

Better Aid

Evaluation in Development Agencies



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Foreword

Pressure on aid budgets and new approaches to development assistance have increased the demands on evaluation as a key component of the accountability, management and learning structures of development agencies. Development partners are pushed to demonstrate results and “value for money”, and to provide quality evidence about how development co-operation policies and programmes can be most effective. The DAC Network on Development Evaluation is uniquely positioned within the international community to inform these debates, drawing on its members’ own experiences.

This study provides a snapshot of development evaluation management and resourcing. The overview provided of member evaluation policy and practice will be useful for benchmarking – for network members undergoing reform and for other development partners looking to establish credible evaluation systems of their own. To that end, the study covers the core dimensions of evaluation management and provides an overview of evaluation resourcing for all major bilateral donors and seven multilateral institutions. The study highlights how evaluation is changing – moving away from project outputs to assess broader impacts of development assistance, adapting to new aid modalities and cross-cutting issues, and increasingly involving country partners. The study also points to several areas where development agencies could do more to meet their commitments on mutual accountability and partner country ownership. Finally, the report sets out several areas to be further explored through joint effort, including communicating and supporting the use of evaluation results.

The timing for a stock-taking exercise is especially propitious given ongoing discussions in the OECD DAC and beyond on the role for evaluation in supporting achievement of internationally agreed development goals.



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Executive summary

The evaluation of official development programmes has grown tremendously over the past two decades as the public and taxpayers increasingly demand credible assessments of whether aid “works” to improve the lives of the world’s poorest. Global efforts to hold donors and partners accountable for the outcomes of development co-operation have also contributed to the growing interest in evaluation. Partner countries are meanwhile working to develop their own accountability systems and look to engage with experienced international partners. Within the DAC Evaluation Network, members work to respond to these pressures and contribute to wider development debates by improving evaluation methodologies, strengthening collaboration and increasing the quality of evaluation reports.

This study takes stock of how the evaluation function is managed and resourced in development agencies, identifying major trends and challenges. This report should be used to make evaluation systems in donor agencies and developing countries more robust in order to contribute to improved accountability and better development results. It will be of interest to agency management and evaluation experts, as well as to the broader community of development actors.

The report includes the member agencies of the OECD DAC Network on Development Evaluation, consisting of 23 bilateral donors and seven multilateral development banks. Drawing on responses to a questionnaire, findings of DAC peer reviews and other recent literature in the development evaluation field, this report provides an overview of the general state of affairs in development evaluation. It also highlights some emerging trends, notably improvements in the independence of the evaluation function, the diversification of actors involved in evaluation, and increased co-ordination between donor evaluation departments.

Network members together produce over 600 evaluations of development assistance programmes per year, with the average evaluation unit completing 19 evaluations each year. For DAC bilateral agencies, central evaluation units have an average budget of USD 3.3 million, representing the equivalent of 0.1% of the development co-operation budget these units are charged with evaluating. For the multilateral institutions, the average evaluation budget is USD 10 million, or about 1.4% of the overall administrative budgets of these institutions. Challenges remain in obtaining comparable budget figures.

Just over half of development agencies reported concerns over the adequacy of resources available for conducting high quality evaluation. There is widespread acknowledgement that joint work and rigorous impact evaluation in particular suffer from persistent resource constraints in donor agencies. For example, very small evaluation units can find it difficult to allocate staff time to coordination and joint work. Weak technical skills of staff and external consultants were cited by some members as barriers to rigorous, quality evaluation, particularly in assessments of complex or relatively new aid modalities such as budget support.

Institutional and behavioural independence of evaluation units have, on the whole, increased significantly. In all but a few agencies, evaluation reports are consistently published and widely disseminated without interference from those planning or implementing the development programmes in question. The heads of evaluation in most DAC member agencies report directly to the head of the agency (or ministry) or to the director of strategy/quality management. Two evaluation units also report to parliament on a regular basis. The multilateral banks all have autonomous evaluation departments reporting to the board.

Action is needed to support the use of findings and take-up of recommendations. Members shared a general concern about the lack of interest in and practical use of evaluation findings. Management response systems are functioning in about half of the member agencies (including all of the reporting multilateral institutions). However, few mechanisms are in place to monitor, assess or transparently report actions taken in response to evaluations. The use of evaluations needs to be systematised, for instance, by integrating consultation of relevant reports into the planning process for new programmes or country strategies. Lessons and recommendations emerging from evaluations need to be better formulated and targeted to specific audiences in ways that are accessible and useable. There is broadly shared interest among evaluators to improve the communication and use of evaluation findings.

Demonstrating increased harmonisation, internationally agreed norms and standards, including the DAC Quality Standards for Development Evaluation, are now used in nearly all development agencies. Quality assurance systems are in place in most central departments and several units have undertaken reviews of evaluation quality. However, concerns remain about variable quality in some agencies and several members expressed that it can be difficult to find qualified evaluation consultants in emerging policy areas such as conflict prevention or governance.

Most members consult other donor evaluation plans to identify possible areas for joint evaluation. Still, joint work represents just 36% of all evaluations completed for bilateral members and 15% for multilaterals. There is wide variation across development agencies in terms of the role of partner countries in assessing development co-operation programmes. Involvement of partner countries in the evaluation process is mandated in several agencies' evaluation policies, while engagement with partners is quasi nonexistent in other institutions. Overall, meaningful developing country involvement in evaluation remains infrequent, especially in the critical planning and follow-up action phases.

Members of the DAC Network on Development Evaluation are interested in further research and joint work on the issues raised in this report, particularly on the topics of using evaluation results to improve development effectiveness, feasible approaches to involving partner countries, and effective management of evaluation resources.

The management and practice of evaluation must ceaselessly evolve to keep pace with the shifting context of development co-operation. The DAC Network on Development Evaluation will continue to contribute to this process by tracking changes in the policy and practice of its members, further developing its normative framework and supporting collaborative approaches.

Chapter 1

Background and approach

The evaluation of official development programmes has grown tremendously over the past two decades with growing demands for credible, impartial assessments of the results of aid. The Development Assistance Committee (DAC) Network on Development Evaluation works to foster learning about how development works and to support accountability needs through robust, independent evaluation of development co-operation activities. This study looks at how these evaluations are resourced and managed. This chapter describes the motivation and scope of the study, as well as the methodology and data sources used.

Introduction

The Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Network on Development Evaluation agreed to undertake a study of its members' evaluation systems and resources in June 2009. This study aims 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. The purpose is to inform efforts to strengthen evaluation systems in order to contribute to improved accountability and better development results. It will be of interest to DAC members and evaluation experts, as well as to development actors in emerging donor and partner countries.

To capture a broad view of how evaluation works in development agencies, core elements of the evaluation function are covered, including: the mandate for central evaluation units, the institutional position of evaluation, evaluation funding and human resources, independence of the evaluation process, quality assurance mechanisms, co-ordination with other donors and partner countries, systems to facilitate the use of evaluation findings and support to partner country capacity development.

This report covers the member agencies of the OECD DAC Network on Development Evaluation.¹ See Box 1.1 for a full list of member agencies and abbreviations. Covering all major bilateral providers of development assistance and seven important multilateral development banks, the present analysis therefore provides a comprehensive view of current policy and practice in the evaluation of development assistance.

The study is split into two sections: Chapter 2 contains an analysis of overall trends and general practices, drawing on past work of the DAC and its normative work on development evaluation. Chapter 3 provides an individual factual profile for each member agency, highlighting its institutional set-up and resources.

Most abbreviations used in this report are listed in Box 1.1.

Background

The evaluation of official development programmes has grown tremendously over the past two decades in OECD countries as the public and taxpayers increasingly demand credible, impartial assessments of the results of public spending on aid. The scaling up of aid, and new modalities and approaches to development assistance have increased the demands on evaluation as a key component of the accountability, management and learning structures of development agencies. Today, the global economic down-turn is putting pressure on development co-operation budgets. At the same time, those working in development identify mounting pressure to provide quality evidence about how development assistance is improving the lives of the world's poorest.

Global efforts to improve mutual accountability have also contributed to a growing emphasis on results and created new interest in evaluation systems within partner countries. As established donors adapt their evaluation approaches to respond to new

¹The term "members" is used in this report to refer to the main evaluation departments of the 38 bilateral development agencies and multilateral institutions that participate in the OECD DAC Network on Development Evaluation and responded to the study questionnaire. Please note that not all Network members are members of the OECD DAC. Responses were not received from Greece and the United States Millennium Challenge Corporation (U.S. MCC) and these two members are therefore not included.

challenges, many emerging donors and partner countries are working to develop their own evidence-based policy making and accountability systems.

In this context, there is widespread interest in the practices and policies of the members of the OECD DAC Network on Development Evaluation. This peak in interest revolves around questions of how evaluation is used and managed, the institutional position of evaluation departments and the resourcing of the evaluation function. Policy makers want to know how much should ideally be spent on evaluation and how evaluators can best provide credible, useful information. The DAC Network on Development Evaluation is uniquely positioned within the international community to inform these debates based on its members' experiences. Members are working to improve their own evaluation systems and look to other donors for guidance. The timing for a stock-taking exercise is especially propitious. The findings will contribute to ongoing discussions on the role for evaluation in the context of debates about aid effectiveness and the implementation of commitments in the Accra Agenda for Action (AAA).

Building on past evaluation work

The current study draws on the normative frameworks of the OECD DAC, including the DAC Principles for the Evaluation of Development Assistance (OECD DAC, 1991) and the Paris Declaration on Aid Effectiveness (2005). The analysis builds on recent OECD DAC Peer Reviews (2006-2009), past and current work of the DAC Network on Development Evaluation, several independent reviews of individual development agencies, and a number of other studies on trends in development evaluation carried out in recent years. In regards to donor coordination in evaluation, this study builds on the findings of a 2008 study of joint evaluation (SADEV, 2008). Comparative data on network members was also drawn from a 2004 stock-take of DAC Peer Reviews (Liverani and Lundgren, 2004) and a survey conducted by the Secretariat in 2006. A bibliography is provided at the end of the report.

The current study aims to provide a more in-depth, comprehensive and up-to-date picture of development evaluation and its use for learning and accountability in donor agencies. DAC Peer Reviews and these other studies clearly illustrate that evaluation has changed in many ways over the years. Still a number of challenges identified in earlier work remain. For instance, the first study of DAC member evaluation experiences, completed in 1975, highlighted the challenges associated with evaluating aid projects and programmes with vaguely defined goals. While much progress has been made in the design and management of development activities in the ensuing years, the lack of well defined links between programme activities and intended outcomes remains a challenge for evaluators – particularly in emerging areas of development work, such as peacebuilding and conflict prevention (OECD DAC, 2007). The 1975 study also suggests DAC members work more with experts from developing countries – an area where progress has been made but hurdles remain (as described in Partner Country Involvement in Evaluation, below).

Research methods

With the support of the network, a questionnaire was developed by the Secretariat in the summer of 2009, covering the major elements of a quality evaluation system as laid out in the DAC Principles for the Evaluation of Development Assistance (OECD DAC, 1991) and *Evaluation Systems and Use, a Working Tool for Peer Reviews and Assessments* (OECD DAC, 2006). Drawing on existing data sources, the Secretariat then completed a draft

questionnaire response for each development agency. Information on evaluation programming and management was also drawn from transcripts of telephone interviews conducted by the Swedish Agency for Development Evaluation (SADEV) in July 2008 for a study on joint evaluation, and OECD DAC Peer Reviews and country memorandums for DAC members (see complete list in Bibliography).

Member websites were used to identify further information about the policy, management and purpose of central evaluation units. Where available, policy documents and guidelines/manuals were also consulted. Information on specific members was taken from early drafts of a study on evaluation commissioned by the Department for International Development (DFID) (Riddell, 2009) and the Evaluation Co-operation Group's (ECG) multilateral bank Evaluation Comparison Table (ECG, 2008). A 2000 Secretariat survey of member resources was used to compare changes in evaluation budgets, though these data were in some cases incomplete or no longer relevant.

The partially completed questionnaires were then submitted to members to complete unanswered questions and verify the information. Members had the option of responding via telephone interview or in writing. Thirty-seven written responses were received and one interview response, a total of 38 of the 40 questionnaires sent. The information from the questionnaires was then compiled and emails sent as needed to clarify responses. The completed individual member profiles were reviewed by each development agency.

Limitations of the study

The present study focuses on the role and management of central evaluation units in development agencies and multilateral banks. Decentralised evaluation at the project or programme level is covered only in terms of the role central units play in supporting or overseeing these evaluations. The current study does not attempt a full analysis of the broader management systems of development agencies, though links between evaluation and these systems are mentioned. While quality assurance policies for evaluation are addressed, this is not an assessment of the quality of individual evaluation reports. The study provides an overview of the resourcing of central units, but data on evaluation resourcing are weak and a full cost/benefit analysis of evaluation funding is beyond the scope of this report.

Box 1.1. The DAC Network on Development Evaluation – www.oecd.org/dac/evaluation

The Network on Development Evaluation is a subsidiary body of the OECD Development Assistance Committee (DAC). It is a unique international forum that brings together evaluation managers and specialists from development co-operation agencies in OECD member countries and multilateral development institutions. The network's goal is to increase the development effectiveness of aid policies and programmes and improve development results by promoting high quality, independent evaluation. It serves as a platform for learning and co-ordination where members work together to improve the quality of development evaluations and harmonise evaluation processes. There are currently 40 participating evaluation units of member agencies.

DAC member countries:

- **Australia**, AUSAID
- **Austria**, Ministry for European and International Affairs (FMEIA) and Austrian Development Agency (ADA)
- **Belgium**, Directorate-General for Development Co-operation (DGDC)
- **Canada**, Canadian International Development Agency (CIDA)
- **Denmark**, Danish International Development Assistance (Danida)
- **European Commission** (EC)
- **Finland**, the Ministry of Foreign Affairs
- **France**, French Development Agency (AFD), Ministry of Foreign and European Affairs, Ministry of Economy, Industry and Employment
- **Germany**, Federal Ministry for Economic Co-operation and Development (BMZ), KfW Bankengruppe (KfW), and Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)
- **Greece**, the Ministry of Foreign Affairs (not included)
- **Ireland**, Irish Aid
- **Italy**, Ministry of Foreign Affairs, Directorate General for Development Co-operation (DGCS)
- **Japan**, JICA and the Ministry of Foreign Affairs
- **Korea**, Korea International Co-operation Agency (KOICA) and Economic Development Co-operation Fund (EDCF)
- **Luxembourg**, Ministry of Foreign Affairs and Lux-Development
- **Netherlands**, Ministry of Foreign Affairs
- **Portugal**, Portuguese Institute for Development Support (IPAD)
- **New Zealand**, New Zealand's International Aid and Development Programme (NZAID)
- **Norway**, Norwegian Agency for Development Co-operation (NORAD)
- **Spain**, Ministry of Foreign Affairs and Co-operation and Directorate-General for Development Policy Planning and Evaluation (DGPOLDE)
- **Sweden**, Swedish Agency for Development Evaluation (SADEV) and Swedish International Development Co-operation Agency (Sida UTV)
- **Switzerland**, Swiss Agency for Development Co-operation (SDC) and State Secretariat for Economic Affairs (SECO)
- **United Kingdom**, Department for International Development (DFID)
- **United States of America**, Office of the Director of Foreign Assistance (DFA), U.S. Agency for International Development (USAID), the Millennium Challenge Corporation (MCC) (not included)

Multilaterals/International finance institutions:

- **African Development Bank** (AfDB)
- **Asian Development Bank** (ADB)
- **European Bank for Reconstruction and Development** (EBRD)
- **Inter-American Development Bank** (IADB)
- **International Monetary Fund** (IMF)
- **World Bank Group**, Independent Evaluation Group (IEG)
- **United Nations Development Programme** (UNDP)

Chapter 2

Main findings and analysis

This chapter lays out general conclusions from the DAC Network member survey and background research. It starts with the basic policies and functions of evaluation in development agencies, before looking at resourcing, quality and independence, the involvement of development partners in evaluation processes, and finally the use of and responses to evaluation results. Areas for further research and joint work are also outlined.

Overall trends

The 2004 review of development agency evaluation systems (based on DAC Peer Reviews) stated that “demands on aid agency accountability as well as new developments in performance and knowledge management have broadened the range of activities carried out by DAC evaluation departments and the scope of their portfolios.” Since then, the signing of the Paris Declaration on Aid Effectiveness (2005) has hastened this process, drawing even more attention to issues of impact and mutual accountability. The commitment to use partner country systems, reiterated in the Accra Agenda for Action (AAA), and emerging evaluation capacities in a number of developing countries, have created increased pressure to involve partner countries more actively through collaborative evaluation approaches.

While early discussions in the DAC Network on Development Evaluation focused on strengthening the evaluation function of its members through capacity building, policy making and institutional development in donor countries, issues of partner country capacity and involvement have now come to the fore. Still, capacity weaknesses, especially in terms of technical skills and specialised knowledge in evaluation remain a challenge for some development agencies.

Results-based management (RBM) systems, which link with evaluation systems in many ways, are much more soundly established at the project and programmes levels in most agencies, compared to findings in earlier network studies which highlighted the emerging challenges of these interrelated developments in managing for development results. A clear definition of the complementary roles of central evaluation units and the wider RBM system has been established in most agencies where RBM is in place. In general, this has led to a closer linking of evaluation with RBM and monitoring at the project level, and a focus on wider strategic questions of development impact and effectiveness at the level of central evaluation departments.

As identified in a number of DAC Peer Reviews and other recent reports, the scope of evaluation has expanded in recent years. There is also a stronger focus on assessing development results at the impact level and addressing larger strategic questions of development effectiveness. This is a departure from earlier work of development agency evaluation units, when the focus was on outputs and short term outcomes. Most evaluation units now focus on development effectiveness issues of broad concern, carrying out evaluations of thematic topics or assessing impacts at the sector or country level.

The role of evaluation departments (as described in this chapter) is now well defined in most development agencies. The unsettled issue of institutional position within the agency, highlighted in the 2004 report, has largely been resolved with new policies or guidance documents being issued. Remaining agencies will decide these questions in the coming months as a number of evaluation policies currently under development are finalised. While emerging aid modalities continue to drive changes in the learning and accountability needs evaluation is called on to address, evaluation units themselves have for the most part found their place in development co-operation agencies.

Links between decentralised evaluations at the project or country level and the main central evaluation unit at headquarters appear weak or ill-defined in many agencies. Several DAC Peer Reviews have identified the need to strengthen links between evaluation at the headquarters and in the field. Most central evaluation units reported that they do not have sufficient information on evaluations being carried out at the field level. Several member units have a mandate to support programme evaluations. This is the case, for example, in Norway, where evaluation staff can comment and provide feedback

on terms of reference drafted by country offices. However, resources in the central evaluation unit are often tight and a number of members report that they have limited capacity to play this support role.

DAC Peer Reviews from the early 2000s and the 2006 survey of network members identified a trend towards evaluation departments interacting with an ever more diverse variety of actors (parliament, other donors, civil society organisations, media, partner countries). This trend has continued and interactions with diverse stakeholders have deepened in many countries as participatory approaches and joint evaluation become more frequent, and concerns over country ownership and mutual accountability have grown.

What central evaluation units do

Most development agencies and multilateral development institutions have a single central evaluation unit, independently based or positioned or within the headquarters of the development agency, with a mandate covering development spending across a number of implementing partners. Examples include DFID's Evaluation Department or the Asian Development Bank's Independent Evaluation Department (IED). These offices serve an oversight function for decentralised (programme-level) evaluations or cover more strategic and thematic topics beyond the scope of individual programme evaluation units or country offices. Several bilateral donors have split the core evaluation function between different implementing agencies – for instance Korea has one main evaluation unit in the Korea International Co-operation Agency (KOICA) and another in the Economic Development Co-operation Fund (EDCF). The United States and Germany have similar set-ups, though Germany's evaluation department in BMZ has an umbrella function overseeing the main evaluation units in the implementing agencies.

The mandates of these central evaluation units have gained in scope. In contrast to previous studies, the current survey found that most central evaluation functions are now quite clearly defined. Earlier surveys and DAC Peer Reviews had identified some uncertainty around the role of evaluation and the division of labour between evaluation and programme units. The vast majority of central evaluation units are charged with evaluating at the strategic, sector or thematic level – assessing policies, aid instruments, and contributions to broader development effectiveness. In addition, most evaluation units work to backstop programme or project-level evaluations. For instance, one member stated that the evaluation department is “in charge of the overall programme of strategic evaluations and of networking and co-operation at the international level.” Evaluation in central units therefore tends to play more of an accountability role, while also contributing to overall organisational learning and strategy.

Some units, for instance, BMZ's evaluation unit, are charged with evaluating the effectiveness of the entire development assistance programme across several government departments. In the Netherlands, the evaluation department is charged with assessing not only official development assistance, but also the impacts of other policies of the Ministry of Foreign Affairs. Other evaluation units, in Sida for instance, have a narrower mandate to assess the contributions of a single agency or ministry within the wider development co-operation framework. All of the multilateral banks have independent evaluation departments with mandates to address issues of organisational effectiveness and impact.

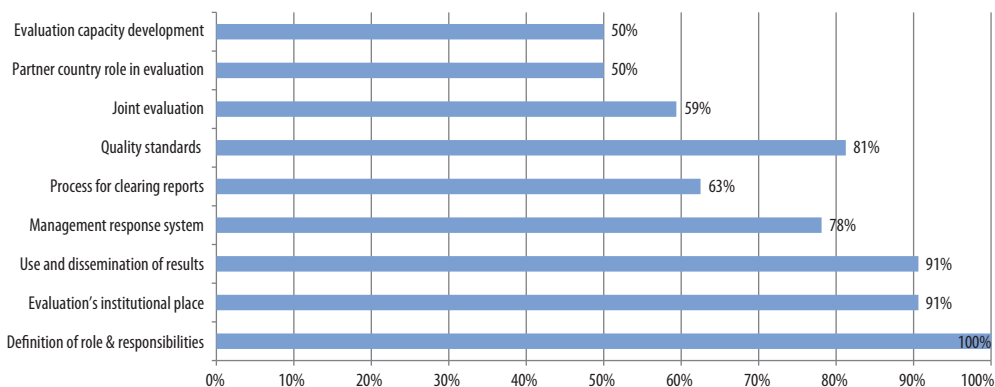
Evaluation policies

Further reflecting clarification on the roles of evaluation, all members' central evaluation units now have a public mandate of some sort defining their role and core operating

procedures. Seventy-percent of member agencies have a single policy document to guide the work of the central evaluation unit and define the place of evaluation within the agency, though the form and legal status of these policies varies. At the time of writing nine member agencies were in the midst of approving, revising or updating evaluation policies.

Figure 2.1 provides a summary of the contents of member evaluation policies. Evaluation policies broadly reflect current trends in development co-operation, including an emphasis on mutual accountability and the leading role partner countries should play. The aid effectiveness principles of harmonisation and alignment are increasingly present in evaluation policies, as seen in recently approved policies, in particular. For example, DFID’s 2009 evaluation policy “Building the Evidence to Reduce Poverty” and Sida’s 2005 “Looking Back, Moving Forward” both emphasise the need to support partner country evaluation capacities and the importance of a collaborative approach to evaluation. Half of member agencies’ evaluation policies now explicitly address the role of partner countries in evaluation, provide a mandate for joint evaluation and give evaluation units a role in supporting evaluation capacity development in partner countries. This shows a major departure from earlier evaluation manuals and policies, which were almost entirely focused on agency management and performance, as seen in the 1975 OECD DAC review of member experiences with aid evaluation.

Figure 2.1. Content of evaluation policies – percentage of members whose evaluation policy contains directions on:

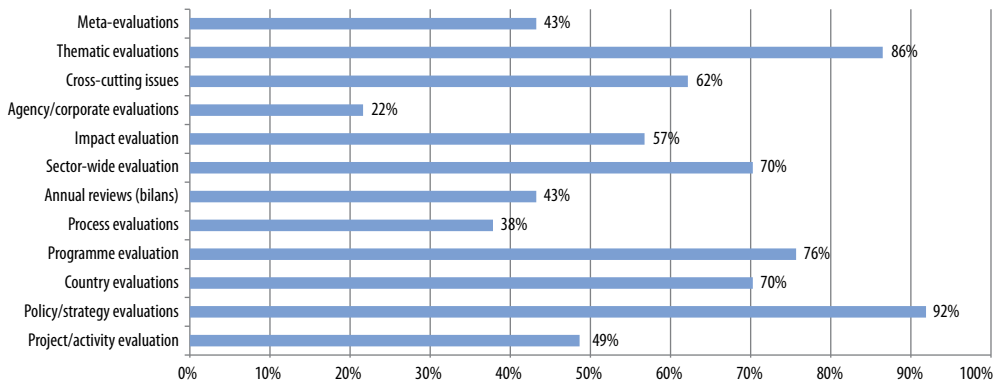


Types of evaluation

Figure 2.2 describes the types of evaluations carried out by central development evaluation units. The 2006 survey found that development agencies were moving away from *ex-post* project-level evaluations; this trend has continued. Single project-level evaluations have largely been decentralised and incorporated into performance or results-based management schemes in programme units, allowing central units to take a broader look at development and agency effectiveness. Still, nearly half of all members do individual project-level evaluations on a selective basis.

Several years ago, concerns had emerged that evaluation had become too “historic” – providing information only after projects had been completed, when it was too late to make adjustments that might improve outcomes. These concerns resulted in a shift – evident in the discussions at Evaluation Network meetings and in this review of member evaluation reports and policies – towards using evaluation before and during implementation. For

Figure 2.2. Types of evaluations – Percentage of responding evaluation units that conduct:



instance, the World Bank Group has placed a growing emphasis on “real time” evaluations, geared towards improving ongoing (as well as future) development programmes and policies. At the same time, the focus of evaluations carried out by central evaluation units has moved away from assessments of single projects towards more strategic thematic, sector-wide or country-level evaluations. This trend had been identified in a number of recent DAC Peer Reviews and is evident in the evaluation policies of several development agencies. See Chapter 3 for specific examples.

Various evaluation types are now considered and the most suitable evaluation focus selected based on the policy questions or accountability needs at hand. This is a positive development away from “automatic” evaluation at project completion, which may not always result in the most useful findings, as described in the 2009 DAC Peer Review of Switzerland. The new evaluation guidelines of Finland (2007) provide another good example of the shift in thinking towards a flexible approach to that adapts the type of evaluation to the setting and programmes at hand in order to maximize the usefulness of an evaluation.

Findings from the questionnaire also confirm the growing importance of impact evaluation, with 58% of members reporting that they undertake impact evaluations and a number of member comments stressing the need to build staff and consultant skills to do more rigorous evaluations of development results. Cross-cutting issues, such as gender and the environment, are now routinely mainstreamed across all evaluations in a number of agencies.

Financial resources of central evaluation units

Over the last year, several requests have been made by development agencies, policy makers, research groups and others for information on network members’ average evaluation budgets and, specifically, figures on spending on evaluation relative to development spending. The need for data on evaluation spending was also identified in a 2008 study on joint evaluations (SADEV, 2008), which found a general concern among members about resource constraints. While some information on evaluation budgets has been collected in the past, there are no up-to-date data available on this topic. Furthermore, given complex institutional set-ups and varied budget processes, a broader analysis of budget figures was needed in order to draw meaningful conclusions. Members also wanted to test the

perception that evaluation is under-funded relative to expanding aid budgets and the increased demand for information on results.

The member survey included several questions on financial resources for evaluation at headquarters or the central level (see Annex B for the full text of questionnaire). In most cases this is the budget of a single evaluation unit, independently based or positioned or within the headquarters of the development agency, with a mandate covering development spending across a number of implementing partners. However, there are a range of set-ups depending on the structure of the aid system.

These different institutional set-ups make comparing evaluation spending quite difficult. Not only do members have different ways of financing evaluation, but different reporting systems are used to describe budget allocations. For example, several central evaluation units have a budget for evaluation studies to cover consultant costs, travel and reports, while the overhead and salaries of the evaluation unit staff are covered by the ministry or agency budget (and therefore not included in the “evaluation budget”). Others have a single budget line for the evaluation unit and its staff. Still other departments have staff not tasked solely with evaluation but with other responsibilities related to aid effectiveness and performance management. This makes cross-agency comparison difficult, particularly in terms of comparing budgets for staff.

Notwithstanding these data challenges, some interesting findings emerge on overall resourcing of development evaluation.

Development agencies and multilateral banks spend an average of USD 5.1 million on evaluation per year.^{1,2} Spending figures are summarised for all network members in Table 2.1 and also illustrated in Figure 2.3 for the bilateral agencies (DAC members) and in Figure 2.4 for the multilateral institutions. Figures 2.3 and 2.4 also illustrate the average number of evaluations completed by each member per year (represented by the size of the data marker).

Not surprisingly, larger donors spend more in absolute terms. The largest member in terms of development spending, the World Bank Group, also spends the most on evaluation: the Independent Evaluation Group (IEG) has a budget of USD 31 million. Similarly, the five members with the lowest budgets for evaluation (Spain, New Zealand, Portugal, Austria, Italy and Ireland) evaluate relatively smaller development co-operation programmes. A possible exception is Spain, which has the lowest spending both in absolute terms and relative to overall development assistance levels.³

Resources expended must of course also be understood in the context of the number and type of evaluations produced by the evaluation units in question. Aggregate figures show that the average evaluation department produces about 24 reports per year.⁴ Data on the relative resources required to produce different types of evaluations were not available, though it is clear that both staff and financial resources are not evenly spread across all evaluations. More detailed analysis of cost per evaluation would be useful, especially in the context of joint evaluations.

There is wide variation between members, from the International Monetary Fund’s Independent Evaluation Office, which currently produces two evaluations per year to JICA which reported 150 evaluations and Germany’s three development evaluation units

The average development agency spends USD 5.1 million on evaluation.

Member evaluation units produce 2 to 150 evaluations per year, with a network-wide average of 24 evaluations per year.

Table 2.1. Summary of evaluation resources

Network overall	Average	Median	Maximum	Minimum
Spending on evaluation at the central level	USD 5.1 million	USD 3.8 million	USD 31 million	USD 458 000
Number of staff in central evaluation unit	19 staff	15	112	3
Number of evaluations produced per year ^a	24 evaluations	11	159	2
Evaluations completed per year per staff member	1 to 2 evaluations	1	10	0.2
Bilateral agencies^b				
Budget of main central evaluation unit(s)	USD 2.4 million	USD 1.7 million	USD 10.8 million	USD 458 000
Central unit budget compared to ODA	0.16%	0.10%	0.61%	0.02%
Multilateral banks^c				
Central evaluation unit budget	USD 9.7 million	USD 6.5 million	USD 31 million	USD 4.5 million
Evaluation unit budget as % of administrative budget	1.38%		2 %	0.5%

Notes: a. This figure includes 150 (decentralised) evaluations reported by JICA. Excluding JICA the average is 19 evaluations per year. See also Note 4 on page 48 for further explanation.

b. These averages are calculated using figures for each central evaluation unit, including multiple units for a single member country where applicable. See Chapter 3 profiles for specific figures for each member.

c. These figures include data from the main/independent evaluation units of the AfDB, ADB, EBRD, EC, IADB, IMF, UNDP, and the World Bank Group.

which together produce around 89 evaluations per year.^{5,6} The average number of evaluations completed varies by the mandate of the evaluation unit, and is generally (but not strictly) correlated to staff and resource levels. Evaluation departments with more staff and bigger budgets do not necessarily produce more evaluations per year. More detailed information on the scale of each evaluation, the definitions used in self-reporting and the extent of staff involvement in each evaluation would be needed to further understand this variation.

DAC member countries: Central development evaluation unit budgets

The average budget for a bilateral agency's central evaluation unit is USD 2.4 million (median USD 1.7 million) with a wide range from USD 10.8 million for Japan's JICA to USD 458 000 for Spain's main development evaluation department. While complete budget figures over time are not available, compared to the 2006 survey of member resources evaluation resources, most units have stagnated or increased only negligibly in recent years.

Evaluation budgets were compared to the overall development assistance (ODA) budget each evaluation unit is charged with evaluating. This helps provide a relative measure of spending on evaluation compared to the magnitude of the development programmes the unit evaluates. Figure 2.3 shows the overall evaluation unit budget and the budget

“The increase in the number of evaluations ... both at strategic and operational level, has not corresponded with the large increase [in] ODA nor the diversity of instruments deployed.” – Spain

relative to overall development spending for all available bilateral member agencies. The average ratio of the central unit evaluation budget is 0.16% of ODA (median 0.10%).⁷ Evaluation spending correlates quite closely with the overall size and resources of the agency or institution, such that there is little variation in terms of relative spending. Several smaller donors tend to spend relatively more, which seems to reflect that there is a “bare minimum” level of spending needed for even a small central evaluation unit. Spain currently spends the least, both absolutely and relative to overall development spending.

At present, a comparative analysis of resources remains limited given the differences across agencies and, in particular, the different mandates of evaluation units. Further research is needed. Spending on evaluation could also be compared to administrative costs in the agency, to gain a better understanding of the relative cost of this function within the aid management system. A discussion of how to measure the relative evaluation “need” of different agencies (and therefore compare it to resources available for evaluation) would also be useful.

Evaluation resources of multilateral development banks

Resources of the seven member multilateral development institutions are significantly higher on average than the bilateral agencies, and evaluation budgets are therefore understandably larger on the whole. It is therefore useful to look at this group separately. The average multilateral evaluation department has a budget of USD 9.7 million, with the World Bank Group’s Independent Evaluation Group budgeting USD 31 million and the African Development Bank with the smallest budget at USD 4.5 million.

To get a picture of relative spending for this group, the evaluation budget was compared to overall administrative budgets. This is the figure used for comparing budgets within the Evaluation Co-operation Group and is a more useful comparison given the institutional set up of these members. The average evaluation department disposes of 1.4% of the overall organisation’s administrative budget. The IMF spends the least on evaluation, relatively speaking, with 0.50% of its administrative budget devoted to evaluation. The Asian Development Bank spends the most, at 2.0% (see Figure 2.4).

