recipients in the evaluation cycle. The partner country embassies in Lisbon and the other stakeholders in the field can be involved, when drafting ToR. They are also invited to participate in the project implementation on the ground.

Quality assurance

Quality assurance of the evaluation reports is part of GAA's responsibilities. GAA provides technical support in evaluation matters to the operations units and line ministries. To ensure the quality of evaluations, Camões, I.P. also appoints a management group for each evaluation and a matrix for assessing the quality is created (OECD 2016).

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Slovakia

Development Cooperation and Humanitarian Aid Department (DCHAD), Ministry of Foreign and European Affairs of the Slovak Republic (MFEA)

Evaluation Mandate

Slovakia first joined the donor community with its accession to the OECD and the European Union and became the third OECD member to join the DAC in 2013.

The Act on Official Development Assistance designated the Ministry of Foreign and European Affairs of the Slovak Republic (MFEA) as the National Coordinator for development assistance. The MFEA subsequently established a budgetary entity, the Slovak Agency for International Development Cooperation (SAIDC) responsible for managing and implementing bilateral and trilateral development projects under the supervision of the MFEA. The mandate for evaluation of ODA is assigned to the Development Cooperation and Humanitarian Aid Department (DCHAD), a department primarily responsible for development co-operation and humanitarian aid agenda within the MFEA. The DCHAD is staffed by a desk officer, who acts as Evaluation Manager. Evaluations were initially undertaken sporadically without a comprehensive system. To address this, the Evaluation and Monitoring Strategy was developed and approved in 2014.

The Slovak evaluation system is undergoing significant change. Detailed evaluation guidelines are currently being prepared. A fully-fledged evaluation framework will be implemented by 2017, including an evaluation policy. The policy will clearly define the roles and responsibilities with a systematic approach to evaluation, including clear budgeting and planning rules and their effective use and follow-up. The purpose of evaluation is to find out to what extent the projects and programmes are carried out in accordance with the set objectives and indicators. The evaluation also provides a reply as how the development activity answers the local needs of the partner countries, what its impact on target groups is and to what extent the development co-operation activities are relevant, efficient, effective and sustainable (MFEA 2014).

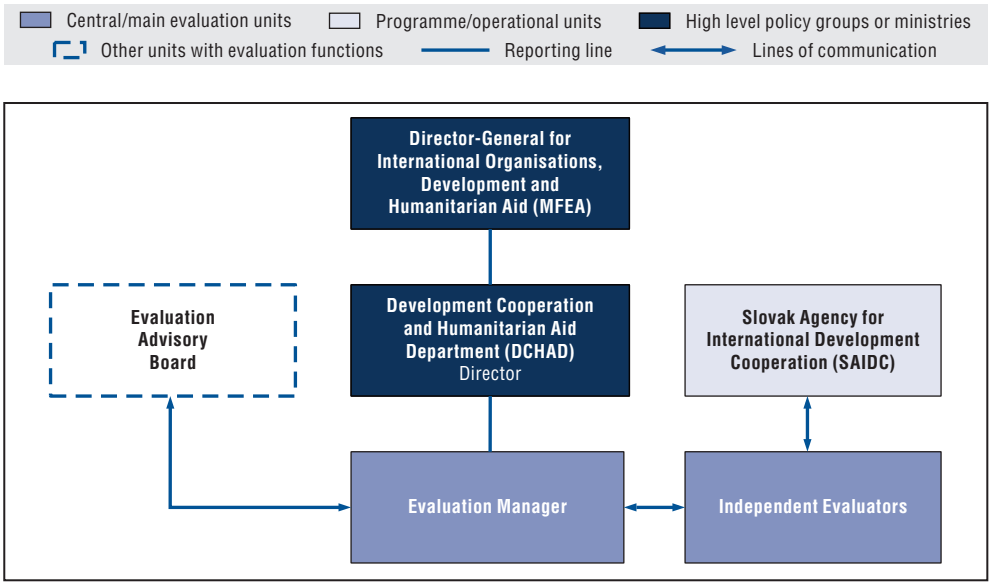
Responsibility and scope of activities

The DCHAD is overall responsible for preparing an annual evaluation plan, initiating evaluations and disseminating evaluation results internally and externally. The core responsibility of the Evaluation Manager is to select independent evaluators and manage the evaluation process for each assignment under EUR 20 000. The selection procedure exceeding EUR 20 000 is managed by the Public Procurement Department (PPD) in the MFEA. Once an evaluator is selected by the PPD, the Evaluation Manager takes over and manages the evaluation. The Evaluation Manager also quality assures the evaluation. The SAIDC is also involved in the evaluation, but it mainly co-operates with the evaluators by providing documents and consultations on the evaluated activities.

Once the evaluation is completed, the Evaluations Manager participates in preparation of the management response and the implementation of resulting actions. Based on the findings from evaluations, the Evaluation Manager also provides recommendations in the preparation of strategies, and project/programme identification and formulation.

Organisational Structure and Reporting Lines

There is no specific unit that conducts evaluations within the MFEA or in the SAIDC, as all evaluations are undertaken by an independent evaluator/team selected through public procurement, and the Evaluations Manager focuses on managing the evaluations. The Evaluation Manager is accountable to the Director of the DCHAD who subsequently reports to the MFEA Director-General for International Organisations, Development and Humanitarian Aid.



The annual evaluation work plan of Slovakia is formulated by the DCHAD together with policy makers and senior management. The new evaluation policy envisages that the evaluation plan is approved by the MFEA, first by the Director-General and followed by the MFEA Board. It will be submitted for final approval to the Government as part of the Annual ODA Strategy.

The Evaluation Advisory Board will be put in place in the new evaluation setup. The Board will include SAIDC representatives, Slovak diplomatic missions personnel and independent experts when needed, and will form an indispensable part of the evaluation system, being involved in overseeing the evaluation, assessing the reports and evaluation results and proposing the management response. The members of Advisory Board will be appointed by the MFEA.

Types of Evaluation

- Real-time evaluations
- Ex-post evaluations
- Impact evaluations
- Process evaluations
- Systematic reviews

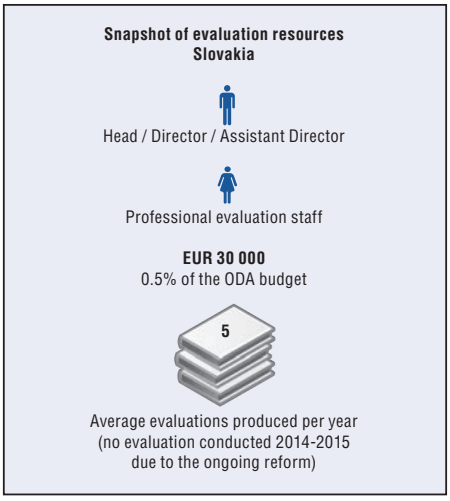
When the new comprehensive evaluation policy is introduced, the types of evaluations will be reconsidered according to actual needs.

Evaluations are conducted in line with the OECD DAC criteria. Besides these primary criteria, other specific criteria can be used depending on the type of development activities and their sectoral and geographic focus.

Resources

From 2014, a separate budget line for evaluations of the annual ODA was established. The Evaluations Manager is employed on a full-time basis, but is also responsible for other ODA activities, not solely evaluations.

Since 2003, 51 evaluations have been conducted, although no evaluations were conducted between 2014 and 2015 due to the ongoing reform. Approximately five evaluations are conducted every year.



Principles of Evaluation

Independence

The evaluation function is embedded in the DCHAD that is structurally separated from the ODA implementation. The Evaluation Manager or the PPD selects independent evaluators free from conflict of interest to carry out evaluations through international competitive bidding in accordance with prevailing regulations. The future Evaluation Advisory Board will also contribute to the strengthening of independence.

Transparency and participation

The results of evaluations are made public on the SAIDC's website. There is no official management response system however, once the new evaluation system enters into force, it will be incorporated into the system. The management responses will be developed in collaboration with the Evaluation Advisory Board and DCHAD management, with input from other relevant stakeholders. An evaluation follow-up plan will be approved by the Director-General. However, management responses are not intended to be made public.

Competence and capacity building

Professional capacity building at all levels of development co-operation management and implementation is deemed crucial for the better Slovak ODA system. Regular training on different aspects of evaluation is provided by the UNDP in Slovakia or the Slovak Evaluation Society on an annual basis for the MFA and the SAIDC staff.

Knowledge management

Information sharing is recognised as key for strategic long-term planning of development co-operation and increasing its quality and effectiveness. Within the MEFA, recording and reporting of activities and respective lessons learned was made mandatory in 2014 (MFEA 2013a). Other reference documents for the country's development cooperation,

including monitoring and evaluation, are made available to internal staff. The Evaluation and Monitoring Strategy provides basic guidance on standards and procedures, and the guidelines that are being formulated will provide detailed guidance on evaluation processes and products.

Co-ordination with donors and country recipients

One joint evaluation has been conducted with the Czech Development Agency.

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Slovenia

Directorate for Multilateral Affairs,
Development Cooperation and International Law,
Ministry of Foreign Affairs (MFA)

Evaluation Mandate

Slovenia became a donor country in 2004 and has been putting the legal and strategic frameworks in place since then. The country adopted the International Development Cooperation of the Republic of Slovenia Act in 2006, which was followed by the Resolution on International Development Cooperation in 2008. The Resolution set out various goals in development co-operation for the country to achieve by 2015. The Resolution is to be updated in order to further guide Slovenian development co-operation. A Special Review of the Slovenian development co-operation programme and systems was conducted in 2012, after which the country was accepted as the 29th member of the OECD DAC. The Evaluation Policy and the Evaluation Guidelines were prepared in 2014 and 2015, and a peer review by other DAC members is envisaged after 2015.

The Evaluation Policy provides a legal framework of the country's evaluation. The Policy mandates the Ministry of Foreign Affairs (MFA) to function as the National Coordinator of evaluation of development co-operation. Within the MFA, the Directorate for Multilateral Affairs, Development Cooperation and International Law is in charge of evaluation work and implements extensive, strategically important programme and theme-specific evaluations. The mandate covers the evaluation of all Slovenian official development assistance funds.

Responsibility and scope of activities

The duties of the Directorate include:

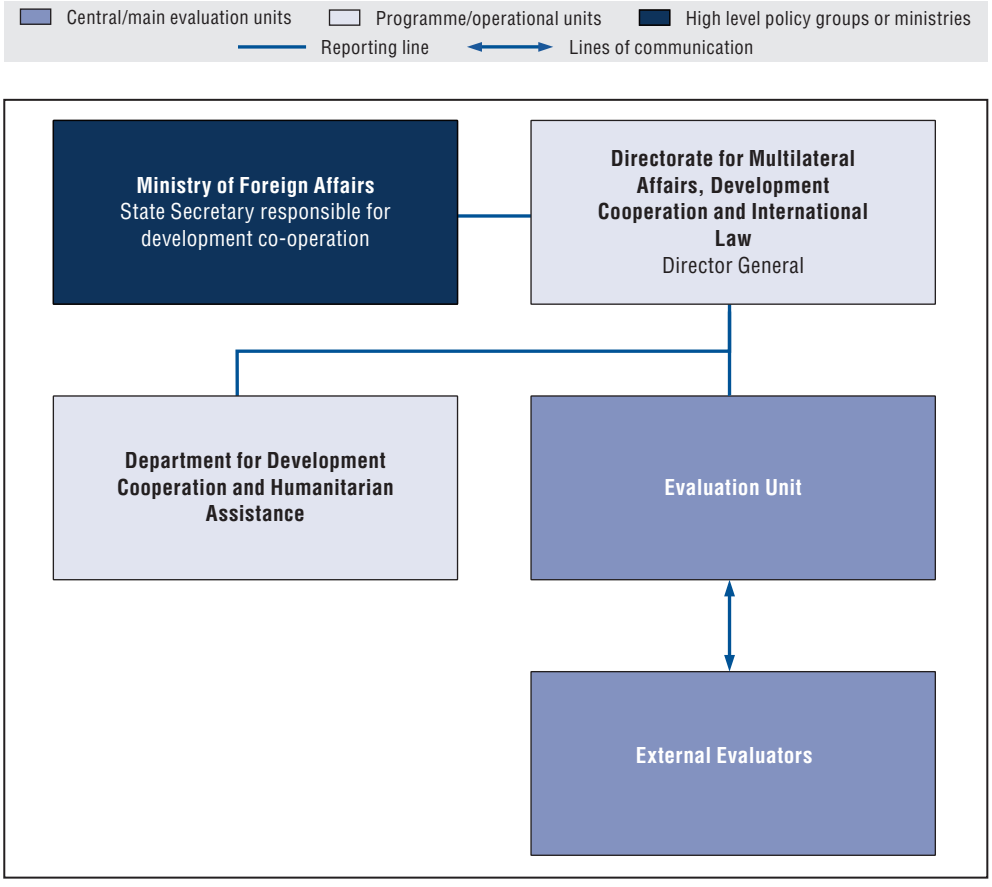
- annual planning of evaluation activities for the coming two years
- programming, formulating and managing evaluations of development co-operation funded or co-funded by Slovenia
- contributing to the learning process within the MFA, including embassies, other ministries, and partner countries, by providing feedback about relevance, impact and operational performance of the development activities
- informing the Inter-ministerial Working Body for International Development Cooperation, as the key vehicle for ensuring that key findings are incorporated into the appropriate policy, strategy and planning
- participating in international co-operation on evaluation
- managing a database of reports and recommendations (MFA 2014).

Since the evaluations are not to be carried out by the evaluation unit, but by external evaluators, the tasks of the evaluation unit in the Directorate are to manage the tender process, select the evaluators, and approve reports. Responsibility for the content of an evaluation report rests with the evaluators, whilst responsibility for minor editorial rights and copyright ultimately rests with the MFA (MFA 2014). Although Slovenia does not yet hold the internal capacity to carry out evaluations, the first centralised evaluation is planned in 2016.