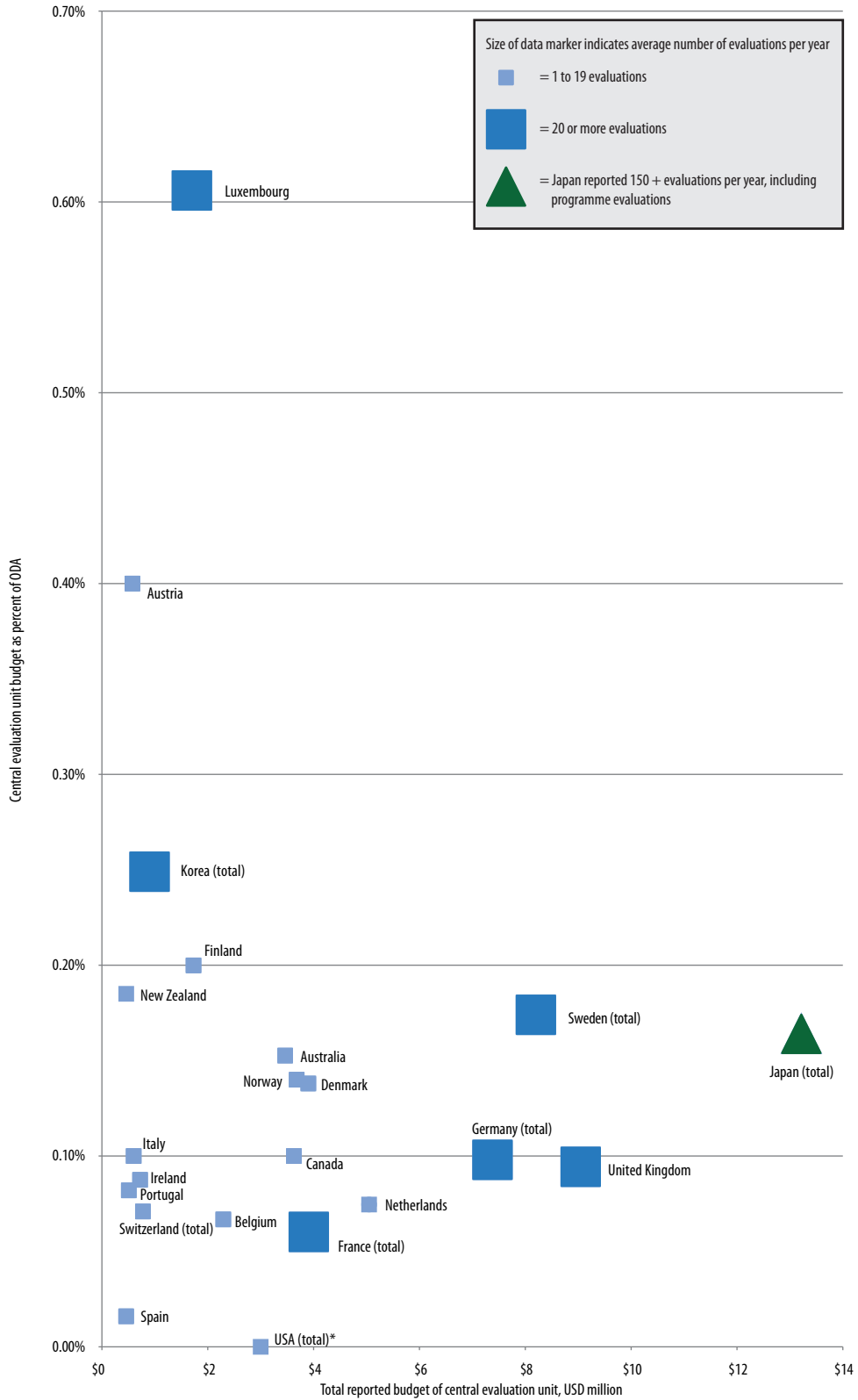
In future work it would be interesting to also compare the two groups of members in terms of overall development spending and central evaluation unit resources.

DAC member countries: overall spending on evaluation

Only ten respondents provided sufficient data on overall evaluation spending beyond the central evaluation unit. This dearth of budget data demonstrates the overall lack of information in central units about evaluation work taking place elsewhere in the development agency.

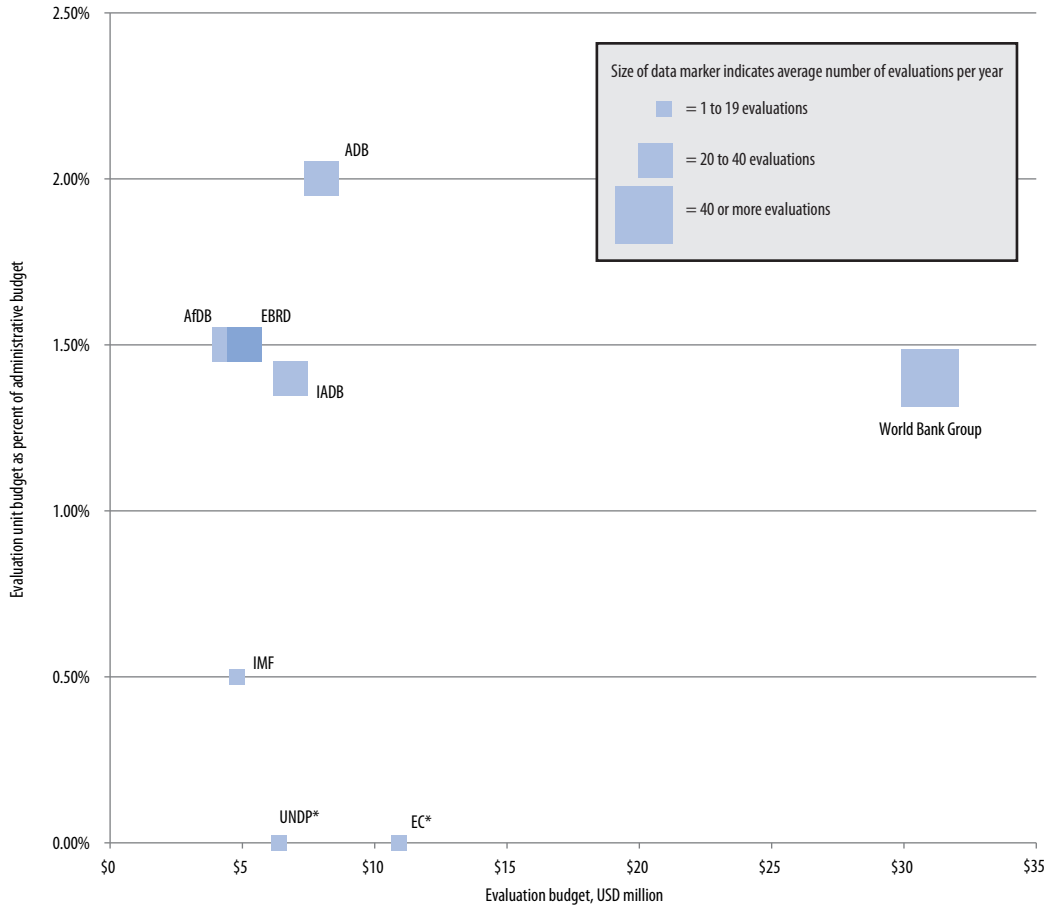
Annex A contains a table of overall spending for those countries that provided data. Estimates ranged from USD 1 million to USD 14.8 million with an average of USD 4.8 million reported for overall spending on evaluation (median USD 3.6 million). Of these, the average member agency spends the equivalent of 0.47% of their development aid budget on evaluation. Again, there is a wide range in this measure – in part reflecting the relative size of members. Austria spends the equivalent of 1.1% of their ODA budget on evaluation, while the much larger French Development Agency (Afd) spends about 0.052%. With the available data it cannot be said conclusively whether this variation represents actual differences in resourcing or, rather, differences in reporting.

Figure 2.3. Bilateral donors: Relative spending on evaluation



* For USA: relevant ODA percentage figure not available; only total evaluation budget shown.

Figure 2.4. Multilateral development institutions' relative spending on evaluation



* Administrative budget figures not available for EC and UNDP, only evaluation budget shown.

Adequacy of resources

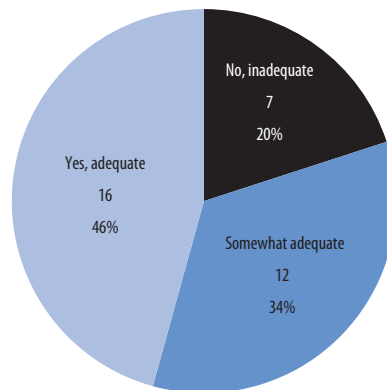
Members' own perceptions of evaluation resources are mixed, as illustrated in Figure 2.5, with slightly less than half stating that resources are adequate for meeting learning and accountability needs, 20% saying resources are not adequate and 34% reporting the evaluation budget is somewhat adequate. In their comments, a number of members added caveats, indicating that, while their evaluation units do not suffer from a lack of resources on a day-to-day basis (in terms of completing annual work programmes for example), resources are still a constraint to meeting larger organisational objectives. Several units stated they would "do more if they had more", particularly in terms of rigorous impact evaluation and joint work. While about half of members said the unit has adequate resources, a resource gap may exist in terms of achieving wider goals of learning and accountability.

Further investigation of the demand for and added value of more evaluation and the division of labour across agencies in the context of joint work is needed to fully answer the question of whether or not current resource levels are

"The budgets for evaluations are modest ... insufficient for conducting rigorous outcome or impact evaluations." – Switzerland SDC

adequate. However, it appears that the overarching trend is towards an increasing evaluation workload that has not been matched with a corresponding increase in resources for central evaluation units. Resource pressure is felt most where there is a strong push for more rigorous impact studies or a co-ordination burden linked with doing more joint work (particularly for very small units), where units have expanding mandates or increased responsibilities (for example, on capacity development or quality assurance of decentralised evaluations). More nuanced understanding of the resource distribution across evaluations is needed. As responsibility for individual project evaluations is shifted out of central units and the number of joint evaluations increases, members may be expected to complete fewer evaluations per year. However, funding needs do not necessarily decrease, and may in fact be increasing, as these tend to be more resource-intensive types of evaluation.

Figure 2.5. **Adequacy of evaluation department budgets**
Is the current evaluation budget adequate?



Funding of decentralised evaluation

Most decentralised evaluations are funded from within the project and programme units managing them. Well over half of network member agencies were not able to provide any details on spending outside their own units, while most of the rest could provide only rough estimates on overall spending on evaluation. Various estimates of spending on decentralised evaluation were provided, of varying precision. For example, “it is estimated that the agency devotes 0.6 to 0.8% of its budget to evaluations and reviews,” or “unknown (tens of millions)”.

A number of agencies replied that they are currently working on gathering this information. One member stated: “Although ... we are working on it, due to the complexity of our decentralised co-operation, we do not [have] detailed information on the cost of all evaluations of all the actors in the system.” Others made similar comments.

Several respondents that did not provide a figure for overall spending stated that the vast majority of spending on evaluation is through decentralised evaluations and dwarfs their own units’ budget. Estimates based on overall spending figures provided (see Annex A and Table 2.1) show that spending at the central level represents half of overall spending on evaluation on average.

Determining evaluation budgets

In the analysis of evaluation management it is instructive to look at budget allocation processes because of potential implications for independence. About half of all members are allocated resources based on a work plan with cost estimates. Two members have a set evaluation budget based on a percentage of development co-operation spending. The remaining members' evaluation unit budgets are determined as part of the overall agency or organisation budget and included in one lump allocation to the agency from the government or the board (for multilateral banks). Only a handful of members do not have a dedicated evaluation budget – the trend is clearly towards budgeting to meet output objectives of the units.

Human resources for evaluation

The analysis of evaluation funding is complemented by a look at the human resources available for central evaluation units. In most agencies, evaluation department staffs manage evaluation processes and provide methodological support and quality control for external consultants who are hired to conduct the evaluations. The individual member profiles in Chapter 3 provide further details on the role of staff in each agency. Exceptions include the central evaluation units of IMF, the World Bank Group, Spain, Japan, Portugal, the Netherlands and SADEV, all of which have evaluation staff that conduct at least some independent evaluations themselves.

“The budget is adequate but additional human resources [are] needed.”
– Switzerland SECO

DAC Peer Reviews have often pointed to human resource challenges, especially in some of the smaller development agencies. The 2009 survey has confirmed that there are serious concerns among members regarding both the number of staff in evaluation units and their technical skills in evaluation. An in-depth look at the constitution of evaluation unit staff and their roles is needed, but the preliminary evidence clearly shows a gap between what evaluation managers are asked to produce and what the human resources at their disposal can do to meet these demands. Restraints in human resources are particularly evident in the area of rigorous impact evaluation and participation in joint work.

The human resources available to member evaluation units have increased substantially across the board, with few exceptions. Data collected in 2006 show an average of 13.8 full-time staff (including evaluation professionals and administrative support staff). In 2009 the network average increased slightly to 15 full-time staff. In 2009, the average member evaluation unit had three more full-time staff working for it than they had in 2006.⁸

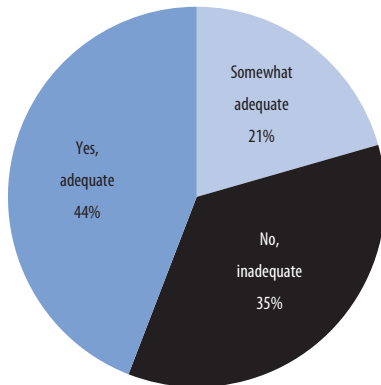
There were significant increases in staff levels in nearly half of member agencies with an average increase of 40% over 2006 staffing levels. The Japanese International Co-operation Agency (JICA) has twice as many staff working in evaluation in 2009 compared to 2006. AusAID nearly doubled its staff (from seven in 2006 to 14 in 2009) as did the Canada International Development Agency (CIDA), Italy, the European Commission, the ADB and the African Development Bank. The reasons behind individual agency changes are difficult to determine. However, a number of DAC Peer Reviews had pointed to capacity gaps results based management and evaluation and had recommended increasing human resources. Very small decreases were reported by a few countries' agencies: Spain, Portugal, and the Netherlands.

Despite boosts to staff numbers, over half of member agencies perceive human resources as insufficient for meeting the evaluation needs of their agency or bank (see

Figure 2.6). Comments from members confirm that staff limitations affect, in particular, the capacity of the unit to undertake joint work, which generally requires a greater investment of staff time to co-ordinate, plan and manage collaborations. Staff time is further sapped by overseeing consultants of poor/variable quality (see section “Use of external consultants”).

Figure 2.6. Evaluation unit staff levels

Is the number of staff in the central evaluation unit adequate?



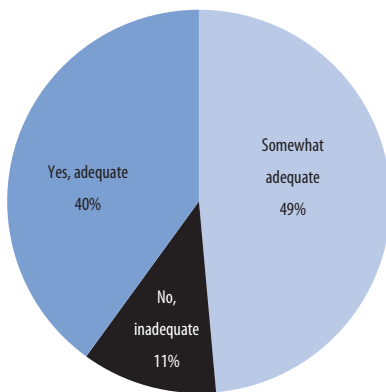
“The staff is just too small to engage in all the important networks that would facilitate joint evaluations ... and also too small to become actively involved in more than one or two joint evaluations a year.”
– Irish Aid

All staff need sufficient technical skill and knowledge of evaluation – particularly during the design phase, Terms of Reference drafting, and quality assurance – even if they are not themselves conducting the evaluation. As evaluation departments come under increasing pressure to address issues of development impact, advanced technical skills are in even higher demand. Survey responses indicate a widespread perception that skills are not entirely sufficient, particularly for rigorous evaluation approaches and impact evaluation. Finding the right mix of skills in evaluation units is challenging for a number of agencies, reflected particularly in the perception in 60% of units that technical skills are lacking; 49% reported that technical evaluation skills of staff are somewhat adequate, 11% reported that they are inadequate and only 40% reported that skills are adequate (see Figure 2.7).

The questionnaire also looked at the capacity of evaluation units to manage evaluation. Eighty-two percent of respondents rated management capacity as adequate, 15% said management capacity was somewhat adequate and only one responded that management skills in their departments were lacking. However, good management of evaluations would seem to depend, at least in part, on manager’s own technical evaluation skills – identified as an area of weakness, as illustrated in Figure 2.7.

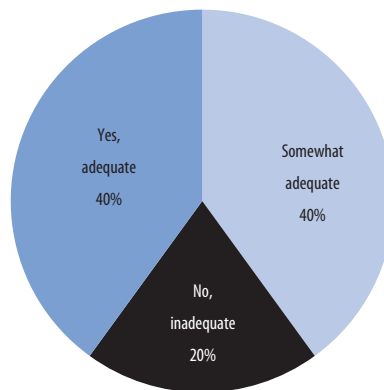
Cross-cutting issues, such as gender and environment, were once new concepts but are now widely incorporated into development agency policies and programming, and, by extension have become increasingly integrated into development evaluation work. In a majority of member agencies, one or more cross-cutting issues are systematically addressed in all development evaluations or form the subject of thematic studies. Most evaluation departments are mandated to address cross-cutting issues in some way (see Figure 2.2) either in conducting thematic evaluations on specific cross-cutting topics like climate change, or by mainstreaming cross-cutting issues such as gender into all evaluations.

Figure 2.7. Evaluation skills
Are technical evaluation skills adequate?



“We need different types of experience and ability: sectoral technical skills (health, water, etc.), in-house experience (in-depth knowledge of culture and procedures of the Institution), research skills (for impact evaluation in particular) and evaluation skills.”
– AfD France

Figure 2.8. Skills on cross-cutting issues
Are knowledge and skills for evaluating cross-cutting themes adequate?



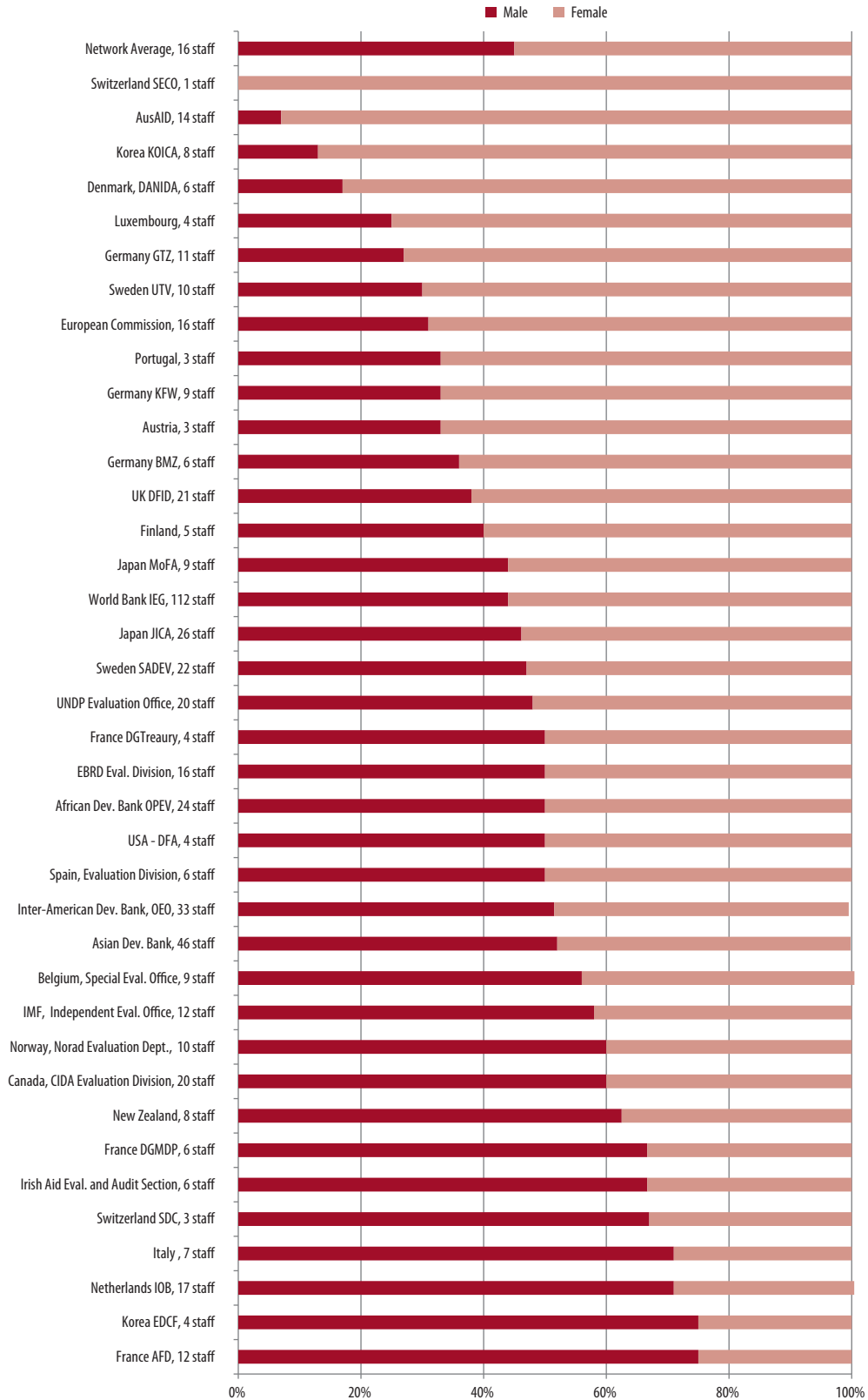
Still, only 41% of members said that staff skills for evaluating cross-cutting themes are adequate, as illustrated in Figure 2.8. Many units draw additional resources from outside the evaluation department to help address this gap, or as needed for specialised input.

Gender balance in central evaluation units

The evaluation staff of most member agencies is quite balanced in terms of gender, with the network average of 45% male and 55% female for all staff. Figure 2.9 shows the total number of staff in each evaluation unit with a breakdown of gender balance by member agency. This is a positive development, reflecting a decisive shift towards gender equality and away from the early, male-dominated days of evaluation.

However, data disaggregated by staff category (assistants/support staff, professional evaluators, and unit directors/management) reveal that men still dominate management positions in the majority of member agencies/organisations (see Figure 2.10.1). On the whole, women are overly represented in support staff positions and underrepresented in management posts. Network wide, 68% of evaluation department directors/managers are male and 32% are female (Figure 2.10.1). The lack of gender balance is particularly striking in the multilateral banks, with only six female managers, 12% of evaluation unit heads/managers, out of 27 managers (see Figure 2.10.3) as opposed to 40% female managers in bilateral agencies (Figure 2.10.2).

Figure 2.9. Gender balance of all staff in central evaluation units



Please note: In Figure 2.9 the total number of staff is listed next to member name. Proportion represents gender balance of all staff in all categories.

Figure 2.10. Gender balance in central evaluation units

Figure 2.10.1. Gender balance of managements in evaluation units of all DAC Network on Development Evaluation members

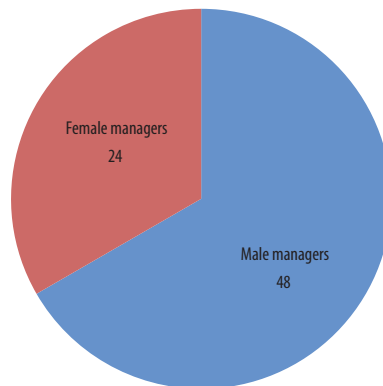


Figure 2.10.2. Bilaterals: Gender balance of evaluation management

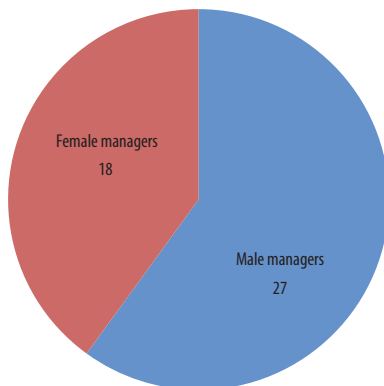
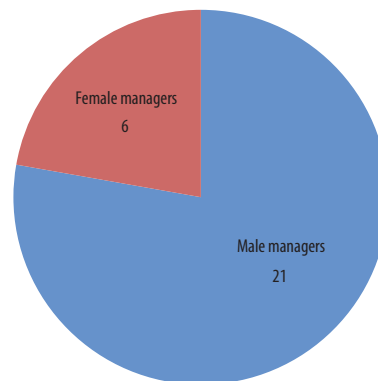


Figure 2.10.3. Multilaterals: Gender balance of evaluation management

**Use of external consultants**

Most evaluation units rely on consultants to conduct evaluations. Several members use a hybrid model where evaluation staff and consultants work together to develop Terms of Reference and share responsibility for the final report, but, in the majority of units, the consultants have final responsibility for the report and work independently following the agreed Terms of Reference. The role of evaluation consultants in the work of central evaluation units contributes to the independence of this function. Some decentralised evaluations also draw on external consultants to carry out evaluations. Member responses show a close correlation between independence of the evaluation function and the role of external consultants.

“Consultants specialised in evaluation are rather rare but often the weaknesses of the work done is also due to the excess of complexity in evaluation scope and excess of expectations on evaluative questions.”
– AfD, France

Past member feedback had indicated that skill sets of consultants was an area of concern, and, given their importance in most agencies, the issue needed further investigated.

The opinion poll of members found a clear problem with the quality of evaluation consultants, highlighted by the fact that only one member rated consultant quality as excellent

50% of respondents rated consultant quality as poor or variable, while 44% were satisfied with overall quality and 6% rated quality as excellent.

and 50% reported variable (47%) or poor quality (3%). The other half reported they are satisfied with the quality of evaluation consultants, though many of these respondents qualified their response with specific comments. Where consultants were considered to be of generally acceptable quality, some respondents pointed

to difficulties in finding qualified consultants for specific aid modalities such as general budget support, some sectors and technical areas, or with certain language skills. Recent assessments of evaluation report quality carried out by a number of individual agencies (including the Department for International Development (DFID), Sweden's Sida and Finland) reflect a similar range of quality, supporting this finding. Some reports are found to be quite good while others require extensive revision to reach acceptable minimum standards.

This evidence shows that consultant skills and the balance and mix of staff and consultant skills, are areas of serious concern, with potentially important implications on the overall credibility and usefulness of evaluations. The variable quality of consultants also has clear resource implications, particularly in

terms of staff time. Several members commented that poor quality consultants required a much greater investment of staff time to ensure an evaluation of acceptable quality.

“[Consultants are of] usually good quality ... However, in areas such as budget support evaluations, programme evaluations, some areas of sectoral expertise, and when specific language skills (e.g. Spanish, Portuguese) are required, the expertise may be limited.”

– Canada

Independence

Overall, comparisons with past member studies indicate that significant progress has been made towards creating credible, independent evaluation processes. Independence of the evaluation function from programme management and beneficiaries is one of the core principles of quality evaluation. Independence helps ensure the credibility and objectiveness of evaluation and is part of what sets evaluation apart from performance management and monitoring. The *Glossary of Key Terms in Evaluation and Results Based Management* (OECD DAC, 2002) specifies that an evaluation is independent when it is “carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention”. Independent evaluation implies “freedom from political influence and organisational pressure”, “full access to information” and “full autonomy in carrying out investigations and reporting findings.”

Independence encompasses several interrelated aspects: organisational independence, behavioural independence of evaluators and evaluation managers, protection from external influence and avoidance of conflicts of interest (World Bank Group, 2004). Independence must balance with the engagement of stakeholders and relationship building to ensure the take up of and respect for evaluation findings.

The questionnaire aimed to capture some of the various dimensions of independence by looking at the institutional reporting lines of each evaluation unit, the setting

of the evaluation programme, and the policies and procedures established to guarantee non-interference.

Overall, independence seems to have increased over the past five years. In large part, greater independence has been achieved through improved clarity regarding institutional positions and reporting lines and a better division of labour for decentralised evaluations (with operational units taking primary responsibility for internal or self-evaluations at the project level). For many agencies it is the independence of the central evaluation unit that in fact sets its work apart from other evaluations, for example those carried out by programme divisions. For instance, Sweden created SADEV as a separate evaluation entity with a wide mandate to reinforce its independence (see Sweden profile in Chapter 3). Evaluation manuals, policy and rules on staffing for the evaluation unit are used to avoid conflicts of interest. All but a few member agencies use external, competitively recruited consultants as a primary means of creating independence. Or they rely on in-house staff with no connections to the operational activities in question.

Reference or steering groups charged with quality assurance for the process are also used quite frequently, sometimes incorporating external experts with agency staff to balance ownership of involved stakeholders with independent outsiders. DFID's Independent Advisory Committee on Development Impact is one of the strongest examples of separate entity overseeing evaluation and development effectiveness (see the United Kingdom profile in Chapter 3). Only about half of respondents provided details on the mechanisms in place to ensure independence, and one reported that in the current set-up independence could not be guaranteed. Most of the multilaterals have more elaborate checks in place for the head of evaluation, including term limits and a clause of no re-entry into the organisation from evaluation management.

Most members have also created a substantial degree of independence in the reporting system (as described below) to protect against the blocking of reports by mandating the evaluation unit to have full responsibility and publication rights to final reports without interference from management. Ethical codes of conduct further protect the evaluation process from interference. As demonstrated in the member profiles, the institutional position of most members' central evaluation units (either as an entirely separate entity or sitting in an audit/review or development effectiveness cluster) helps insulate evaluation from operational departments. Less progress has been made in ensuring independence in the selection of evaluation objects and the setting of the evaluation budget.

Reporting and institutional set-up

Lines of authority have been established in all agencies to protect the independence of the evaluation function and prevent the blocking of unfavourable reports or the changing of reports by non-evaluation staff or management. Sixty-one percent of members reported that the process of clearing reports is covered by their evaluation policy. Compared to past studies of member systems, the 2009 data show a clear trend towards independence from programme management in terms of reporting lines and the clearing of evaluation reports. The trend towards greater independence is potentially linked to the rising concern over the use of evaluation results. Having established a certain level of credibility and objectivity, evaluation units seek to maintain relevance and strengthen links to staff and management that can help ensure their work is used in programme planning and management, in addition to serving as a source for strengthened accountability.

Central evaluation units tend to report to a high level, with two-thirds of members reporting to the head of the development agency or the ministry (political) level. All of the multilateral banks report to the executive board, either directly (as in the case for the IMF, IADB, EBRD and the AfDB) or through a sub-committee on evaluation or development effectiveness (as for the World Bank Group and the Asian Development Bank). Following a policy change in 2009, one bilateral donor, the Agence Française de Développement (AfD), reports to the executive board of the agency via an external evaluation committee made up of four persons from within the ministry and four external experts. Two members, the Special Evaluation Office of Belgium and the Netherlands' IOB, report directly to parliament – though their findings pass through the Minister, no changes can be made to the report before submission to policy makers. Several other evaluation units contribute to annual reports to Parliament on development results, including AusAID's Office of Development Effectiveness.

Table 2.2 provides an overview of the reporting procedure for each member.⁹ Though not an exact categorisation, the chart attempts to group members into loose categories based on reporting level. Further analysis of this table would be useful if paired with an investigation of the different mandates and the relative strength of evaluation units.

Table 2.2. Evaluation reporting lines
To whom does the unit (or the head of evaluation) report?

Director of management, strategy or performance division	Executive board	Head or Director-General of the Development Agency	Minister of Foreign Affairs (or equivalent)	Parliament via Ministry
Germany GTZ: Managing directors	AFDB OPEV: Board	Austria: Director-General of Development Co-operation and managing director for ADA	Denmark: Minister through the State Secretary for Development Policy	Belgium: Belgian Parliament via Minister of Development Co-operation.
Germany BMZ: State Secretary through the Director-General of central management	ASDB: Board via the Development Effectiveness Committee	Australia: Director-General of AusAID	European Commission: Commissioners (political level)	Netherlands: Parliament via Minister of Foreign Affairs or Minister of Development Co-operation
New Zealand: Director of the Strategy, Advisory and Evaluation Group	EBRD EvD: Board of Directors	Canada: President of CIDA	Finland: Under-Secretary of State for Development Policy and Co-operation	
Spain: Directorate-General for Development Policy Planning and Evaluation	IADB OEO: Board of Executive Directors	Ireland: Director-General of Irish Aid	France DG Treasury: Assistant Secretary of International Affairs and Development within the Treasury and Economic Policy General Directorate	
U.K.: Director-General, Finance and Corporate Performance division of DFID	IMF IEO: executive board of the Fund	Italy: Director-General for Development Co-operation	Norway: Secretary General of the Ministry for Foreign Affairs	
U.S.A. USAID: Director of Management Policy, Budget and Performance	World Bank Group IEG: Board of Executive Directors through the Committee on Development Effectiveness (CODE)	France DGMDP: Director-General of the Directorate via Evaluation Committee	Sweden SADEV and UTV: Minister of Foreign Affairs	
Switzerland SECO: External evaluations reported to Head of Operations	UNDP: Intergovernmental governing body/ Executive board	Japan MoFA: Director-General of the International Co-operation Bureau	U.S.A. DFA: Director of U.S. Foreign Assistance	
	France AFD: Board via external committee	Portugal IPAD: Director of IPAD	Korea EDCF: Minister of Strategy and Finance (after approval by Evaluation Committee)	
	Germany KFW: Board of Managing Directors	Switzerland SDC: Director of SDC and Head of the Staff of the Directorate		
		Switzerland SECO: Independent evaluations reported to external committee reporting to the SECO director		
		Korea KOICA: President of KOICA, through a vice-President.		

Please note: Table 2.2 is for illustrative purposes only. Given the complexity of different reporting systems it is difficult to classify some agencies; for full information on individual agencies please see the profiles in Chapter 3. (Source: Based on author's analysis of questionnaire responses)

In terms of institutional set-up, drawing general conclusions across network members is particularly difficult due to the heterogeneity of institutions and management structures. The institutional set-up of each evaluation function is outlined in a diagram contained in each member profile in Chapter 3 – providing an overview of the variety of ways evaluation systems can be set-up. Most central evaluation units sit alone, or within an oversight, strategy or quality control division of the development organisation. Occasionally, these divisions are also charged with supporting aid effectiveness or managing for results. Several evaluation units link directly to a management group that oversees programming and policy decisions. AfD is unique in that its evaluation function is housed with research, providing close links to broader learning agendas.

Dissemination of evaluation findings

Though detailed information on the use of evaluation conclusions and recommendations was not collected, comments made by a number of respondents show that the use of evaluations is emerging as a priority concern. As a first step to understanding how evaluation findings are used, the study examined how evaluation departments distribute evaluations upon completion. DAC Peer Reviews of many countries, numerous discussions during DAC Evaluation Network meetings and other studies of evaluation functions, including the report on DFID evaluations commissioned by the Independent Advisory Committee on Development Impact (IACDI), demonstrate that a lack of attention to and use of evaluation findings is perhaps the primary area of weakness within the evaluation process today.

To a large extent, the dissemination of evaluation outputs reflects the overall purpose and differing types of evaluation. About two-thirds of member evaluation policies defined agency learning as the top, or one of the top, goals for evaluation departments. As a result, staff and management at donor headquarters and in the field are the stakeholder group best covered in the distribution of evaluation findings (through dissemination of reports, workshops, sending of summaries and other means). Those units that do considerable amounts of joint work with partner countries are more likely to systematically distribute evaluation findings to stakeholders in partner countries. While over half of member units send evaluation findings to civil society in donor countries, only seven include civil society groups in partner countries in their follow-up efforts. Similarly, 55% reported sending evaluation findings to their own Parliament (as mandated by law in some cases) while only five distribute reports to legislative bodies in partner countries. Thirteen members (34%) distribute evaluation findings to the intended beneficiaries of their agency/bank's development activities in partner countries.

“A modest self-assessment in 2006 found that evaluation studies are widely known within the Ministry and in the embassies, but there is no evidence that they have an impact on policy debates and decisions. There is some ad hoc use of evaluation lessons but this is not systematic.”
– Finland

Management response and follow-up

A system for management to formally respond to evaluations has emerged as a potentially useful way to ensure that evaluation findings are incorporated into programme management and policy development. Twenty members reported that the agency has in place a mechanism to ensure management responses to and follow-up action on evaluation findings. Four responded that there was no such mechanism in place. Such mechanisms most often consist of a written, formal response from the department or programme concerned and agreement on follow-up action on the recommendations made by evaluators. The degree of sophistication varies substantially and this seems to be an area of concern among a number of agencies.

Norway provides a good example of one of the more developed management response systems (see Norway profile in Chapter 3 for details). Within six weeks of an evaluation report being completed, an official response from the Secretary General of the Ministry of Foreign Affairs is submitted to the relevant programme area, the Norad Director-General and the Evaluation Department. One year later, the programme area concerned submits a report to the Secretary General describing actions taken in response to the evaluation. Evaluation staff strives to ensure programme staff buy-in, while protecting the independence of the consultants.

The Asian Development Bank and several other members systematically publish management responses along with evaluation reports on their websites. This is an important way of ensuring transparency and encouraging use of evaluation findings.

Comments received in the questionnaire, and confirmed by other studies of member agencies, indicate that management response practices are more developed than follow-up action monitoring or reporting. Some evaluation units are charged with tracking implementation of actions responding to evaluation recommendations, but at least half of member agencies do not have a system for ensuring that action is taken. Even among those that have such a system in place many do not think it works particularly well: 17% of respondents said the system does not work well, while 71% said it worked satisfactorily (see Figure 2.11). Eleven member agencies, less than half, reported that management responses are made public, while 14 do make management responses public (see Figure 2.12). Comments indicate that follow-up actions are made public less frequently than management responses.

Figure 2.11. Evaluation response and follow-up action systems
In your opinion, how well does the management response and follow-up action system work?

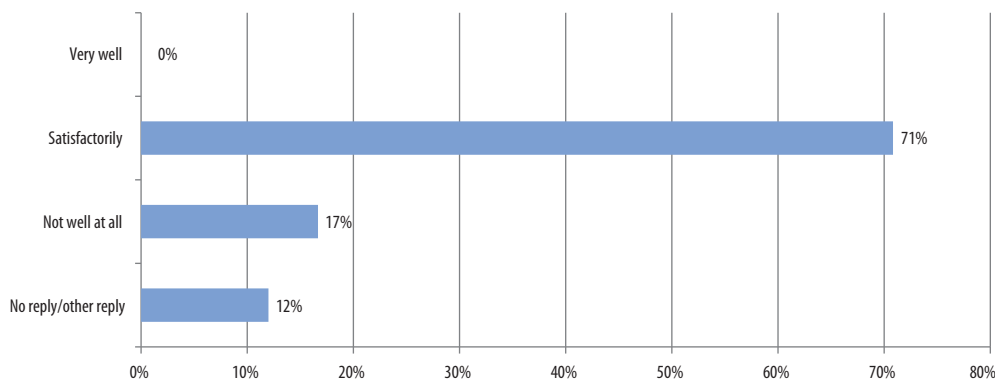
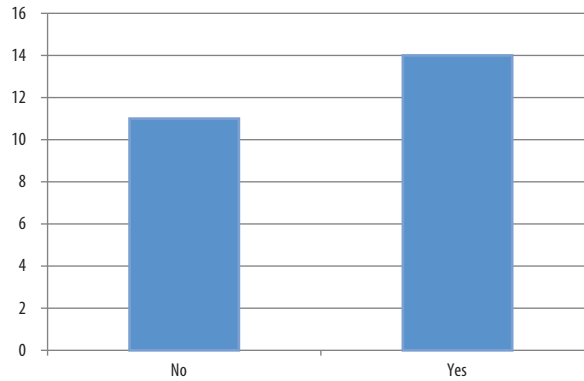


Figure 2.12. Publication of management responses to evaluations
Are management responses and follow-up actions made public?



Co-ordinating and sharing evaluation plans

As a step towards further systematising sharing of evaluation ideas and increasing collaboration in development evaluation, an online evaluation plan-sharing initiative was launched in 2008. The Secretariat collects evaluation plans and makes these available to all members on a website. The goal is that evaluation units will take into account the evaluation work of others and, in consequence, inform their own plans, and adjust when feasible to reduce overlap or maximise opportunities for collaboration. Eventually this platform should contribute to more joint work, increasingly transparent planning approaches and a more rational distribution of labour in the field of evaluation.

Twenty-nine evaluation units currently have their plans on the evaluation inventory.¹⁰ All responding members stated that they share or plan to start sharing their evaluation plans with the Secretariat. A large majority (28 out of 37 respondents) said they consult other's evaluation plans to look for possible areas of collaboration when setting the evaluation programme or planning an evaluation (see Figure 2.13 for responses). Several specific groups were cited as stimulating these consultations: the Nordic Plus donor group, the Evaluation Cooperation Group (ECG) for multilateral agencies and most frequently the DAC Evaluation Network. Several members indicated that there is a specific small group of "like-minded" donors or donors with shared languages or working with the same partner countries whom they contact or collaborate with on a regular basis. It is clear that the majority of co-ordination takes place among these small subgroups.

Those units that did not consult the evaluation programmes or plans of other evaluation departments for possibilities to collaborate gave several reasons for this. Many commented that the primary goal of evaluation is to respond to the needs identified within their own agency, others that they lacked staff time to do so. Three members stated that finding useful partnerships was too difficult due to their specific type of aid modalities (for example, loans or private sector support), work in a limited number of countries or language barriers.

It is not yet clear from available data what impact the sharing of plans has had. However, comments from several members indicate that even though others' plans are consulted this does not always result in concrete joint evaluation work being identified or undertaken.

Nearly all responding members (36) refer regularly to evaluation reports completed by other donors, as shown in Figure 2.14. Referring to others' evaluations of similar

development interventions is viewed as a potential first step towards reducing redundancy in evaluation and increasing lesson learning. However, comments in response to this question and descriptions of the evaluation planning process indicate that evaluations are generally consulted as a point of reference or background research for further work, and are not (yet) used instead of undertaking new evaluations. It is hoped that a general improvement in evaluation quality and standardisation through measures such as the agreed DAC Quality Standards for Development Evaluation will eventually make it easier to learn from others' work rather than repeating all or part of it. Evaluations undertaken primarily with an accountability focus for an individual agency tend to have agency-specific lessons that are harder to "borrow" or generalise, limiting the scope for joint work.

Despite progress in sharing evaluation plans and a high level of collaboration among members, it remains to be seen whether member agency practice has actually become more joint in terms of setting evaluation plans. Responses to the member questionnaire regarding the planning process demonstrate that the majority of evaluation topics are selected based on agency or domestic priorities identified through primarily internal planning processes. Planning processes focus on building ownership input from agency staff and management. Consultation of other donors' plans tends to be informal and on an *ad hoc* basis. Contact with other agencies is undertaken when actively looking for specific opportunities to carry out joint evaluation (for example, when the agency already has a topic in mind), with the majority of the planning and topic selection process turning on the priorities identified within the development agency. Progress on conducting joint evaluations is covered in the following section.

Figure 2.13. Sharing evaluation plans

Does the unit consult other donor evaluation plans to look for possible areas of collaboration?

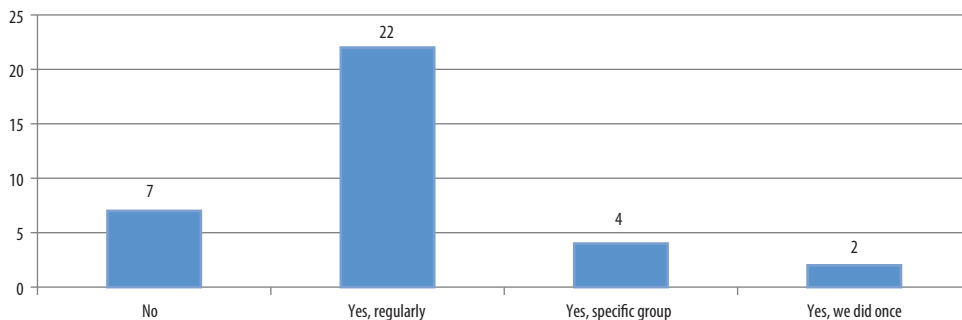
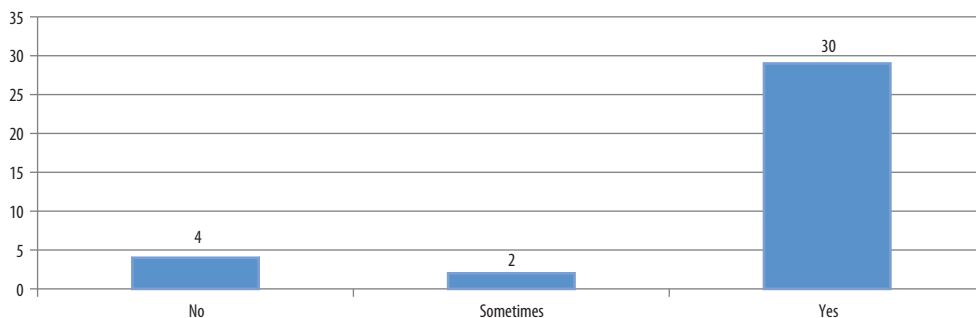


Figure 2.14. Consulting relevant evaluation reports

Does the unit regularly consult relevant evaluation reports by others before planning a new evaluation?



Joint evaluation

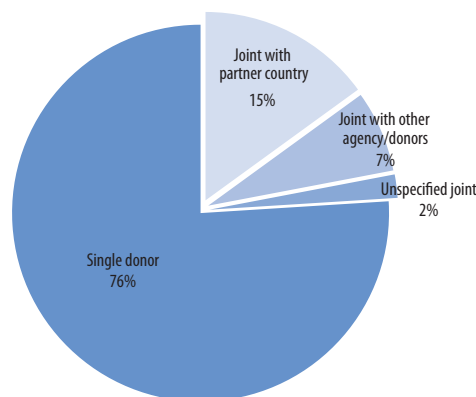
Wide variation exists between network members on joint evaluation, with some conducting nearly all of their evaluations jointly and others not currently engaged in joint work at all. Overall, single donor evaluations represent 76% of the 696 evaluations carried out by member departments on average per year, while joint work makes up 24% (or 159 evaluations per year). An analysis of the average proportion of joint work per member also finds about 96 joint evaluations involving partner countries are completed per year, representing approximately 15% of evaluations. Joint work with other donors/agencies represents around 7% or 49 evaluations (see Figure 2.15). If Japan's JICA (reporting a very large number of reports and an above average proportion of joint work) is excluded the figures shift slightly to: 73% single donor, 9% with other agencies, 4% with partners and 3% unspecified joint.

Some members did not make the distinction between types of joint evaluations (with other agencies or with partner countries) when reporting and these evaluations were included under “unspecified joint”. There also may be some overlap in these two categories as joint evaluations often involve both multiple agencies/donors and partner countries; a separate category was not included for this “joint-joint” type of evaluation though it would be useful to make this distinction in future studies. The definition of “joint evaluation” used for self-reporting varied, with certain members using a quite broad definition and others restricting their reporting to “fully joint” processes with shared ownership. Other data sources were not available to triangulate these self-reported figures, though input from members indicates that there may be some over-reporting of joint evaluation.

While comparable data do not exist for earlier periods, this certainly represents a substantial increase from ten or fifteen years ago when the concept of joint evaluation was just emerging, judging by the number of joint evaluations discussed at earlier meetings of the network or published on member websites and DEREc. Figure 2.17 gives an overview of the proportion of joint work for each individual member.

As illustrated in Figures 2.16.1 and 2.16.2, there is large variation between bilateral donors and the group of multilateral banks. Multilateral institutions conduct just 9% of all evaluations jointly (Figure 2.16.2), compared to 29% for bilateral donors (Figure 2.16.1). This disparity is explained in part by the large number of joint evaluations reported by Japan JICA, which skews the average for joint evaluations upwards for the group of bilateral donors.

Figure 2.15. Evaluations completed by all members of the DAC Network on Development Evaluation (average percentage of joint and single donor evaluations per year)



Please note: For Figure 2.15, a total of 696 evaluations were reported. Data not available for Italy and US DFA.

Figure 2.16. Joint evaluation: Comparison of bilateral donors and multilateral banks

Figure 2.16.1. Evaluations by bilateral members

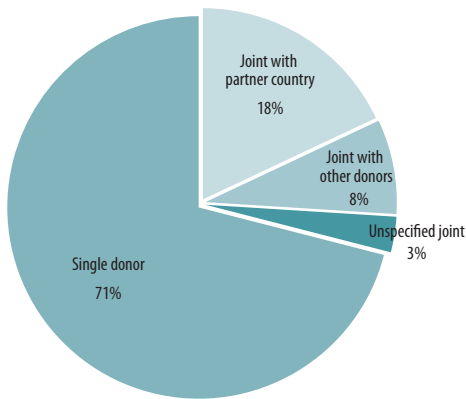
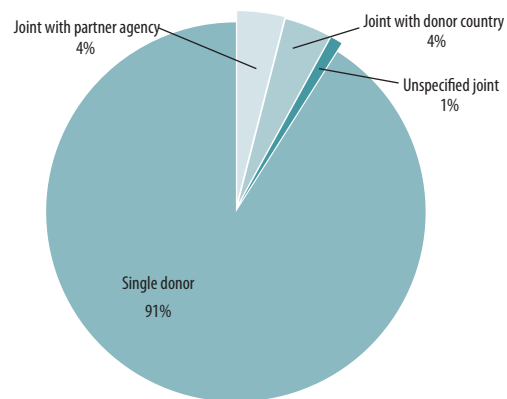


Figure 2.16.2. Evaluations by multilateral members



The study on joint evaluation undertaken by SADEV for the network in 2008 highlighted many of the challenges to practically implementing joint work in member agencies. Further reflection is needed to determine the ideal level of joint work. How well current levels of joint evaluation reflect overall “jointness” in development programmes and policies is also not clear.

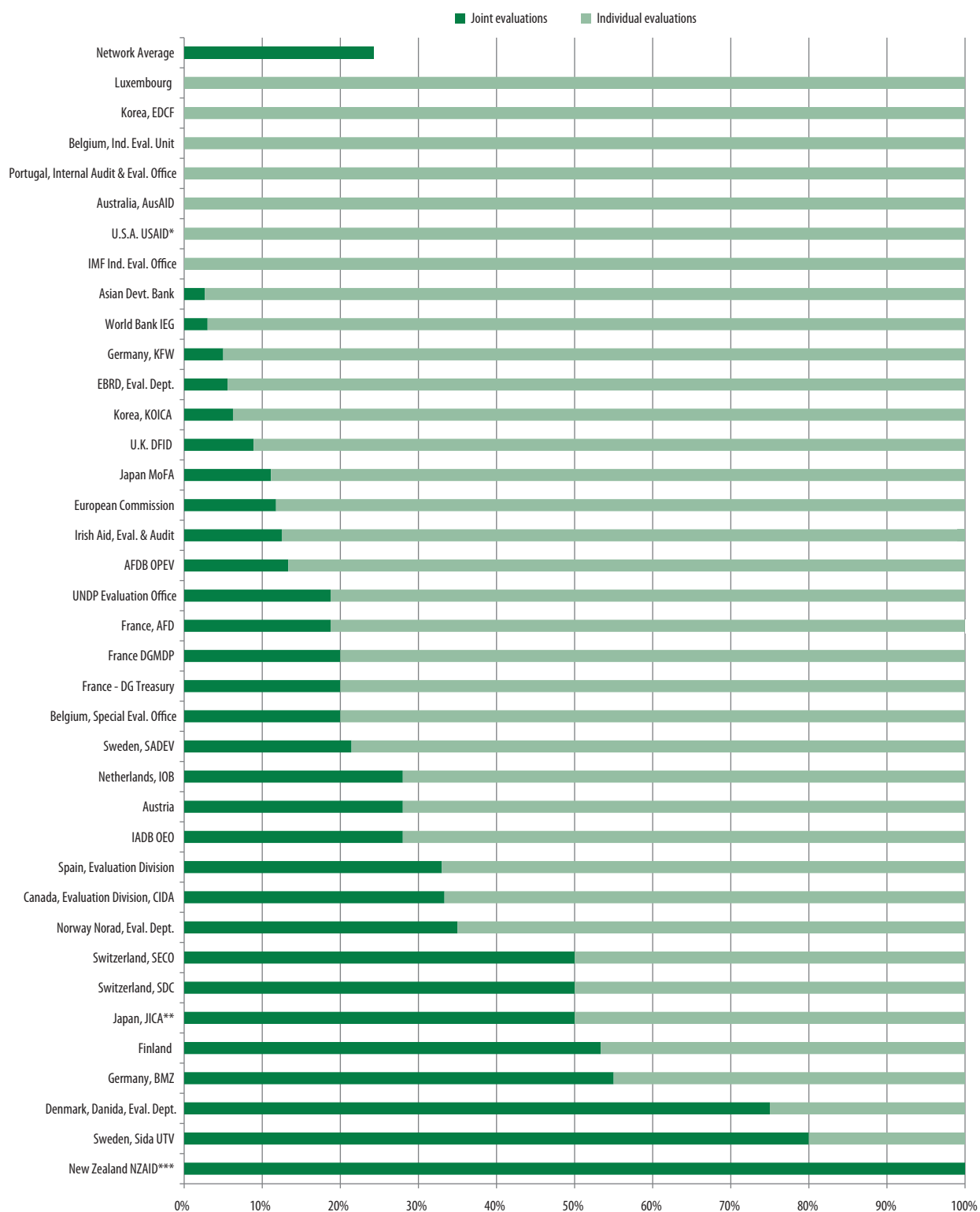
In short, progress is being made towards more joint work, primarily through collaboration among smaller subgroups within the network. While evaluators play a role, further progress may take time until development modalities themselves become more joint, making joint evaluation a logical consequence.

Partner country involvement in evaluation

A key objective of the network’s efforts on joint evaluation is to improve mutual accountability and ownership of evaluation processes, to make development evaluation more responsive to partner country needs and interests, and to strengthen the evaluation capacities of developing country partners. The role of partner countries has been given importance in policy statements and network documents since the 1970s and for nearly twenty years DAC members have committed to the principle of stakeholder involvement in development evaluation (DAC Principles for Evaluating Development Co-operation, 1991). Yet progress in this area is mixed.

The section above outlined the overall involvement of or both other agencies and partner countries in joint evaluations, as reported by members. To understand these figures better, involvement of partner countries at specific key stages of the evaluation process was covered in detail in the member questionnaire. Members reported the frequency (never, sometimes, regularly/for certain types of evaluations, or always) of “partner country stakeholder involvement” at different points of the evaluation. The goal was to clarify the actual level of engagement, and distinguish between a “more joint” partnership-based approach and the simple consultation of partner stakeholders (for example, during data collection) – both of which involve partners but which connote very different approaches in terms of ownership and mutual accountability. The term “involvement”

Figure 2.17. Proportion of joint evaluations



Please note: Figure 2.17 reflects reported average proportion of joint evaluations per year. Data not available for Italy and US DFA. *USAID: projected number of evaluations for 2010. ** JICA: Reported evaluations include large number of programme-level evaluations, many of which involve partner countries. *** Applies only to the two to three strategic evaluations completed by NZAID each year. The majority of programme-led evaluations undertaken by NZAID are not joint (see New Zealand profile).

was not explicitly defined in the questionnaire to allow for the fact that the appropriate type of participation varies from evaluation to evaluation. This, however, led to some discrepancy in reporting. Input from individual members seems to indicate that actual levels of engagement with important stakeholders may be lower than reported (as noted above on joint evaluation).

Partner country stakeholders, are defined as, “agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation” (OECD DAC, 2002). While consultants contracted to evaluate development programmes are not generally considered stakeholders in this sense, the involvement of consultants from partner countries was included in this question because it is one of the primary ways members say they incorporate country perspectives into the evaluations they commission. Hiring consultants from partner countries, however, does not in any way preclude the need to engage other stakeholders as they play distinct roles in the evaluation process, such as in programming evaluations, defining the scope of and approach to evaluations, as well as making use of the evaluation’s findings, conclusions and recommendations. The findings are summarised in Figure 2.19.

The results show that partner country stakeholders are most frequently involved during data collection and field visits. Individuals from partner countries (or institutions based in developing countries) are often hired to conduct evaluations. About half of respondents reported the partners are regularly involved in designing evaluations (including drafting terms of reference). Partner country stakeholders are consulted or involved at the planning stage by only a very small minority of members, with over seventy-percent involving partners only occasionally (26%) or not at all (53%). Eight respondents (20%) reported that this was done regularly or for certain types of evaluations (frequently for country level evaluations). Only one member reported always involving partners in some way in deciding its evaluation plans, though how exactly partners are involved was not specified. Participation as members of a reference or steering group varies widely, with twelve members reporting regular involvement, fourteen reporting occasional involvement and nine never involving partner stakeholders. It is also interesting to note the relative lack of involvement of partner country stakeholders at the distribution, follow-up action stages.

Most respondents said that evaluations respond somewhat to the needs of both donors and partners (72%), as shown in Figure 2.18. Several stated that this varies widely from evaluation to evaluation with some evaluations responding primarily to partner needs and others focused on contributing to donor accountability or learning. Others stated that their goal is to respond to domestic needs and that addressing partner concerns is not in their mandate.

Figure 2.18. Relevance of evaluations for partner countries
How well do evaluations address issues of concern to both donors and partner countries?

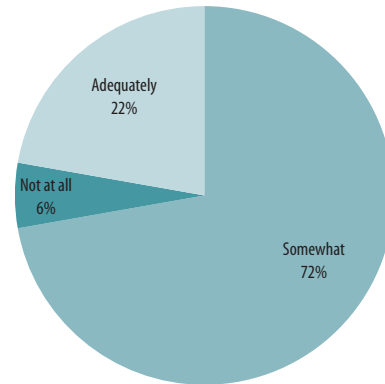


Figure 2.19. Partner involvement in evaluation
Are partner country stakeholders involved...



Evaluation capacity development in partner countries

In addition to helping improve the capacity of its own members, the DAC Network on Development Evaluation has the mandate to “promote and support evaluation capacity development in partner countries.” The network and its members work toward this goal by developing international evaluation standards and guidance, implementing targeted capacity building interventions, and through the involvement of partner country stakeholders in member evaluation work.

There is consensus among members that improving partner capacity is important – particularly in the context of commitments to improve mutual accountability and ownership, and efforts to do more joint work with country partners.

Despite this consensus, there are differences among members in terms of the roles evaluation departments play and the degree of resourcing and sophistication of their capacity work. A 2006 study by Japan for the network found that 22 members (of the 26 responding agencies) were currently conducting evaluation capacity development work.¹¹

About half of member units do not have the mandate to deal with capacity development, either because it is covered by another department or because it is not a priority area for the development agency. Responses to the 2009 questionnaire show that the other 50% of members have “evaluation capacity development in partner countries” in their evaluation policies (see Figure 2.1). There is a range of coverage, with some policies simply mentioning “the importance of capacity development” and others providing a strong mandate to evaluation departments to actively contribute to capacity building – often with a dual mandate of supporting capacity both within their own agency and with outside development partners. For example, Danida’s mandate includes “contributing to the development of evaluation capacity in partner countries through bilateral and multi-lateral co-operation and contributing to the development of evaluation capacity in NGOs and the Danish resource base.”

Japan provides another interesting example. The Evaluation Department of JICA, in collaboration with partner country Ministries of Planning (or equivalent organisation), jointly plans and supervises the ECD process. JICA agreed to support ECD in Vietnam, Philippines, and Indonesia by signing memoranda of understanding for co-operation in evaluation. Through these supports, JICA aims to help partner countries to establish management methods of a project cycle in which the lessons learned and recommendations from the evaluations would be utilised in future development projects. Furthermore, Evaluation Department conducts annual ODA Loan evaluation seminars since 2001. The seminar targets government officers (in charge of development projects in planning agencies in partner countries), and provides capacity development training in evaluation system and techniques.

The questionnaire asked about capacity development strategies, finding that 59% of member departments had a strategy while 41% did not – either because they do not undertake capacity work or because they are involved in ad hoc capacity development work. Compared to the information cited above on inclusion of capacity development in evaluation policies, this finding would seem to indicate that there are at least two or three members that do not have a specific mandate to do capacity work, but are nonetheless involved in some way. Furthermore, comments from individual respondents highlighted that most capacity development work involves providing funding for a few evaluation training programmes. There seems to be relatively little strategic engagement on capacity

development, even among those members that have a mandate to do so. Further guidance on how donor evaluation units can best support partner capacity may be needed.

The level of implementation varies widely, with some members holding individual trainings for development staff in one or two countries, while others actively involve partners in joint work as part of an overarching capacity development strategy (see section on Partner Country Involvement). Comments show that many members support international capacity programmes, such as the International Program for Development Evaluation Training (IPDET), the African Evaluation Association (Afrea), or other regional/national associations.

Conclusions

This chapter has described the current development assistance evaluation policies of the members of the DAC Network on Development Evaluation based on a member questionnaire conducted in 2009 and a literature review, including recent DAC Peer Reviews. In addition to providing an overview of the general state of affairs in development evaluation, the section has highlighted some emerging trends, notably improvements in independence of the evaluation function, the diversification of actors involved in evaluation and increased co-ordination between evaluation departments.

Network members together produce over six hundred evaluations per year, with the average evaluation unit completing 19 evaluations each year. The network-wide average budget for central/main evaluation units is USD 4.7 million. For DAC countries, central aid evaluation units have an average budget of USD 3.3 million, representing the equivalent of 0.1% of the development co-operation budget the unit is charged with evaluating. For the multilateral institutions, the average evaluation budget is USD 10 million, representing about 1.4% of the overall administrative budgets for these institutions. Challenges remain in obtaining comparable budget figures.

There is a shared concern regarding resources, particularly human resources, and it is widely acknowledged that joint work and impact evaluation in particular suffer from resource constraints in evaluation departments. However, resources are clearly not the only barrier to joint work, as some of the most well-financed units participate least in joint work and some very small units (both in terms of staff and budget) are deeply engaged in collaborative evaluations.

Staff levels and technical evaluation skills (of both staff and consultants) are areas of concern for just over half of reporting members. Slightly more than half of reporting members consider skills for evaluating cross-cutting themes as less than fully adequate. Network-wide, gender balance of evaluation staff is near parity (45% male and 55% female). Progress has also been made on mainstreaming gender equality into evaluation. Most evaluation units are now mandated to examine issues of gender equality as part of their regular evaluation work (often as a topic for thematic studies, an additional evaluation criterion or a special theme in all evaluation reports). However, women are under-represented in management posts.

Overall, the evaluation functions in development agencies and multilateral banks are now well established and defined, with clear policy mandates in all but a few DAC countries and established, independent evaluation departments in all multilateral banks. There is variation between members in terms of the scope of central evaluation units' work, but most are charged with managing strategic evaluations at the country, sector

and/or thematic levels to address questions of aid effectiveness and development impact. Many units are also charged to support improved institutional performance, strategic learning and accountability.

The institutional and behavioural independence of evaluation units have, on the whole, increased significantly. Evaluation processes, including the reporting of results, are widely protected from external interference. The multilateral banks all have autonomous evaluation departments reporting directly or via a sub-committee to the board. The heads of evaluation in most DAC member agencies report to the head of the agency (or ministry) or to the director of strategy/performance management. Two units report to parliament on a regular basis.

There is great concern around the use of findings and the take-up of recommendations made in evaluations. Practical mechanisms need to be institutionalised to ensure that evaluations respond to real learning and accountability needs. The use of evaluations also needs to be systematised, for instance by making consultation of evaluation findings mandatory for those planning new programmes or developing country strategies (as is done in the EBRD). Dissemination remains largely a passive exercise. Lessons emerging from evaluations need to be better targeted to specific audiences in ways that make evaluation findings more readably accessible and useable. Contributions to broader learning in development could be strengthened, for example through better links to academic and research communities.

Quality assurance systems are in place in most departments, including widespread use of reference groups and systematic checks of draft reports and terms of references. However, improvements in quality and credibility do not necessarily result in increased use of evaluation for policy and decision making – as demonstrated by the growing concern of members around evaluation communication and use.

Demonstrating increased harmonisation, internationally agreed norms and standards, including the DAC Quality Standards for Development Evaluation, are widely used. Management response systems are functioning in about half of the member agencies (including all of the reporting multilateral institutions). Few mechanisms are in place to monitor, assess or publicise actions taken in response to evaluations. Members shared a general concern about the lack of interest in and use of evaluation findings.

Most members, particularly DAC member countries, consult other donor evaluation plans and seek collaboration on joint evaluation. Joint work represents 36% of all evaluations completed for bilateral members and 15% for multilaterals. Involvement of partner countries in the evaluation process is now mandated in several members' evaluation policies, while involvement is quasi nonexistent in other institutions. Few fully joint evaluations with partner countries are and partner involvement in the evaluation process is infrequent (especially in the agenda-setting and follow-up action phases).

Real efforts need to be made to involve partner countries at earlier stages in the evaluation process and to ensure that they are actively engaged on using the results and ensuring action is taken in response to evaluations, as relevant. Nearly all members report involving and consulting a wide range of stakeholders from within the development agency/institution while setting the evaluation work programme. While the ultimate responsibility for choosing evaluation topics generally sits with the head of evaluation, this agenda setting process is quite participatory – in large part as an explicit attempt to increase relevance, interest, ownership and use beyond the evaluation unit staff. And yet consultation and involvement of partner country stakeholders in this process is

very limited. Most partner countries are only informed once the evaluation has begun. Significant progress has been made by a number of countries and institutions, however, including especially Denmark, the Inter-American Development Bank (IADB), Japan, the Netherlands, New Zealand and the UNDP. Striking the balance of different partners' ownership and accountability needs in the evaluation process is a fundamental challenge facing the network that will require continued attention.

Just over half of reporting members work to support evaluation capacity development in partner countries, though most lack a clear strategy or overarching vision for these efforts. A number of units report that they are currently focused on strengthening their own capacity and that of their agency/institution staff.

The DAC Network on Development Evaluation is interested in further research and joint work on a number of issues raised in this report, notably:

- **Communicating and using evaluation results:** Pursuit of a more in-depth analysis of current management response and follow-up action systems, types of responses received, how recommendations are implemented, factors influencing use of findings etc. Communicating evaluation results: distinguishing audiences and targeting messages, links to development education, innovative approaches and the use of new technologies, how to talk about risk and failure with the wider public.
- **Feasible approaches to involving partner countries:** Discussion of appropriate ways to involve partners (at what stage, how to address capacity gaps etc.); analysis of partner country evaluation systems and the feasibility of using these systems; discussion of how to support capacity development and partner-led evaluation better/more strategically.
- **Human resources:** evaluation skills of staff and consultants, what skills are needed, what is the right mix/balance of staff and consultant skills.

As the context for development co-operation continues to shift, confronting new challenges, working in new ways and engaging with new partners, the management and conduct of evaluation must evolve accordingly. The DAC Network on Development Evaluation will continue to contribute to this process by tracking changes in the policy and practice of its members, further developing its normative framework and supporting collaborative approaches. The network looks forward to sharing these experiences and lessons with others, including developing countries, and ultimately to contribute to strengthening the role of evaluation in creating better development results and stronger accountability.

Notes

1. This figure is an average of all network members, both bilateral and multilateral. Separate figures are provided for each sub-group in the following two sections.
2. This figure represents overall spending at the headquarters/central evaluation unit level. In countries with more than one main evaluation unit (France, Germany, Korea, Japan, Sweden, Switzerland, and the United States) this figure includes the total (combined) budgets for all evaluation units.
3. Spain recently announced approval of a significant increase in evaluation resources. The evaluation budget is expected to total EUR 900000 in 2010, a threefold increase from current levels, which would bring Spain closer to the norm, though still below average overall.
4. This figure includes 150 (decentralised) evaluations reported by JICA. Excluding JICA, the average is 19 evaluations per year. See Note 5.

5. The self-reported “average number of evaluations per year produced by the central evaluation unit” is subject to distortion caused by variation in the definition of “evaluation” used by each respondent and the distinctions made between central unit and decentralised evaluations in each agency. Decentralised evaluations should be excluded from these figures. However, some respondents included project or programme-level (“decentralised”) evaluations to which central unit staff contribute time or resources. Other agencies, with narrower definitions of “evaluation”, do not include such reports.
6. It was reported that the IMF plans to increase the number of evaluations to 5 to 10 by 2011.
7. Based on figures reported by members with additional data on ODA from the OECD DAC. See Annex A for full record of reported figures and further notes on the calculations.
8. Data were not available for both years for all members and some data were not adequately comparable given institutional changes in several agencies. The average of total staff reflects all members reporting for a given year while the average change figure reflects only those agencies reporting for both years. Staff figures do not include Luxembourg and USAID.
9. As Korea recently joined the network, Korea is included in Table 2.2, but not in the aggregate figures described in the text.
10. Eight evaluation units reported that they do share plans or plan to start sharing them, but have not done so at the time of writing.
11. OECD DAC Network on Development Evaluation with the Ministry of Foreign Affairs of Japan, “Fact-finding survey on evaluation capacity development (ECD) in partner countries” (Tokyo, 2006a).

Chapter 3

Member profiles

While the core functions of all development evaluation units are shared, the management and institutional set-ups vary widely. To complement the broad picture presented in Chapter 2, this chapter captures the diversity of approaches to evaluation in development institutions. An individual evaluation profile for each member of the DAC Network on Development is provided. Each profile presents information on the evaluation function set-up and management, 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 reports produced each year. A key to the symbols used is provided at the beginning of the chapter.

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 mid to late 2009. Each profile provides information on the core elements of the evaluation function set-up and management, including the mandate of the unit, mechanisms to protect independence and ensure quality, reporting lines and distribution of evaluation reports.






Please note: these profiles provide a snapshot of evaluation policies at one period of time (end 2009/early 2010) and are subject to change. For up to date information, please visit: www.oecd.org/dac/evaluationnetwork

Key to evaluation profiles

Profiles for DAC members include a diagram with an overview of the evaluation set-up to illustrate reporting lines. Central/main evaluation units are **orange**, other units with evaluation functions are shown outlined in **orange**, programme/operational units are shown in **blue** and high level policy groups or ministries are shown in **red**.

A snapshot of evaluation resources for the main/central development evaluation unit is provided. The total budget for the evaluation unit is shown in current US dollars, where available. A relative measure of resources percent of ODA for the DAC members and percent of administrative budget for the multilaterals) is also given, based on the ratio of the evaluation budget to the budget of the development programmes the unit is charged with evaluating. In most cases this is total bilateral ODA administered by the agency/ministry, though in some cases total ODA or another figure was relevant, given the unit's mandate.

Staff in the main/central evaluation unit is 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 full-time female staff member
- The symbol:  represents one full-time male staff member
- The symbols:  or  are used to represent part-time staff
- One report is represented by a book symbol: 

A figure for the average number of evaluations completed per year is also provided, and the type of evaluation is specified where possible.