Organisational Structure and Reporting Lines

The Evaluation Unit is embedded within the Directorate for Multilateral Affairs, Development Cooperation and International Law and it provides evaluation services for the MFA. The Evaluation Unit directly reports to the Director General who subsequently reports to the State Secretary responsible for development co-operation. The Directorate is responsible for programming Slovenian development co-operation. The Department for Development Cooperation and Humanitarian Assistance is the only unit dealing with the implementation under the Directorate.

Currently Slovenia is drafting the first evaluation work plan. The evaluation unit will prepare a draft and it will be discussed with the Director-General and the State Secretary, acting as the Minister for Development Cooperation. The draft is subsequently approved by the Minister of Foreign Affairs.



Types of Evaluation

- Thematic/cross-cutting evaluations

Evaluation is conducted by applying the development evaluation criteria and standards of the OECD DAC and the EU. In 2016, one evaluation is to be carried out for the first time, although a couple of self-evaluations of projects have been conducted before.

Resources

The Evaluation Unit is staffed by one evaluation expert who is responsible for evaluation-related tasks, but not on a full-time basis.

Slovenia has a separate budget line for evaluation. Financial resources for evaluations are provided in the financial plan of the MFA. The Special Review (OECD 2012) advises that the financial resources should be allocated to the areas in which Slovenia can exhibit its comparative advantage.



Principles of Evaluation

Independence

Although there is the Department for Development Cooperation and Humanitarian Assistance responsible for implementation of development co-operation under the Directorate and no structural independence of the evaluation unit, the evaluation function is operationally independent. The independent external experts/consultants for the evaluations are selected through a competitive tender process.

Competence and capacity building

The Special Review has concluded that the evaluation function should not be expanded significantly and instead should focus its internal capacity on contracting and quality assurance.

Transparency and participation

The Evaluation Policy specifies the measures to ensure transparency. Evaluation reports have to be presented in clear and accessible formats for dissemination to all stakeholders. The reports are made available on the official website of the MFA. Press releases and public presentations are also to be arranged and an invitation sent to target groups. The Policy also defines that a management response should be prepared for every evaluation and the responsibility lies in the evaluation function of the MFA.

Knowledge management

On the website, the Evaluation Guidelines and the Evaluation Policy are made publicly available. The Guidelines serve as a reference document that informs evaluators and those managing evaluations about the evaluation processes and methods. Evaluation results are disseminated to the ministries' management and staff, the National Assembly, partner countries, other donors and other interested parties.

Co-ordination with donors and country recipients

Slovenia has not yet carried out any joint evaluation with other donors.

Quality assurance

The contracted external evaluators are currently responsible for quality assurance of their own evaluation report.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Spain

Division of Development Policy Evaluation and Knowledge Management (DEGCO), Ministry of Foreign Affairs and Cooperation (MAEC)

Evaluation Mandate

In 2012 the Ministry of Foreign Affairs and Cooperation (MAEC) was restructured. As a result, the Directorate-General for Development Policy Planning and Evaluation (DGPOLDE), to which the evaluation unit the Division of Development Policy Evaluation and Knowledge Management (DEGCO) was attached, was dissolved. The General Secretariat for International Development Cooperation (SGCID) assumed the mandates and competencies of the former DGPOLDE, including the evaluation function.

The new, well-established Evaluation Policy (2013) is the result of the fourth Master Plan of the Spanish Cooperation 2013-2016 seeking for a better evaluation process, focusing more on outcomes, and promoting greater transparency and accountability. The overall mandate to evaluate the Spanish development co-operation policy and state-funded operations rests with the State Secretariat for International Cooperation and Ibero-America (SECIPI). The Royal Decree 342 / 2012 further provides a clear mandate around evaluation to the DEGCO.

Responsibility and scope of activities

The DEGCO manages centralised strategic evaluations, which cover policy or strategic evaluations. Decentralised evaluations such as project and programme evaluations are conducted and commissioned by the Spanish Agency for International Development Cooperation's (AECID) country offices and the operational units in the headquarters.

The DEGCO's responsibilities include:

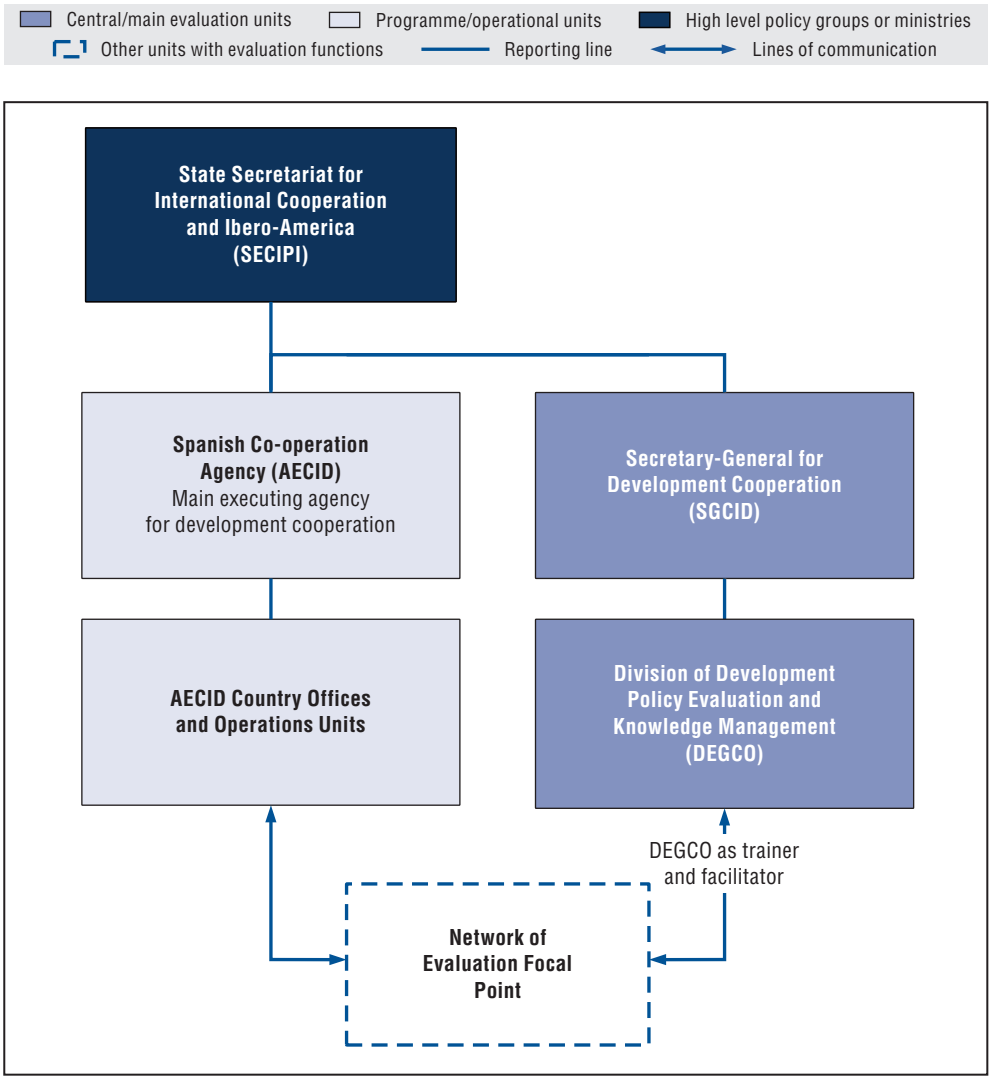
- leading the development of the Evaluation Policy and the Evaluation Plan
- managing centralised evaluations
- managing and centralise knowledge gained from the evaluation results
- publishing the evaluation results
- participating in joint evaluations with other international donors
- monitoring and quality assure all evaluations within the scope of the SECIPI
- conducting meta-evaluation of the evaluations of Spanish Cooperation
- creating manuals, guides, methodological tools
- providing capacity building in the area of evaluation.

The DEGCO provides the AECID operations units with advice on management of decentralised evaluations. Furthermore, some of the evaluations conducted by the AECID operations units are quality assured by the DEGCO, and the same unit also co-ordinates knowledge management and dissemination of evaluation reports. Evaluation will be integrated into all the interventions and evaluability needs to be assessed from the early phase of project cycle.

Organisational Structure and Reporting Lines

The DEGCO is managed by the SGCID, who subsequently reports to the SECIPI, while the AECID is directly attached to the SECIPI. The AECID's operations units reports directly to the Agency Management. In order to facilitate information exchange between the SGCID

and the AECID, a network of evaluation focal points has recently been created and is still an early stage. This network will not only disseminate evaluation results and events, but also provide capacity training to the AECID staff responsible for decentralised evaluations.



When the formulation of the Biennial Evaluation Plan commences, the SGCID informs the AECID and the other stakeholders in Spanish development co-operation. This includes the Council for Development Cooperation which is a consultative body incorporating representatives of other ministries, universities, NGOs and the private sector. The Plan includes an estimate of the costs and the timeline when the final evaluation reports should be available. The AECID submits its proposal to the SGCID for their evaluations to be included in the Plan, and the DEGCO co-ordinates the consultation process. When the consultation is finalised, the Head of the SGCID formally approves the Plan and the information is also shared to the Council and the Parliament.

Types of Evaluation

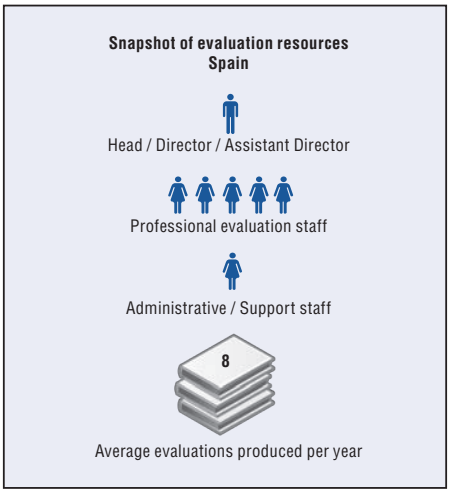
- Thematic and crosscutting evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Project/activity evaluations

Spain follows the OECD DAC standards and criteria, while on a case-by-case basis other criteria are also applied.

The Evaluation Plan takes into account a balanced geographical distribution and implementation modalities. Priorities are given to the projects with the possibility of expansion and replication and with potential to generate meaningful information, to feed decision making and to contribute to accountability.

During the past five years, 500 ex-post, 50 process, 1 ex-ante evaluations, 1 evaluability assessment were conducted. The DEGCO is considering conducting more real-time evaluations, impact evaluations, evaluability assessments and synthesis of evaluations in order to approach results better.

Resources



The DEGCO does not have a budget line dedicated for centralised evaluations. Both centralised and decentralised evaluations are funded within the operational budgets. In 2014, DEGCO spent EUR 98 663 from the general budget of SGCID-MAEC and managed centralised evaluations for a total of EUR 2 065 340. The DEGCO is aware of the need for a separate budget and intends to create it as recommended by the OECD Peer Review.

The budget has increased through a temporary agreement with a public foundation. This has allowed for significant changes in the number of evaluations and new processes. Currently four staff are employed on a full-time basis for evaluation, and the remaining three staff are external consultants with non-permanent contracts. The human resources for the centralised evaluations are considered insufficient to cover various duties.

Principles of Evaluation

Independence

The DEGCO's independence is supported through the organisational set-up, where it directly reports to the head of the SGCID. The organisational separation of the DEGCO is guaranteed and the validation of evaluation reports does not depend on those directly responsible for the design, management or implementation of the interventions that are subject to evaluation. The DEGCO is not to be pressured to change their reports or ratings.

The operations units in the AECID report to the Agency Management, which does not provide them with independence, but the decentralised evaluations are considered to be a means of learning rather than accountability. The external evaluators are recruited with clear and pre-defined criteria and procedures.

However, the DEGCO and the operations units are not completely independent in terms of budget. They report to the management that is responsible for general management. The SECIPI is at the same time the President of the AECID and the SGCID Director has been acting AECID Director.

Competence and capacity building

The DEGCO evaluation staff participate in external seminars and networks or take university courses on an individual basis. Not all evaluation staff have sufficient skills for conducting complex evaluations. Evaluations are managed in pairs and two staff members are always involved in an evaluation, which mutually strengthens the skills of the team. The DEGCO is conscious of the need for further development of internal evaluation capacities. Discussions are underway with the National Evaluation Agency and with universities to develop a structured training plan in evaluation for the DEGCO or for AECID staff.

The DEGCO's tasks also cover provision of training and capacity building in the area of ODA evaluation for those interested, including staff of other ministries and operations units. The aforementioned network of evaluation focal points is created as a platform for training, but the means of delivery is not yet clearly determined and no specific budget is allocated.

Transparency and participation

In order to ensure transparency of the evaluation process, all evaluation-related information, from evaluation tools and plans to evaluation reports and other studies, is gathered in one place and made available on the website. The recent change in the Development Aid Law has also made compulsory the presentation of the Annual Evaluation Report to the Parliament. The AECID has a library with books and journals in the field of development co-operation that are available for own employees, researchers, students and the general public.

Spain has recently further simplified the management response system and the procedure is now being institutionalised for management. Once the evaluation report is presented, those who are responsible for the evaluation are required to objectively assess and comment on the findings and recommendations produced and prepare an improvement plan when needed.

Knowledge management

The importance of an information exchange system and co-ordination between the evaluation units is acknowledged in the Policy to reflect the findings to future projects and programmes, and facilitate learning.

The Director of Evaluation participates in the annual meetings of country offices and Department Directors of the AECID. An informal network of evaluation focal points is being created to improve information sharing, evaluation culture and capacities, and knowledge management. The operational units participate in centralised evaluations through reference groups. Workshops, presentations, video conferences and country visits are organised for each centralised evaluation.