▶ African Development Bank

Operations Evaluation Department (OPEV)

Mandate

The primary role of OPEV is to provide a comprehensive and objective assessment of the development effectiveness of the bank assistance strategies, policies, operations, processes and procedures. Monitoring and self-evaluation work, including project completion reports (PCRs), are conducted by operations units, while OPEV independently validates PCRs and carries out independent project performance evaluations. OPEV also conducts sector and country assistance evaluations, as well as thematic, process, and policy evaluations. OPEV is also charged with conducting synthesis studies of evaluation results at the sector and country level, and produces an annual review of evaluation results.

Independence

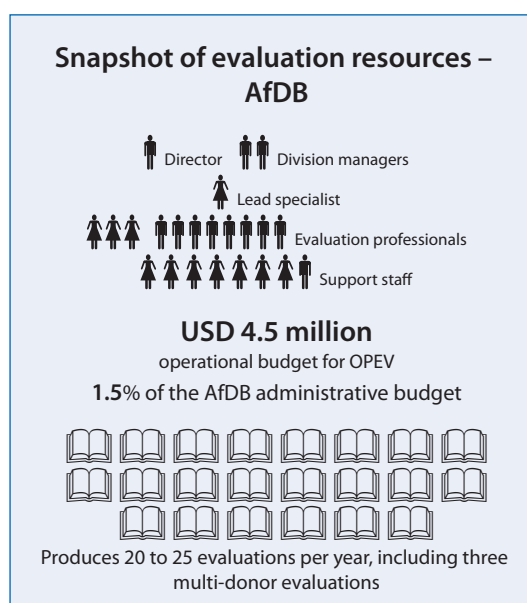
OPEV is a separate entity reporting directly to the bank's board and administratively to the president. The budget is ring-fenced and the evaluation staff has full access to Bank staff and records. There is no direct involvement in operational and policy work. The head of OPEV is a director, at the same level of seniority as the heads of most operations departments. The OPEV director and staff selectively attend senior management operations and policy committee meetings.

The work of external consultants represents about 35 to 40% of total staff time. Consultants are employed to complement internal expertise and may be engaged to assist in drafting approach papers, develop methodologies and tools, undertake field surveys and analyses, and assist in drafting evaluation reports and in undertaking communication and dissemination activities.

Quality

OPEV has a set of evaluation guidelines to inform their work. Evaluation reports are subject to internal and external peer reviews to check quality.

At the decentralised level, a quality assurance system is being put in place to ensure good quality and timely preparation of project completion reports. In 2009, project completion reports were completed for over 90% of completed bank-funded projects. The ultimate objective is 100% coverage. All PCRs are subject to independent desk review. Overall, 15-20% of completed projects are subject to independent performance evaluation (with field mission). Selection criteria include the quality of the available PCR and lessons to be learned, importance for country or sector for future reviews or cross-cutting issues, and relevance to the Bank's corporate strategic priorities.



Co-ordination, planning and stakeholder involvement

OPEV operates on a three-year rolling work programme. The work programme and outputs are under the oversight of the Committee of Operations and Development Effectiveness of the board. OPEV prepares its three-year rolling work programme on the basis of wide consultation with operations departments and other stakeholders. Priority areas, sector or themes proposed by board members are also included in the work programme, which is reviewed and approved by the board's Committee on Operations and Development Effectiveness (CODE).

Collaboration with other donors is sought for country assistance evaluations, and for thematic or sector reviews. Partner countries are consulted at the start up of the evaluation, during the evaluation and at the submission of the reports. There is at present no significant involvement of partners in the design, implementation or follow-up of the evaluation.

While there is no specific bank policy on evaluation capacity development (ECD), the evaluation department is involved in ECD activities with other partners to support evaluation associations and networks, including support for training activities.

Reporting and use

Formal management responses are provided by senior management and published along with evaluation reports. Key evaluation reports on country, sectoral or thematic topics are discussed by CODE. Evaluation reports are published and results are communicated to bank staff and to external stakeholders in summary form and through feedback workshops.

▶ Asian Development Bank (ADB)

Independent Evaluation Department

Mandate

The mandate of the Independent Evaluation Department (IED), formerly the Operations Evaluation Department or OED, is to carry out independent and objective evaluations of ADB's policies, strategies and related operations. IED staff conducts studies, using consultants to complement in terms of required sector or thematic skills. IED staff reviews project concept and draft documents to enhance their quality in terms of content and evaluability. About 15 to 20% of IED's resources are used for engaging the consultants. ADB has a system of evaluating consultant performance after each assignment is completed.

Self-evaluations of bank projects are conducted by those responsible for designing and implementing country strategies, programmes, projects, or technical assistance activities. These are validated by IED. Some self-evaluations are done in the field offices. Independent evaluation is undertaken exclusively by IED.

The Development Effectiveness Committee (DEC) was established by ADB's board of directors. It consists of not more than six members of the board and meets about 12 times a year. Its general mandate is to assist the board to carry out its responsibility of ensuring that the programmes and activities of ADB achieve development effectiveness, i.e. (i) whether ADB's programmes and activities in furtherance of its policy goals and objectives have resulted in the desired outcomes, and (ii) whether these programmes and activities have made efficient use of ADB's available resources.

The DEC reviews and endorses the work programme of IED; discusses selected evaluation reports and ADB Management responses on them; reports to the board on high-priority evaluation lessons and issues, if any, that have a significant bearing on the relevance, efficiency, and effectiveness of ADB, and makes recommendations on such issues to the board; monitors and reports to the board on the implementation of its decisions; and reviews the annual evaluation review, the annual report on acting on recommendations, and the annual report on loan and technical assistance portfolio performance. The DEC has also suggested topics of strategic interest for inclusion in IED's work programme, helped to get the timing right for policy studies, encouraged the discussion of country assistance evaluations by the DEC before country partnership strategies are finalised, and initiated measures to strengthen ADB management responses, and monitoring of their implementation.

Independence

Originally known as the Post-Evaluation Office, and established in 1978, IED has since undergone several organisational changes, culminating in the establishment, on 1 January 2004, of an independent department reporting to the board of directors through the DEC. In 2008, a further review of OED's independence and effectiveness was undertaken and OED was renamed the Independent Evaluation Department (IED) to reflect its enhanced independent status.

The board appoints IED's Director-General upon the recommendation of the DEC, in consultation with the ADB president. ADB's management responds to evaluation findings and recommendations. ADB management's responses and the DEC Chair's summaries of discussions are appended to evaluation reports and disclosed as they become available.

To avoid conflict of interest IED evaluators and management exclude themselves from evaluating or approving a report on any project/program/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. In addition, IED budget allows flexibility within the budget across line items. The head of IED is a Director-General (DG), the same level as heads of department (Director-General) of operations departments.

Quality

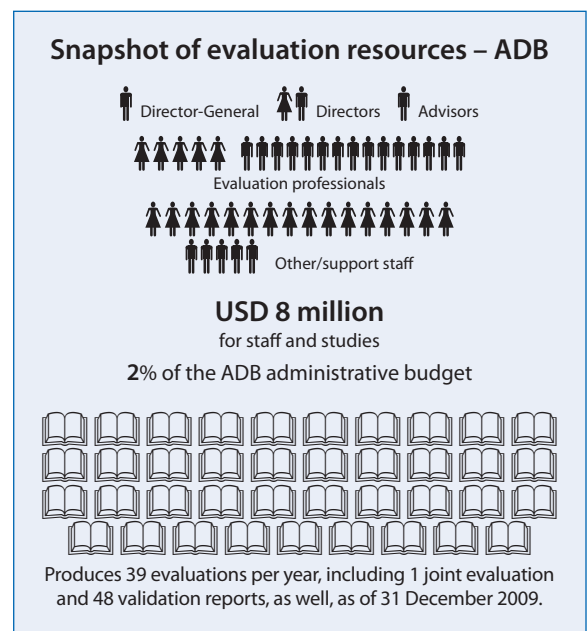
Independent evaluation reports are reviewed by selected IED peers then forwarded to operational departments and governments (executing agencies) for comment. External expert reviewers' comments are also sought for some major evaluations. For complex evaluations, a second stage of discussion at the Director-General (DG) level focuses on understanding of and a reality-check on recommendations. Final reports are approved by the DG of IED and circulated to the board and management and disclosed to the public simultaneously, inviting a management response. Major reports are discussed by the DEC.

One hundred percent of bank operational activities are covered by self evaluations/project completion reports (PCRs) conducted by operating units. The quality of the PCRs has improved since 2000. IED independently reviews and validates the PCRs. IED selects a purposeful sample of about 13 projects to evaluate each year, and IED's work programme has a focus on about 17-20 broader, more complex evaluations.

Co-ordination, planning and stakeholder involvement

IED uses a three-year rolling work programme, updated annually. The DG proposes a three-year rolling work of evaluations, after consultations with the DEC, management, and other departments, taking into account the issues of relevance to developing member countries and the current institutional priorities. The board is responsible for final approval of the coming year's IED work programme, after this is reviewed and endorsed by the DEC. The work programmes are publicly disclosed on the ADB website.

The IED regularly uses evaluation work of other development partners as reference material and consults other donor plans to look for opportunities for collaboration, particularly on project level joint evaluations, synthesis work and meta-evaluations. Partnering with countries in evaluations has been limited thus far, though the department is working towards being more proactive in seeking partner involvement. IED has also initiated several actions to build evaluation capacity of developing member countries.



Reporting and use

IED staff participates in management review meetings to examine new lending, policy or strategy proposals before these are completed and finalised for board submission.

An online Management Action Record System has been recently brought into effect. IED reviews, validates and reports to the DEC on its progress. Management responses are available to the public online. All public sector evaluation reports are publicly disclosed on the ADB website at the time of circulation to the president and board of directors. A redacted version of private sector evaluations is disclosed, with certain commercially confidential parts removed from the report. Printed reports are also distributed to country counterparts.

► Australia

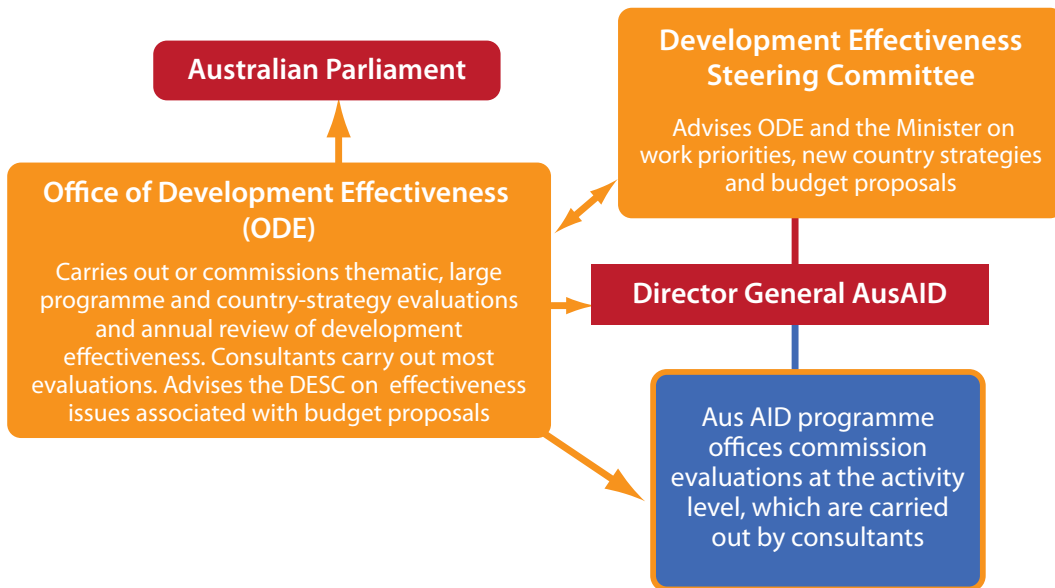
AusAID, Office of Development Effectiveness (ODE)

Mandate and role

The Office of Development Effectiveness (ODE) monitors the quality and evaluates the impacts of the Australian aid programme. It reports on the effectiveness of development assistance and identifies how effectiveness could be improved. The Office carries out annual reviews of development effectiveness and conducts or commissions thematic and country strategy evaluations. ODE contributes to the development of whole-of-government country strategies and engages with international actors in the area of evaluation. ODE staff members do not work exclusively on evaluation but cover the entire performance and effectiveness agenda for the Agency.

ODE's budget is determined through the annual Agency budget process. In addition to ODE's budget of USD3.4 million, it is estimated that approximately USD4.7 million is spent on mandatory activity-level evaluations, which are funded within the budget for each programme area. These independent completion evaluations and progress reviews are managed by country programme staff but conducted by independent consultants.

Summary of evaluation set-up and reporting



Independence

ODE is an independent entity within AusAID, separate from programme management. The ODE reports directly to the Director-General of AusAID in his capacity as Chair of the Development Effectiveness Steering Committee, which is comprised of the AusAID Principal Economist and deputy secretaries from the Australian Government Departments of Prime Minister and Cabinet, Foreign Affairs and Trade, Finance and Deregulation, and the Treasury. The Committee advises on the ODE's work priorities, comments on the annual review of development effectiveness and advises the minister on the quality of major new country strategies and budget proposals.

The ODE staff manages evaluations, which are generally carried out by independent consultants with no prior involvement in the design and implementation of the programme. ODE staff may also be members of the evaluation team.

Quality

A meta-evaluation of AusAID evaluations was conducted in 2006. The study identified problems of quality and found that very few AusAID staff drew on the findings of evaluations and reviews in their work. In response, an external peer review process for evaluation quality was instituted and new guidance established. ODE has its own internal guidance for evaluation and all evaluations now go through mandated peer review processes and an external review panel, which focuses on technical quality. Guidelines for activity-level evaluation are used throughout AusAID.

Planning and stakeholder involvement

The evaluation programme covers several years and relates directly to planning for and findings of the annual review of development effectiveness. The timing of country strategy evaluations is determined by requirements to produce a new country strategy. Other evaluations, including ODE's thematic evaluations are largely determined by issues identified in the annual review. This process identifies strengths and weaknesses in the aid programme. The Review is tabled in parliament and published widely; compelling ODE to pursue the agenda and report back in subsequent Reviews.

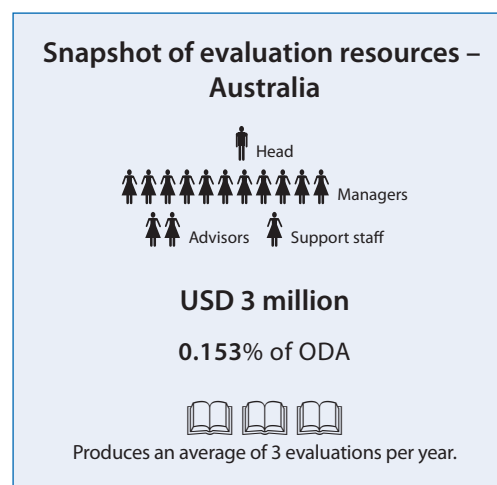
ODE evaluation plans are included in the DAC Evaluation Network plan inventory and ongoing evaluations are listed on the ODE's website. The Office has occasionally consulted with other donors and institutions on evaluation plans, though this has not yet resulted in any agreed joint evaluations. Of the three evaluations completed in 2008/2009, none were joint.

Partner country involvement and capacity development

Planning evaluations also includes consultation with the partner government via the relevant country office. Staff in-country engage in dialogue with partners. Once an evaluation is established, the country teams and local partners are invited to discuss terms of reference and evaluation questions. Partners are occasionally involved as consultants or members of a steering/reference group. For the past several years, ODE has funded small development evaluation training programmes in several countries in the region. Partner government personnel with a role in evaluation have been invited to attend these.

Reporting and use

The ODE publishes an annual review of development effectiveness drawing on the breadth of its work, including cross-cutting reviews and evaluations and the experiences of all Australian agencies delivering Official Development Assistance. The review



contributes to the transparency and accountability of the Australian aid programme and provides a link between increasing budget allocations and increased aid effectiveness.

The Office collects and analyses evaluation reports from other development assistance agencies to help inform the annual review and strengthen their own analysis of effectiveness issues. Findings on major issues around development effectiveness are also circulated to AusAID personnel. All ODE evaluations are taken to the AusAID executive group of senior managers and a management response is prepared. The head of ODE participates in senior management meetings. There is no formal system to follow-up on management responses.

ODE evaluations have resulted in tangible management action, for example, in response to the “Violence against Women in East Timor and Melanesia” report, AusAID created an advisor position to help programmes respond to the report’s recommendations. Summaries of evaluations and full evaluation reports are made available to facilitate sharing within AusAID and across government.

► Austria

Directorate for Evaluation, Development Policy and Strategy (Unit VII.2)

Ministry for European and International Affairs

Evaluation Unit, Austrian Development Agency (ADA)

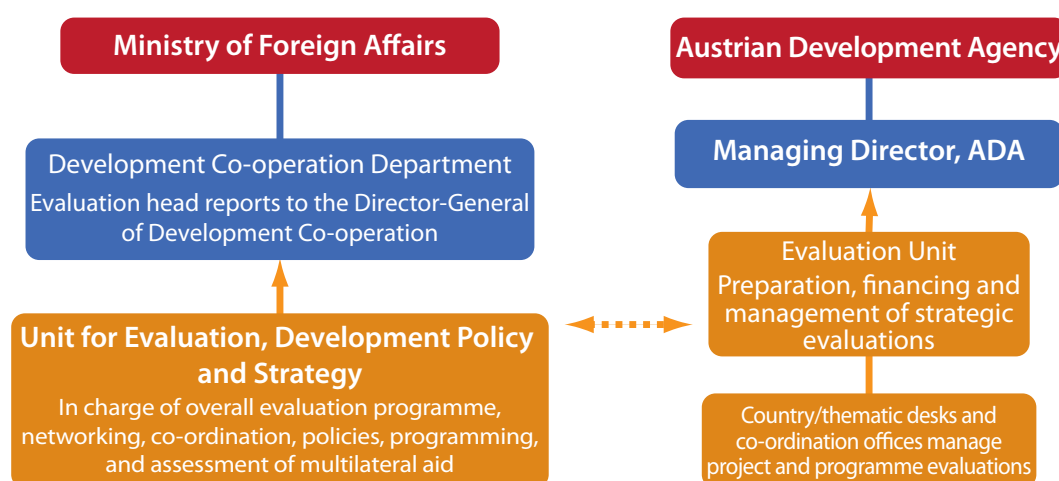
Mandates and work programme

The Federal Ministry for European and International Affairs (MFA) and the Austrian Development Agency (ADA) are responsible for strategic evaluations of country programmes, country strategies, instruments and sectors of the Austrian Development Co-operation (ADC). A two-year evaluation programme for strategic evaluations is jointly developed by MFA and ADA evaluation units, based on suggestions from other MFA/ADA departments and units. The evaluation programme aims at achieving a balance between evaluations of country programmes strategies, instruments and sectors.

Austria distinguishes between three different types of evaluations: (a) strategic evaluations managed by MFA/ADA evaluation units (external), (b) programme and project evaluations managed by ADA country desks, thematic desks and co-ordination offices in the field (external), and (c) programme and project evaluations managed and/or conducted by implementing partners (internal).

Besides financing and managing strategic evaluations ADA's evaluation unit supports ADA country desks, thematic desks and co-ordination offices providing feedback to draft Terms of Reference and evaluation reports as well as supporting the selection process of evaluators. ADA's evaluation unit also conducts evaluation trainings.

Summary of the institutional set-up of evaluation



Independence and quality

Within MFA the evaluation head reports to the Director-General of Development Co-operation. ADA has a separate evaluation unit reporting directly to the head of the agency (Managing Director). In order to ensure independence all strategic evaluations and all project/programme evaluations managed by ADA are conducted by external consultants who are hired on a competitive basis. All evaluations adhere to the DAC Quality Standards for Development Evaluation; a reference is stated in the terms of reference.

The evaluation work of MFA and ADA including ADA's country/thematic desks is guided by the "Guidelines for Evaluation in Austria's Official Development Co-operation" and a multilingual set of "Guidelines for Project and Programme Evaluations" (German, English, French, Spanish, and Portuguese).

Resources

There are currently three evaluation managers, one in the Ministry and one in ADA with a second evaluation professional. Just over USD 500 000 is available for strategic evaluations in ADA. Project and programme evaluations are funded by their respective programme budgets. The total budget of these evaluations varies from year to year.

Reporting and use

Draft final evaluation reports are presented by the external evaluator to interested parties. The final evaluation reports can be downloaded on the website and are also made available to the general public via links with libraries, civil society groups and are submitted to the DAC Network on Development Evaluation. Reports are shared broadly within MFA and ADA. Links to relevant reports are also shared with Parliament.

A structured management response process and follow-up action has been developed over the past few years and is being adhered to. Management response matrices are updated once a year but are not made public.


Co-ordination and stakeholder involvement

Because of its current focus on evaluating new instruments and aid modalities Austria does not yet participate in many joint evaluations, though it participates actively in Multilateral Organisation Performance Assessment Network (MOPAN), was involved in the UNIDO DAC Peer Review jointly with other donors in 2009/2010 and participates in the evaluation of the implementation of the Paris Declaration, Phase II (headquarters study and Uganda study) in 2010.

The evaluation programme is shared with the DAC Network on Development Evaluation and the group of German-speaking evaluation services "DACH". Evaluation plans of others are consulted regularly. Evaluation reports of donor agencies are often utilised.

When possible national partners are involved in the design of the terms of reference; those contracted to conduct evaluations are requested to involve national experts in the evaluation team.

Snapshot of evaluation resources – Austria

 Full-time managers

USD 576 950 for strategic evaluations in ADA

USD 1 million for project and programme evaluations

0.4% of ODA



Produces about 3 to 4 strategic evaluations per year.

► Belgium

Special Evaluation Office (SEO)

A Royal Decree of 25 February 2010 merges the Internal Quality Control and Evaluation Office of the Directorate General for Development Co-operation with the Special Evaluation Office, creating a new office with the following mandate.

Mandate and institutional set-up

The Special Evaluation Office (SEO) of International Co-operation is part of the Federal Public Service (Ministry) of Foreign Affairs, Foreign Trade and Development Co-operation. It sits under the administrative – not the hierarchical – authority of the President of the Management Committee (Secretary General).

The Special Evaluation Office is mandated to evaluate all activities of the Belgian Federal Government that are recognised as ODA by the DAC. It applies the DAC Evaluation Principles as well as the norms and Quality Standards for evaluation. Its main evaluation criteria are the DAC-criteria and the Paris Declaration principles.

The Office draws conclusions from evaluations and formulates operational recommendations to improve and adapt the development co-operation policy. The Office also makes use of evaluation results to annually report to the Belgian parliament and the public about Belgian development policies and the use of funds. It participates in international joint evaluations and in initiatives to support evaluation capacity in partner countries.

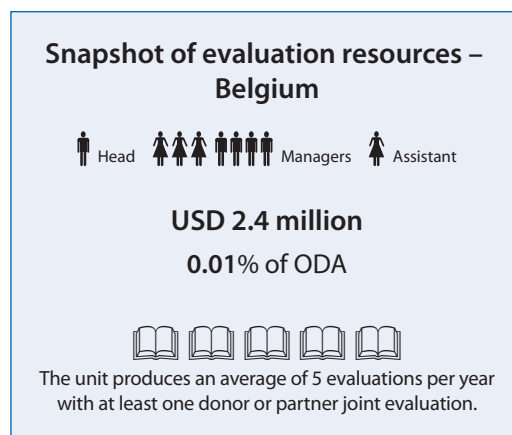
Taking over the former mandate of the internal evaluation office, the Special Evaluation Office also provides support to the internal network on RBM and to geographical and thematic desks in the design of their evaluations. Following the recommendations of a recent peer review, the Office will soon draft its own evaluation policy and strategic guidelines.

Independence and Quality

The SEO is structurally independent. After consultation with stakeholders and partner countries, it draws a multi-annual strategic evaluation plan, an annual evaluation programme and a budget. The evaluation budget is part of the larger budget of development co-operation. The Special Evaluator, who is head of the Special evaluation Office, has financial delegation to contract the expertise required for achieving credible evaluations.

Apart from the evaluation programme established by the SEO, the Council of Ministers, the Minister of Foreign Affairs, the Minister of Development co-operation and the Secretary General of the ministry of FA may also request the SEO to undertake specific evaluations.

The SEO uses a quality grid to measure the quality of evaluation processes and reports.



Co-ordination and planning

The multi-year indicative evaluation plan is shared with the DAC Network on Development Evaluation. The SEO undertakes joint evaluations with other donors and partner countries and is active in the DAC Network on Development Evaluation and other evaluation groups.

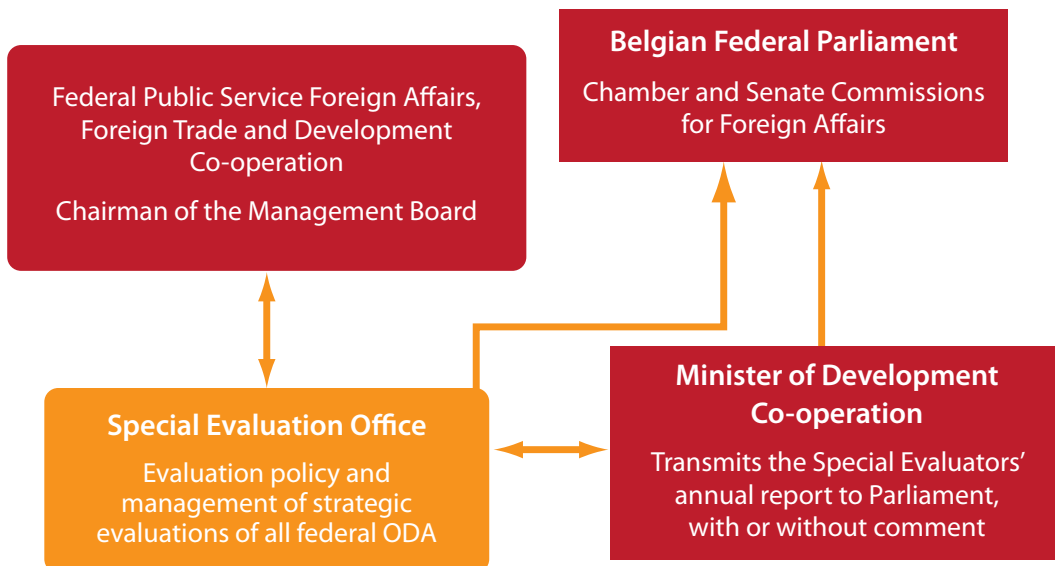
Reporting and use

Evaluations are so far reported in writing and published both in hard and electronic copy. They are available on the DReC website: www.oecd.org/dac/evaluationnetwork/derec.

It is the responsibility of the managers and stakeholders to ensure that the evaluation conclusions and recommendations are validated and used. Evaluation reports are communicated to relevant stakeholders, including field staff in partner countries and occasionally to the Belgian media. The SEO systematically organises restitution seminars at the end of the evaluations processes, in Belgium and whenever appropriate, in the partner countries concerned.

There is commitment from management to respond to SEO evaluations. If management were to fail to respond, the Minister or Parliament could be informed. After one year a matrix is presented by the Special Evaluator with the main conclusions and corresponding follow-up actions to be completed by management. A discussion takes place on the basis of that matrix.

Summary of the evaluation reporting lines and set-up



▶ Canada

Canadian International Development Agency (CIDA)

Evaluation Directorate, Strategic Policy and Performance Branch (SPPB)

Mandate

Canada's Treasury board Secretariat has an evaluation policy to ensure that the government and citizens get timely, strategically focused, evidence-based information on its policies, programmes and initiatives to produce better results for Canadians. CIDA approved its own evaluation policy in 2005. The policy is being reviewed and will likely be revised to further reflect the new legal obligation to implement the Paris Declaration Principles and the fact that since 2006 the Federal Accountability Act requires all departments, including CIDA, to evaluate 100% of all programmes. The directorate has developed a five year work plan indicating how it will undertake this task. At the end of 2009, the Evaluation Division was renamed Evaluation Directorate and the Director appointed as Director-General.

CIDA's programme branches undertake project evaluations while the Evaluation Directorate manages programme, corporate, and policy evaluations. Evaluation Directorate staff provide corporate advice, respond to requests of information from central agencies such as the Treasury board, prepare work plans and terms of reference, undertake scoping missions, supervise evaluations, prepare synthesis reports, obtain management responses, and contribute to joint-evaluations with other development agencies and horizontal evaluations with other Canadian federal departments.

Independence

Organisationally, the Evaluation Division is positioned within the Strategic Policy and Performance Branch. The Directorate reports to the President of the Agency, who is also the chair of the Evaluation Committee. The President approves evaluation reports. The Evaluation Committee is responsible to oversee the evaluation function at CIDA. Two members of the Evaluation Committee come from the programme branches, three committee members are from other Canadian departments and three come from outside the government representing civil society, academic institutions and the private sector. The Directorate has no direct decision-making relations with the programme branches.

Quality

For each evaluation a consultant team is hired on a competitive basis, using a standing offer system. This team shares responsibility for the final report with the Evaluation Directorate managers.

The Secretariat of the Treasury board of Canada undertakes an annual review of the performance of the Evaluation Directorate based on four criteria: quality of the work performed, neutrality, coverage, and usage of products. In 2007, 2008 and 2009 the CIDA Evaluation Directorate was rated as "strong".



Co-ordination, planning and stakeholder involvement

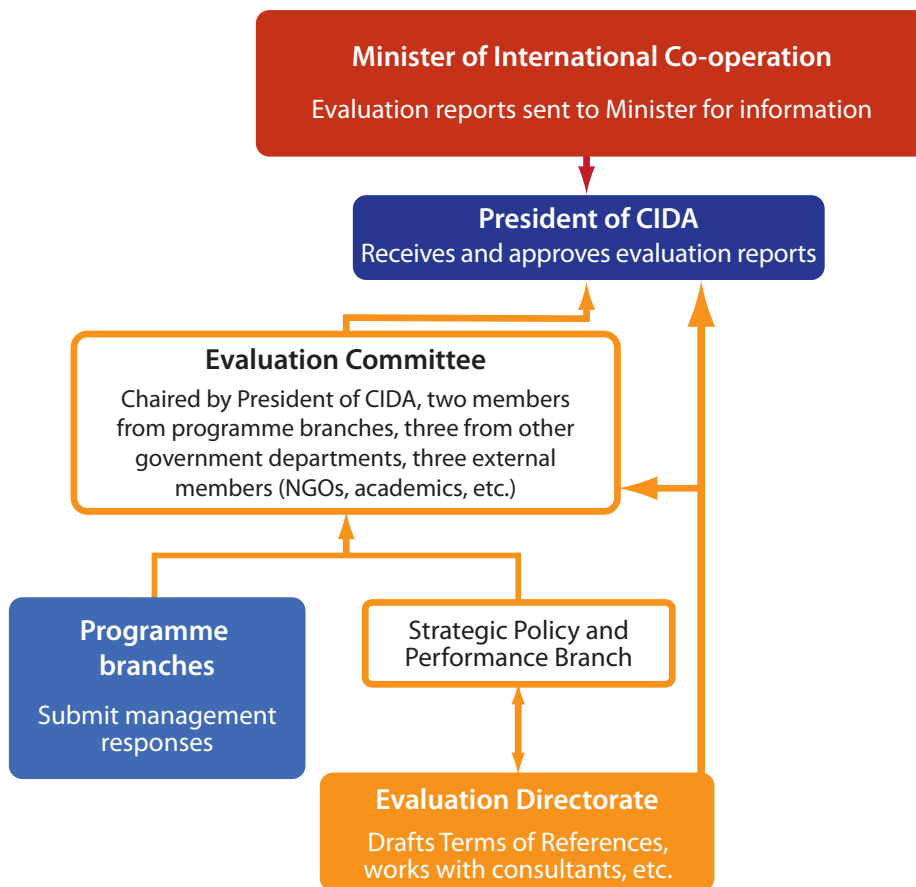
The Evaluation Committee annually reviews a strategic risk-based five-year rolling plan. This plan is approved by the president of the agency each year. The plan is not publicly available but it is shared with other agencies via the DAC Secretariat.

Partner country stakeholders are involved when deciding to undertake a programme evaluation. Local consultants are hired in most programme evaluations as sector specialists or regarding cross-cutting issues such as gender equality and environment.

Reporting and use

All programme evaluations presented to the Evaluation Committee require a management response, stating how recommendations will be implemented. A recent study found that the agency commonly uses evaluations as learning and management tools, particularly during considerations of new submissions or the formulation of new policies. A follow-up process is in place to periodically monitor the extent to which the evaluated programmes are implementing the recommendations. All programme evaluations presented to the Evaluation Committee and approved by the President are translated into English and French and posted on the Internet.

Structure of the evaluation process



Capacity development

CIDA's Evaluation Directorate has limited resources to support capacity development initiatives such as International Program for Development Evaluation Training (IPDET), the African Evaluation Association (Afrea) and The International Development Evaluation Association (IDEAS). The division also encourages programme branches to use their resources to improve the "performance management systems" (including audit and evaluation) in different partner countries. A major initiative was launched in the Sahel/Sub-Saharan Africa between 2003 to 2008 in collaboration with the Canadian International Development Research Centre to strengthen the monitoring and evaluation units of the Poverty Reduction Strategies in Mali, Niger, Burkina, Senegal, and Benin.

► Denmark

Danish International Development Assistance (Danida), Ministry of Foreign Affairs, Danida Evaluation Department

Mandate

The Evaluation Department is an independent, specialised unit in the Ministry of Foreign Affairs. The unit is responsible for commissioning evaluations of Danish development co-operation efforts, with a focus on thematic, cross-cutting issues and programme level evaluations. The unit is guided by a comprehensive evaluation policy, updated in 2006.

The purpose of the evaluations is to contribute to maintaining and improving the quality of Danish aid by providing a systematic means of learning from experience and lessons to guide future decisions. Evaluation also serves to provide the Danish Parliament with documentation about the aid processes and outcomes of development efforts and forms a basis for informing the public about the results of Danish development assistance. Core responsibilities and duties of the Evaluation Department include: managing evaluations of development activities, contributing to increased accountability, developing evaluation methodology, and participating in international co-operation on evaluation. Support to evaluation capacity development in partner countries is also mentioned in the guidelines, though few resources are available for this work.

Programme and project completion reports are prepared by programme divisions. The Evaluation Department is responsible for analysing these reports, maintaining the filing system and facilitating efficient use of lessons.

Independence

The Evaluation Department's location and reporting procedures are independent of embassies and entities responsible for programming and implementation of development co-operation programming. While it is part of the performance management framework, the Evaluation Department holds no responsibility for administration, implementation or monitoring of development co-operation. Evaluation is a separate, specialised unit. The head reports to the Minister for Development Co-operation through the State Secretary for Development Policy. The Head is employed on a fixed term contract (five years) and is a permanent employee of the Ministry. External consultants are commissioned to carry out all evaluations. Codes of conduct and quality standards ensure non-interference with evaluators. The evaluation team has the final responsibility for the contents of the report.