Co-ordination with donors and country recipients

Participation in joint evaluations is encouraged for promotion of mutual accountability, contribution to evaluation capacity development and better evaluation products, and facilitating dialogue with stakeholders. Joint evaluations have recently been conducted with the European Commission, UN Women, UNICEF, UNFPA, the AFD (Agence Française de Développment) and Spain's partner countries, such as Central American Integration System and the Government of Morocco.

When evaluations are conducted in partner countries, the evaluation is carried out in the language of the country. Spain promotes the participation of local evaluators in evaluation teams, and partner institutions participate in the reference group. There is usually a debriefing presentation in the country. Once the evaluation is finished a presentation is routinely organised in Spain and the evaluation results are disseminated in both countries.

Quality assurance

The SGCID bears the responsibility of promoting the implementation of a quality control system for evaluations, such as establishing criteria, procedures and tools for reviewing the quality of evaluations and meta-evaluations. Having two evaluation staff overseeing an evaluation also supports the quality of the evaluation reports.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Sweden

Unit for Planning, Monitoring and Evaluation/Swedish International Development Co-operation Agency (Sida)

The Expert Group for Aid Studies (EBA)

Evaluation Mandate

The government bodies in charge of evaluation are Sida and the Expert Group for Aid Studies (EBA), which was established in 2013 to replace the earlier Swedish Agency for Development Evaluation (SADEV). Sida reports to the Government, Ministry of Foreign Affairs (MFA), Department for International Development Cooperation. So does EBA, albeit with a more independent mandate. In addition, the Agency for Public Management (Statskontoret) may at the request of the Swedish government carry out studies and evaluations of the management of International Development Cooperation. The National Audit Office, reporting to the Swedish Parliament audits governmental activities including development co-operation.

The MFA has adopted the Guidelines, Methods and Procedures to Handle Relevant Evaluations within the Ministry (MFA 2012), which set out the roles and responsibilities of the various government actors engaged in the evaluation of Sweden's aid. Most of these actors have evaluation policies, which draw on DAC guidance and good practices disseminated by the DAC Evaluation Network. The MFA's guidelines will be updated in light of the closure of SADEV and the creation of the EBA.

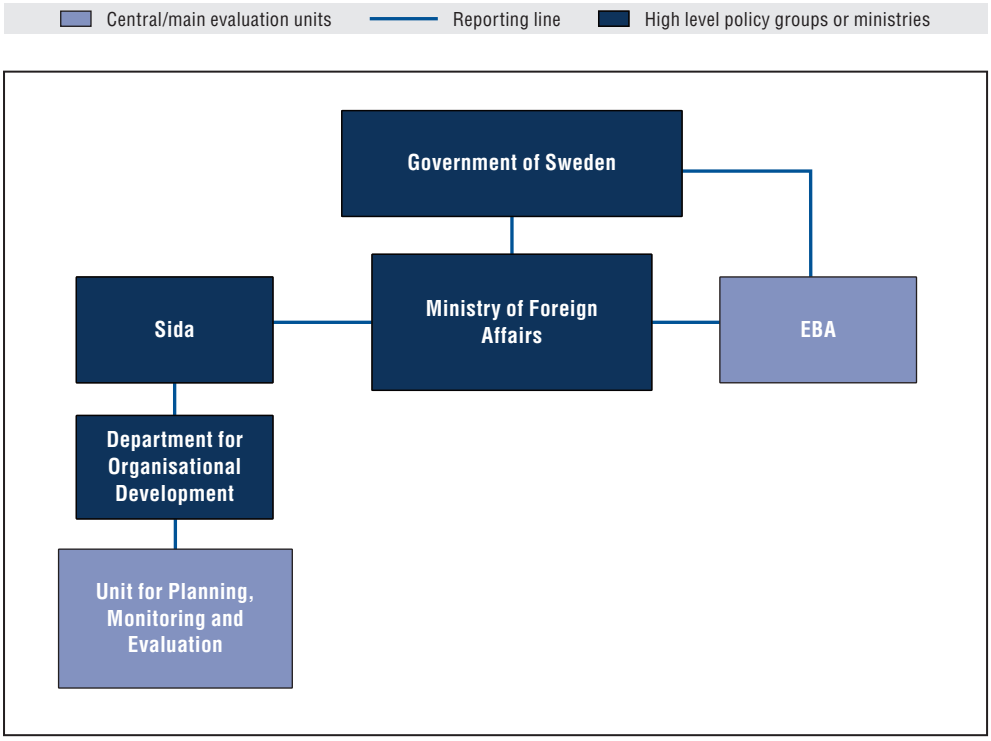
Sida's Unit for Planning, Monitoring and Evaluation has a dual mandate of supporting the Agency's various units regarding decentralised independent evaluations of Sida funded programmes and undertaking more independent and strategic evaluations. Sida's Unit for Planning, Monitoring and Evaluation does not have a single evaluation policy, rather a set of methodologies and guidelines. The Unit's Evaluation Manual (Sida 2007) highlights Sida's approach to evaluation concepts and processes.

EBA is an independent committee appointed by the Swedish Government and established to evaluate and analyse Sweden's international development co-operation. It was established based on a decision in the Swedish Parliament that an independent organisation that evaluates development co-operation was needed. Its mandate is to commission, compile, implement and communicate evaluations, analyses and studies on development co-operation (EBA 2013). The group's mandate is set by the founding Terms of Reference from 2013. A later internal EBA-document on working methods (EBA 2014) and an operational strategy (EBA 2015b) further detail the working procedures for conducting evaluation studies, as well as outline the long-term direction of EBA's activities and its future work.

Organisational Structure and Reporting Lines

Sida's Unit for Monitoring and Evaluation belongs to the Department for Organisational Development (Avdelningen för verksamhetsutveckling) and reports to Sida's Director-General. It operates based on a two-year work plan and has an independent budget. When drafting the work plan, external stakeholders such as operational units, policy makers and senior management are involved in the formulation.

The EBA consists of ten members, plus an expert from the MFA (without voting rights). The secretariat of the EBA has seven employees and a budget of SEK 16.3 million. The day-to-day work of the Expert Group is undertaken by a secretariat. EBA has an independent mandate, agenda and budget and shall primarily cover activities conducted within the framework of the development assistance budget. EBA reports to the Government twice yearly on the overall direction of ongoing and planned projects. On one of those occasions EBA submits a report summarising the content and conclusions of the evaluations, analyses and studies published the year before (OECD 2013, EBA 2013).

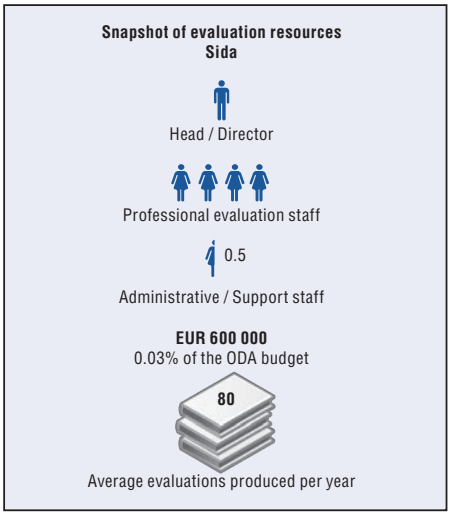


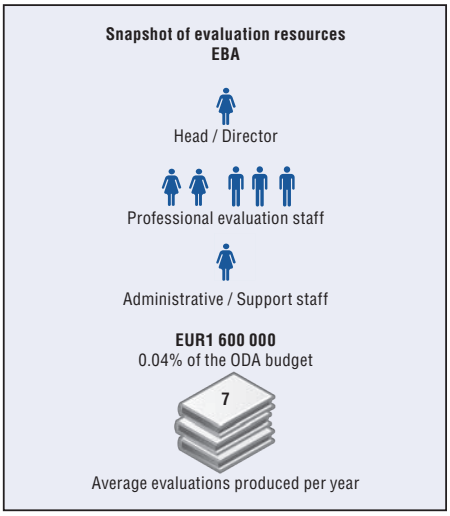
Types of Evaluation

Sida	EBA
• Project/activity evaluations • Programme evaluations • Thematic evaluations	• Thematic evaluations • Organisational performance evaluations • Sector-wide evaluations • Country evaluations • Policy/strategy evaluations EBA can in practice initiate any kind of evaluation in the framework of the development assistance budget, however, it will normally not initiate project, activity or programme evaluations.

Resources

As of mid-2016, Sida will have a staff of five full-time employees and the Head of Unit working part-time on evaluations. This is an increase since 2014-15 when three full-time staff were employed at the agency. While Sida's centralised evaluations are funded from a separate budget line (but delegated from an operational unit), all decentralised evaluations are funded from the operational budget. The budget for centralised evaluations was approximately EUR 600 000 in 2015. Sida has gradually reduced the number of centralised evaluations undertaken and from 2016 resources will be focused on increasing the quality of decentralised evaluations. Approximately EUR 4 million is spent on decentralised evaluations annually. EBA has seven employees and a budget of EUR 1.6 million. Evaluations have been carried out since the group's establishment in 2013.





Principles of Evaluation

Independence

Swedish aid is evaluated by several different government bodies, each with individual roles and responsibilities. In Sida, the Unit for Planning, Monitoring and Evaluation is a semi-independent evaluation function that has been integrated into line management as a unit under the Department for Organisational Development. The central evaluation plan is decided by Sida's Director-General. All of Sida's evaluations are done by external experts.

The EBA benefits from what is labelled a "double independence". Firstly, although it is a government committee, it works independently from the government and thus chooses independently what issues to evaluate. Secondly, once commissioned by EBA, the authors are independently responsible for their analysis, conclusions and recommendations. The Expert Group primarily assesses the quality of the analysis, and whether the conclusions and recommendations are reasonably founded.

Competence and capacity building

The EBA ensures participation for its staff in conferences, seminars and meetings with other evaluation experts, as well as participation in the international discussions around evaluation, evaluation policy and methods. Sweden is one of the main funders of CLEAR

(Centres for Learning on Evaluation and Results), a World Bank programme which has established regional centres to promote evaluation capacity building.

Transparency and participation

Sweden documents communication with partners through its Open Aid website and make evaluation reports available on Sida's publication database. Decentralised evaluations are all published but not actively disseminated. From 2016, the intention is to improve active dissemination of findings on conclusions from selected decentralised evaluations. All the EBA reports are published on its own webpage www.eba.se (and also on Openaid.se and biståndsdebatten.se). As a general rule, all EBA reports are publically disseminated at least once. Stakeholders from the aid community (Sida, MFA and civil society) also participate in the development of the evaluation report through the reference groups that are convened for each study. Sida has had a management response system in place since 1999. Management response is compulsory for centralised and decentralised evaluations. The complete reports, including management responses, are always made public and shared with partners (Sida 2015).

Knowledge management

Swedish development co-operation is focusing on building a learning culture and is taking action towards improving the incorporation of evaluation results into decision-making processes. Sida has taken steps to strengthen its mechanisms for acting on the findings of evaluations. Both EBA and Sida have a database for knowledge management and information sharing. EBA also has an online web portal, where its work is systematically published, and it sends out internal synthesis reports within the organisation. EBA has a strong focus on promoting learning and uptake from studies and evaluations through seminars, media and social networks, like Twitter.

The Ministry for Foreign Affairs has Guidelines for the internal handling of evaluations and studies of relevance, such as those of EBA.

Co-ordination with donors and country recipients

In year 2015/16 Sida was involved in one joint central evaluation. There is no system for tracking how many of the decentralised evaluations are joint, but most of them are carried out in close co-operation with the evaluated partner.

Quality assurance

Quality assurance of Sida´s decentralised evaluations is performed by the responsible Program Officer, assisted on occasion by a reference group. Quality assurance of centralised evaluations is performed by the responsible evaluation manager at Sida in corporation with a reference group. In EBA, a reference group will be set up for each study consisting of experts with the relevant profile for the study that is to be carried out. The aim of the reference group is to provide support to the authors and so increase the quality of the reports. The reference group is chaired by a member of EBA. This member is responsible for monitoring the work on the report and should give recommendations as to whether the report should be published. EBA decides on the chair of the reference group. The chair of the reference group appoints the reference group following consultation with the evaluation author.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Switzerland

Department of Economic Cooperation and Development (WE),
State Secretary for Economic Affairs (SECO)

Evaluation and Corporate Controlling Division,
Swiss Agency for Development Cooperation (SDC)

Evaluation Mandate

SECO's evaluation system has since 2009 shifted from a strong accountability focus to one more on learning (OECD 2013). The Evaluation Policy drafted in the same year declares that evaluation serves for learning and accountability, but it also indicates that evaluation is not just about producing reports, but to contribute to SECO's decision-making process and to foster continuous improvements. The Policy also defines the responsibilities and organisational arrangements guiding the evaluation function in the Department of Economic Cooperation and Development (WE).

SECO clearly distinguishes external from internal evaluation. The Policy provides different mandates to the Evaluation Officer (EO) within WE and the divisions implementing operational activities.

- The EO is mandated to propose, commission and manage independent evaluations. Typically independent evaluations are large-scale, such as country assistance strategies, cross-cutting issues or themes, economic co-operation instruments and impact evaluations. Independent evaluations are decided on by the external Evaluation Committee and are executed by external consultants.
- The EO is also responsible for publishing the annual report on effectiveness, summarising the results of all external evaluations and internal reviews conducted during the elapsed year.

Other responsibilities of the EO include inter alia consolidating the overall evaluation programme for SECO; reporting on the results of evaluations; disseminating the results of evaluations (including independent evaluations and Effectiveness Reports); and organising and providing training and support to operations divisions.

On the other hand, the operations divisions are responsible for project and programme-level evaluations (external evaluations and internal reviews). They plan evaluations and internal reviews on an annual basis, integrate the lessons learned from evaluations into the division's work, and ensure adequate follow-up for their evaluations.

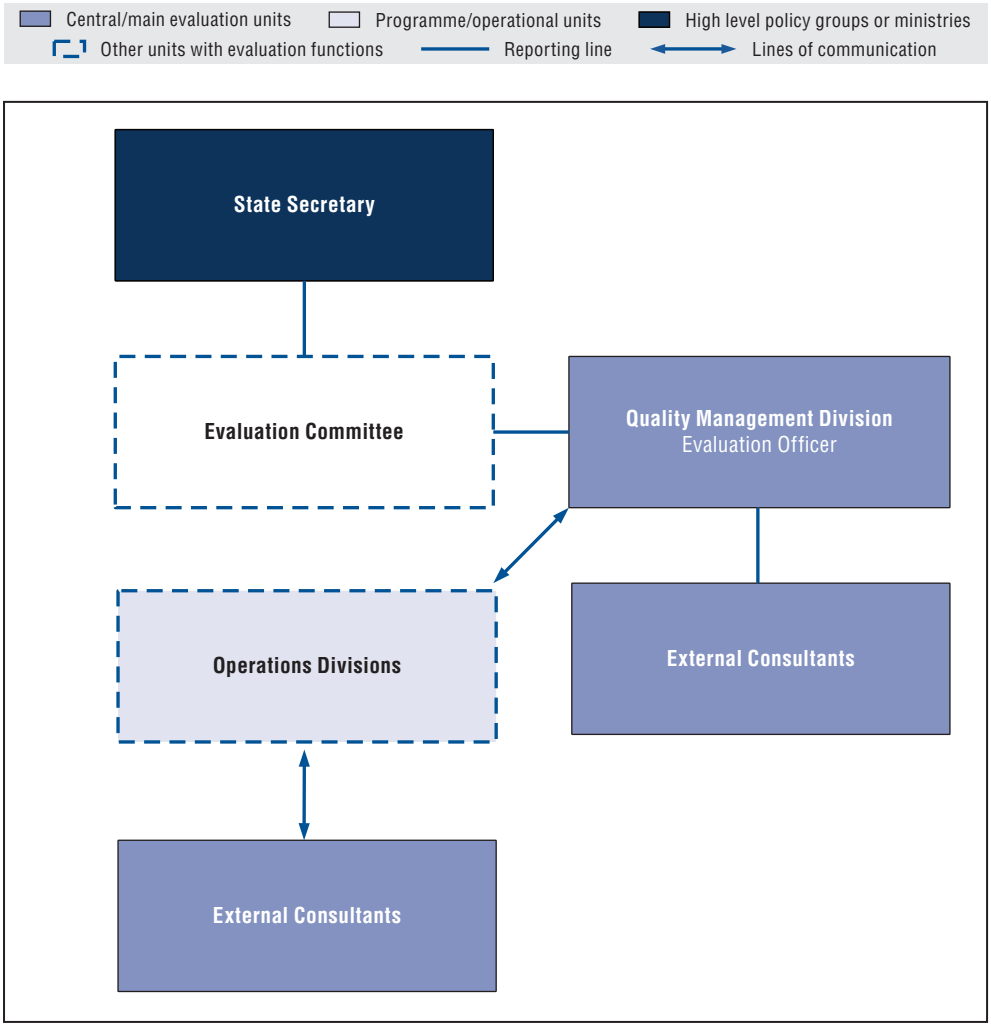
- External evaluations are decided by the heads of operational divisions, commissioned and managed by the SECO Program Officers in charge of specific projects and programmes in the operations divisions, and executed by external consultants.
- Internal reviews are decided by the heads of operational divisions and executed by the SECO Program Officer or by the project manager him/herself.

Organisational Structure and Reporting Lines

The EO is integrated in WE and belongs to the Quality and Resources Division. The EO acts as the Secretariat for an external and independent body, the Evaluation Committee. The EO reports to the Committee which provides oversight of the evaluation function and

subsequently reports to the State Secretary (SECO Director). The Committee consists of evaluation experts, development experts with operational experience, civil society and parliamentarian representatives appointed by the State Secretary.

The SECO/WE evaluation programme covers all of the above-mentioned evaluations for the coming four-year period. In principal, independent evaluations are planned by the EO and approved by the external Evaluation Committee, whereas the operations divisions plan external evaluations and internal reviews with assistance of the EO. Final approval of the consolidated evaluation programme is provided by the external Evaluation Committee.



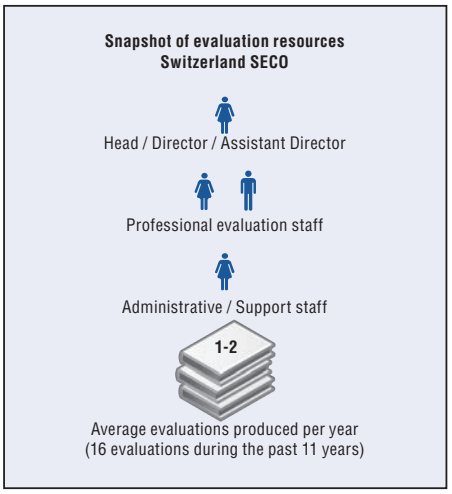
Types of Evaluation

- Thematic/crosscutting evaluations
- Sector-wide evaluations
- Programme evaluations
- Project/activity evaluations

During the past 11 years, 230 external project/programme, 11 independent, and 5 other types of evaluation were conducted. Both independent and external evaluations are in line with Swiss Evaluation Society (SEVAL) and OECD DAC standards.

Resources

There are three staff in the Quality and Resources Division, working for evaluations, altogether one to two full-time staff equivalents. Independent evaluations are financed through a separate budget line. Other evaluations (external evaluations and internal reviews) are financed within the operational budget.



Principles of Evaluation

Independence

The structural independence is assured by placing the EO in a dedicated unit without operational activities, reporting directly to the Evaluation Committee. The Committee provides methodological advice to the EO, which strengthens scientific independence. Moreover, the Committee has a final say on the budget allocation to the independent evaluations and is able to recommend to WE management on additional budget allocations, when it is considered necessary. The use of external consultants also supports independence.

Competence and capacity building

Skills constraints are dealt with by external training such as the International Program for Development Evaluation Training or coaching by experienced evaluation staff or external experts. Know-how transfer and experience sharing is considered more effective than professionalisation. The Evaluation Officer also participates in a project/programme approval process to assess evaluability and promote greater learning within SECO (OECD 2013). The demand from the operations divisions for evaluation expertise is high, but the evaluation function with its limited resources (one to two full-time equivalents), has not always been able to provide all the requested support to operations divisions.

Transparency and participation

Transparency is recognised to be essential for the credibility of the evaluation function in WE. Independent evaluations and reports on effectiveness are always made public with management responses and the position of the external Evaluation Committee. The external evaluations and internal reviews are summarised in the Annual Report on Effectiveness which is made public on the website. Although management responses are standard practice for both independent and external evaluations, systematic follow-up is limited to independent evaluations.

Knowledge management

All relevant web-based information, such as the Evaluation Policy and Evaluation Guidelines, are made available for the SECO staff and a wider public. SECO also has a file archive with a key word search function and has access to a detailed description of

processes and activities of evaluations. However, an even better knowledge management system is considered to be necessary and is currently being discussed.

The EO ensures that results and recommendations from the annual report on effectiveness (summary of all external evaluations and internal reviews) are systematically discussed during workshops with the operations divisions. For independent and external evaluations, so called "capitalisation workshops" are conducted, in which the concerned operational division discusses the evaluation findings with the external consultants, encouraging learning from findings and conclusions. The EO is the moderator in these workshops.

Co-ordination with donors and country recipients

The EO is responsible for exploring opportunities to undertake joint evaluations. During the last five years, joint evaluations with other donors such as SDC, International Finance Corporation, African Development Bank, Asian Development Bank, Inter-American Development Bank, and European Bank for Reconstruction and Development have been conducted. Joint evaluations with SDC are considered as a formal interaction channel where strategic issues can be discussed together. Informal interaction between SECO and SDC is also maintained.

Quality assurance

WE was one of the first federal offices in Switzerland to implement an ISO 9001 certified Quality Management System. This system serves to determine the most important and suitable processes and work methods, clearly distributes tasks and responsibilities, and documents these methods.

Furthermore, the Evaluation Committee ensures the quality of the evaluation function, while the EO checks the quality of all types of evaluation reports.

Evaluation and Corporate Controlling Division, SDC

Evaluation Mandate

The Evaluation and Corporate Controlling Division (E+C Division) is the main unit in charge of independent evaluation activities at SDC. The Evaluation Policy 2013 provides an overview of the evaluation architecture in SDC and a framework for evaluation standards. The Strategy 2016-2019 for Independent Evaluation provides information on challenges to be met, lessons learned and sets out the strategic objectives and results expected for the period 2016-19. The SDC also distinguishes external from internal evaluation. The Evaluation Policy mandates the E+C Division to conduct external evaluations, while the Operational Line Units are mandated to conduct internal evaluations.

- The SDC Directorate commissions the external evaluations (centralised evaluations) and entrusts the responsibility for planning, organisation and implementation of these to the E+C Division. The external evaluations are detached from the operational lines and typically address overarching thematic and institutional issues. Additionally, E+C Division commissions impact evaluations and at least two country evaluations per year.

Other duties of the E+C Division are to participate in international joint evaluations representing SDC; disseminate the evaluation results to the public and parliamentary commissions; and ensure transparent access to results. The Division also contributes

to strengthening the evaluation capacities within SDC. Furthermore, E+C is in charge of conducting strategic controlling and elaborates regular steering reports for the Board of Directors.

- The Operational Line Units co-ordinate internal evaluations. Internal evaluations (decentralised evaluations) include reviews of programmes and projects, self-evaluations or impact studies. As the considered aim is to increase project performance as part of Project Cycle Management, the evaluations are commissioned by the Operational Units Lines or relevant field offices.

The Operational Line Units also contribute to corporate knowledge management and support the E+C Division in external evaluations when necessary.

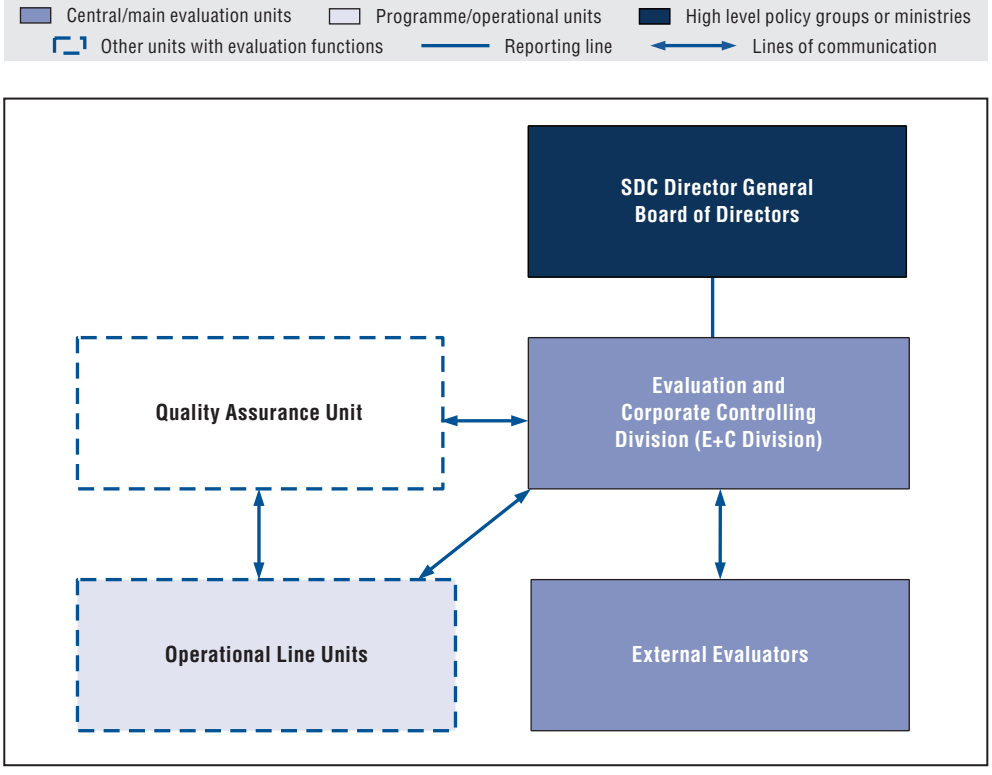
- A blended approach is adopted for country strategy evaluations. They are conducted by a mixed group of external evaluators and internal peers (SDC staff). Internal peers are SDC employees with operational experience selected by the E+C Division. Involving peers facilitates learning within SDC.

Organisational Structure and Reporting Lines

The E+C Division is part of the Staff of the Directorate positioned right under the SDC Directorate. The Head of the Division directly reports to the Board of Directors (led by the Director General).

SDC has a dedicated Quality Assurance Unit that advises the Operational Line Units on conceptual and methodical aspects for internal evaluations and also provides training.

The E+C Division drafts an evaluation rolling work plan covering up to four years in consultation with the Operational Line Units. The evaluation work plan is approved every year by the SDC senior management.