Summary of the evaluation set-up



Reporting and use

At the conclusion of an evaluation, a follow-up memo is prepared, taking note of Danida's management position on the conclusions and recommendations. The follow-up memo is discussed in the Programme Committee. Based on the discussion a short management response in Danish is prepared and approved by the Minister for Development Co-operation. The Evaluation Department undertakes to monitor the implementation of the follow-up activities at regular intervals.

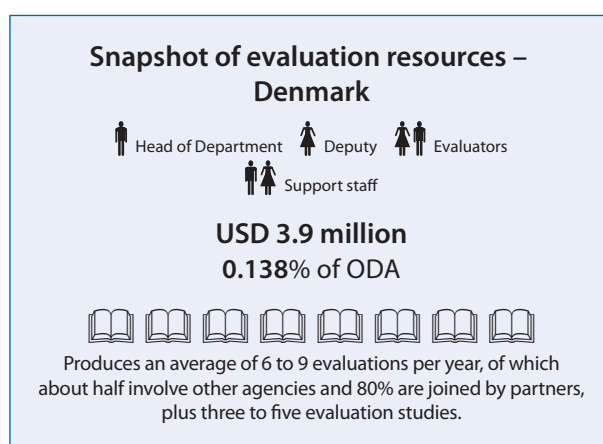
The Evaluation Department contributes actively to the dissemination of Danida's own as well as other organisations' evaluation experience via workshops and seminars for staff in co-operation with the Ministry's education section. Further, the Department assists Danida's Centre for Competence Development in the dissemination of evaluation experience and contributes to the incorporation of evaluation experience in policies, strategies and guidelines, etc.

Quality and stakeholder involvement

As quality assurance, the DAC evaluation principles, a set of evaluation ethics and a Code of Conduct for consultants are mandated by Danida evaluation guidelines. Danida expects the evaluation team to have a systematic process for controlling and assuring the quality of its evaluation process and output. The DAC Evaluation Quality Standards constitute a frame of reference for all Danida evaluations; the evaluation team must ensure that its evaluation process and product are consistent with these standards.

The unit operates off a two year evaluation programme developed through a complex consultation process involving a public meeting, presentation of a draft to the embassies and departments for comments and then presentation of the programme to the Danida board, which can make comments. Finally the Minister sends the plan to the Finance and Foreign Affairs Committees of the Parliament for additional comments.

Danida frequently uses a participatory approach for evaluations of development co-operation. Approximately 50% of evaluations are conducted jointly with evaluation offices of other development agencies and the partner country is involved in about 80% of evaluations.



► European Bank for Reconstruction and Development (EBRD)

Evaluation Department

Please note: The profile is accurate as of end 2009. An Evaluation Policy for EBRD was under consideration by the board at the time of writing and may result in changes to the profile presented here.

Mandate

The Evaluation Department (EvD) is responsible for reviewing bank operations. EvD evaluates bank projects and policies, establishing how well they meet their objectives and the extent to which they comply with the bank's mandate. EvD also draws lessons from past experience which helps the bank to improve the design of new operations. The department evaluates bank investments as well as donor funded activities. Special studies related to particular sectors and countries are also prepared by EvD. In addition, EvD looks at the practices of other international financial institutions and utilises the lessons they have learned from their operations to improve the potential of EBRD projects.

The budget is approved annually by the board of Directors and is presented separately from the rest of the bank's budget. Based on the Work Programme for the following year, the budget is prepared by the Chief Evaluator, and presented as an Annex to the bank's budget document. The budget of the Evaluation Department is distributed to the board of Directors, first for review by the Audit Committee and then for review by the Budget and Administration Affairs Committee and then for approval by the full board.

Independence

The Chief Evaluator, appointed by the board of directors, is at seniority level one below VP. He/she is not part of management and does not participate in senior management meetings. EvD organises meetings frequently with the Operations Committee Secretariat, composed of department directors and other senior bank staff involved in the operation process. Industry expert consultants are employed for approximately 50 to 60% of ex-post evaluation exercises. The assignments are short term (maximum 3 weeks). For special studies (thematic, sector etc.) longer assignments are usual.

The Chief Evaluator is directly and only responsible to, and only takes his/her instructions from, the board of Directors as a whole (and not from any board committee or from any individual board member). The main line of communication with the board is through the Audit Committee, which consists of seven board representatives and oversees the functioning of EvD. Furthermore, the independence of the evaluation function is ensured by various regulations concerning the selection, remuneration and termination procedures for the Chief Evaluator.

Quality

To ensure quality the Chief Evaluator reviews all reports before publication. The Audit Committee reviews selected evaluations in meetings where all board Directors can participate. EvD also participates in peer reviews through the ECG.

In 2008, the selection method for evaluation topics was amended. The new system complies with the requirements of the Good Practice Standards for Private Sector Evaluation as established by the Evaluation Co-operation Group (ECG) of the Multilateral Development

banks. Evaluations are conducted on a random, representative sample of projects. At present, a coverage ratio of approximately 50% is sufficient. Some additional evaluations are also conducted on projects selected for their lessons potential, or to increase coverage in the EBRD's strategically targeted sectors or regions.

One-hundred percent of Investment Operations ready for evaluation are looked at by EvD, but different evaluation products are prepared each with a different amount of time allocated to the evaluation exercise:

- Approximately 25-30% are evaluated through producing a detailed report i.e. an operation performance evaluation review (OPER) report whereby EvD staff makes field visit
- Approximately 25-30% is evaluated through assessing self-evaluation reports prepared by operation staff. Based on the Expanded Monitoring Reports EvD writes so-called XMR Assessments (XMRA). For this reduced form of evaluation, evaluation staff does not conduct field visits but the ratings assigned by operation staff are validated
- The remaining projects, approximately 40-50%, are subject to XMR Reviews, where EvD reviews the quality and completeness of self-evaluation reports (no validation of performance ratings by EvD)

Co-ordination, planning and stakeholder involvement

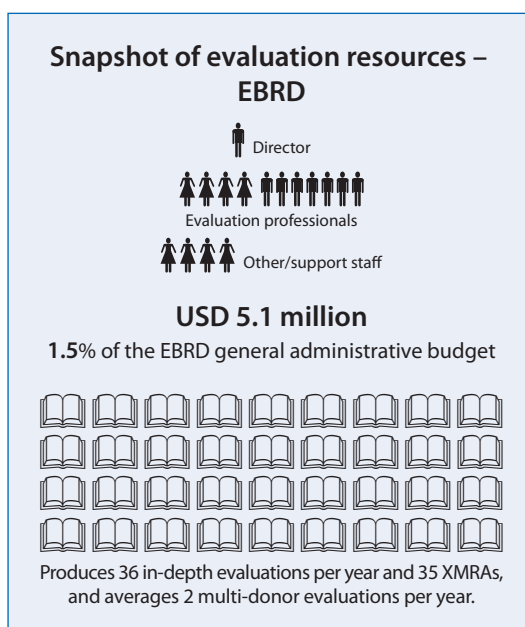
In consultation with operations, EvD prepares an annual work programme on evaluation of investment operations and technical co-operation. Suggestions for themes for special studies can come from the board of directors and management. Sector policy evaluations are carried out before a new strategy is prepared by management. The Work Programme is commented on by management and reviewed by the audit committee of the board. The board of directors approves the work programme. Final project selection and choice of special studies are proposed in the work programme final report.

EvD co-operates with other banks through the ECG and undertakes an average of two multi-donor evaluations per year. Partner country stakeholders are not involved in the evaluation process.

Use and follow-up

All reports are edited by the chief evaluator for confidential information in co-operation with EBRD's Office of the General Counsel. Reports are published on the EBRD's Web site which also contains an external Lessons Learned Database, accessible to operations staff and others.

Evaluation reports and evaluation abstracts are distributed to senior management and made available to operational staff through an intranet-based Evaluation Reports Centre. Approval documents for new projects include a section on Lessons Learned from Past Experience. Bankers are required to include and address relevant evaluation lessons. The Evaluation Department checks the text and can require bankers to improve or expand it. EvD provides assistance and guidance on request.



At the time of preparation of new country strategies, EvD contributes to the retrospective analysis of transition impact of the bank's portfolio in the country and presents related lessons learned. EvD conducts lessons learned workshops with banking department teams and resident offices, particularly when there are new staff members.

Approximately six times a year, EvD meets the members of the Operations Committee (senior management involved in review and approval of new projects) for discussion of selected reports or special studies. This ensures that lessons from recent evaluations are known to senior management to influence the structuring of new projects.

After receiving a report, summary or special study, management has ten working days to provide management's comments. The Chief Evaluator informs the Audit Committee that he/she has delivered such a report to seek their comments. Management comments are published or posted on the bank's website at the same time as the Evaluation Department reports to which they relate. Corrections and adjustments to the comments and report are allowed before publication/distribution to the board of Directors. EvD follows up with management on EvD recommendations through a formal procedure.

► European Commission

Joint Evaluation unit for the Directorates: General Development, External Relations and EuropeAid

Please note: This profile is subject to change upon entry into force of the Lisbon Treaty for the European Union.

Mandate

The Evaluation Unit is a unit common to the Directorates-General for Development, External Relations and Europe Aid. The Evaluation Unit is in charge of the evaluation of the Commission's co-operation and development programmes in third countries with the exception of enlargement candidate countries and humanitarian aid. It covers all geographical regions and the corresponding EC external co-operation programmes: Africa, Caribbean and Pacific Countries (ACP), Mediterranean Region (MED), Asia (including Central Asia) and Latin America and Eastern Europe. The evaluation service is accountable to the Group of RELEX Commissioners, which decides on the work programme of the evaluation service and acts on its reports and recommendations. The budget of the Joint Evaluation Unit is determined by the EU Parliament and the EU Commission.

Independence

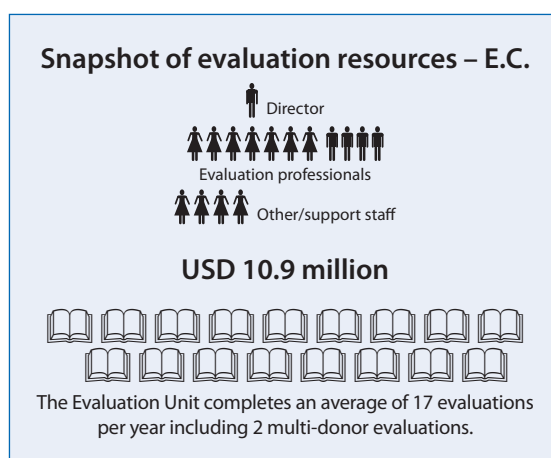
All evaluations are carried out by external consultants, under the quality control of the Evaluation Unit. The unit reports to the two Commissioners (equivalent to Ministers) in charge of External Relations and Development. Independence is ensured by reporting directly to the political level, without any interference from operational and administrative levels. The head of evaluation is at the highest level of seniority before political function. Presentations of evaluations in management meetings are done on an *ad hoc* basis.

Quality

Various evaluation guides and methodological notes help ensure quality of evaluation, which are also subject to the European Commission Standards, set up in 2000. During the period 2007-2013 about 75% of aid expenditures should be covered by evaluation.

Co-ordination, planning and stakeholder involvement

The unit operates on a multi-year evaluation strategy. The unit manages geographical (country and region) and sectoral/thematic evaluations, such as health, education, transport etc. It deals with evaluations of instruments for example: sector-wide approach, budget support, or channels for delivery of aid for example, development banks, UN Agencies, Non-State Actors etc. Project evaluations are carried out in the field; the evaluation unit is not involved.



The EC has two parallel planning structures; the financial perspective that covers several years, the current financial perspective is 2007-2013 and the multi annual programme covers the financial perspective period. The unit confirms the programme every year, with some room for some flexibility. The programme for 2007-2013 was set after 15 months of discussions and negotiations, between the three DGs. The ideas and suggestions for evaluations are to some extent determined by EC regulations; the evaluation unit has to carry out a fixed number of the different types of evaluations (country, policy etc.) per year. Based on these requirements, the head of evaluation puts together a list of all potential evaluations in a plan which is presented to the three Directorates for final negotiation to determine the budget and number of evaluations to be completed.

The evaluation unit does not work together with partner countries on evaluations, though partner countries may be involved in project-level evaluations done outside the unit. The unit has tried to collaborate with partner countries both the EC delegations in the countries and the partner countries organisations that were involved lacked evaluation capacity. The EC has had really good experience combining European consultants and consultants based in the partner countries in a mixed evaluation team.

Use and follow-up

There is a mechanism to ensure management responses to and follow-up action on evaluation recommendations and management responses are made public. All reports are made available on the unit's public web site and are disseminated to organisation management and staff at headquarters and in the field, as well as presented to beneficiaries and media in the EU. Seminars are held in-country for presenting the evaluation report, and there has been strong interest from governments and NGOs in these presentations.

► Finland

Ministry of Foreign Affairs, Office of the Under-Secretary of State, Evaluation of Development Co-operation (EVA-11)

Mandate

Recent institutional reforms resulted in evaluation being separated from the internal audit and performance review functions within the Ministry of Foreign Affairs. Evaluation of Development Co-operation (EVA-11) is now an independent entity attached to the office of the Under-Secretary of State for Development Policy and Co-operation.

The role of the Evaluation of Development Co-operation (EVA-11) entity is to manage large or strategically significant work, such as thematic and wide programmatic evaluations and evaluations of cross-cutting issues including human rights and democracy, poverty reduction and protection of the environment. The unit operates according to a Ministry by-law on evaluation, which is currently being updated to reflect the new institutional setting. Further direction is provided by the *Evaluation Guidelines: Between Past and Future* (Ministry of Foreign Affairs of Finland, 2007) which outlines basic principles of development evaluation. The unit seeks to comply with DAC evaluation principles in the organisation and process of its development evaluations.




Decentralised evaluations are built in to all project and programme plans. The unit will, on occasion, undertake evaluations which would normally be done by the decentralised systems when capacity is low, the evaluations are complex or independence and externality of the evaluators is of special value.

Independence

The Evaluation of Development Co-operation (EVA-11) is an independent, separate entity in the office of the Under-Secretary of State for Development Policy and Co-operation. The Director of EVA-11 reports directly to the Under-Secretary of State. EVA-11 develops the evaluation plans and discusses these with the Under-Secretary of State.

Evaluation is independent from operational development co-operation and the Department for Development Policy. EVA-11 has its own budget line (shared with internal audit) and the annual allocations are decided by Parliament. All evaluations are carried out by external consultants selected through competitive bidding. EVA-11 has access to the documentation of senior management and while it does not regularly attend management meetings, it may bring important issues to the agenda and participate in these meetings as needed.

Snapshot of evaluation resources – Finland

 Director  Senior evaluator + one senior capacity building/evaluation expert to join in 2010
 One junior staff, one trainee, one office assistant

USD 1.7 million (2009)

0.2% of ODA
(2008 disbursements)



Produces an average of 6 to 9 evaluations per year;
in 2008 four joint evaluations were completed.

Quality

DAC Quality Standards for Development Evaluation and the EU quality standards are both regularly included as annexes to the contracts of external consultants performing evaluations to ensure quality outputs and a credible process. These Standards are also used during the discussions of and feedback on draft reports.

According to a 2007 meta-analysis (looking at decentralised and centralised evaluation reports from 2006) the quality is fairly good, with an average rating of 3.44 out of 5 (for a total of 29 reports). The “design of evaluations” scored lowest of all criteria, at 3.15. None of the 29 reports received an overall rating of “poor”. A new meta-analysis for 2008 and 2007 development evaluations was being carried out at the time of writing.

Reporting and use

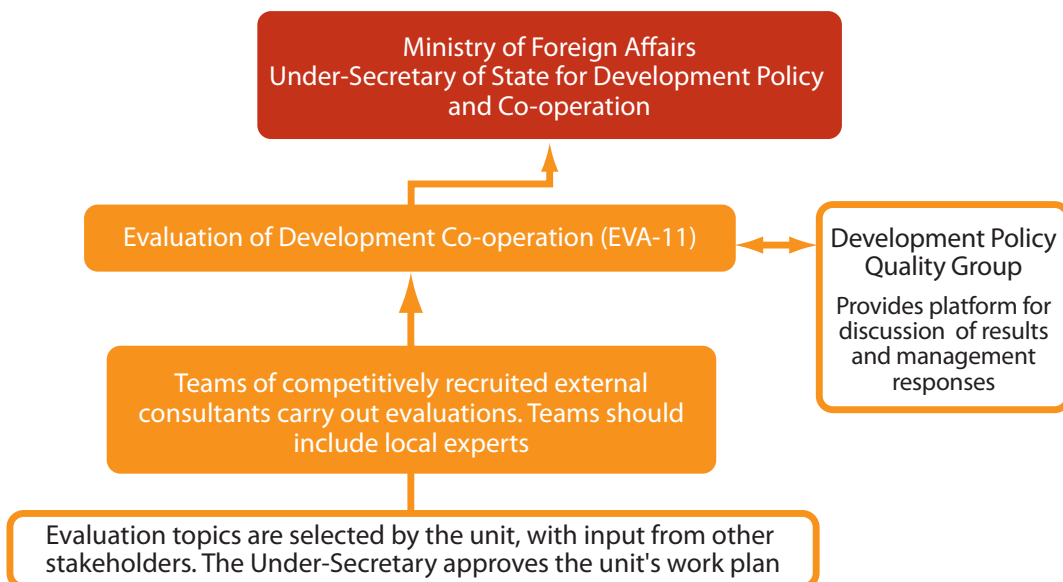
All evaluation results are made public and the budget includes the cost of publishing and distributing evaluation reports. The current distribution (free of charge) of printed reports is wide and reports are regularly made available to Ministry staff at headquarters and in the field, as well as to Parliament and, upon request, to media and civil society groups. Reports are also distributed in partner countries via Finland’s embassies.

A mechanism to ensure management response and follow-up action has been in place since 2008. The management response is presented in a table, prepared by the evaluation manager, which includes recommendations, the response decision and stakeholders’ comments.

Since piloting this function in 2008, the Development Policy Quality Group also serves as a platform for a horizontal discussion of the results of evaluations and the possible management response actions proposed by EVA-11. The members of the Quality Group are derived from the various units and departments administering development co-operation funds. The group is not a decision-making body but can provide recommendations.

On the basis of the formal decision by the senior management, the EVA-11 issues an official request for action to the relevant units and departments. Management response documents are available through the archive information service.

Summary of the evaluation process and reporting



► France

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

Evaluation Pole, Directorate General for Globalisation, Development and Partnerships (DGMDP), Ministry of Foreign and European Affairs

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

Mandate and roles

The French Development Agency (AFD), the primary implementing agency for French aid, houses the **Evaluation and Knowledge Development Unit (EVA)** which has two main objectives: to draw lessons from the past in order to improve future aid policies, programmes and projects, and to serve as the basis for accountability. The unit is responsible for conducting evaluations in line with these objectives, and in particular for: (i) defining evaluation methods and the quality assurance process; (ii) producing impact analyses of some of the programmes AFD supports; (iii) managing thematic or strategic evaluations; (iv) carrying out meta-evaluations and developing a knowledge base on specific topics. The unit also provides methodological support to end-of-project evaluations carried out in the field.

In the **Ministry of Foreign and European Affairs**, the **Evaluation Pole** of the Directorate General for Globalisation Development and Partnerships (DGMDP) works in three areas: conducting evaluations of assistance provided through DGMDP, methodological support to other departments and development of evaluation culture via partnerships.

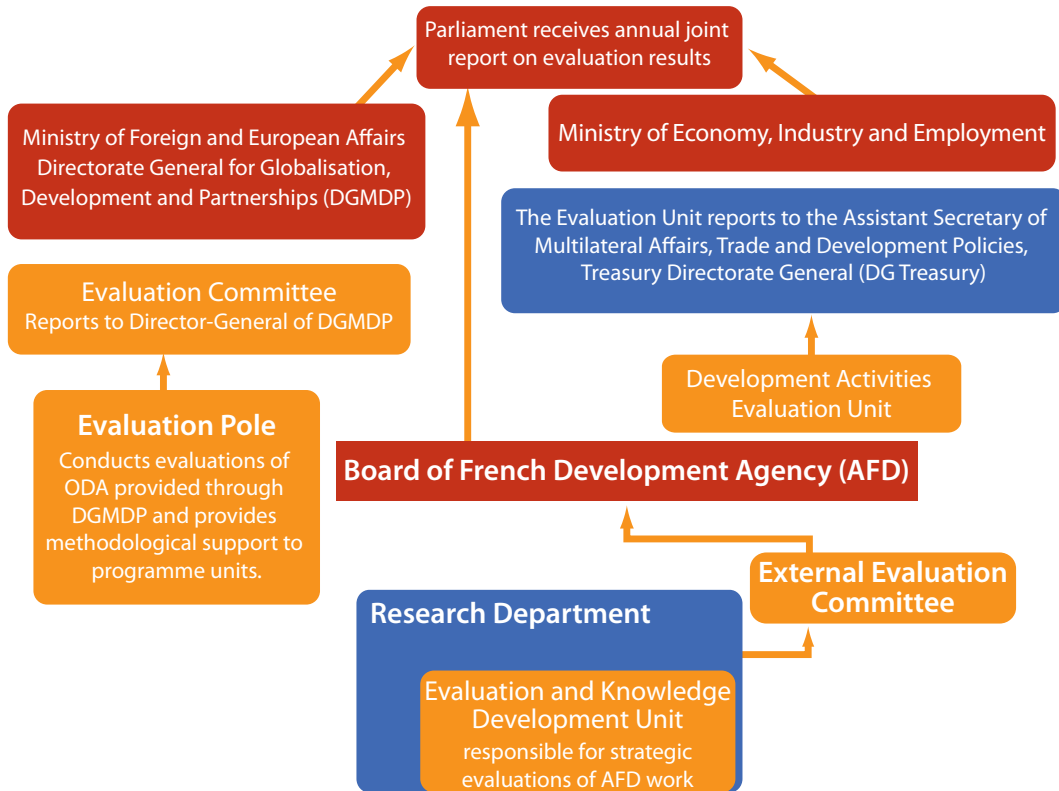
The **Development Activities Evaluation Unit** in the **Treasury Directorate General (DG Treasury) of the Ministry of Economy, Industry and Employment**, is responsible for conducting and managing evaluations of development activities undertaken by the Ministry. These include evaluations of France's contributions to multilateral banks and funds and bilateral development assistance initiatives, such as aid for trade programmes, global budget support, and initiatives financed by the Emerging Country Facility and FASEP-ETUDES projects (a private sector aid fund).

The three evaluation programmes are largely co-ordinated and many evaluations, notably evaluations of cross-cutting issues, are managed jointly by the three units. Since 2009, a joint report on evaluation results is sent annually from the three units to Parliament.

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

The Evaluation and Knowledge Development Unit is part of the Research Department within the Strategy Directorate of AFD. The Unit is separate from the operations departments and management. Creation of an external Evaluation Committee was imminent at the time of writing and is intended to increase independence of the evaluation function. This Evaluation Committee will be composed of four members from the supervisory Ministries and four independent specialists and will be chaired by an independent expert. The Evaluation Unit will report to this Committee, which will in turn report directly to the AFD board.

Summary of institutional set-up and reporting



The Evaluation Committee will work to support quality evaluations, including by commenting on major evaluation reports. As a further quality-assurance mechanism, all project evaluations are followed by a reference committee. Moreover quality of individual evaluation report is rated by the Evaluation Unit using a quality grid, which is published along with the report. Large evaluations are managed by a steering committee, which includes external individuals. Similar quality requirements also apply to decentralised evaluations.

All standard evaluations are carried out by external evaluation consultants, while impact evaluations are conducted by academics and some knowledge products are completed in-house by unit staff. A priority is placed on the use of local consultants for project-level evaluations.

The Evaluation Unit has a three-year strategic plan covering all of their activities (decentralised evaluations, strategic evaluations, meta-evaluations, impact evaluation and evaluative research, capacity building, and dissemination). Specific topics for strategic evaluations are selected annually and these plans are shared with the DAC Secretariat. Depending on the type of evaluation and the partners, contact is usually made with local agencies and developing country partners to inform them that an evaluation is in progress.

The evaluation budget covers dissemination activities, including meetings or conference organisation and publication of knowledge products (synthesis, stocktaking etc.). Evaluation findings are systematically shared with the intended beneficiaries of French assistance and, since 2007, with the general public, media and civil society in France. There is currently no formal management response or follow-up system.

Evaluation Pole, DGMDP

The Evaluation Pole works in three areas: conducting evaluations of ODA provided through DGMDP, methodological support to other departments and building a culture of evaluation. Evaluations are conducted by competitively selected external consultants. End-of-project evaluations are initiated and conducted directly by programme directors, with methodological support from the Evaluation Pole. The unit reports to the Director-General through an Evaluation Committee.

The Evaluation Pole is institutionally located next two other units (audit, management control) charged with improving effectiveness and performance of development assistance policies, programmes and strategies managed by the Minister of Foreign Affairs. The unit participates in working groups on French assistance strategies, aid effectiveness, and the relationship between evaluation and the evolution of aid.

A yearly evaluation programme is formulated by the head of the Evaluation Pole in cooperation with the field and central departments and is validated by an evaluation committee presided over by the Director-General of DGMDP. AFD and the Ministry of Economy participate in this committee.

Each evaluation is guided by a steering committee comprised of people from all involved departments of the MFA (or other concerned institution or ministries); this group follows the evaluation process, approves the terms of reference and evaluation questions, and monitors the production of the evaluation reports.

Staff of the evaluation unit uses other donors' evaluation reports as a reference for their own work or to cross-check findings. However, language barriers prevent use of many reports more widely among MFA staff.

Work with partner countries is decentralised to the embassies. Field-level staff discuss with local partners to determine if and how they might be interested in taking part in a proposed evaluation. The evaluation steering committee is connected to a local steering committee which comprises French embassy staff and partner country stakeholders (for example, the Ministry of Finance). To support capacity development, the Evaluation Pole has organised numerous trainings for evaluation consultants in Guinea, Kenya and Togo.

A monitoring table is used to verify annually the status of the implementation of evaluation recommendations (or any difficulties encountered). The evaluation unit participates in the review of new projects to ensure that prior evaluation findings are taken into account at the planning stage. Evaluation conclusions and recommendations are made public, first through a meeting with involved stakeholders and then in electronic format on the *France Diplomatie* website. Since 2001, a review of evaluations is also produced and widely distributed, presenting a summary of the most significant evaluations completed.

Development Activities Evaluation Unit, Treasury Directorate General (DG Treasury)

The Development Activities Evaluation Unit reports to the Assistant Secretary of Multilateral Affairs, Trade and Development Policies within the *Direction générale du Trésor* (Treasury Directorate General). The Head of the unit participates in weekly senior management meetings.

The head of the Evaluation Unit has primary responsibility for the evaluation work plan. Three-year evaluation plans are decided based on interviews with the operational units at HQ and field units. The head of unit formulates initial plans which are then agreed with programme divisions. This proposal is presented to the Treasury and

Economic Policy General Director who approves the three year programme. Specific evaluation topics for the following year are confirmed annually (some programmes, including aid for trade, the Emerging Country Facility and the FASEP-ETUDES projects are subject to an obligatory evaluation as required by the law).

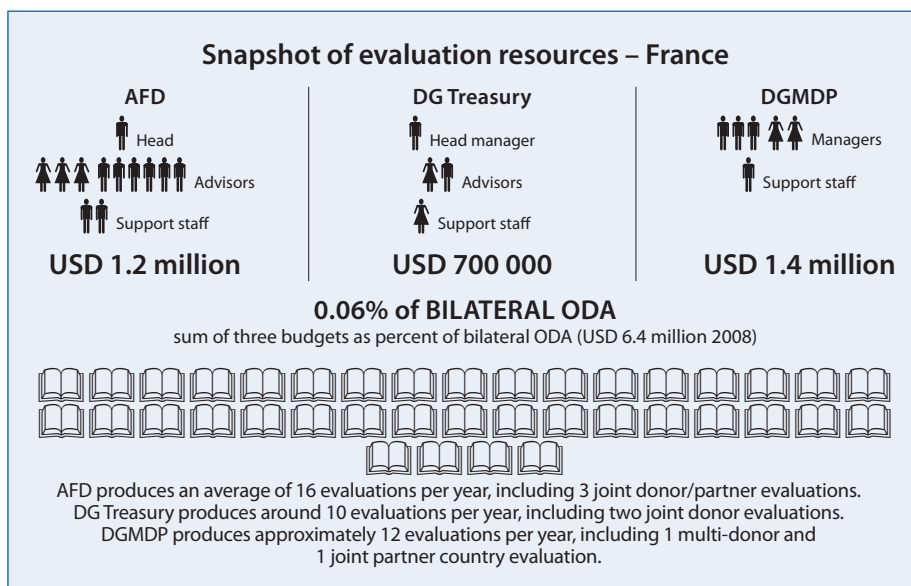
The processes of planning of the evaluation programme, formulating terms of reference and selecting evaluation teams are designed to ensure impartiality and independence of the evaluation function. All evaluations are conducted by external consultants, recruited competitively as stipulated by the applicable public procurement code.

Each evaluation is monitored by a Steering Committee which is responsible for initiating the evaluation and for validating the evaluators' work. The committee includes representatives from relevant administrations and agencies, and public figures from civil society, the research community or the private sector. Members are selected on the basis of their expertise in evaluation. During the evaluation process, the committee carries out a quality audit and a check list of evaluation quality is completed and included at the end of each report.

The steering committee decides how to involve partner countries in an evaluation. When partners are involved they make comments on terms of references and evaluation questions and participate in evaluation workshops. The DG Treasury encourages involvement of local consultants from partner countries.

For joint evaluations the Unit contacts other agencies on a case-by-case basis. The Unit regularly uses evaluations completed by other donors, according to relevance for current work. Implementation of evaluator recommendations is monitored by the Evaluation Unit. The Head of the Unit prepares two notes addressed to the Minister of Economy, Industry and Employment each year on evaluation outcomes and follow-up actions.

When an evaluation is completed, English summaries and French full-text reports are published on the unit's website along with the quality check-list reviews. A workshop to internalise findings and a workshop in the partner country may be organised. A summary on key findings is sent to the General Director of AFD. Other relevant officials in the administration receive a copy of this note. An annual report on evaluation outcomes and is sent to the Parliament.



► Germany

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

Evaluation Department, KfW Entwicklungsbank (KfW)

Evaluation Unit, Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)

Mandates

The lead agency for the evaluation of German development cooperation is the Evaluation and Audit Division of the Federal Ministry for Economic Cooperation and Development (BMZ-E). It has the overall responsibility for the evaluation system of German development cooperation, is tasked with providing guidance and quality assurance of evaluation systems of implementing agencies, and represents Germany in international evaluation fora. A new evaluation policy and guidance for the German development cooperation evaluation system is being finalised at the time of writing.

BMZ has devolved the responsibility for systematic and independent project evaluation of concluded interventions of its bilateral aid to its implementing agencies, including GTZ and KfW (the two largest agencies). The evaluation units of GTZ and KfW manage evaluations of Technical Cooperation and Financial Cooperation respectively. An evaluation working group led by BMZ-E helps to ensure coordination between BMZ's evaluation unit and the units of four major implementing agencies, including KfW and GTZ.

BMZ's management and implementation system is poised for reforms, including in particular a merger of three technical cooperation agencies, which might have repercussions also on evaluation functions.

Evaluation of Development Cooperation and Audit Division, BMZ

Besides providing guidance and oversight on implementing agencies' and civil society organisations' evaluations and evaluation systems, BMZ-E is charged to conduct development policy relevant evaluations of German Development Cooperation as a whole. BMZ funded interventions of all implementing agencies and NGOs, as well as contributions to multilateral organisations are covered on a selective basis. About one third of its evaluations are conducted jointly with other donors and partner countries. In addition BMZ-E assists policy divisions on statutory performance audit issues required by the budget code and is also establishing a programme on evaluation capacity development.

BMZ-E operates independently from BMZ policy divisions. As a separate unit – merged with audit in 2008 – within the Directorate "Central Management and NGOs" the head of division reports to the State Secretary through the Director General. All evaluations are conducted by external consultants, usually contracted following an EU tender process,

Evaluation set up in BMZ



who have the final say on the content of the reports. The evaluation reports are available to the public upon request and executive summaries are published on BMZ's website.

Quality is assured by a stepwise process, including a mandatory inception report, involvement of stakeholders and increasingly of external experts through establishment of a reference group for each evaluation. The evaluation unit undertakes a quality control of evaluation reports using a related checklist. The format and content of this list have been updated according to the new DAC Quality Standards for Development Evaluation.

BMZ-E has a two year work programme with some room for flexibility to accommodate joint evaluations or additional demand from the BMZ political level. The planning process follows a bottom up process in which every division is consulted. BMZ-E collects requests and formulates a proposal (including its own suggestions) that is presented to the state secretary who decides on the final programme. So far, the evaluation programme is mainly demand driven, but this is about to change to ensure more systematic coverage and better reflect risks.

Participatory evaluation processes that involve all stakeholders, including those at the local level (without compromising the independence of evaluations) enhance the use of evaluation results and recommendations. In addition to fostering such participation, BMZ-E also actively engages in disseminating findings, and tracks the implementation of recommendations. A formal procedure for follow up has been in operation since 2001, which entails the following steps: inclusions of major recommendations in an implementation plan, description of the intended follow up by the operationally responsible division, a review some 18 months later through self assessment, analysis of this assessment by an external consultant, and finally the submission of the results to BMZ policy level.

Evaluation Department, KfW

Within KfW *Entwicklungsbank* all *ex ante* evaluation and most of interim evaluations of projects to be implemented by our partners are conducted by the operating departments. The Evaluation Department concentrates on independent *ex post* and thematic evaluations. The Department also conducts seminars and workshops on evaluation principles, assesses experiences from KfW funded projects and informs the federal government and the public about the results of its evaluations. Regular meetings are held with evaluation departments in BMZ, GTZ, InWent, and DED (working group referred to above) to exchange lists of evaluations planned, co-operate on evaluation capacity development, and work together on specific cases.

Independent experts are assigned to conduct *ex post* evaluations. These experts may be freelancers or KfW staff; they do not qualify if they have previously worked in or for the project to be evaluated. The Department is an independent entity reporting to the board. Manuals and guidelines help ensure quality of evaluations. For decentralised evaluations self-reviews are done for certain topics and there is permanent internal and external auditing.

The evaluation agenda is determined according to a set of rules for a multi-year plan, but the formal work programme is agreed on an annual basis. A stratified random sample of all finished programmes and projects is evaluated each year out; there is a rolling planning for thematic and cross cutting issues.

The Department has a number of instruments to support institutional learning including: discussion of the evaluation results with all stakeholders, dissemination of general conclusions (lessons learnt), and learning by exchanging roles. Reports and presentations are used to inform agency staff and management, as well as the general public about evaluation results. There is no institutionalized process to enforce management responses to each and any evaluation.

Evaluation Unit, GTZ

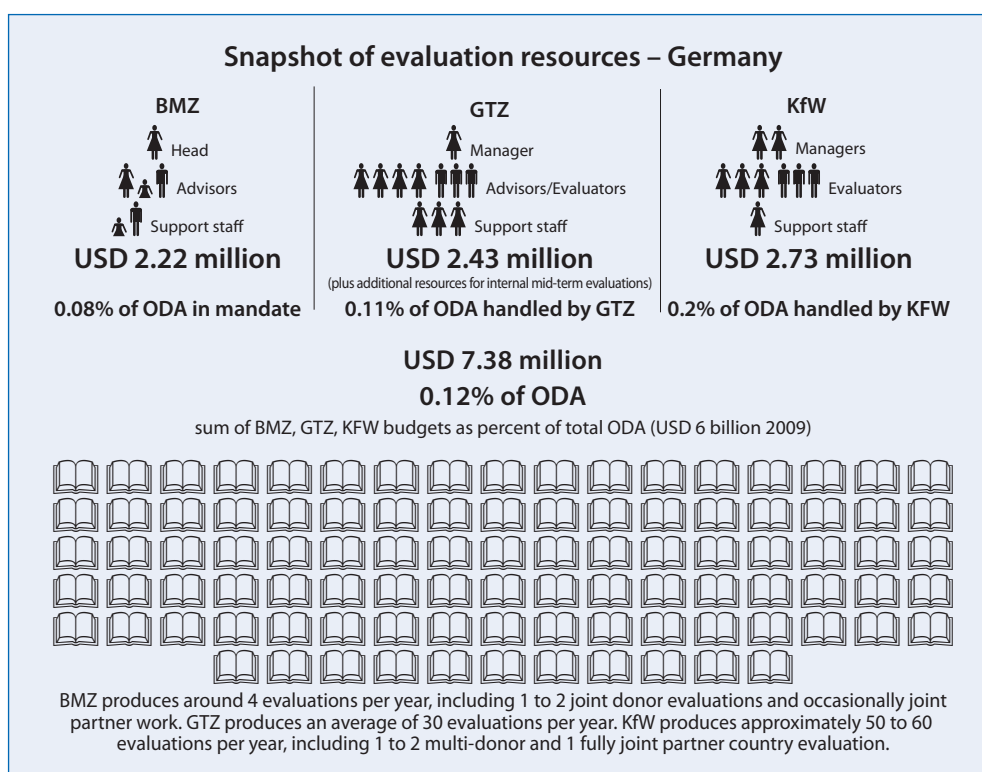
As part of its corporate tasks, the Evaluation Unit further develops the GTZ-evaluation system (concepts, procedures, methods and instruments), advises the operative departments on decentralised evaluation, analyses evaluation findings for learning and accountability purposes, and communicates evaluation methods and results to the external and internal public. The unit manages evaluations within GTZ on behalf of BMZ (independent project evaluations), other commissioning parties and of the Managing Directors (for example, corporate policy themes and strategies, such as the GTZ gender strategy). Beyond these duties, the unit supports BMZ in its efforts to coordinate and harmonise evaluations of German DC.

In accordance with the principle of independence, the GTZ Evaluation Unit is clearly separated from the operative departments, and reports directly to the Office of the Managing Directors. Independence is furthermore promoted by contracting independent consulting firms and independent institutes to conduct evaluations. The head of the unit participates in meetings of Senior Management but not in the highest Management Team.

To support quality the unit uses process documents and templates, training of consultants, inception reports, quality check of evaluation staff members supported by a quality check list, joint/peer reading of the evaluation report, and joint debriefing sessions with involved persons.

Projects to be evaluated are selected on the basis of a random sample of concluded projects within two sectors per year. Projects with a high potential for learning are added. The sectors are chosen on the basis of the evaluation interest of Senior Management within GTZ and agreed with BMZ. On this basis GTZ co-ordinates with other organisations for joint evaluations.

A management response system has been agreed upon and will be piloted in 2010.



► Inter-American Development Bank (IADB)

Office of Evaluation and Oversight (OVE)

Mandate

The board mandates that Office of Evaluation and Oversight (OVE) conduct Country Program Evaluations (CPE); policy, strategy, thematic and instrument evaluations; and oversee the bank's internal monitoring and evaluation system, processes and instruments. Moreover, OVE conducts oversight reviews of corporate strategy, processes and instruments; provides normative guidance on evaluation issues; and contributes to evaluation capacity building in the region. In 2003, OVE began conducting *ex-post* project evaluations as well. Self-evaluations are carried out by programme staff in operational departments.

OVE carries out evaluations of development impact, *ex-post* performance and sustainability of individual projects classified into three themes: country programmes evaluations whenever there is a national election; sector and thematic evaluations; oversight reports on bank policies and programmes.

Independence and quality

OVE is independent of bank management. It has organisational and behavioural independence, and is free from external pressure and conflicts of interest according to the criteria established by the Evaluation Co-operation Group of the Multilateral Development Banks (ECG), of which the Inter-American Development Bank (IADB) is a founding member. OVE's findings, analyses, and conclusions are free from influence by line management 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.

Management does not clear or approve the report. Report submitted to the Policy and Evaluation Committee of the board (Country Program Evaluations go instead to the Programming Committee of the board), and then to entire board of Executive Directors.

The Director of the Office does not participate as a member or as an observer in senior management meetings. The Director is frequently consulted on Strategic and organisational Issues, as well as in other board decision making venues, for example, retreats.

To ensure quality, the OVE has evaluation guidelines and also submits evaluations to internal OVE peer review, discussion with relevant bank technical and operational staff, and the Audit and Evaluation Committee of senior management (chaired by Executive V.P.).

Co-ordination, planning and stakeholder involvement

OVE prepares an annual work plan based on requests from board of EXDs and input from bank management. OVE submits this plan to the Policy and Evaluation Committee of the board for discussion and then board approval. In terms of coverage: 100% of projects are self-evaluated by operations staff, 20% *ex-post* evaluations by OVE plus validation of a sample of 20% of Project Performance Monitoring Reports and Project Completion Reports by OVE.

Reporting and use

Management response is dictated by an internal policy. The Strategy and Policy Development Department serves as a liaison and seeks to ensure implementation of recommendations. Written comments by the country concerned or by the bank's management, if any, will be made publicly available if the underlying evaluation is available.

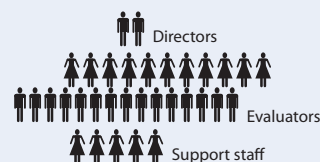
The bank revised its disclosure policy as of 1 January 2004. The general principle is to make information available to the public unless there is a compelling reason for confidentiality. As a result, all OVE documents will be made available to the public after the board of Executive Directors has completed its consideration of them. Restrictions apply, however. Only summaries are disclosed if the borrowing member country objects to disclosure of a Country Program Evaluation. In that case, information deemed confidential and sensitive will be redacted and a notation as to what section was redacted. All Reports are automatically published unless not authorised by the board – in which case the fact that the report exists is public, except for the section (or sections) made confidential by board decision.

Capacity development

Part of OVE's mandate includes Evaluation Capacity Development, which OVE does through co-operative evaluation agreements with sub-regional financial institutions, seminars and other training activities. The key evaluation capacity problem in borrowing member governments is the absence of an institutional location in the budget decision-making structure for evaluation. This has led OVE to provide limited direct evaluation capacity building assistance to borrowers and to urge management to address this problem in its modernisation of the state projects. For its part, OVE also has included borrower participation in *ex-post* project evaluations as a way of increasing their institutional capacity to conduct evaluations and use them for better resource allocation.

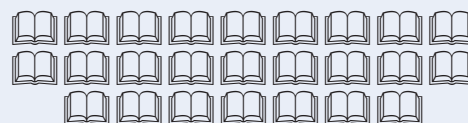
OVE has co-operative agreements with the Caribbean Development Bank, the Central American Bank for Economic Integration and the University of the West Indies to carry out joint evaluation capacity development activities. OVE also has worked with the Brazilian Institute for Research in Applied Economics (IPEA) to develop evaluation networks in Latin America and to increase awareness of the utility of evaluation for public administration. Finally, in conjunction with IPEA, the bank supported the development of the website of Inter-American Roundtable on Evaluation and Performance Measurement, which contains relevant resources in Spanish and English.

Snapshot of evaluation resources – IADB



USD 6.8 million

1.4% of the administrative budget of IADB



Produces 25 evaluations per year, of which 7 are conducted jointly with partner countries.

► International Monetary Fund (IMF)

Independent Evaluation Office

Mandate

The International Evaluation Office's (IEO) overarching mission is to improve the IMF's effectiveness by:

- Enhancing the learning culture of the IMF and enabling it to absorb lessons for improvements in its future work better.
- Helping build the IMF's external credibility by undertaking objective evaluations in a transparent manner.
- Providing independent feedback to the Executive board in its governance and oversight responsibilities over the IMF.
- Promoting greater understanding of the work of the IMF.

The IEO has been established to systematically 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.

Independence

The IEO is an independent body of management and operates at "arm's length" from the Executive board, reporting directly to the Executive board. Key features that reinforce independence include that the IEO Director is appointed to act independently according to a terms of reference covering an appointment, limited to one non renewable term. The Director's actions are not subject to the Executive board. Both determination of the work programme and hiring decisions are independent from the board. The Director of the IEO does not participate, either as a member or as an observer, in senior management meetings.

The evaluation budget is approved by the Executive board based on a proposal prepared by the Director of IEO. The budget approval process does not influence the content of the evaluation programme, but determines its overall size.

Quality

To ensure quality, the IEO uses peer review groups and workshops or can also seek advice from outside expertise as needed.

Five years after its creation (2006) an external evaluation of the IEO was carried out, which included a section on the quality of IEO evaluations. The evaluation found the following: "IEO evaluations to date are generally considered of high quality, but several criticisms were repeatedly made to the panel: they do not isolate and analyse in depth the most important questions such as why the IMF misdiagnoses exchange rate trajectories and over-estimates growth, nor do they tackle strategic institutional questions such as the IMF's role in low income countries or why should the IMF (as opposed to other agencies) be engaged in technical assistance. The analyses instead focus heavily on IMF processes

and procedures. The panel recommends a different mix of evaluators, greater use of peer review, and sharpening the IEO's Terms of Reference to make clear its systemic role.”

Co-ordination, planning and stakeholder involvement

The annual evaluation programme covers one fiscal year, with potential topics of evaluation for the medium term included. The medium term plan is refreshed every two or three years. The process of setting the work programme begins with the head of IEO developing a long list of possible topics and main issues, which is then shared with staff, management and the board of the IMF for consultation. There is a two to three month long consultation period, including formal meetings held with for example with NGO's, as well as informal discussions. After this consultation period the head of IEO selects the evaluations to be carried out. This final list is posted on IEO's web-site and circulated internally. The board can add to the list but cannot delete anything – it reviews but does not “approve” the work programme.

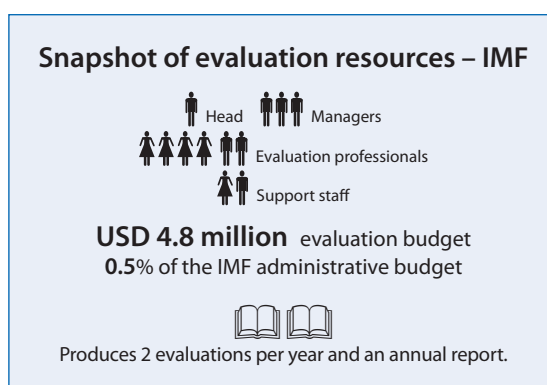
The IMF does not regularly use other development agencies' evaluations because of the vast differences in interests, mandate and methods between bilateral donors and banks, and even between the IMF and multilateral development banks. Partner country stakeholders are not involved in the evaluation process.

Reporting and use

IEO reports are circulated simultaneously to IMF management and the Evaluation Committee of the Executive board but are not changed in light of comments received (except for factual corrections). IEO may submit its own comments on management's comments for consideration by the board. With board approval, reports are published along with comments of management, staff and – where appropriate – the relevant country authorities. IEO's comments on management comments, and the Chairman's summary of board discussions are also published.

Past reviews found that follow-up to IEO reports was an area of weakness. A new system for tracking follow-up actions and recommendation was recently put in place but it is too early to say how well this system is working.

A number of other outreach activities are managed by the IEO including events specifically organised with civil society and member governments.



* International Monetary Fund, “Report of the External Evaluation of the Independent Evaluation Office” (Washington, 2006).

► Ireland

Evaluation and Audit Section, Irish Aid

Mandate

The Evaluation and Audit Section of Irish Aid is charged to identify evaluation topics; plan, co-ordinate and manage evaluation activities (including “Value for Money” exercises); provide quality assurance of evaluations; actively disseminate key findings and publish reports; ensure that key findings feed into the appropriate policy, strategy, planning and appraisal cycles; and, manage a database of reports and recommendations. The Section also spends about 20% of its time providing guidance, training and support to evaluations undertaken by business units, Irish Embassies, and other partners. These evaluations are funded directly from programme costs.

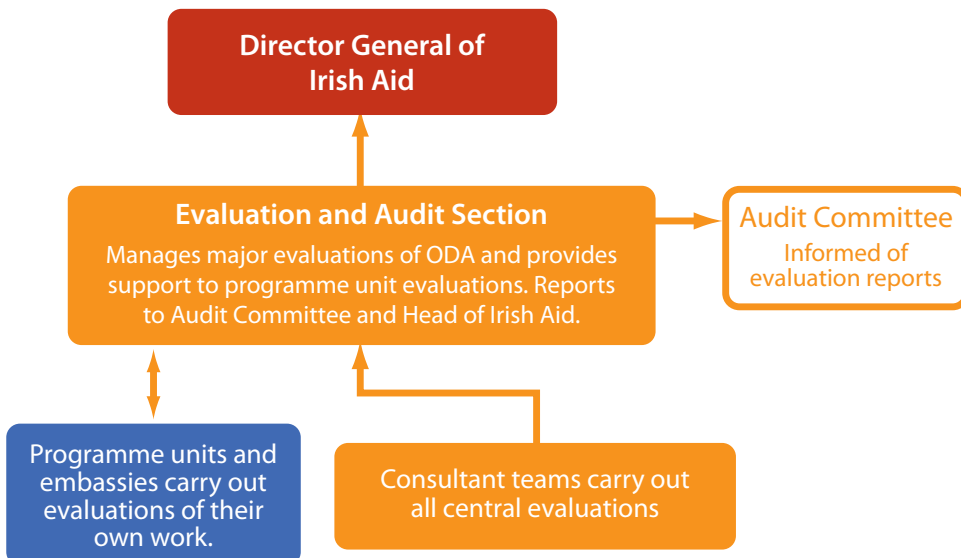
The Section’s mandate covers evaluation of ODA funds administered by the Department of Foreign Affairs but not expenditure administered by other Departments. Multilateral assistance is covered by multilaterals’ own systems and through joint evaluations as possible.

Independence and reporting

Evaluations are conducted by external, independent consultants who are recruited through an open tendering process in accordance with Irish Government procurement procedures. Consultant teams are typically a mixture of international and local consultants from partner countries.

The Department of Foreign Affairs Audit Committee provides an independent perspective on Irish Aid’s audit and evaluation arrangements and reviews the Evaluation and Audit Section’s annual work plans. The committee includes six independent members (four from the private sector and two retired civil servants) and meets six to seven times a year to review all audits and evaluations. It reports to the Secretary General of the Department and its annual reports are publicly available.

Summary of reporting lines and institutional set-up



The Evaluation and Audit Section reports to the Director-General of Irish Aid. All evaluations produced by the Section are submitted directly to the Projects Appraisal and Evaluation Group. They are also given to the Department's independent Audit Committee and published on the website.

Quality

In the interests of increased co-ordination of approaches to evaluation, Irish Aid has adopted the Swedish International Development Agency evaluation manual "Looking back, moving forward" (2004) as its core reference document for the management of evaluation assignments. The Section works to build-in quality through a number of methods including use of the DAC Quality Standards for Development Evaluation. All evaluations are managed by the Section and supervised by a steering committee or reference group, involving at least one stakeholder from outside Irish Aid (typically from another Irish institution or other experienced individual), representatives of the Section being examined and the Evaluation Section itself.

Planning

The Evaluation and Audit Section's annual operational work plans are framed within a three-year rolling work plan, updated each year. The evaluation plan is not publically available but is shared regularly with the DAC Network. The plan covers strategic evaluations across the entire development programme and is informed by a number of specific criteria for topics, including policy relevance, usefulness, risk, and feasibility. The Section has sought to improve the planning process by moving towards a risk-based approach.

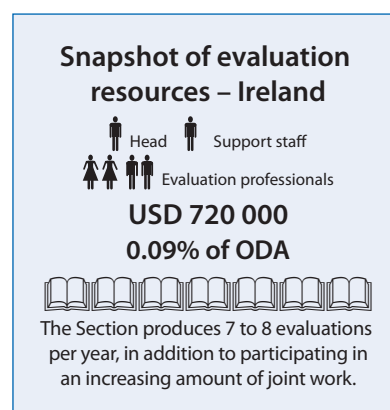
The Head of the Evaluation Section has a major role in proposing the work plan, following extensive consultations with other Sections in Irish Aid, field missions and other Divisions in the Ministry of Foreign Affairs. Plans are then presented to senior management and the independent Audit Committee. The Senior Management Committee does not necessarily accept all the proposals by the Section. The Department of Finance can also have an influence on the plan, particularly for Value for Money and Policy Reviews.

Use of Country Systems and Alignment

The Section welcomes, in principle, the concept of partner-led evaluation and uses local consultants where possible, but has not so far involved partners in lead roles. The degree of involvement varies greatly depending on the type of evaluation. The Section also takes into consideration the situation in the partner country, including the potential for an evaluation to create a burden on that country.

Management Response

To ensure that the findings and recommendations of evaluations are properly taken into account by the operational departments concerned, a management response is formally documented as an "action plan" and published together with the evaluation. This



identifies the actions necessary to improve the quality of the intervention or to rectify problems. When recommendations are rejected by the Division/Section concerned, the reasons for rejection are clearly stated in the management response.

Distribution and use

Evaluation reports are presented in clear and accessible formats for dissemination to stakeholders including via the Irish Aid official website, and formal publications where appropriate. A plan for dissemination of the report, its findings, conclusions and main lessons is created as part of the planning process of an evaluation. Dissemination often includes formal and informal workshops and briefings, and the targeted distribution of reports and abbreviated summaries to different interested groups. Press Releases are prepared for Value-for-Money reviews and other major evaluations. External interest in evaluation, even among NGOs, has been somewhat limited to date. There are occasionally newspaper reports on evaluations, but, in general, public and Parliamentary attention has been low (in contrast to audit reports which typically get more coverage).

► Italy

Ministry of Foreign Affairs, Directorate General for Development Co-operation

Inspection, Monitoring and Initiatives Assessment Unit (Evaluation Unit)

Please note: At the time of this report, the evaluation unit for Italian co-operation was still under development. The information provided here reflects provisional policies and plans as of September 2009 and is subject to change.

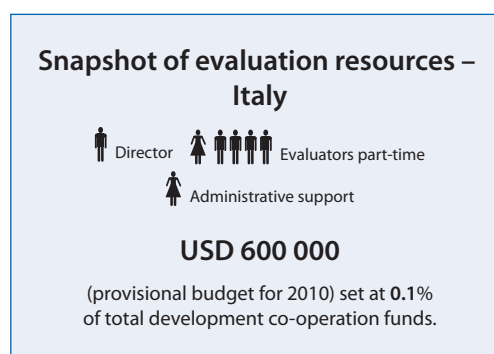
The mandate of the Inspection, Monitoring and Initiatives Assessment Unit (Evaluation Unit) is still being decided but its main role will be managing evaluations of development co-operation projects and programmes. Guidelines for the unit are being drafted. The staff members work part time on evaluation and part time for the Technical Evaluation Unit, reporting to the Steering Committee Secretariat, which is charged with reviewing and approving all development initiatives before they are brought before the Steering Committee to be approved and then implemented.

The Evaluation Unit is located outside of the Secretariat and reports directly to the Director-General.

Country partners have seldom been involved in evaluations, though they occasionally take part in the decision to undertake an evaluation or in facilitating data collection. Evaluation capacity development will be included in the new evaluation guidelines.

The unit disposes of an evaluation manual which is currently being updated. The guidelines reflect DAC Principles for the Evaluation of Development Assistance.

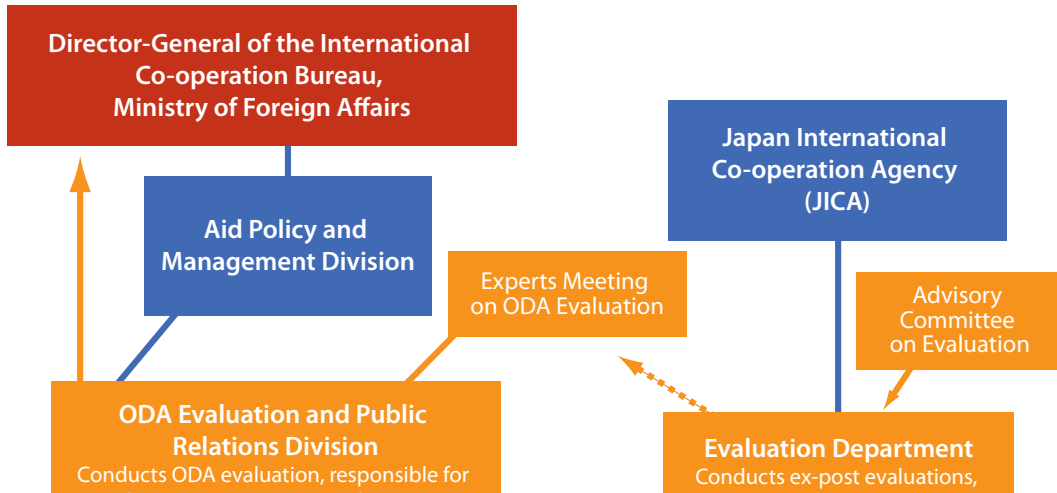
The head of the evaluation unit attends senior management meetings. Evaluation findings are shared with agency staff and management at headquarters. There is currently no management response system.



► **Japan**

ODA Evaluation and Public Relations Division, Ministry of Foreign Affairs (MOFA)
Evaluation Department, Japan International Co-operation Agency (JICA)

Summary of reporting lines and institutional set-up in Japan



ODA Evaluation and Public Relations Division, MOFA

In order to ensure efficient evaluation of ODA, MOFA and the implementing agency place importance on mutual co-operation and the division of roles. Since MOFA is responsible for the planning and development of economic co-operation policies, it focuses its evaluation on policies and programmes rather than individual projects. The objectives of ODA evaluation are to support ODA management and ensure accountability. MOFA hosts expert meetings on ODA evaluation consisting of ministries and agencies involved in ODA, and also compiles ODA evaluation results from other ministries and agencies.

In order to meet these requirements, MOFA mainly conducts evaluations of ODA policy and programmes. Results are fed back to ODA policymakers and implementation agencies (both in Japan and in the partner countries). Also, to ensure accountability, the ODA evaluation results are made available to the public through the MOFA website.

The ODA Evaluation Division has been reorganised as the ODA Evaluation and Public Relations Division in July of 2009. The ODA Evaluation and Public Relations Division is a subsidiary of the Aid Policy and Management Division. However, the function of evaluating ODA is independent from the functions of planning and implementing ODA. The Head of ODA Evaluation and Public Relations Division reports to the Director-General of the International Co-operation Bureau. The ODA Evaluation and Public Relations Division takes charge of ODA evaluation affairs, such as the implementation of ODA evaluation, the feedback of ODA evaluation results, the making public of ODA evaluation results, and so on.

Snapshot of evaluation resources – Japan MOFA

Director
 Advisors/Evaluators

Support staff

USD 2.4 million
0.035% of ODA

MOFA produces 8-10 evaluations per year, of which 1 is joint.

Most officials of the division have participated in some ODA evaluation workshops or training courses in order to brush up on their knowledge of evaluation and improve quality of internal evaluations. They also have opportunities to exchange information about evaluation with members of the Japan Evaluation Society.

MOFA conducts mainly third-party evaluations of ODA policies and programmes, though it is also in charge of a small number of joint evaluations or recipient country evaluations. Toward the end of each fiscal year, decisions as to topics of evaluations for the next fiscal year are made by MOFA. MOFA makes a budget request for evaluations to the Ministry of Finance every year based on their work programme. About 97% of the budget is dedicated to ODA evaluation studies (policy-level and programme-level evaluations) and 3% for ODA evaluation studies by partner countries.

MOFA manages the Experts Meeting on ODA Evaluation, which consists of ministries and agencies involved in ODA and takes compiles evaluation results.

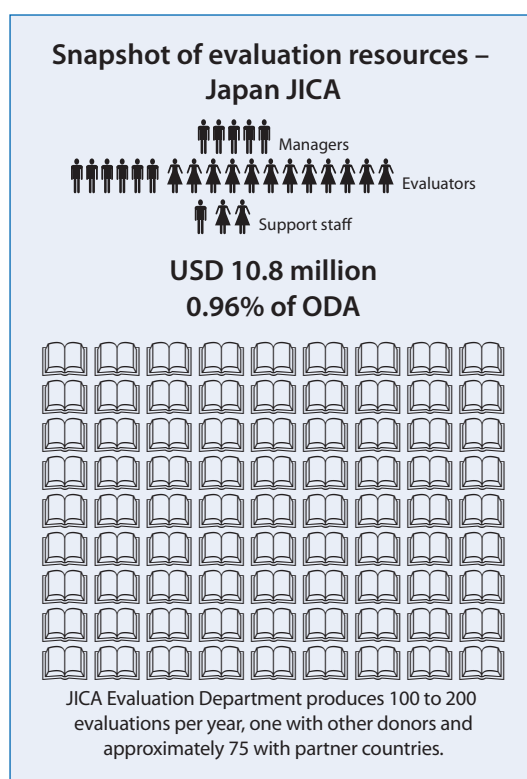
Evaluation Department, JICA

JICA conducts programme and project level evaluations of its ODA projects including technical co-operation projects, loan assistance projects, grant assistance projects and programme assistance. The primary role of the JICA Evaluation Department is to conduct *ex-post* evaluations. The Department also supervises and provides technical support to other types of evaluation (for example, *ex-ante*, terminal) conducted by the departments in charge of implementation.

The Evaluation Department is supported by the Advisory Committee on Evaluation whose mission is to ensure transparency and objectivity in project evaluation as well as to enhance the evaluation system and improve evaluation quality. The Committee provides JICA advice and recommendations on the guidelines and implementation of evaluation, and on the structure and overall system of JICA's evaluation function.

In an attempt to ensure objectivity of evaluation, JICA requests experts in partner countries to examine *ex-post* evaluation results on Japanese ODA loan projects. Their observation and opinions are summarised and attached to each respective project evaluation report. The Evaluation Department works closely with partner country stakeholders and they are involved in most phases of the evaluation, including as members of reference groups and in tracking follow-up action.

Planning is done on a yearly basis. *Ex-post* evaluations are done for all projects two to three years after completion. For ODA Loan projects, two years after a project has been completed, it is evaluated. In addition, for project level, *ex-ante* evaluation is conducted for all projects, while mid-term review (five years after) and *ex-post* monitoring (seven years after completion) are conducted selectively. For other evaluations, for example, thematic,



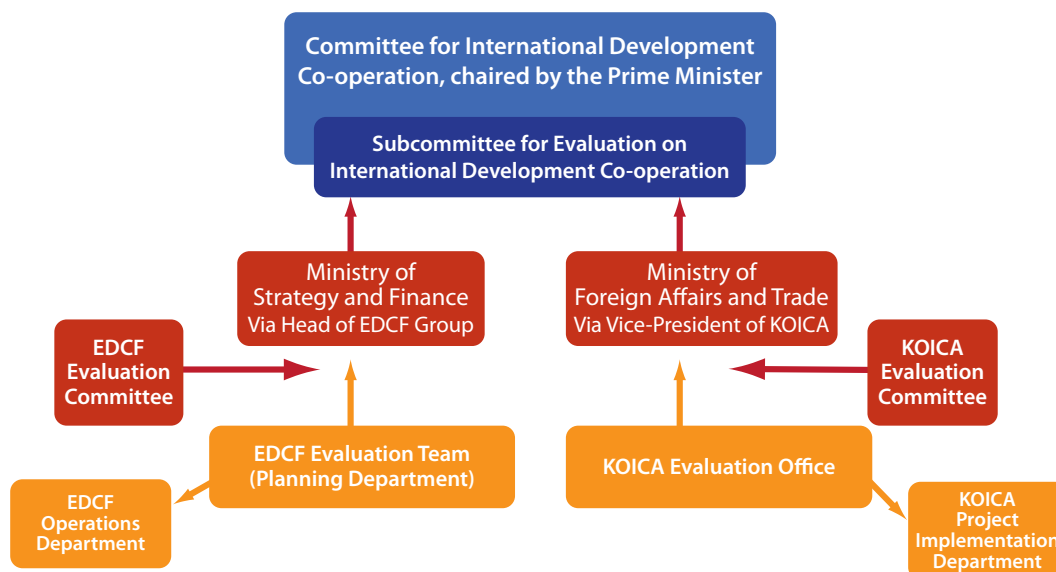
the planning is rather *ad hoc*. If some interesting opportunity turns up the unit will consider conducting an evaluation with the aim of conducting about four to five thematic evaluations every year. Annual evaluation reports provide information on current evaluations activities, challenges, lessons learned from past experience, as well as summaries of evaluation results.

A system of management responses is in place. As regards underperforming projects, JICA has set up a feedback system that utilises recommendations provided by evaluation. Also, evaluations for underperforming projects analyse reasons for underperformance, the results of which are extracted as lessons learned and will be reflected in new project designs.

► Korea

Korea International Co-operation Agency (KOICA) Evaluation Office Economic Development Co-operation Fund (EDCF) Evaluation Team

Summary of evaluation set-up and reporting system



KOICA

Mandate and role

The Evaluation Office has primary responsibility for: setting evaluation policy and procedures in line with policies of the Korean government and international standards, managing evaluations, conducting internal evaluations on a needs basis, monitoring feedback of evaluation findings, monitoring evaluations conducted by project implementation departments, and supporting capacity building of KOICA staff and external consultants. The head of the Evaluation Office, the Managing Director, may report directly to the President of KOICA and participates in senior management meetings within the agency.

The annual evaluation plan drafted by the Evaluation Office is reviewed and approved by the Evaluation Committee of KOICA which is composed of both internal and external members. All KOICA projects are subject to mid-term and completion evaluations, which are conducted by KOICA project implementation departments and monitored by the Evaluation Office. As a means of ensuring the quality of evaluation reports, the Evaluation Office reviews these reports before their release to check compliance with KOICA evaluation guidelines.

The Subcommittee for Evaluation on International Development Co-operation has been established under the Committee for International Development Co-operation, which is chaired by the Prime Minister. The role of the Subcommittee is primarily to review and approve the annual evaluation plans drafted by ODA implementing bodies in Korea including KOICA. The Subcommittee has established integrated evaluation

guidelines and procedures, which will be applicable to evaluations conducted by all ODA implementing agencies.

Independence

With regard to the organisational structure, the Evaluation Office is a separate entity, independent from project operational departments and distinct from the Regional and Policy Department. This set-up is meant to ensure the independence of evaluation contents and results. To ensure objectivity, the KOICA Evaluation Committee, which reviews the annual evaluation programme, is composed of both internal and external members.

External consultants are hired to carry out all external evaluations in accordance with the terms of reference. Given the purpose, background, and object of evaluation, the main roles of consultants are to design an evaluation matrix and a methodology, conduct evaluations, and produce and submit evaluation reports. About 60% of evaluation work is carried out by external consultants. The Evaluation Office carries out internal evaluations on a needs basis, especially for work that requires in-depth knowledge of the agency policy and procedures.

Quality

In order to ensure the quality of evaluations, the Evaluation Office develops and updates Evaluation Guidelines and provides these to evaluators in advance. The Office also provides evaluation workshops for internal staff in charge of evaluation as well as for external consultants. When an evaluation draft report is submitted, an Appraisal Committee is formed to assess the quality of the report. A review of KOICA evaluation quality found that not enough quantitative indicators are used and that there is room to improve the evaluation skills of external consultants.

Planning and collaboration

The evaluation planning process begins with the Evaluation Office developing a draft annual evaluation programme, by reviewing previous evaluation results and KOICA's recent policy, programmes and projects. The draft is discussed with relevant departments in KOICA and then with the Ministry of Foreign Affairs and Trade. After a series of consultations, an annual evaluation programme is submitted to the KOICA Evaluation Committee, which appraises the programme before the Managing Director transmits it to the KOICA president (via a Vice President). In principle, the Evaluation Office budget is allocated in proportion to increases in the overall budget of KOICA. Starting in 2010, KOICA's annual evaluation plan is to be approved by the Subcommittee for Evaluation on International Development Co-operation, which integrates and co-ordinates evaluations of all aid implementing bodies.

In *ex-post* or country programme evaluations, local consultants are hired to facilitate data collection or field visits. During field visits, a joint workshop with country partners is held to share ideas and information with regard to evaluation findings and results. Partner country stake holders are occasionally involved in other phases of the evaluation process as well.

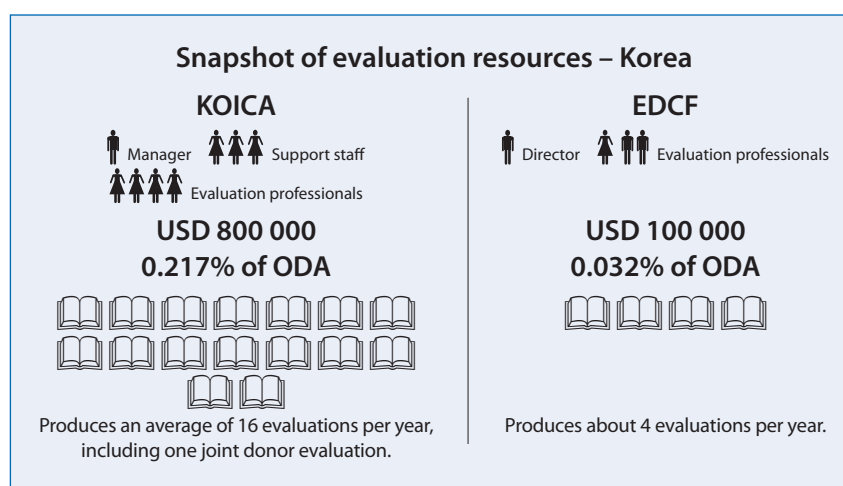
KOICA has not yet been involved in sharing evaluation plans via the DAC Evaluation Network.

Reporting, use and feedback

Major plans, such as the annual evaluation programme and individual evaluation plans, and the results of evaluations are reported by the Managing Director of the Evaluation Office to the President of KOICA, through a Vice President. Administrative issues are dealt with directly by the Managing Director or reported to a Vice President.