Types of Evaluation

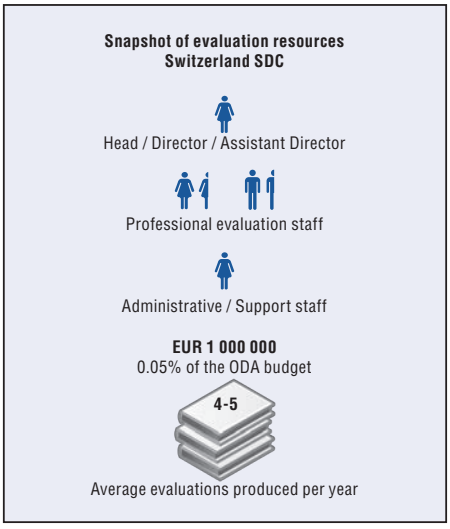
- Thematic and crosscutting evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations

The E+C Division conducts evaluations in line with the guidance of the OECD DAC and the standards of the SEVAL and the standards established by the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP). For the past five years, 19 process evaluations were conducted. The Division envisages more impact evaluations.

Resources

The financial resources have been remained the same during the last five years. The staff increased in 2013 by one additional evaluation manager. The Division is staffed by five full-time employees of whom four are evaluation staff (three full-time equivalents).

Centralised evaluations are financed through the Division's evaluation budget, while decentralised evaluations are funded from the project/programme budgets.



Evaluation principles

Independence

The E+C Division's independence is supported by its direct reporting line to the Board of Directors. The centralised evaluations are fully separated from the delivery of operations.

Competence and capacity building

Skills constraints in the Division are dealt with on a team or individual basis. The Division sees an external designation or accreditation scheme for the staff as a possible means for capacity development. For the SDC headquarters and field staff, training courses focusing on essential skills such as project cycle management are provided.

SDC has piloted a new approach to the evaluation of country strategies where an independent, external evaluator will lead and the SDC staff will participate in the evaluation team to facilitate learning (OECD 2013).

Transparency and participation

The SDC's external evaluations are published on the SDC website. The evaluation reports are complemented by a management response. The management response includes an implementation plan, which is monitored on a yearly basis and reported on to the Board of Directors.

Knowledge management

The Evaluation Policy clearly states that the Terms of References, methodical approaches, evaluation reports and the management response of all external evaluations must be available across SDC.

Core Learning Groups or steering groups are established in each evaluation in order to promote learning and the implementation of agreed recommendations. Regular knowledge exchanges with SDC's thematic networks during the evaluation process also promote institutional learning.

Co-ordination with donors and country recipients

One joint external evaluation has been conducted with the Netherlands during the past five years. The involvement of local consultants to participate in project and country evaluations is encouraged to strengthen the capacity of the partner countries.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

United Kingdom

Department for International Development (DFID)

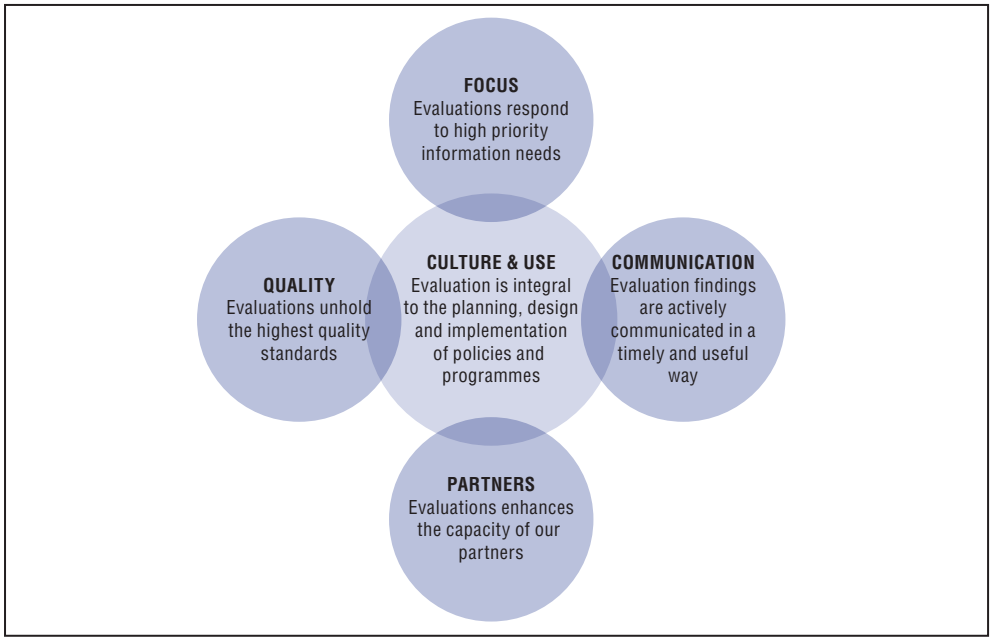
Evaluation Mandate

In 2011, DFID implemented a new model of decentralised programme evaluation and embedded it throughout the organisation. Placing responsibility for evaluation within programme areas emphasises the use of evaluation for improving the design and delivery of policies and programmes and hence development impact. The vision for the evaluation function in DFID is to:

- become world class in using evidence to drive value for money and impact and influence others to do the same
- drive performance using evidence from evaluation, allowing DFID to test, innovate and scale up, modify or discontinue initiatives
- take measured risks using high quality evidence of programme impact
- help partners to generate and use evidence (DFID 2010b).

DFID's International Development Evaluation Policy (May 2013) was developed to raise awareness of the importance of evaluating development, provide clarity and consistency in the design, conduct and use of evaluation in all UK assistance, set high standards, rigour and ethical practice in evaluation to ensure its quality and utility. The Evaluation Policy will be updated in 2016.

In 2014, DFID developed a five-year Evaluation Strategy, informed by a review of the embedding of evaluation, in order to increase the relevance, focus and availability of evaluations as a necessary input to decision making. Five strategic outcomes were defined, four of which relate to how the evaluations are planned, undertaken and communicated; namely quality, focus, partners, and communication. The fifth outcome, culture and use, is seen to be a product of the four others (DFID 2014a).



Responsibilities and scope of activities

Since 2011, responsibility for commissioning and managing evaluation has been distributed across policy and programme units. The Evaluation Department supports the evaluation system, leading on the implementation of the evaluation policy and strategy through provision of technical guidance and advice to operational staff, professional development and training, and disseminating and sharing findings and promoting learning from evaluations.

Evaluations are planned and commissioned by country, regional and global programme and policy teams, responding to and taking action on the recommendations. Evaluations managed by operational units are supported by the Evaluation Department, embedded Evaluation Advisers, and an external quality assurance service.

Organisational Structure and Reporting Lines

The Evaluation Department is located within the Research & Evidence Division of DFID, overseen by the Head of Evaluation. The Research & Evidence Division reports to the Director General, Policy and Global Programmes, who in turn reports to the Permanent Secretary for International Development.

The most significant change in the evaluation function within DFID since 2010 is the re-structuring of the evaluation system. The decentralisation of evaluation has been achieved by embedding evaluation throughout the organisation, resulting in policy and programme staff becoming responsible for planning and commissioning evaluations with support from the central Evaluation Department and a cadre of Evaluation Advisers embedded in operational and policy teams.

Another change is in the introduction of the Independent Commission on Aid Impact (ICAI). ICAI is an independent ODA scrutiny body that reports directly to the UK Parliament. It plans and undertakes performance, learning and impact reviews of DFID and other government departments that spend ODA. In undertaking its reviews, ICAI draws on DFID's evaluations, where these are available.

Types of Evaluation

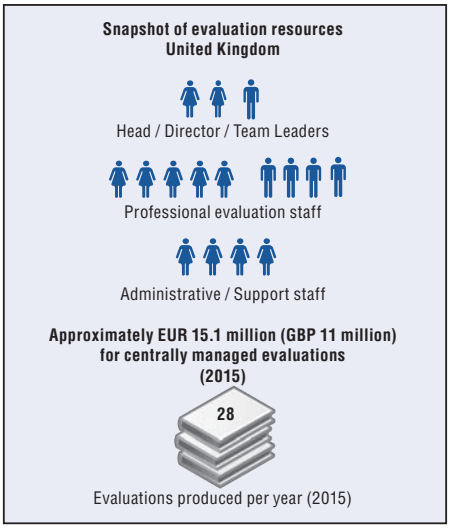
- Impact evaluation
- Performance evaluation
- Process evaluation

DFID is guided by the OECD DAC evaluation principles and standards. The decision to evaluate a policy or programme is taken by the spending unit based primarily on an analysis of the information and evidence needs of a broad range of internal and external stakeholders. Internal stakeholders include the programme team, policy teams, research teams and senior management. The evaluability of the intervention and evaluation capacity of the team is taken into consideration when deciding which evaluations are to be undertaken. The Evaluation Decision Tool suggests eight decision criteria to support the decision-making process, including the strategic importance to the spending unit, the strategic evaluation priority for DFID, feasibility, demand and utility, and timing.

Policy, regional, country or corporate teams commission thematic evaluations to address evaluation priorities and evidence gaps that can be most effectively addressed across a number of projects or across a broad thematic area.

Priority evaluations are given enhanced management support from specialist Evaluation Advisers and the Evaluation Department provides central resources to support these. The Evaluation Department manages two specialist evaluation support panels, co-ordinating and facilitating access by programme teams to support the management and quality of high priority evaluations: the impact evaluation expert panel and the programme/thematic evaluation panel that support decentralised evaluation managers and advisers during key stages of impact evaluations. Emphasis is placed on the panels identifying, developing and testing a range of appropriate and feasible evaluation designs to improve policy, programme and thematic evaluations.

Resources



Evaluations of DFID programmes are financed through the programme budget, reflecting the decentralised model. Evaluation Advisers are attached to spending units to provide technical and other support for the commissioning and management of evaluations.

Between 2012 and 2015, DFID allocated +/- 0.7% of its bilateral budget to undertaking evaluations, with a total evaluation budget of GBP 165 million. This equates to an average spend of 2% of project budget on evaluation between 2012-2015, or 0.48% of DFID's overall spend from 2012-2015. The evaluations covered 36% of DFID's total non-multilateral and core spend during the period.

Expenditure on DFID's external evaluation programmes managed by the central Evaluation Department was approximately GBP 11 million (EUR 15.1 million) for the 2015/16 financial year.

The Evaluation Department is staffed by 16 specialists and other staff. About 200 evaluations are planned or are ongoing for the period 2012-18 (DFID 2014d, DFID 2016).

Principles of Evaluation

Independence

The 2013 DFID Evaluation Policy (DFID 2013) sets out how evaluation independence is to be maintained. Prior to the new evaluation model, the Evaluation Department was responsible for designing and implementing evaluations in collaboration with country offices and their spending units. The Evaluation Department now focuses on evaluation policy, strategy, guidance and support (including quality assurance) as well as managing centrally commissioned evaluation programmes contracted out to other organisations.

Competence and capacity building

DFID recognises that capability and capacity in evaluation is important for internal staff as well as external partners. Therefore, DFID is providing support for improving partner countries' evaluation capacity development, as well as professionalisation of an internal evaluation cadre that is able to maintain the quality of evaluations. The decentralisation process has resulted in a professional cadre of around 35 Evaluation Advisers who provide support to spending units. Non-specialist DFID staff have also been accredited to the evaluation cadre at different levels of skills and experience. A total of around 160 DFID staff members have been accredited to the evaluation cadre. Two forms of internal training are provided: Principles of Evaluation (for staff in programme management and advisory roles) and Development Evaluation in Practice (for evaluation managers and practitioners). In addition to these core courses, other training opportunities are made available each year.

Enhancing the capacity of evaluation among DFID partners is achieved through investing in programmes to enhance partners' evaluation capacity, supporting multilateral agencies that produce high quality evidence and seek to support the evaluation capacities of partners, supporting capacity strengthening in impact evaluation among partners, in particular through vehicles such as SIEF, DIME, 3IE, supporting professional evaluations associations and networks, and in supporting south-south partnerships.

Transparency and participation

DFID's Evaluation Policy places an emphasis on transparency and involvement of beneficiaries, in line with DAC guidance (DFID 2013a). The 2013 Evaluation Policy states that management responses are mandatory and all evaluation products should be published. While the website is the primary means of communication, social media, internal synthesis reports and external circulation to partners are also used for disseminating evaluation information. DFID also encourages joint evaluations with other donors and partner countries where possible and as mentioned above, action is being taken to improve evaluation capacity in partner countries.

Knowledge management

The 2014 Evaluation Strategy identifies three levels of evaluation knowledge generation and communication: individual evaluations, thematic or sectoral synthesis, and strategic communications (to stakeholders and the public). Modalities of communication include publications, knowledge-sharing events (conferences, workshops, and seminars), a public access database for documentation, social media; support to communities of practice, and the annual evaluation report. Comprehensive guidance is available for staff on evaluation, in particular for those working in conflict affected and fragile states. All evaluation products are published on the DFID website, as well as the Development Tracker website. An annual evaluation report is produced each year.

Co-ordination with donors and country partners

Joint evaluations are seen as a useful tool in fostering ownership, coordination and coherence. DFID participates in these and, where possible, engages the partner country in directly managing programme evaluations and/or through a steering committee. Where possible, country systems are used.

Quality assurance

The DFID Evaluation Policy 2013 states that independent quality assurance is mandatory. The DFID Evaluation Department manages the quality assurance system for decentralised evaluations. Evaluation Advisers within DFID are expected to help bring evaluation products up to, at least, minimum standards before formal quality assurance takes place. Quality assurance services are delivered by external experts, adding to the rigour and independence of evaluations. Quality assessments are reported using a traffic light coding system.

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United Nations Development Programme (UNDP)

Independent Evaluation Office (IEO)

Evaluation Mandate

UNDP conducts evaluations within two different categories: independent centralised evaluations conducted by the Independent Evaluation Office (IEO) and decentralised evaluations commissioned by programme units, including country offices, regional bureaus, and practice and policy bureaus.

The core function of the IEO is to conduct thematic and programmatic evaluations. The IEO also prepares the Annual Report on Evaluation, sets standards and guidelines on evaluation, monitors compliance on evaluation and shares lessons for improved programming (UNDP 2016).