Upon completion of a report, the Evaluation Office holds a briefing session, during which evaluators are to deliver main findings and results from evaluations to both KOICA staff and the public. Evaluation reports are widely disseminated to staff and management within the agency as well as to the media, general public and civil society in Korea.

KOICA does not have a formal mechanism to ensure management responses. Instead, it has a feedback system under which project operation departments are to take evaluation findings into account in programming. In consultation with other departments and country offices, the Evaluation Office draws out the results from evaluation reports, analyses them and selects applicable recommendations. Once the selections are made, a feedback plan is distributed to departments concerned, which are responsible for taking action to improve programmes based on evaluation findings. The Evaluation Office keeps track of actions taken on a quarterly basis.



Economic Development Co-operation Fund (EDCF) Evaluation Team

Mandate and role

The EDCF Evaluation Team sets evaluation plans, manages evaluations conducted by the Operations Department, conducts external and internal evaluations, disseminates evaluation results, and suggests follow-up actions to the Planning Team and the Operations department and the Field Representative Office.

Independence

The Evaluation Team is independent from the Project Operations Department. Though it is housed within the EDCF Planning Department in the organisational structure, evaluations are conducted independently. Once evaluations are completed, the results are provided to the Planning Team for improvement of the EDCF system.

The Director or head of the Evaluation Team, as a member of the Evaluation Committee of the EDCF Group, reports to the head of the EDCF Group then to the Ministry of Strategy and Finance, which oversees Korea's ODA loans, support to multilateral development banks and EDCF.

In 2009, the Committee for International Development Co-operation (CIDC), which was established in 2006 to improve government coherence and co-ordination, decided to establish the Subcommittee for Evaluation under the CIDC. In order to ensure independence of the Subcommittee, it was composed of six members from the Korean Government and ODA implementing agencies – the Office of the Prime Minister, the Ministry of Strategy and Finance, the Ministry of Foreign Affairs and Trade, EDCF, and KOICA – and seven external non-government affiliated members representing academia, civic society, and the business sector.

Quality

For quality assurance, EDCF evaluation guidelines mandate DAC evaluation principles and include the DAC Evaluation Quality Standards for evaluators to ensure that evaluations are consistent with standards. To enhance the quality of evaluations for large projects or sector evaluations requiring technical skills, the EDCF Evaluation Team utilises the services of specialists and/or specialised institutions.

Planning and Collaboration

The Evaluation Team conducts an *ex-post* evaluation for every project two years after project completion and the designated Country Team within the Operations Department conducts the completion evaluation within six months of project completion. The Country Team also performs the midterm review on a need to basis. With consideration to such policies and internal regulations, an annual evaluation plan is formulated by EDCF and collaboration with the EDCF Group is necessary for efficient planning.

Beginning in 2010, all ODA evaluation plans of each implementing agency as well as of EDCF must be approved by the Subcommittee for Evaluation which integrates and co-ordinates the evaluations. Governmental officials, beneficiaries, and consultants in partner countries participate in the evaluation by facilitating data collection, assisting field visits, and responding to interviews and surveys.

Reporting and Use

After evaluation reports are approved by the EDCF Evaluation Committee, the reports are submitted to the Ministry of Strategy and Finance by the Director of the EDCF Group. Beginning in 2010, the reports must also be reported to and approved by the Subcommittee for Evaluation on the CIDC and the Parliament. Following these procedures, the evaluation results will be made public through the media, website, and evaluation reporting workshops.

In order to systematically apply evaluation results to future programme decisions, EDCF has introduced a numerical scoring system to indicate the overall success of a project in achieving set objectives. In addition, suggestions and recommendations from the evaluation reports are provided to the Operations Department and the relevant Policy Team for improved systems and operations.

► Luxembourg

Mandate and role

Pursuant to the DAC Peer Review of 2008, the Ministry of Foreign Affairs of Luxembourg is currently working on formalising an evaluation strategy for development co-operation. The Quality Control Division of the Ministry contains a Monitoring, Audit and Evaluation Unit, which oversees the conduct of external evaluations of ODA overseen by the Directorate for Development Co-operation (bilateral aid, multilateral aid and aid channelled through NGOs).

Regarding bilateral aid, the Ministry's implementing agency for Development Co-operation, Lux-Development, has an internal evaluation strategy in place. Its aim is to identify good practice and lessons for the future, as well as to provide information about the effectiveness of Lux-Development's work, to meet the agency's accountability obligations. With the help of external consultants Lux-Development undertakes two types of internal evaluations: self-evaluations, managed by the Operations Directorate, and independent evaluations, managed by the Evaluation and Capitalisation department (Expertise and Quality Directorate). All interventions are systematically evaluated mid-term and upon completion.

Evaluations examine four of the DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) as well as three cross-cutting aspects: gender, good governance and environment. Impact evaluation is done in the framework of *ex-post* evaluations carried out by the Ministry. Lux-Development asks evaluators to systematically assess whether the principles of the Paris Declaration on Aid Effectiveness, specifically alignment and harmonisation, were applied, and what results were achieved in terms of capacity development.

Internal and external evaluations (carried out by Lux-Development and the Ministry respectively) have different but complementary objectives. This implies close consultations between Lux-Development and the Ministry in the evaluation process.

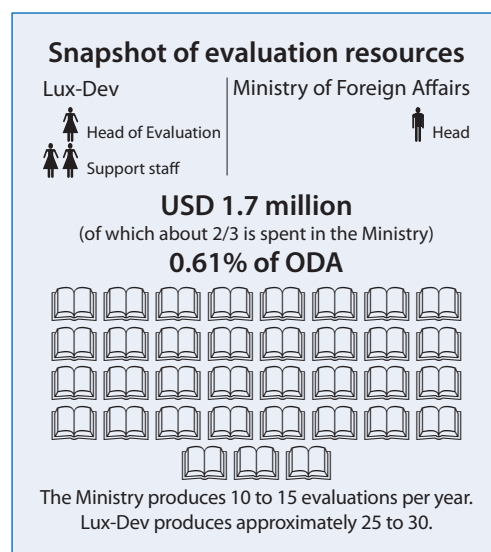
Other partners, like development NGOs, are also encouraged to budget evaluations and communicate the results to the Ministry, where they are shared with the head of evaluation. Development NGOs which have concluded a multi-annual framework agreement with the Ministry are evaluated by external consultants every three years; this evaluation is financed by the Ministry.

Quality

Lux-Development'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.

Independence

All external evaluations appointed by the Ministry are acquired via public tendering. The evaluation teams will usually consist of sector specialists and regional experts. Moreover, the Ministry requires that local experts be associated to each mission in



order to complement the external consultants’ view with their pertinent local insight. Evaluators are required to give an independent and impartial feedback of their findings, following the terms of reference elaborated jointly by all implicated partners under the co-ordination of the Ministry. Evaluation missions are expected to deliver reports containing recommendations in terms of policy, as well as practical and administrative guidance.

Lux-Development also employs consultants and consultancy firms and takes particular care in foreseeing local expertise for evaluation missions. This external view strengthens the impartial and independent nature of evaluations.

Both evaluation departments are institutionally separate from programme management; while the Lux-Dev department reports to its quality assurance division, the head of evaluations at the Ministry reports directly to the Director of Development Co-operation. Public tendering for evaluation missions is controlled by the Directorate for Financial Control, which reports to the Ministry of Finance and Budget. The heads of evaluation participate in the senior management meetings.

Reporting and use

Setting up a systematic response and follow-up system is currently under consideration. Reports are distributed to various audiences through annual meetings and regular contacts in Luxembourg and in the field. This is done through agency staff, via regular meetings with senior management in the Ministry and the Agency, through communication efforts in developing countries, and in bi-monthly meetings with NGO representatives and Ministry staff. Evaluations also feed into the annual declaration on development co-operation by the minister to the parliament. At this time neither evaluation department has its own website. This is, however, as far as the ministry is concerned, work in progress and full evaluation reports will soon be accessible in French and English.

Summary of the institutional set-up of evaluation



► The Netherlands

Ministry of Foreign Affairs, Policy and Operations Evaluation Department (IOB)

Mandate

The Policy and Operations Evaluation Department (IOB) was established in 1977 and sits within the “cluster of control” along with the audit and inspection units of the Ministry of Foreign Affairs. IOB conducts independent evaluation of all foreign affairs policy and operations, including, but not limited to, development co-operation. IOB focuses on evaluating broad policy and cross-cutting themes, while advising policy departments and embassies on the planning and implementation of project and programme evaluations. IOB serves a “help-desk” function for these evaluations, though it does not have a full quality assurance role.

Independence

The Policy and Evaluation Department has independence from operations. The department works in close collaboration with operational departments to develop the evaluation work programme. The Policy and Operations Evaluation Department has responsibility for the programming evaluations of official development assistance (ODA), but final decision-making power rests with the director of IOB. This helps to ensure that evaluations are client-oriented, whilst retaining independence and credibility. Evaluations are conducted by IOB staff with the help of externally recruited evaluators and research assistants. Joint evaluations are conducted by external teams.

Co-ordination

The department works from an annual six-year rolling programme (four years ahead, two years back) which is publicly available and regularly shared with the members of the DAC Evaluation Network and other partners. Many of IOB’s evaluations involve other donors. Partner country stakeholders are involved in the decision to undertake an evaluation and in the design process. Consultants from partner countries are included as members of the evaluation team. For certain types of evaluations partners will be included in a reference or steering group.

Quality

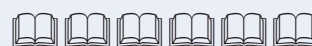
In 2010 an advisory panel composed of external experts was hired to advise the Minister for Development Co-operation and IOB on the utility and use of development evaluations. A special review (carried out by external experts contracted by the Ministry’s Financial Department) was largely positive about the utility and use of IOB evaluations, but also suggested improvements. Among other quality assurance mechanisms, IOB sets up a reference group for each evaluation to monitor its quality. Reference groups typically include both Dutch civil servants and external (independent) members. Where applicable, in-country reference groups are also set up.

Snapshot of evaluation resources – Netherlands



USD 5 million

0.075% of Ministry of Foreign Affairs budget



IOB produces an average of 5 to 6 evaluations of development assistance per year, about 28% of which are multi-donor or partner country-led. About two evaluations of non-ODA foreign policy topics are also carried out each year.

Relevance and programming

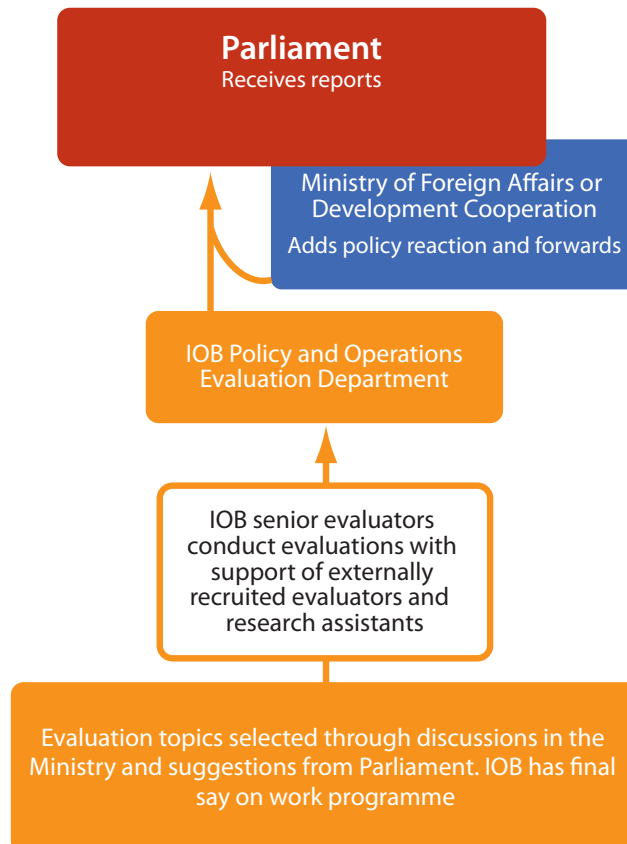
IOB has independence over its development evaluation programme. Each major policy objective of the Ministry of Foreign Affairs must periodically be covered by evaluation. To ensure relevance, planning is done through the Ministry's objective-setting system and evaluation topics are selected to address foreign affairs policy objectives. During an intense dialog process every year, the IOB, the directors-generals and directors of departments discuss potential evaluation topics. Parliament can, and does, propose evaluation topics, but IOB has the final say on what will be evaluated.

Reporting and use

All reports are submitted by the relevant Minister to Parliament with his or her policy response attached. Evaluation findings are shared through internal workshops and seminars with staff and the Directors of the Development Co-operation Directorate. Local presentations are also held in partner countries. Reports and policy reactions are shared with the media and the general public in the Netherlands and civil society may be invited to workshops on the evaluation findings. Reports are available for download on the IOB website and are regularly submitted to DERE C.

The evaluation budget covers activities aimed at promoting the use of evaluation findings and there is a management response mechanism. However, there is no organised system for checking whether or not action is in fact taken.

Summary of the evaluation and reporting process



► New Zealand

Strategy, Advisory and Evaluation Group

New Zealand's International Aid and Development Programme (NZAID) in the Ministry of Foreign Affairs and Trade

Please note: At the time of writing the organisation was beginning a change process, the results of which are not yet known and therefore not reflected in this profile.

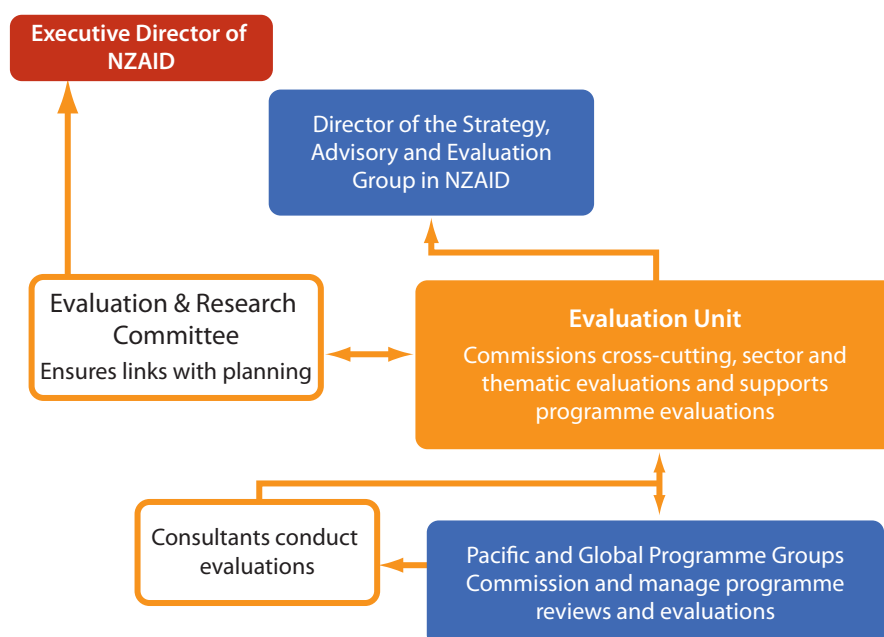
Mandate

The evaluation unit commissions and undertakes cross-cutting, sectoral or thematic evaluations, monitors the agency's rolling programme of reviews and evaluations, and provides advisory support to programme and activity evaluations. The unit is guided by the NZAID Evaluation Framework, which includes a policy statement, evaluation strategy and set of practice guidelines.

An Evaluation and Research Committee, chaired by the Executive Director, was established to provide oversight of reviews and evaluations and to ensure close feedback links between evaluative activities and programme planning and development. Reviews and evaluations commissioned by NZAID are presented to the Committee for advice on any actions to be taken in response to recommendations and to consider any implications for forward planning. This is to ensure that a systematic approach to evaluation is instituted within the agency and that the lessons learned from all evaluations are promulgated throughout the organisation.

Programme reviews and evaluations of development activities are commissioned and managed by the Pacific and Global Programme Groups. Advisers from the Strategy Advisory and Evaluation Group provide support and advice and may participate in some of these studies.

Summary of the evaluation and reporting process



Independence and quality

Evaluations are usually carried out by external consultants. Evaluation has been designed as a process mainly to serve the internal needs of the agency. In the current set up and location of the evaluation unit, independence cannot be ensured.

DAC Quality Standards for Development Evaluation and the Australasian Evaluation Society Guidelines for the Ethical Conduct of Evaluation serve as reference points for quality assurance. Peer review and appraisal processes are also employed to check draft and final reports.

Co-ordination and planning

The evaluation unit makes available its work plan, regularly consults the evaluation reports of other donors and shares particularly relevant reports from other donors with agency staff.

At the agency level the various evaluation activities are consolidated in a one to two year evaluation plan. The evaluation strategy gives direction for three to five years ahead. Programme teams plan evaluations for their areas. Strategic evaluations; thematic, policy and sectoral evaluations are planned and undertaken by the central evaluation team. The topics for these are determined through a consultative process with the whole agency. The proposed list of evaluations is then put on the intranet for several weeks for comment and then prioritised through discussion by the Evaluation Committee.

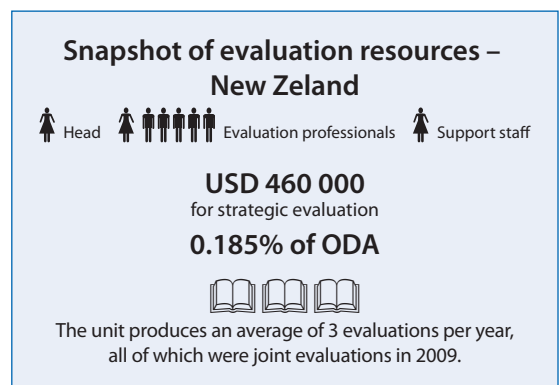
Partner involvement

Programme staff, either in Wellington or at Post in-country discuss with country partners to determine interest and willingness to participate in evaluations. This usually includes discussion and negotiation of evaluation purposes, scope, focus etc. Though the timing for this varies, preference is for such discussions to take place at an early stage. Countries with sufficient capacity can choose to nominate evaluation team members.

Reporting and use

The manager of the evaluation unit reports to the Director of the Strategy, Advisory and Evaluation Group. A mechanism to track follow-up action was recently put in place; a spreadsheet of actions is kept for each evaluation and checked regularly by the Evaluation Committee. Management follow-up actions are not made public at present.

One page summaries of evaluation reports are circulated electronically and shared in staff learning workshops. Other agency staff members have access to evaluation findings via the NZAID intranet and reports are fed to management via the Evaluation Committee. Cable messages are sent periodically to agency management in country and there is an annual NZAID report to Parliament, which includes information from evaluations.



► Norway

Evaluation Department, Norad

Mandate

The Evaluation Department is responsible for the evaluation of all aspects of development co-operation funded by the Norwegian government. The department focuses on planning and managing major thematic or strategic evaluations, conducting eight to twelve per year, and provides some support on reviews carried out by line offices. The main goals of the Evaluation Department are to (i) evaluate effectiveness and results; (ii) evaluate whether resource application is commensurate with results achieved; (iii) systematise experience, so as to assure quality and improve future activities by means of good learning processes; and (iv) provide information to aid policy makers and the general public.

Independence

The Evaluation Department is responsible for selecting the evaluation objects and preparing the evaluation mandates. Competitively-selected outside consultants conduct all evaluations and are responsible for reports. Evaluation, although a department within Norad, reports to the Secretary General of the Ministry of Foreign Affairs (MoFA). All reports are made public.

Co-ordination

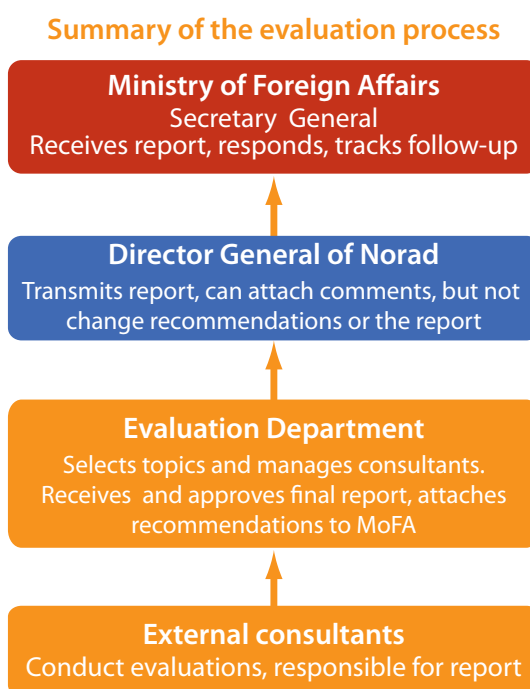
The Evaluation Department is active in a number of international development evaluation forums, including the DAC. Three to six joint evaluations are done per year (25 to 50% of all central evaluations) and the unit has a mandate to engage in joint work. The Department publishes and shares multi-year evaluation plans.

Quality

The Evaluation Department uses its own policies and the OECD DAC evaluation quality standards to ensure that findings are valid, robust and meaningful. There is a significant input of staff time to work with consultants to ensure reports meet standards.

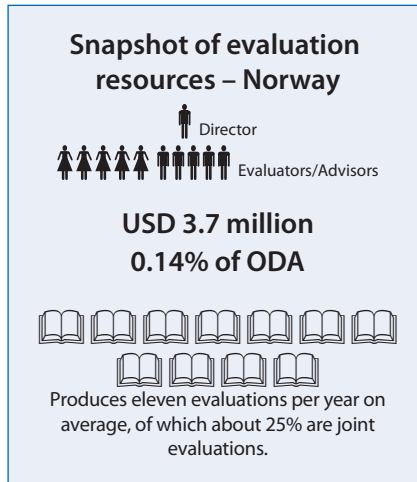
Use and Impact

There is a management response and follow-up action system in place. Within six weeks of a report, an official response from the Secretary General of the MoFA is submitted to the relevant programme area, the Norad Director-General and the Evaluation Department. One year later, the programme area concerned submits a report to the Secretary General describing actions taken in response to the evaluation. Evaluation staff strives to ensure programme staff buy-in, while protecting the independence of the consultants.



Resources

Staff and financial resources are considered adequate, though with more resources more could be achieved. Skills for managing evaluation processes are also adequate, while technical skills, such as those needed for developing evaluation mandates, could be stronger. The department draws on other Norad and ministry staff for thematic and sector expertise, as needed.



► Portugal

Internal Audit and Evaluation Office, Portuguese Institute for Development Support

Mandate and policy

The Internal Audit and Evaluation Office (GAAI) of the Portuguese Institute for Development Support (IPAD) is responsible for evaluating the entire Portuguese development aid programme by conducting internal or external programme, project, sector, country and thematic evaluations. GAAI also participates in joint evaluations with other donors and partner countries. It gives technical assistance in evaluation and promotes some activities of evaluation capacity building. It is responsible for the dissemination of evaluation results and for ensuring the incorporation of the evaluation recommendations into programming process. GAAI is working to develop an information management system. GAAI also conducts internal audits and gives assistance to external audits. The evaluation focus of Portuguese development assistance is moving from the project focus to a higher and wider focus.

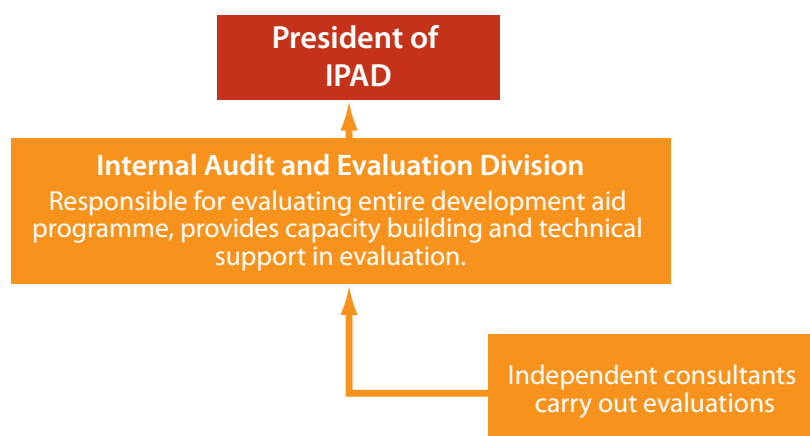
GAAI is guided by the Portuguese development assistance strategy paper: “A Strategic Vision for Portuguese Development Co-operation,” (IPAD, 2006) which defines Portugal’s development assistance policy and its evaluation. The “Evaluation Guide” (2nd edition, IPAD 2009) establishes the objectives and provides guidelines for the evaluation of Portuguese development co-operation. The Portuguese development evaluation policy paper was waiting for approval by the Secretary of State at the time of writing.

Self-evaluations are done by IPAD programme staff with the technical support of GAAI; there are no decentralised evaluation units. The staff capacity for conducting evaluations in field offices is limited.

Independence and quality

GAAI is an independent unit within IPAD, institutionally separate from the operational units. The head of GAAI reports directly to the President of IPAD. The independence of the evaluation process is also ensured by a transparent procurement process and by assuring the respect of the guidelines to avoid conflict of interest in evaluation.

Summary of the evaluation and reporting process



The external consultants are responsible for implementing the evaluation process and for the elaboration of the evaluation report, respecting the terms of references (designed by the evaluation staff in a participatory process). GAAI reports some difficulty in finding consultants with the necessary development evaluation experience and the legal capacity to carry out evaluations for IPAD and, especially, a shortage of Portuguese-speaking evaluators.

The quality of the evaluation reports is assessed by a matrix prepared by GAAI. All evaluations follow the OECD/DAC and European Union evaluation guidelines to ensure acceptable quality.

Planning

GAAI's three year evaluation plan contains the criteria for selecting evaluations and defines an indicative framework of the evaluations to be undertaken each year. The evaluation plan is defined in a consultative planning process, incorporating the needs of other departments and ministries as well as other relevant stakeholders. The President of IPAD is responsible for the approval of the evaluation plan.

Co-ordination and partner country involvement

GAAI regularly consults other donor's evaluation plans available in the DAC Network on Development Evaluation inventory. Given the limited number of partner countries and the working language, it has been difficult for GAAI to find partners for conducting joint evaluations. The GAAI uses other evaluation reports and shares its plans with the DAC Secretariat.

GAAI involves local evaluators from developing countries as members of every evaluation team and partners are also consulted while developing the evaluation terms of reference.


Reporting and use


GAAI reports directly to the President of IPAD.

Although there is no specific budget for the dissemination of evaluation findings, all the evaluation reports and executive summaries are available on the IPAD website and are also disseminated through: seminars and workshops (for other national ministries, civil society and governments of partner countries); mail/e-mails (final reports and executive summaries are sent to DEREc and to the EU Evaluation Inventory); newsletters, and the GAAI annual report.

After the conclusion of each evaluation, the GAAI staff assesses the extent to which stakeholders agree with the evaluation recommendations and which actions they are willing to implement. For 2009, it was established by IPAD that a minimum of 70% of all evaluation recommendations must be implemented. One year after completion of the report, the unit staff assesses the level of implementation of those recommendations. The results of this assessment are made public in the GAAI annual report, which is available in the IPAD website.

Snapshot of evaluation resources – Portugal

 Head of Evaluation

 Evaluation staff

USD 508 500

0.082% of ODA



Produces an average of three evaluations per year.

► Spain

Evaluation Division, Directorate-General for Development Policy Planning and Evaluation (DGPOLDE)

State Secretariat for International Co-operation within the Ministry of Foreign Affairs and Co-operation

Department of Programming and Quality of Aid

Spanish Co-operation Agency (AECID)

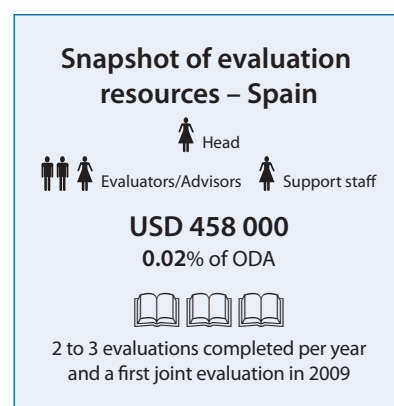
Mandate and role

The evaluation of Spanish development co-operation involves primarily the Directorate-General for Development Policy Planning and Evaluation of the State Secretariat for International Co-operation, Ministry of Foreign Affairs and Co-operation (DGPOLDE-MoFaC), the Department responsible for ensuring the coherence of planning, monitoring and evaluation in the co-operation policy. Within DGPOLDE, the Division of Evaluation is charged with undertaking strategic, sector, thematic and country-level evaluations and conducts two to three per year. The Spanish Co-operation Agency (AECID) is the main executing agency. AECID's recently established Department of Programming and Quality of Aid is also assigned functions of quality and evaluation. At the time of writing this Department did not have a budget or human resources for developing evaluation functions at the AECID level. There is no detailed information available on the other actors within the Spanish co-operation system. This profile therefore focuses on the work of the Evaluation Division of the DGPOLDE.

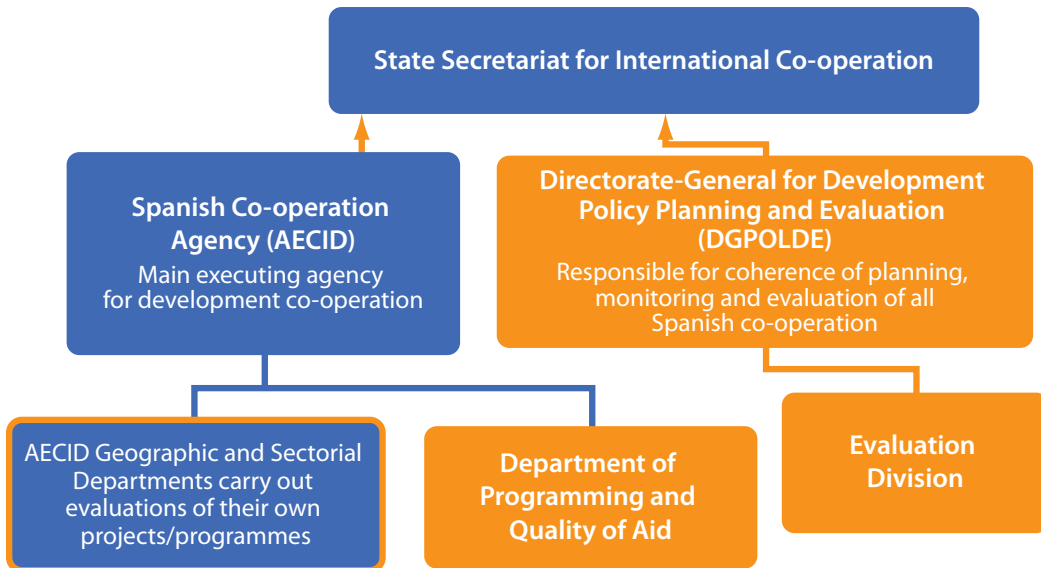
In addition to the strategic evaluations undertaken by DGPOLDE, line units programme and carryout project and programme evaluations of their own activities. The Evaluation Division of DGPOLDE compiles and shares these evaluations and offers methodological support.

Independence

The Evaluation Division of the DGPOLDE is a separate entity, independent from the planning department of DGPOLDE and from implementing departments and involving different staff. The Co-operation Council, a consultative body comprising representatives of the General Administration of State and civil society, provides input on the evaluation policy. It is envisaged that an "Evaluation Group" will be developed in the future as a reference and support to the Division. This Group will include the main agents in evaluation of Spanish co-operation.



Summary of the institutional set-up of evaluation



Quality

Compliance with the DAC Quality Standards for Development Evaluation is summarised in a final assessment form completed at the end of the evaluation process. The process is overseen by a Monitoring (or Reference) Committee, which serves a follow-up function to ensure the relevance of questions to be considered and use of the results.

There has not been a specific exercise to assess the quality of the Evaluation Division but a recent evaluation of the Second Master Plan for Spanish co-operation, looked at, among other things, the performance, trajectory, and results of the Division. Some of the weaknesses identified included difficulty in finding experts in evaluation methodology and the lack of systematised information, qualitative monitoring, or ex ante evaluation, which increase costs in time and resources for collecting information. The study also identified the need to strengthen the evaluation culture for managers and planners that use the evaluation information in decision making. Most actors are not familiar with the evaluation process or with the quality criteria or principles. The challenges in training are still significant. Finally, Spanish Co-operation is characterised by a multiplicity of actors and the participation of many actors often makes it difficult to narrow the focus of evaluation and prioritise the information needs of all stakeholders.

The Evaluation Unit advises some of the evaluation process managed by other Spanish co-operation actors, trying to respect the principles and internationally agreed quality standards. However there is no detailed information available on all the actors within the Spanish co-operation system about quality of their evaluations. As a first step, the Evaluation Unit is elaborating a resources and evaluations activities annual report.

Co-ordination and stakeholder involvement

The Department consults relevant evaluation reports from other donors via DReC and ALNAP before planning a new evaluation, shares its evaluation programme with the Secretariat and plans to start consulting other donor evaluation plans this year. In 2009 Spain began its first joint evaluation with the EC in Senegal.

Partner country stakeholders are always involved in field visits and as members of the evaluation monitoring or reference committee. They are also increasingly involved in designing evaluations and in tracking follow-up action. The department seeks to incorporate the information needs of different stakeholders, particularly the partner country, when designing an evaluation.

The Master Plan for Spanish Co-operation identifies the need for evaluation capacity development in partner countries and the department tries to do so through the Spanish Impact Evaluation Fund (SIEF) of ten million Euros and the Millennium Development Goals Fund, though there is not an overarching strategy on capacity support. A plan has been approved to substantially increase the evaluation budget to EUR 900 000 in 2010.

Planning

The DG POLDE annually sets its strategic evaluation plan, including defining a number of country evaluations to be performed. These evaluations are part of the integrated cycle of political co-operation with partner countries and are intended to complement monitoring. Planning is done in three steps. The agency is invited to suggest ideas on what should be evaluated for the year under consideration, which are considered together with the priorities of the evaluation team. A high level meeting then takes place between the Secretary of State, director of the Agency and the Director-General of the Evaluation Unit. The Secretary of State ultimately decides what will be evaluated.

Reporting and use

Final reports are published, distributed widely among agency staff and management and formal presentation of the evaluation results. The head of evaluation participates in senior management meetings. At the level of project/programme evaluations recommendations from evaluations are incorporated in most of the cases. It is more difficult to achieve management response at policy level and there is no guarantee that recommendations are used for policy level decisions and planning.