Its mandate therefore covers the following overall functions:

- governance and accountability (recording and reporting)
- conduct of independent evaluations (planning and conducting evaluations)
- partnership and knowledge management (outreach and learning)
- united nations reform (harmonisation and joint evaluations)
- management (IEO budget and recruitment)
- decentralised evaluations (standards, methodology and good practice)
- national evaluation capacity development.

Evaluation within the UNDP is guided by an Evaluation Policy (UNDP 2011a), supported by a set of Ethical Guidelines and a Handbook on Planning, Monitoring and Evaluating for Development Results (UNDP 2009, addendum UNDP 2011b).

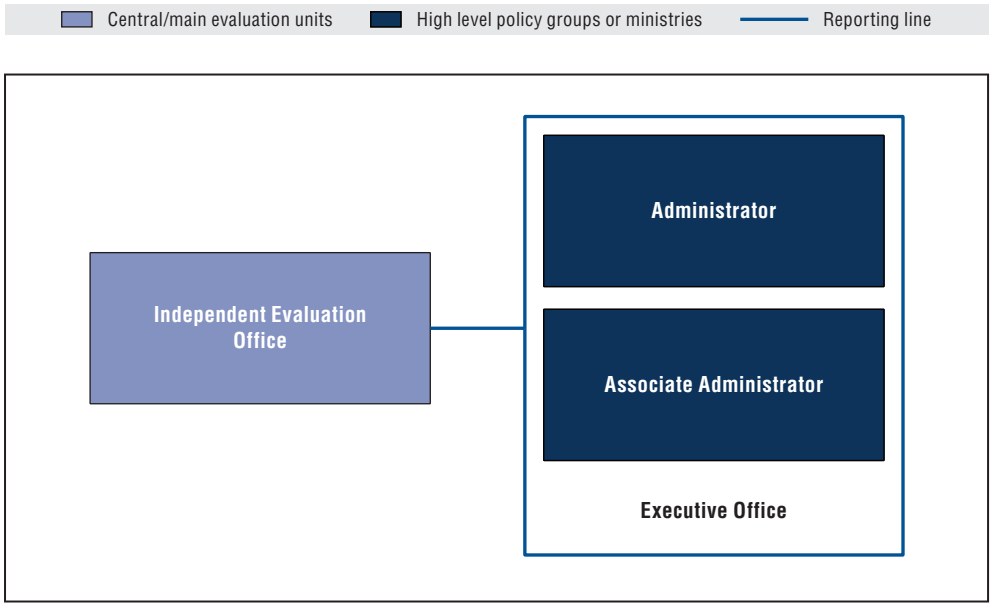
The existing evaluation policy was released in 2011 and independently reviewed in 2014. A revised evaluation policy was drafted for Board consideration in 2015 including specific measures to strengthen the system for decentralised evaluations. Subject to clarification and final adjustments in respect of roles and responsibilities of the IEO and UNDP management, agreement on a revised policy is expected in 2016.

Organisational Structure and Reporting Lines

The IEO reports to the UNDP Executive Board and is functioning as an independent body. The IEO is headed by a Director, who has full authority over the conduct and content of evaluations and presents them directly to the Executive Board. Evaluation work plans are derived from the organisational four-year strategy and subject to approval by the Executive Board (UNDP 2016).

While the IEO is the custodian of the evaluation function, the Executive Board is the custodian of the Evaluation Policy. The Executive Board:

- approves the evaluation policy and considers the annual reports on its implementation
- ensures the independence of the evaluation function
- requires management response and follow-up to all evaluations by UNDP
- uses and draws on the findings and recommendations of evaluations for oversight and approval of corporate policy, strategy and programmes;
- reviews and approves the management responses to independent evaluations
- requests periodically the IEO to commission an independent review of the evaluation policy.



Types of Evaluation

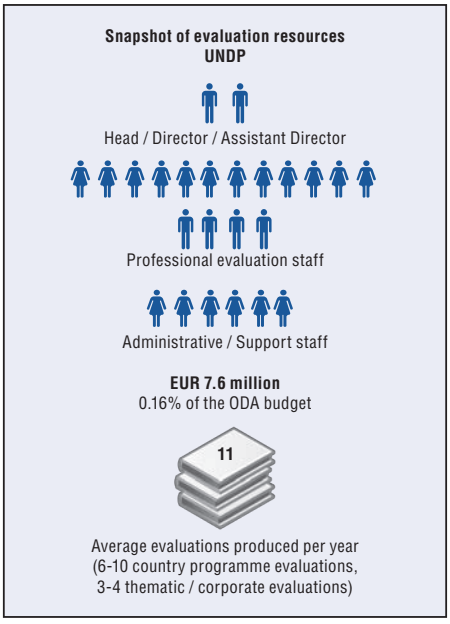
- Thematic evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations

The IEO adheres to the OECD DAC Quality Standards for Development Evaluation and uses them as the reference point for quality control of evaluation process and products.

Resources

The IEO has a total staff of 24, which has increased slightly during the past five years. This is reflecting a change in focus upon staff as evaluators, representing a shift towards reduced reliance on external consultants. The role of external consultants is limited to technical inputs and IEO staff are the principal authors and responsible evaluators.

In the past five years, close to 40 thematic, programme and country evaluations have been carried out by the IEO. This is expected to increase in the future with additional evaluability assessments in reference to the Sustainable Development Goals and the 2030 Agenda. Centralised evaluations undertaken by the IEO are funded under the IEO's budget, which is approved by the Executive Board



on a biennial basis. The evaluation budget has decreased during the past five years and is currently roughly EUR 7.6 million.

Decentralised evaluations are funded within operational budgets of the respective country office or other unit. A total of 240 decentralised outcome and project evaluations were undertaken in 2015. Total expenditure on such evaluation approx. EUR 10 million.

Principles of Evaluation

Independence

The independence of the IEO is protected through the institutional setup. The Director issues evaluation reports without clearance from UNDP management. The Director has full authority over the conduct and content of evaluations and presents them directly to the Executive Board. Measures to further improve the independence are being considered in conjunction with the current process of Evaluation Policy revision following initial proposal to Board in 2015. Key issues include process and mechanisms for the Board's role in the appointment of the IEO Director; security of tenure and procedures for review and attestation of IEO work quality; together with budgetary independence.

Competence and capacity building

Roughly half of the unit's current staff have undertaken formal external training, such as International Program for Development Evaluation Training (IPDET). All staff have undertaken an internal online training programme. Rather than specific technical competences, the IEO mentions analytical outlook and the ability to remain unbiased to be among the core skills needed among its staff, which requires continuous competence building.

Transparency and participation

The unit makes evaluations and recommendations publicly available as complete reports, which includes management responses for all its evaluations. Evaluation results are shared with partner countries and the IEO reaches out to country stakeholders by conducting a series of workshops following country evaluations in combination with disseminating the results though social media. In addition to this, internal and external circulation is implemented.

Knowledge management

The IEO is maintaining the Evaluation Resource Centre, a dedicated knowledge management database that allows for easy sharing of documents, evaluation plans, reports and other resources for internal and external use. This database is also viewed as a support and resource centre specifically for decentralised evaluations, and all the IEO manuals and guidance materials are made available for the decentralised evaluation functions for this purpose.

Co-ordination with donors and country recipients

Information on evaluations is systematically provided to recipient or partner institutions. Participation is also ensured by country partners in setting of the evaluation plans and work programs, designing evaluations and by participating in reference groups for evaluations. Five joint evaluations have been carried out during the past five years, primarily with the Global Environment Facility.

Quality assurance

The IEO conducts periodic 'quality assessments' of decentralised evaluations and the Director of the IEO has appointed an International Evaluation Advisory Panel (IEAP) to provide periodic advice on evaluation strategies, plans, methodologies and deliverables. It consists of eminent evaluation experts and scholars from around the world. The IEO also participates in peer reviews conducted by independent professionals in the field of evaluation. The reviews provide an assessment of independence, credibility and utility of the evaluation function and provide recommendations to the IEO and the Executive Board of UNDP (UNDP 2016).

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

United States

US Department of State

US Agency for International Development (USAID)

US Millennium Challenge Corporation (US MCC)

Evaluation Mandate

Three US state agencies are tasked with evaluation responsibilities within development aid assistance; the US Department of State, the US Agency for International Development (USAID), and the US Millennium Challenge Corporation (US MCC).

Under the Department of State, the Office of Foreign Assistance and Resources is tasked with providing technical assistance and overviewing the implementation of the Evaluation Policy (updated 2015) by the individual bureaus. According to the Policy, each bureau manages grant and contract funded programmes in order to develop annual evaluation plans and ensure the evaluation of important programmes. It is compulsory for each bureau to conduct at least one evaluation per year.

In USAID, the Office of Learning, Evaluation and Research is a specialised office located in the Bureau of Policy, Planning and Learning. The Office is responsible for catalysing USAID's transformation into an effective learning organisation by providing guidance, tools and technical assistance on evaluation to the Operating Units (USAID regional offices, technical offices, oversees missions etc.). Decentralised project evaluations are planned and performed by the Operating Units in the countries, whereas selected thematic and meta evaluations are planned and carried out from the central level. The work is guided by the Evaluation Policy released in 2011, which brought about key changes, strengthening the evaluation system within USAID's programme cycle:

- Budget requirements: Each Operating Unit should spend 3% of its programme funds on evaluation.
- Transparency requirements: All evaluations are posted online in full, with only limited exceptions.
- Requirements for impact evaluations: USAID must conduct impact evaluations for pilot or innovative projects that are testing a new approach that anticipates being expanded in scale or scope.
- New requirements for project-level evaluations that will examine achievement of higher level outcomes.

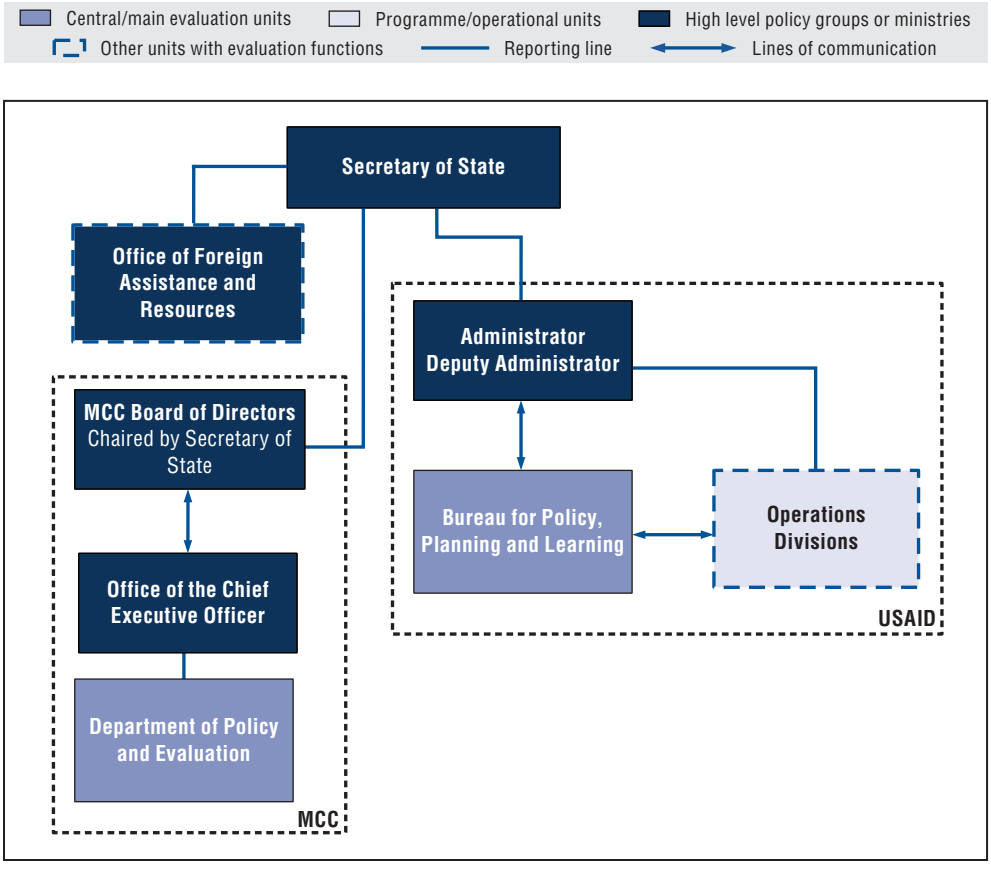
The evaluation work of the MCC is guided by a 2012 Policy on Evaluation, which integrates evaluation into the entire project cycle of a programme with a focus on measuring results as well as outcome and impact. The Department of Policy and Evaluation manages MCC's annual country eligibility process; the development and implementation of threshold me; promotes effective policy improvement and reform; performs economic analysis and monitoring, including rigorous independent evaluations; and provides institutional leadership on interagency engagement.

Organisational Structure and Reporting Lines

The US Foreign Assistance has a complex structure with 25 departments and agencies under the umbrella of the State Department. The links among the evaluation units of the three agencies are rather loose. They have individual policies, their own budget and their procedures and methods are not fully harmonised. There is a pending legislation, not yet voted by Congress that aims at standardising policies and methods.

The State Department is the lead representative of the US government overseas and the Secretary of State is the President's principal foreign policy advisor. USAID´s Administrator reports directly to the Secretary of State. Since 2010 there has been a reform aiming to strengthen USAID's mandate and capacities. The most significant change in USAID is the re-establishment of a central evaluation office called Office of Learning, Evaluation and Research located in the Bureau for Policy Planning and Learning (PPL/LER). In addition an evaluation point of contact is established in every USAID field mission where the operational staff is responsible for the commissioning and oversight of evaluations.

In MCC the Department of Policy and Evaluation reports to the Office of the Chief Executive Officer that provides strategic direction for the agency; manages the agency's Investment Management Committee; and oversees overall agency performance and day-to-day operations. MCC is overseen by a Board of Directors, chaired by the Secretary of State.



Types of Evaluation

The State Department

- Organisational performance evaluations
- Sector wide evaluations
- Programme evaluations
- Policy/strategy evaluations
- Project/activity evaluations
- Thematic evaluations
- Cross-cutting evaluations

MCC

- Performance evaluations
- Impact evaluations

USAID

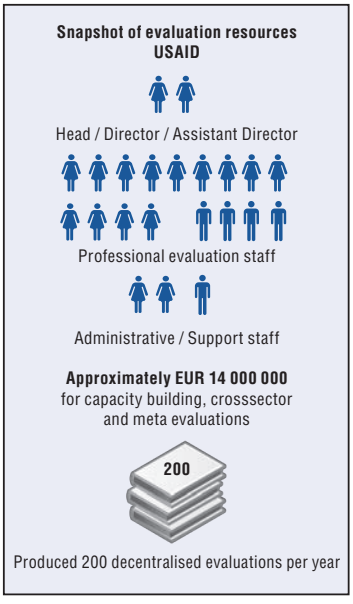
- Performance evaluations
- Impact evaluations
- Cross-sector evaluations
- Meta-evaluations

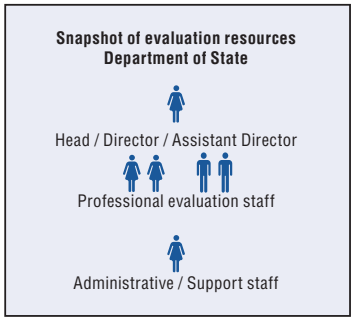
Resources

State Department's Office of Foreign Assistance and Resources has a total of six staff. As all evaluations are decentralised, the annual Congressional Budget Justification provides an overall budget request for both State and USAID foreign assistance. Information on specific evaluation budgets is not available due to diverse sources of funding.

USAID has 22 employees and a budget of EUR 14 million available, which is primarily used for capacity building of Operating Units. Decentralised evaluations are funded by each Operating Unit, who should aim at allocating three percent of their total programme funds to support evaluations. All Operating Units (approximately 100) have an evaluation point-of-contact.

MCC has a total of 25 staff and an annual budget of approx. EUR 20 million for centralised evaluations. Resources for evaluations activities are included in compact budgets, primarily related to data collection during project execution. Independent evaluators are engaged with resources from the agency's due diligence budget.







Principles of Evaluation

Independence

The Evaluation Policy of the Department of State includes 'Independency and Integrity' as one of its three standards for evaluation. The Policy specifies that all "…bureaus should ensure that the evaluators are free from any pressure and/or bureaucratic interference. Independence does not, however, imply isolation from managers". In fact, active engagement of bureau staff and managers is encouraged during much of the evaluation process to ensure that the results are implemented.

The USAID Evaluation Policy is in line with the OECD DAC evaluation standards and protects the independence of the evaluation function and prevents conflict of interest by placing a barrier between contractors and evaluators in the sense that the Team Leader must always be external to the agency as wells as the contractors. The independence and integrity of USAID and the MCC is furthermore supported by the Office of the Inspector General (OIG), which is a unit reviewing the integrity of the programmes and operations of USAID and MCC among others, including the work of the evaluation departments. The Office is semi-autonomous, with its own budget and personnel authorities.

At MCC, the evaluation function is located within the Department of Policy and Evaluation. All evaluations are performed by independent entities. The Agency's M&E policy provides for complete independence in terms of method, content, and dissemination of evaluation findings.

Competence and capacity building

In the State Department, the introduction of the evaluation policy also established a joint community of practice, where over 400 members meets monthly and resources and tools are developed to build capacity. To date, more than 150 staff have been trained via two courses.

Since the introduction of the USAID Evaluation Policy in 2011 there has been significant focus on improved evaluation competences and fostering a culture of evaluation in USAID and Operating Units has been a key priority. To date more than 1 600 staff have been trained in evaluation and online learning communities are available.

At MCC, agency resources are used for financing training of M&E staff in evaluation methods. M&E staff also conduct periodic training of operational and programme staff in the principles and practices of monitoring and evaluation.

Transparency and participation

The conduct of evaluations is consistent with institutional aims of capacity building and engagement with all partners. The USAID evaluation policy emphasises that findings should be made public, enhancing transparency of the aid programme. To date reports are systematically circulated internally and sometimes also made available on the website, in internal synthesis reports and circulated to external development partners. Likewise, MCC's principles on dissemination and transparency indicates that all evaluation products (design reports, questionnaires, baseline, interim and final reports, as well as the underlying data) are made public in evaluation catalogue at all stages including at the design stage. State Department's evaluations are posted publicly within 90 days of completion.

Knowledge management

Comprehensive guidance is available for staff from the three agencies on evaluation. At USAID, two online learning communities have been developed to facilitate knowledge sharing among staff and partners. One is ProgramNet is designed to accommodate programme planning and design work that is procurement sensitive and therefore not public. The other, Learning Lab, is available to partners and the public to facilitate collaboration and learning among all development actors. Learning Lab includes an extensive evaluation toolkit for staff and partners. Both of these sites have sections on evaluation and areas for sharing learning around topic areas or geographic regions.

Co-ordination with donors and country recipients

All three agencies focus on working collaboratively with partners to strengthen their evaluation capacity, facilitate mutual learning and reduce costs. The agencies typically involve stakeholders from country partners to participate in setting evaluation plans and work programmes, designing evaluations and in reference or steering groups. The State Department and USAID actively engage in joint evaluations with other bilateral and multilateral agencies.

Quality assurance

The Evaluation Policies of the three agencies set out guidelines for quality assurance of the evaluation process. USAID has furthermore introduced an Evaluation Management Review Process. One objective is to heighten the quality of the evaluations and the evaluation process. A similar review process has been introduced by MCC.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

World Bank Group (WBG)

Independent Evaluation Group (IEG)

Evaluation Mandate

The Independent Evaluation Group (IEG) is responsible for assessing the relevance, efficacy, and efficiency of the World Bank Group's operational programmes and activities and their contributions to development effectiveness. IEG's mandate is to carry out independent and objective evaluation of the strategies, policies, programmes, projects, and corporate activities of the World Bank Group, which includes the International Bank for Reconstruction and Development (IBRD), the International Development Association (IDA), the International Finance Corporation (IFC), and the Multilateral Investment Guarantee Agency (MIGA). Independent evaluation is undertaken to improve accountability and inform the formulation of new directions; policies and procedures; country, sector, and thematic strategies; lending operations; and technical co-operation.

With its accumulated knowledge of successes and failures at the project, country, sector, corporate, regional, and global levels, the IEG distils lessons and shares the knowledge gained from its evaluations across the World Bank Group and the wider international development community.

In 2013, IEG set out a new results framework that outlines two key areas of focus to better align our objectives and work with the new World Bank Group strategic direction.

- **What Works:** Deepening evidence about the results of the WBG programme and activities and their effectiveness for accelerating growth, inclusiveness, and sustainability to contribute to the achievement of the WBG's interim target of 9% poverty and progress on shared prosperity by 2020.
- **Real-time Learning:** Generating evidence on the early implementation experience of the WBG Strategy to enable mid-course corrections and promote a stronger internal culture for results, accountability, and learning.

Responsibility and scope of activities

Self-evaluation (decentralised) is commissioned by the programme/project managers and carried out by operational units responsible for programmes, for example project Implementation Completion Reports (ICRS), Expanded Project Supervision Reports (XPSRs), Country Program Performance Reviews, and impact evaluations. The IEG validates evaluation work carried out by the programme units, and conducts independent evaluations of projects, country programmes, sector/thematic areas, corporate processes, and global programmes. The IEG routinely evaluates the quality of self-evaluations as part of its validation work.

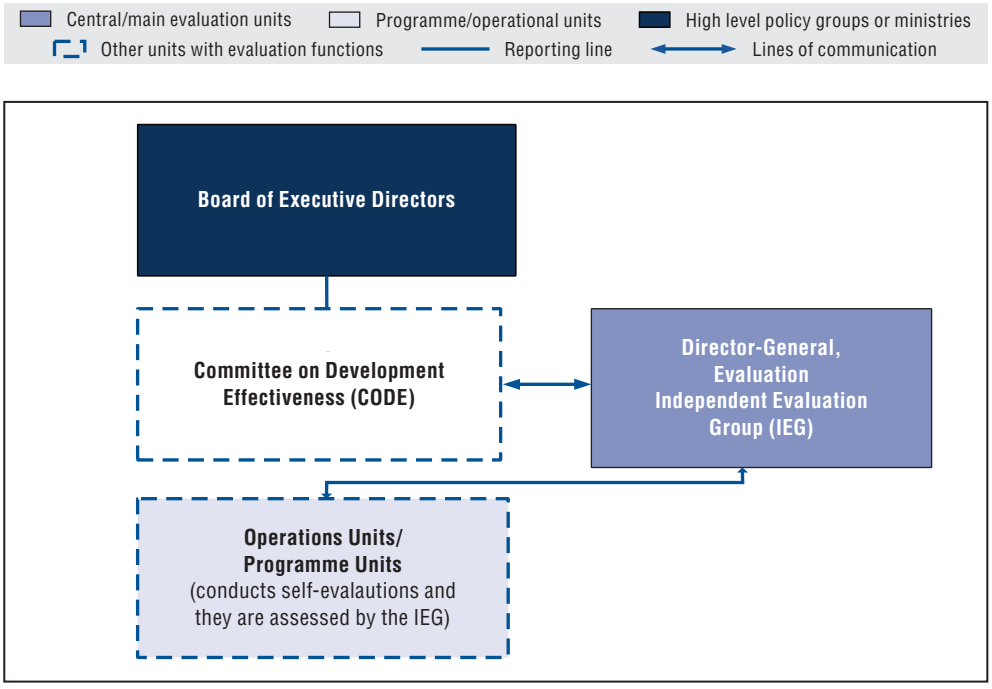
Organisational Structure and Reporting Lines

The Independent Evaluation Group (IEG) is an independent unit within the World Bank Group. The Director-General, Evaluation (DGE) is the head of IEG and oversees IEG's evaluation work, which includes all independent evaluation work as well as assessment of the Bank Group's self-evaluation systems. The DGE reports directly to the Board of Executive Directors, which oversees IEG's work through its Committee on Development Effectiveness (CODE). CODE has an oversight function over the IEG.

Work plans are formulated through an annual consultation process with stakeholders at various levels both externally and internally. They are prepared independently of the WBG management under the oversight of the DGE, for endorsement by CODE, and approval by the Board.

While evaluation in the WBG once had separate departments for private and public sector evaluation work, this is no longer the case. Under a new structure, IEG now has an integrated Bank Group-wide structure designed to improve co-ordination and synergy between private and public sector evaluation.

In October 2015, IEG restructured its General Directorate with the objectives of ensuring clearer interface and engagement with the new WBG organisational structure, facilitating increased staff collaboration, and reducing overhead.



The new structure entails closer integration of country programs, economic management, human development and corporate evaluation in one department; and finance, private sector development, sustainable development in another department.

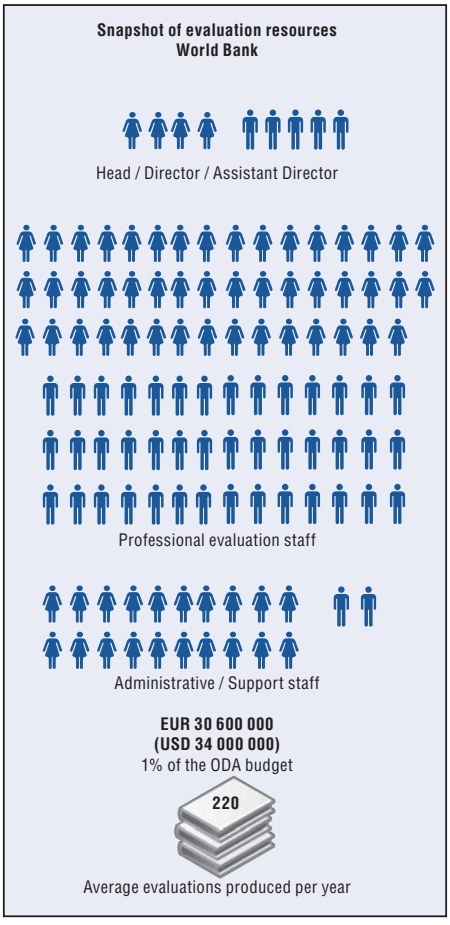
Types of Evaluation

- Thematic and crosscutting evaluations
- Organisational performance evaluations
- Sector-wide evaluations
- Programme evaluations
- Country evaluations
- Policy/strategy evaluations
- Project/ activity evaluations

The majority of evaluations are ex-post project assessments. Larger evaluations (thematic, sector, country) cover ongoing projects in addition to completed ones. Recently, the IEG has started to conduct impact evaluations and systematic reviews to complement larger evaluations. Ex-ante evaluations or evaluability assessments are the responsibility of World Bank Group Management.

Resources

The IEG's budget is proposed by the Director-General and approved by the board of Executive Directors. Centralised and decentralised evaluations have separate budget lines. IEG's work plan for 2016 is based on a total budget request of USD 35.9 million, comprising a USD 34 million regular budget to be approved by the Board, and USD 1.9 million in trust funds and externally funded outputs. In 2016-2017, about 80% of resources will support the first objective of deepening evidence about the results of the WBG programmes and activities; and about 20% will focus on the second objective of generating evidence on the early implementation experience of the WBG Strategy.



Principles of Evaluation

Independence

The Independent Evaluation Group (IEG) exhibits independence on four criteria, namely organisational independence; behavioural independence; protection from external influence; and avoidance of conflicts of interest.

The principles of organisational and behavioural independence are supported by the fact that the IEG reports directly to the Board of Executive Directors through CODE and is thus organisationally independent from management and operational staff whose activities are being evaluated. The IEG reports its findings to the Board without the Bank Group management's pre-clearance.

In terms of protection from external influence, the IEG is protected in many ways. (i) the evaluation unit has the ability to decide on the design, conduct, and content of evaluations without interference; (ii) the content and recommendations of the evaluations cannot be changed by an outside authority; (iii) there are adequate resources to carry out the mandated responsibilities effectively; (iv) the head of evaluation is not threatened by real or perceived interference by management concerning his or her appointment or renewal, annual performance appraisal, or compensation; and (v) the head of evaluation has final authority over personnel matters subject to following the principles of the human resource policies in the organisation.

Competence and capacity building

The IEG's evaluation capacity development programme covers three areas: (i) providing technical assistance and advice to countries and Bank staff on M&E systems and approaches to evaluations; (ii) developing resource and reference materials; and (iii) providing training/capacity building services through International Program for Development Evaluation Training/Shanghai International Development Program for Development Evaluation Training and Regional Centers for Learning on Evaluation and Results, and limited capacity building sessions at M&E network meetings (IEG 2011).

The evaluation staff in the IEG receives internal and external training as well as mentoring and coaching to address skills constraints. Professionalisation has become a key issue for the IEG. The result-based management evaluation stream aims at the harmonisation of procedures, processes and techniques to measure results and develop evidence. IEG is strengthening efforts to advocate professionalisation through creating a dedicated methods advisor function and the provision of training materials across the directorate for every evaluation work.

To the operations staff, the IEG provides trainings on how to write a good self-evaluation report and how to share lessons on the quality of result frameworks. The IEG however does not provide technical assistance to specific decentralised evaluations (i.e. self-evaluations), as the IEG is quality assurer and validator of decentralised evaluations.

To help partner countries develop their own monitoring and evaluation capacity, the IEG is working with the Regional Centers for Learning on Evaluation and Results Initiative, and the International Program for Development Evaluation Training.

Transparency and participation

In line with the World Bank's Policy on Access to Information, which took effect on 1 July 2010, the IEG replaced its earlier mix of disclosure policies with a single Access to Information Policy (2011) that offers greater transparency and consistency of access across the IEG units. This policy shares the five guiding principles of the World Bank's Access to Information Policy: i) maximising access to information; ii) setting out a clear list of exceptions; iii) safeguarding the deliberative process; iv) providing clear procedures for making information available; and v) recognising requesters' right to an appeal process (IEG 2011). Furthermore, the IEG started to make the outreach work more strategic to get greater mileage out of the evaluations. Today the IEG disseminate the information not only on the website, but also through the social media and the blog. The IEG organises and records outreach events, which are subsequently uploaded online. Currently the IEG is piloting using the shorter recorded versions to share highlights in shorter and easily accessible formats.

The IEG has a formalised management response system. At completion of the evaluation, the Management has to submit a draft response to CODE and a final response after the discussion. Within 90 days, the Management has to come up with an action plan in consultation with the IEG. The IEG tracks the implementation of the recommendation for the next four years once per year.

Knowledge management

The IEG has accelerated its focus on learning and knowledge sharing. After a period of piloting in 2014-2015, the IEG developed clear guidelines for the definition, selection, and processing of learning products. Also in 2015, the IEG delivered 15 major learning products that synthesised the IEG's evaluation findings. In addition to these major products, the IEG continued to deliver a wide range of brief and focused learning products.

The IEG attaches great importance to disseminating knowledge from evaluations, including through development of new knowledge management products and processes that share lessons, good practices, and key evaluation findings. Key actions recently completed in 2015 include an improved online portal for lessons learnt, implementation of workflow automation for reporting providing better work programme tracking and management, and new easier-to-use data management services which are helping IEG teams to gain access to portfolio data.

Co-ordination with donors and country recipients

Over the last five years, three joint evaluations have been conducted with other multilateral development banks, the European Commission, and other bilateral donors.

Quality assurance

Since 2008 the IEG has put in place a comprehensive quality assurance framework for the evaluations conducted by the IEG. This has been further refined in 2015 where the IEG continued with two new quality assessment mechanisms after evaluation completion focusing on, firstly, structured debriefing processes and, secondly, meta-evaluations performed by an independent panel to assess the quality, strengths and weaknesses, and overall conduct of a sample of individual IEG evaluations. The panel is assessing utility, feasibility, propriety and validity, drawing on standards from the Joint Committee Standards and the ECG Big Book on Evaluation Good Practice Standard.

Note to reader: The section at the beginning of Part II entitled "Introduction and key for the member profiles" provides explanatory notes on the profiles.

Annex A: Budget and staffing - centralised units

Table A.1: **Budget and staffing for centralised units (Source: verified member profiles)***

Name of organisation	Budget for centralised evaluations for last financial year as proportion of development budget %	Budget for centralised evaluations in the last financial year, EUR	Number of professional evaluation staff	Total full-time staff in central evaluation unit
BILATERAL AGENCIES				
Australia DFAT	0.04	1 151 597	8	14
Austria, ADA/FMEIA	0.22	240 000	2	4
Belgium	0.10	1 500 000	4	5
Canada GAC	0.10	1 300 000	15	19
Czech Republic	0.44	85 000	1	1
Denmark DANIDA	0.11	3 000 000	3	5
Finland MFA	0.25	2 000 000	3	5
France AFD	0.09	500 000	8	9
France DG Treasury	0.09	500 000	2	4
France MAEDI	0.09	450 000	3	5
Germany BMZ	-	1 500 000	2.5	4.5
Germany DEval	-	7 400 000	28	42
Germany GIZ	-	2 200 000	11	16
Germany KfW	1.00	4 800 000	8	11
Ireland DFAT	0.13	630 000	2	6
Italy MFA	0.05	345 445	2	5
Japan JICA	0.07	6 571 000	11	29
Japan MOFA	0.03	942 000	1	9
Korea EDCF	0.10	622 000	4	5
Korea KOICA	0.23	1 100 000	5	7
Luxembourg LuxDev	-	-	1	1.5
Luxembourg MFEA	0.15	600 000	1	1
New Zealand MFAT	0.50	727 709	1.5	1.5
Norway Norad	0.10	3 300 000	8	11
Poland MFA	0.29	71 000	1	1
Portugal Camões I.P.	0.09	100 000	5	6
Slovakia	0.50	30 000	1	1
Slovenia MFA	-	30 000	0.5	0.5
Spain MFAC	-	-	5	7
Sweden EBA	0.04	1 600 000	5	7
Sweden SIDA	0.03	600 000	4	5.5
Switzerland SDC	0.05	1 000 000	3	5
Switzerland SECO	-		2	2
The Netherlands MFA	0.06	2 500 000	26	31
UK DFID	0.70	15 100 000	9	16
US Department of State	-		4	6
US MCC	-	20 000 000	23	25
US USAID	-	14 000 000	17	22
MULTILATERAL ORGANISATIONS**				
African Development Bank	2.00	9 000 000	17	30
Asian Development Bank	1.83	10 468 000	32	51
EBRD	0.84	3 653 000	14	18
EC	-	5 000 000	10	13
EIB	-	-	12	17
IMF	-	5 215 000	5	15
Inter-American Development Bank	1.30	8 200 000	24	30
UNDP	0.16	7 600 000	16	24
World Bank	1.00	30 571 000	89	111

Note: * If the development budget was self-reported by the member in the survey or during review of member profiles, this figure was used. Otherwise, the figure is a percentage of DAC published ODA figures. ** In the case of Multilateral Development Banks, the proportion of development budget refers to the administration budget, with the exception of the EBRD that reported against total equity, technical assistance and loans.

Annex B: Further reading

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Annex D: Interviews conducted as a part of the review exercise

AUSTRALIA

Department of Foreign Affairs and Trade

8 January 2016

Dereck Rooken-Smith, Assistant Secretary, Office of Development Effectiveness

9 Feb 2016

Scott Dawson, First Assistant Secretary, Contracting & Aid Management Division

DENMARK

Ministry of Foreign Affairs

6 Jan 2016

Sus Ulbæk, Head of the Evaluation Department (EVAL)

26 Jan 2016

Erik Brøgger Rasmussen, Head of Unit, Udviklingsfaglig Tjeneste (UFT)

3 Feb 2016

Martin Bille Hermann, State Secretary for Development Policy

EUROPEAN BANK FOR RECONSTRUCTION AND DEVELOPMENT

3 Feb 2016

Zsuzsanna Hargitai, Director, Strategy & Policy Coordination
Ramon Juraboev, Principal Banker, Portfolio Strategy
Keith Leonard, Deputy Chief Evaluator, Evaluation Department

EUROPEAN COMMISSION

27 Jan 2016

Secretariat-General, EC

Jonathan Stoodley, Head of Unit, Evaluation, Regulatory Fitness and Performance
Adina Onofrei, Policy Officer, Evaluation, Regulatory Fitness and Performance
Mona Bjorklund, Head of Unit, Impact Assessment
Ulrik Bütsow Mogensen, Policy Officer, Impact Assessment

Directorate-General for Development and Co-operation EuropeAid

Philippe Loop, Head of Unit, Evaluation Unit
Catherine Pravin, chef d'unité adjoint, Evaluation Unit
Roxana Osiac, Seconded National Expert, Evaluation Manager, Evaluation, Evaluation Unit

CZECH REPUBLIC

27 Jan 2016

Department of Development Cooperation and Humanitarian Aid

Hana Volna, Vice Director of the Department and Head of the Unit of Humanitarian Aid and Evaluation

Dita Villaseca Bergeyre Kubíková, Unit of Humanitarian Aid and Evaluation, Desk Officer in charge of evaluations cycle management and annual reports on Czech Development Cooperation (for the Government)

Czech Development Agency

Martin Naprstek, Head of Partner Relations Department

FRANCE

20 Jan 2016

Ministry of Economy, Industry and Digital

Mauricette Gady-Laumonier, Head of Development Activities Evaluation Unit, Multilateral Affairs, Trade and Development Policies, Directorate-General of the Treasury, Ministry of Finances and Public Accounts

Ministry of Foreign Affairs

Véronique de Rohan Chabot, Responsible for the Evaluation and Performance Pole, Directorate of Programmes and Network, Directorate-General of Globalisation, Development and Partnerships

Agence Française de Développement

Bernard Loiseau, Head of Evaluation Division, Executive Direction of Research

NEW ZEALAND

Ministry of Foreign Affairs and Trade

6 Jan 2016

Ingrid van Aalst, Head of Evaluation, International Development Group
Virginia Dawson, Development Manager, Regional Programme, International Development Group
David Nicholson – Director, Pacific Development Division (PACDEV), International Development Group
Catherine Maclean – Development Manager, Samoa, International Development Group
Rachel Fry, Director, Development Strategy Effectiveness (DSE), International Development Group

UNITED KINGDOM

Department for International Development

27 Jan 2016

Penny Hawkins, DFID Head of Evaluation
Richard Edwards, Deputy Head, Evaluation Department
Alistair Moir, Head of Programme Management
Jonathan Patrick, Evaluation Adviser, Strategy
Helen Nelson, Head of Profession, Evaluation.

USA

Millennium Challenge Corporation

20 Jan 2016

Sixto Aquino (telephone interview), Managing Director, Monitoring and Evaluation

USAID

18 Dec 2015

Negar Akhavi, Acting Director, Office of Learning, Evaluation and Research Bureau for Policy, Planning and Learning (PPL)

US Department of State

13 Jan 2016

Eileen Cronin (telephone interview), Chief of Evaluation and Aid Effectiveness, Office of the Director of Foreign Assistance Resources

WORLD BANK

World Bank – IEG

16 Nov 2015

Andrew Stone, Head, Macro Evaluation Private Sector Evaluation, IEG
Zeljko Bogetic, Lead economist and country sector coordinator for economic policy, poverty and gender for Western Balkans, IEG

5 Jan 2016

Nick York, Director, Country, Corporate and Global Evaluations, IEG
Richard Scobey, Senior Advisor and Deputy to the Director General, IEG

13 Jan 2016

Mark Sundberg (telephone interview), Head, Economic Management and Country Programs, IEG

World Bank - CODE

13 Jan 2016

Alex Foxley (telephone interview), Executive Director, Board of Directors, Committee on Development for Effectiveness

Evaluation Systems in Development Co-operation

2016 REVIEW

Evaluation is widely recognised as an important component for learning and improving development effectiveness. Evaluation responds to public and taxpayer demands for credible information and independent assessment of development co-operation activities. The Development Assistance Committee's Network on Development Evaluation supports members in their efforts to strengthen and continuously improve evaluation systems.

The 2016 review of *Evaluation Systems in Development Co-operation* looks at the changes and trends in evaluation systems over the last five years. The report describes the role and management of evaluation in development agencies, ministries and multilateral banks. It provides information about the specific institutional settings, resources, policies and practices of DAC Evaluation Network members, and includes specific profiles on each member's evaluation system. The study identifies major trends and current challenges in development evaluation. It covers issues such as human and financial resources, institutional setups and policies, independence of the evaluation function, reporting and use of evaluation findings, joint evaluation, and the involvement of partner countries in evaluation work.

This report is part of the DAC Network on Development Evaluation's ongoing efforts to increase the effectiveness of development co-operation policies and programmes by promoting high-quality, independent evaluation.

Contents

Part I. Evaluation systems in development co-operation

Chapter 1. Overview of the 2016 Review of Evaluation Systems in Development Co-operation

Chapter 2. Evaluation systems and governance

Chapter 3. Evaluation processes

Part II. Profiles of members of the DAC Network on Development Evaluation

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