► **Sweden**

Swedish Agency for Development Evaluation (SADEV)

Department for Evaluation, Swedish International Development Agency (UTV)

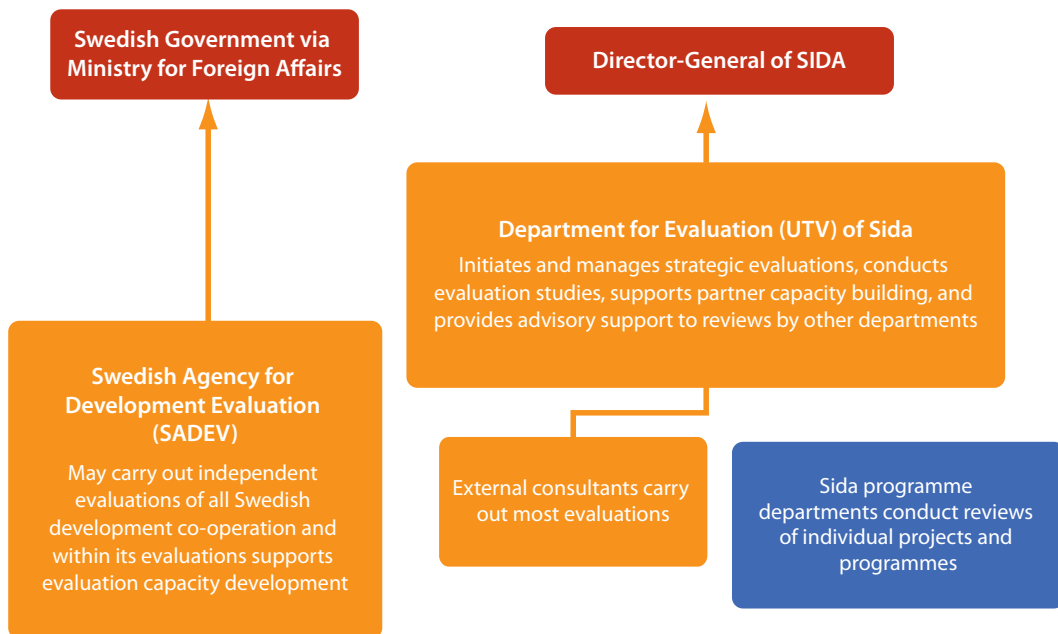
Mandates

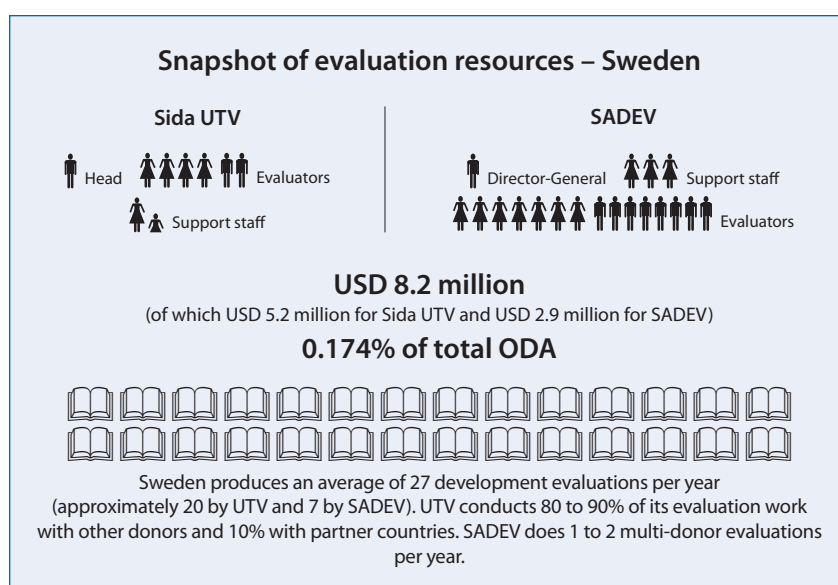
Evaluation of Swedish development co-operation is primarily undertaken by the Swedish Agency for Development Evaluation (SADEV) which has a mandate to evaluate all Swedish development co-operation, and by the Department for Evaluation (UTV) of the Swedish International Development Agency (Sida) with a mandate to evaluate Sida financed activities.

SADEV, as an autonomous agency reporting to the Swedish Government, is tasked with providing independent evaluations of Swedish development assistance (including core support to multilateral organisations).

UTV is charged to evaluate Sida development activities, managing strategic evaluations, such as thematic evaluations, and evaluations of aid policy, aid modalities and large programmes. Other departments and teams within Sida are responsible for evaluating their own projects and programmes. These operational “reviews” are supported by UTV in an advisory capacity. UTV reports to the Director-General of Sida, who reports to the Swedish Government (in practice, via the Ministry for Foreign Affairs). Both SADEV and UTV work to strengthen partner countries’ capacity to carry out evaluations.

Summary of the evaluation set-up and reporting process in Sweden





Swedish Agency for Development Evaluation (SADEV)

SADEV is an autonomous agency, with decision-making powers and institutional independence. It may evaluate any aspect of Swedish development co-operation and SADEV staff conducts and participates in the evaluations. An evaluation handbook based on DAC Quality Standards for Development Evaluation is used to ensure quality. The handbook includes regulation of the use of external and internal referees, seminars, scrutiny of facts and transparent decision-making processes.

The evaluation programme of SADEV is determined by its Director-General, on the basis of broad dialogue and suggestions from staff and interested parties both nationally and internationally. SADEV work can focus on sector-wide, thematic, policy and impact evaluations, as well as on project activities. An increasing number of joint donor evaluations are conducted per year. SADEV does not currently conduct joint evaluations with partner countries.

The Director of Evaluation reports to the Director-General who reports to the Swedish Government. A system for management response and follow-up is in place to respond to SADEV evaluation findings. Management responses to evaluations are included in SADEV's annual report.

SADEV is required to distribute information on evaluation findings to Parliament, Government and other stakeholders in Sweden and internationally. This is done *inter alia* through reports, press releases, articles, and workshops with outside stakeholders and within the Ministry for Foreign Affairs. Reports are available on SADEV's website.

Sida's Evaluation Department (UTV)

UTV sits within the management pillar of Sida and its Director participates in the Strategic Management Group. To ensure evaluation quality, a tracking grid based on DAC Quality Standards for Development Evaluation is used.

When setting its programme, UTV dialogues with all Sida teams on possible evaluation themes. The Strategic Management Group of Sida may also suggest topics. In addition,

UTV discusses ideas with international organisations and other agencies to find interesting subjects for joint evaluations. UTV compiles these ideas and decides which should be put in the annual plan. The plan is finally approved by the Director-General of Sida, along with the department's budget.

UTV conducts 80 to 90% of its evaluation work with other donors and 10% with partner countries. The department has a dedicated budget and clear policy to promote local involvement and local capacity building in evaluation. UTV and SADEV share evaluation plans and co-ordinate their work when overlap occurs. Both departments consistently share their plans with the DAC Secretariat and consult other donor plans when setting the evaluation agenda.

A new system for management response and follow-up system is up and running. It will respond to evaluations commissioned by UTV, reviews commissioned by Sida departments, and SADEV's evaluations. Some management responses are available on Sida's publication database online. Upon completion, all evaluations and reviews commissioned by Sida are posted on Sida's web site. Seminars are also arranged for all evaluations. These are open for all Sida staff and other development stakeholders who have an interest in the particular evaluation are also invited. On occasion press releases are distributed to Swedish media. Reports are also shared with Sida staff through newsletters, distributed to agency management and staff in field offices, and included in Sida annual reports.

► Switzerland

Evaluation unit, Division of Evaluation and Controlling (SECO), Federal Department of Economic Affairs

Corporate Controlling Section and Quality Assurance Unit, Swiss Agency for Development and Co-operation (SDC)

Evaluation and Controlling, SECO

The Evaluation Officer is responsible for programming and overseeing independent external evaluations, and providing support/advisory services to other evaluations conducted by SECO operational divisions. The Evaluation Officer sits within the Division Evaluation and Controlling in the Department of Economic Co-operation and Development. Positioning the Evaluation Officer in the Department aims at ensuring a close collaboration with divisions and management to facilitate integration of evaluations findings and recommendations in the daily work of the Department.

An independent Committee provides oversight of the evaluation function and reports to SECO Director. Members, outside to the Swiss administration, include evaluation experts, development specialists with operational experiences, civil society and parliamentarian representative. The Chairman of the Evaluation Committee is elected by the Committee Members. The Evaluation Committee meets at least twice a year. The Evaluation Officer acts as the Secretariat for the Committee.

A distinction is made between three different categories of evaluations depending on who commissions them and on who conducts them:

- *Independent evaluations* are determined by the External evaluation committee, managed by the person in charge of the evaluation and conducted by external consultants.
- *External evaluations* are determined by the sector heads of operational divisions, managed by the person in charge of the programme and conducted by external consultants.
- *Internal reviews* are determined by the sector heads of operational divisions and carried out directly either by the person in charge of the programme or by the person in charge of the project.”

Independent external evaluations focus on country assistance strategies, cross-cutting issues or themes, economic co-operation instruments and impact evaluations. All external evaluations and independent evaluations are conducted by consultants, managed by the evaluation unit or the programme unit in charge of the evaluation.

Independent Evaluations are submitted to the external Evaluation Committee, to ensure independence. The external committee reports to the SECO Director. External evaluations are reported to the Head of operations. The independence of the Evaluation Officer is key to the credibility of the evaluation function. The independence of the Evaluation Officer is guaranteed by: seating of the Evaluation Officer in a division with no operational activities, reporting to the Evaluation Committee, approval by the Evaluation

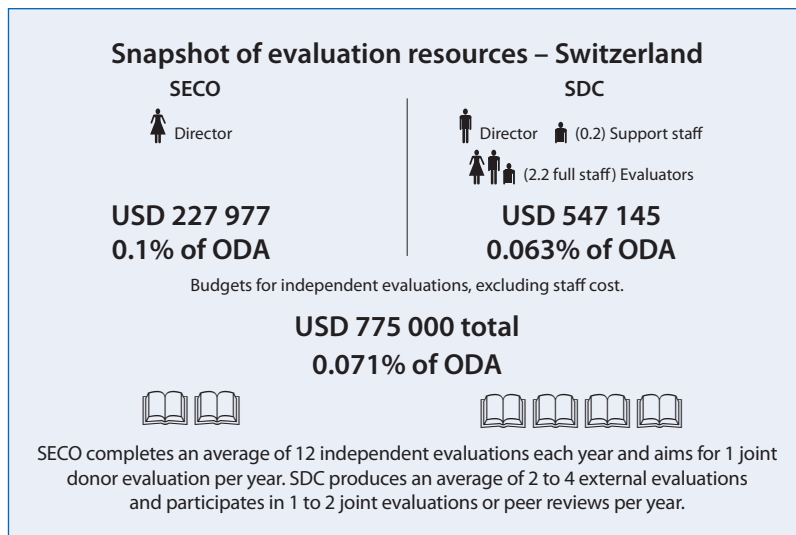
Evaluation set-up in SECO



Committee of the budget allocations for independent evaluations and any other measures aiming at strengthening the evaluation function, selection of independent evaluations by the Evaluation Officer. The Evaluation Officer defines the scope, methods and deadlines of independent evaluations. All independent evaluations are systematically published along with related management responses and the comments of the Evaluation Committee. The Evaluation Officer may raise any issue related to his/her independence with the Evaluation Committee.

Independent and external evaluations must meet SEVAL and OECD standards. Out of the 70 staff members in the department, the evaluation and controlling section presently relies on one staff member, the Evaluation Officer.

The Evaluation Officer co-ordinates the three-year work programme, based on the programming of operational divisions, and taking into account the strategic and operational needs of SECO/WE. Consultation and involvement of partner countries is limited. The policy provides for a management response to each evaluation, signed by the Head of operations of SECO for major thematic or country programme evaluations. There is no system for tracking follow-up actions.



Corporate Controlling Section and Quality Assurance and Development Effectiveness Section, SDC

SDC does not have a centralised unit devoted exclusively to evaluation. Responsibilities for evaluation are shared between the Corporate Controlling Section (CCS) and the Quality Assurance and Development Effectiveness Section. The operational line has the responsibility of conducting decentralised evaluations.

The Corporate Controlling Section (CCS) is located in the Staff of the Directorate and has a mandate consisting of controlling activities, reporting on aid effectiveness and evaluation activities. CCS operates on behalf of SDC upper management. The Head of the Section reports to the Director and to the head of the Staff of the Directorate. Organisationally CCS is a section within the Staff of the Directorate.

With regard to evaluation the main focus/role of the Corporate Controlling Section is:

- to manage centralised evaluations (in the SDC nomenclature: external evaluations or Implementation and Impact Analysis Controlling – IIAC), for example, evaluations mandated by the Directorate and conducted independently of the operational line. These evaluations are summative in character. The areas covered are generally overarching themes, regions or countries
- to take part in joint evaluations
- to provide backstopping to operational programme officer with regard to their decentralised evaluations (in the SDC nomenclature: internal evaluations or reviews) and self-evaluations, as per their request
- to represent SDC in the key national and international evaluation networks

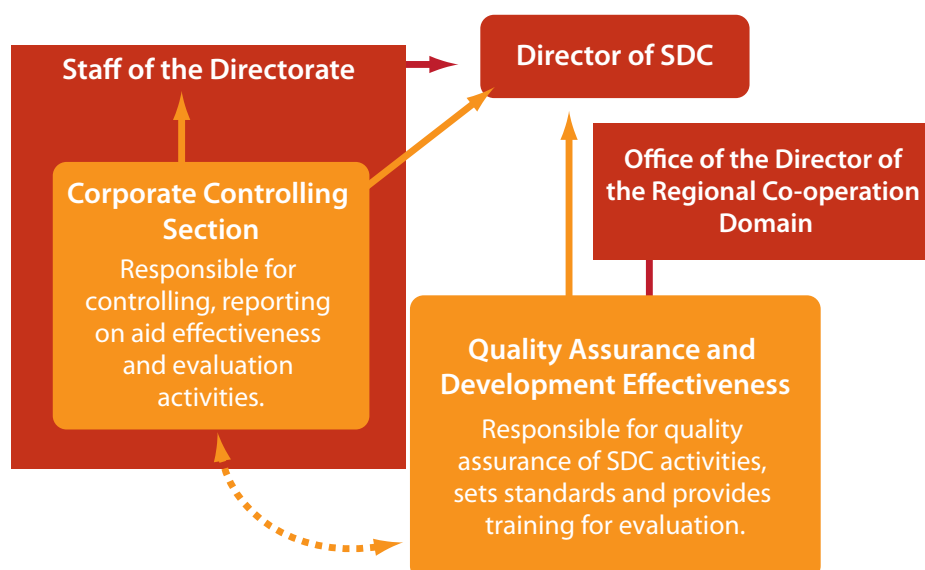
The Corporate Controlling Section co-ordinates its work with the Inspection Unit at the level of the General Secretariat of the Federal Department of Foreign Affairs.

The Quality Assurance and Development Effectiveness Section is located off of the Office of the Director of the Regional Co-operation Domain. They are responsible for quality assurance regarding all aspects of SDC's activities, not just evaluation. With regard to evaluation, their role is to set standards and provide training. They do this in close cooperation with the Corporate Controlling Section.

The budget of the Corporate Controlling Section is decided by SDC's Directorate based on negotiations with the Section. The amount invested in evaluations and reviews conducted within the operational line is the prerogative of that line and based on their operational needs.

Centralised evaluations commissioned by the Corporate Controlling Section are independent of the operational line and are always implemented by external consultants. CCS safeguards the independence of the evaluators during the evaluation process and SDC does not edit the content of the evaluators' report (it is their report, expressing their assessment as they see it, SDC then takes a stand on their report separately). For each

Summary of Evaluation set-up in SDC



evaluation a Core Learning Group composed of SDC employees and partners is convened to accompany the evaluation process. SDC's Evaluation Policy sets minimum standards for evaluations (guiding principles, roles and responsibilities, key features of evaluation processes).

The Head of the Corporate Controlling Section is the deputy of the Head of the Staff of the Directorate with status of a middle level manager. He has close access to the Directorate and attends senior management meetings.

The Corporate Controlling Section annually compiles a short list covering a three year rolling planning period (e.g. 2010-2012) of potential evaluation topics identified by the section, by the director of SDC or by the directors of the operational line. The Corporate Controlling Section submits the list with its recommendations to the Directorate for their decision. They decide on the final evaluation programme for the coming year and indicate their preferences for the second and third year of the planning period to be confirmed in the fall of the year before implementation.

Centralised evaluations are discussed in the Core Learning Group. The Group takes a written stand on the evaluation and on all the recommendations. The evaluation result and the stance of the Core Learning Group are presented to the board of Directors. Their response is noted in a senior management response. Both the stand of the Core Learning Group and the senior management response are published with the evaluation. For decentralised evaluations, the appropriate management level within the operational line should write a management response. All centralised evaluations are published on the Web with the management response and sent to all partners. Strategic decentralised evaluations of interest to a broader audience are also published on the web. Depending on the theme, the results of internal and external evaluations are used for the report on Swiss effectiveness.

The Corporate Controlling Section is putting in place a tracking system to track the implementation of the management responses and follow-up actions.

▶ United Kingdom

DFID Evaluation Department (EvD)

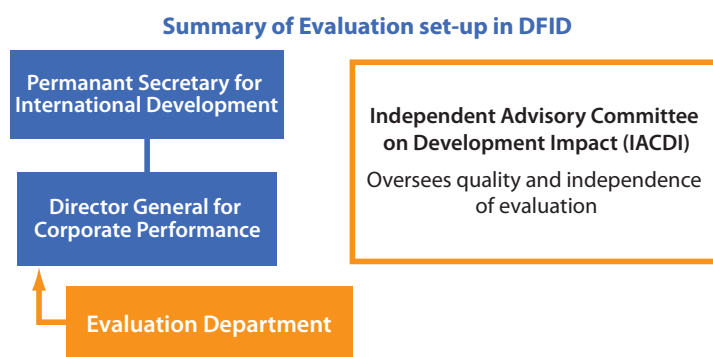
Mandate

The Evaluation Department (EvD) follows a newly developed Evaluation Policy, “Building the Evidence to Reduce Poverty” (DFID, June 2009). The Department’s primary aims are to: produce high quality, policy relevant evaluation studies; promote the use of evaluation knowledge for better decision making; engage in more and better evaluation partnerships to support harmonisation of evaluation approaches; and build increased evaluation capacity and better evaluation systems.

DFID programme managers are charged to increasingly build evaluation into planning and carryout reviews and evaluations of the programmes for which they are responsible. EvD sets standards for these evaluations and will provide an advisory and quality support role for staff and partners managing decentralised evaluations. Common principles, criteria and quality guidelines are to be followed for all evaluations in DFID. EvD will carry out a quality assessment on a sample of these in the coming year.

Independence

The mandate for evaluation and how independence is maintained is set out in DFID’s evaluation policy. The Independent Advisory Committee on Development Impact (IACDI) has a key role in assuring the independence of the evaluation function in DFID. The Evaluation Department – like audit – is a separate unit within DFID. The budget of the Department is determined by requesting funding, based on a work plan, from DFID’s three-yearly resource allocation, which is allocated from the central budget by the UK Government’s Treasury.



The head of evaluation reports directly to DFID’s Director-General, Corporate Performance, who sits on DFID’s management board and is separate from policy, international and regional divisions. The Head of Evaluation is also empowered to: select evaluation topics that are relevant to DFID’s development effectiveness and protect the independence of the Evaluation Department evaluators and evaluation consultants contracted by the Department. Most evaluations are carried out by external consultants (managed by the evaluation department) who are selected via competitive tender following EU procedures for larger studies and limited competition for smaller ones.

Quality

The Independent Advisory Committee on Development Impact (IACDI) oversees evaluation in DFID, including safeguarding independence and quality. The Chair of IACDI reports annually to the Secretary of State for International Development and can also be called to give evidence to the parliamentary International Select Committee.

In all evaluation work, including with partners, DFID seeks to achieve best practice by setting and following its own principles and quality standards built upon those set by the OECD-DAC, other international evaluation bodies and networks.

All studies commissioned by EvD are quality assured at entry level (for example, to assess terms of reference, approach papers, whether methodology meets professional standards) and exit level (for example, analytical approach, quality of findings lessons and recommendations). These are carried out independently by a selected member from the recently-established Quality Assurance panel. An extensive, independent review was commissioned by IACDI on the quality and independence of evaluation in 2009. The overall assessment judges that almost 60 percent of the sample of DFID evaluation reports was excellent or good.

Programming

IACDI approves the evaluation work programme, which is formulated annually for rolling two-year periods. The programme is open to public consultation via the DFID website and the Department also invites comments from a range of external partners (Parliament, NGOs, independent experts etc). The benchmark for the proportion of total bilateral programme expenditure to be evaluated is set at between 50% and 75% by the end of a five year period.

Co-ordination and stakeholder involvement

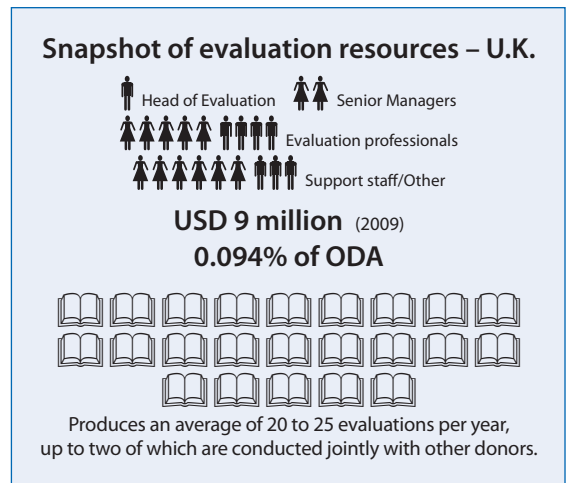
The Evaluation Policy commits DFID to use country systems for evaluation whenever possible and to work more with partner countries, especially to support the development of independent evaluation capacities. For certain types of evaluations, including country programme evaluations, partner countries are regularly involved in setting up the evaluation and as members of the reference group. The Department also works with other donors on major joint evaluations and engages actively in the Nordic Plus group and other international fora.

Reporting and use

DFID assigns a lead director for each major evaluation to ensure that there is a management response to findings and recommendations, and that those recommendations which are accepted are followed up. Follow up of evaluations is tracked centrally by the evaluation department, verified by DFID's Internal Audit Department, overseen by the Investment Committee and reported in its annual report.

The Department reports annually to the management board and the IACDI on evaluation in DFID. The annual report may include an assessment of the number and quality of central and decentralised evaluation processes and studies, follow-up to evaluation findings and recommendations, as well as overall lesson learning for DFID.

The head of evaluation participates in key DFID decision-making committees and fora, such as those reviewing new policies and country programmes, to help ensure



that evaluation results and recommendations are adequately considered in DFID's major decision-making processes. All evaluations are published with the management response.

The new evaluation policy further elaborates that learning should be shared for wider benefit, encouraging citizens of developing countries to use evidence when appropriate for accountability purposes. It also states that DFID must professionalise the communication of its evaluation findings to increase the traction of recommendations and ensure accessibility to a wider audience, and tracking systems in support of this.

► United Nations Development Program (UNDP)

Evaluation Office (EO)

Mandate

The Evaluation Office of the UNDP conducts: strategic evaluations, evaluations of Global, country-level, regional and South-South programmes; sets standards and supports capacity development in the organisation and in programme countries; and assures quality of decentralised evaluations and those conducted by associated funds and programmes. UNDP is currently undergoing an independent review of its evaluation policy.

UNDP programme units commission decentralised evaluations such as outcome evaluations, project evaluations, programme evaluations and thematic evaluations. The Evaluation Office sets standards and provides guidance through handbook, etc, but does not provide direct support.

Independence and quality

All EO evaluations involve consultants. EO Task Managers are also members of the team and are responsible for meeting UNDP and UNEG standards for evaluation. Quality assurance is provided internally by other colleagues in EO and by an external expert advisory panel.

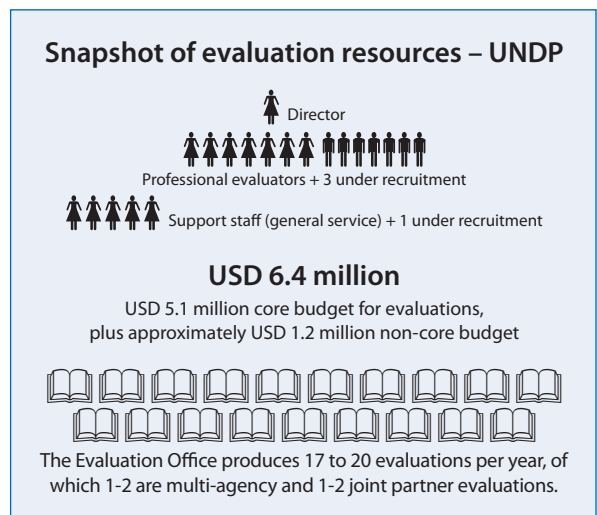
To protect independence, the Director issues evaluation reports without clearance from UNDP management. The Director is appointed by the Administrator in consultation with the Executive board, is allowed to serve only two terms, without re-entry into the organisation. The Director reports administratively to the Administrator but substantively to the intergovernmental governing body. The Director has full authority over the conduct and content of evaluations and presents them directly to the Executive board.

The budget for EO is approved by the executive board on a biennial basis.

Co-ordination, planning and stakeholder involvement

The two-year work programme is developed by the Evaluation Office based on consultation with UNDP regional, policy and practice bureaux, UNDP management and UN sister agencies. The programme is presented to the executive board for discussion and approval in the annual report on evaluation prepared by the Evaluation Office.

Partner country governments are regularly involved in various stages of the evaluation process and the UNDP carries out extensive work on capacity development in evaluation. The EO participates in UNEG, the DAC Network on Development Evaluation and other international fora.



Use

The UNDP management group reviews and discusses all management responses to EO evaluations (except the assessments of development results, which are country-level programme evaluations). The management group is UNDP's most senior decision making body, chaired by the administrator and includes the associate administrator and the directors of regional and central bureaus. The Evaluation Office maintains a tracking system of management responses. All evaluation reports are made public and the EO also produces Evaluation E-news for broad circulation and sends copies of evaluation reports to all programme units.

► United States of America

Office of the Director of Foreign Assistance (DFA)

U.S. Agency for International Development (USAID)

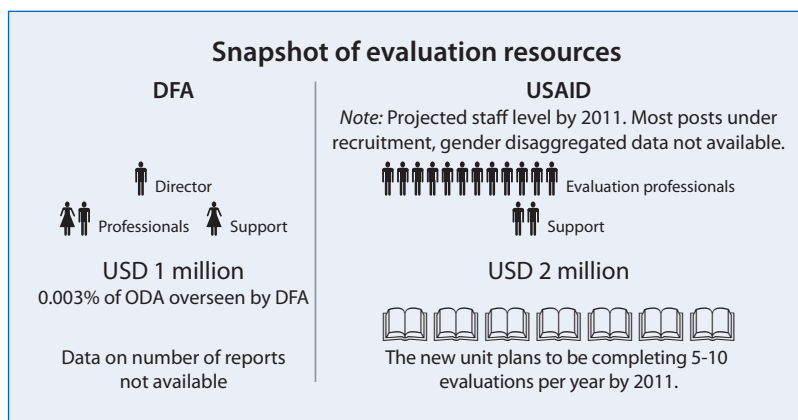
Please note: The Office of the Director of US Foreign Assistance is responsible at a macro level for the ODA activities of the Department of State and USAID. This profile does not include other US Government agencies who have foreign assistance responsibilities, but covers only the evaluation functions of DFA and USAID, where evaluation functions were being more fully developed at the time of writing and plans underway to greatly strengthen the function in the coming years, possibly resulting in changes to this profile.

Director of Foreign Assistance (DFA)

DFA is responsible for co-ordinating US foreign assistance (FA). Since 2006 it has developed a standard programming structure to codify FA objectives; created a comprehensive database to track assistance across all programmes, countries, and Bureaus; and, developed systems to improve performance and accountability. DFA give critical importance to monitoring and evaluation, performance management, and accountability. The office is responsible for interagency co-ordination, training in monitoring and evaluation, development of support tools (glossary, standards, guidelines, indicators) and assistance with the development of evaluation policies for the Department of State and USAID (the primary implementing agencies). The main focus is to build institutional capacity and an evaluation culture.

The evaluation head reports to the director of US Foreign Assistance. Formal procedures for quality control are being developed. There is not yet a management response system in place.

For budgeting, the DFA manages the process for State and USAID. Units submit requests which are reviewed and a budget developed. This is submitted to the US Office of Management and Budget and then to the US Congress. Once an appropriation is passed we the work to reconcile and provide guidance to our 192 operating units who submit revised budgets. These are then reviewed and approved.



USAID

USAID's new central evaluation office is currently being re-established. It is slated to have seven staff (six professionals/one support) by the end of 2009 and to increase to 14 staff (12 professionals/two supports) by 2011. The institutional set-up is also still in flux but evaluation currently reports to the director of Management Policy, Budget and Performance. The Evaluation Interest Group and Agency Policy Co-ordinating Committee provide support to the evaluation function in USAID.

USAID has defined the following evaluation priorities: "strengthen our evaluation capacity, implement a new programme of more rigorous impact evaluations, work with development partners on collaborative evaluations, participate in evaluation organisations and forums, and provide intellectual leadership.

Project evaluations are planned and performed by the missions in the countries. Budget and plans for these evaluations are handled at this level in the organisation. Policy, sector and thematic evaluations are planned and carried out from the central level. The ideas for what to evaluate in these evaluations comes from senior staff members and administrative staff at HQ and at the evaluation unit.

External consultants play an important role in designing and conducting USAID evaluations at all operational levels, both to ensure independence (where appropriate) and as a source of technical expertise. That said, USAID is committed to increasing the role of direct hire staff in designing and implementing evaluations and (as part of cost-saving initiative) plans to in-source about 15% of operational level evaluation work over the next five years.

The USAID has generally not performed evaluations together with the partner countries, though country offices do sometimes involve counterparts from the country. For project and country evaluations, the government in the country is contacted and invited to comment on evaluation questions and to agree on the evaluation. The decision regarding the extent to which national partners are involved is taken by operational units and can therefore vary. National consultants are often involved in evaluation teams.

A management response system is in place. Reports are made available on the web, via electronic distribution, print media, and on a dedicated Development Experience Clearinghouse.

World Bank Group

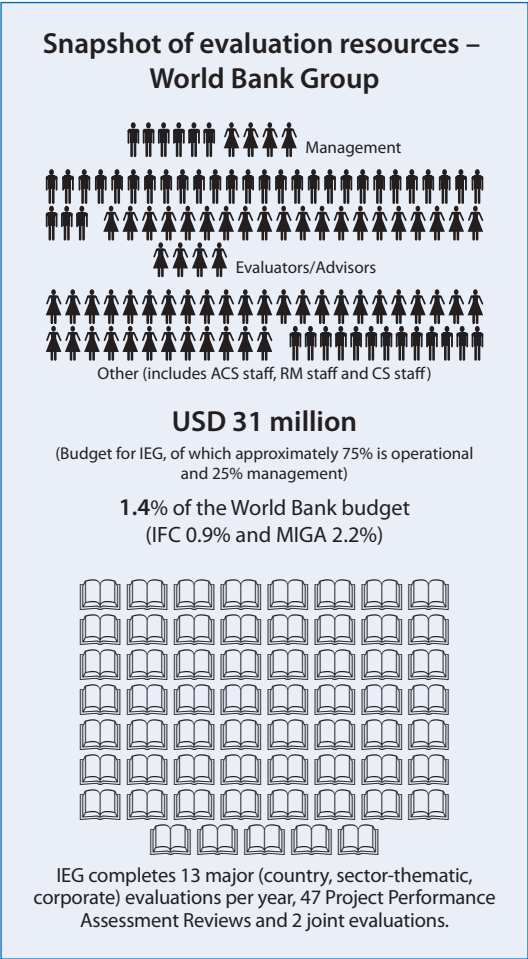
Independent Evaluation Group

Mandate

IEG validates self-evaluation activities, verifies their results, and carries out independent evaluations of the relevancy, efficacy, and efficiency of World Bank Group operational activities and processes. IEG is headed by the Director-General – Evaluation (DGE), who reports to the board of executive directors through the Committee on Development Effectiveness (CODE). Work programmes and budget are prepared independently of WBG management, under the oversight of the DGE, for endorsement by CODE, and approval by the board. The Director-General Evaluation oversees the work of three units: IEG-World Bank evaluates IBRD and IDA support to countries’ overall development; IEG-IFC evaluates Bank Group activities that focus on contributions to private sector development and on strengthening the business climate; and IEG-MIGA evaluates the impact of Bank Group political risk guarantees and technical assistance aimed at improving foreign direct investment to developing countries. These three units, under the overall guidance of the Director-General, disseminate their findings with the aim of enhancing the Bank Group’s development effectiveness.

IEG’s budget is proposed by the Director-General and approved by the board of Executive Directors. IEG endeavours to hold its budget at a constant percentage of its respective parent organisation from year to year (World Bank 1.4%, IFC 0.9%, and MIGA 2.2%)

Self-evaluation is 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. IEG validates evaluation work carried out by programme units, and conducts independent evaluations of projects, country programmes, sector/thematic areas, corporate processes, and global programmes. IEG routinely evaluates the quality of self-evaluations as part of its validation work. In general, the quality of those self-evaluations is acceptable, but there is room for improvement.



Independence

The Independent Evaluation Group (IEG) exhibits independence on four major criteria:

Organisational independence: IEG's organisational independence is clear. The DGE reports to the board of Executive Directors, not to bank management, and appoints the Directors of IEG-WB, IEG-IFC, and IEG-MIGA, through whom the DGE directs the work of all IEG staff. IEG reports its findings to the board without Bank Group management's pre-clearance.

Behavioural independence: IEG has a long track record of critiquing bank work, recognising the WBG's achievements but also addressing its shortcomings and making recommendations for improvements. A long-time external observer of IEG has told us that this "willingness by IEG to speak out is hardly new; rather, it has been a salient characteristic of the unit since its inception." In recent years IEG also has been proactive in using public media to communicate the results of its evaluations.

Protection from external influence: IEG is protected from outside interference in many ways. Its work programme and budget are decided in concert with the board, not Bank Group management. It has unrestricted access to all bank records and staff in conducting its work, and can consult with government officials, the private sector, NGOs, media, and all sources it deems appropriate without prior clearance from Bank Group management. It controls the hiring, promotion, and firing of its own staff within the framework of the bank's merit-based personnel system.

Avoidance of conflicts of interest: IEG has adopted guidelines on avoiding conflicts of interest, based on the Staff Manual, but tailored to the specific issues facing independent evaluation.

Quality

The primary quality assurance instruments are extensive review by the IEG management team; IEG, World Bank Group and external peer reviewers; and external Advisory Committees for major evaluations. A number of assessments of IEG's evaluation reports have been conducted over the years, including as part of IEG's annual review of development effectiveness. In general, the findings have been that IEG's evaluations are of high quality.

Planning, reporting and use

IEG works from a rolling three-year plan covering all evaluations and related activities, including evaluation capacity development and communications. The work programme is prepared by IEG and endorsed by CODE and the full board.

The DGE is invited to some of the senior management meetings. The Management Action Record (MAR) in the bank and Management Action Tracking Record (MATR) in IFC and MIGA are the primary mechanisms for keeping track of the extent to which management has responded to IEG recommendations. Management responses are included in published reports, including print and online, but the MAR and MATRs are not public.

IEG reports are submitted directly by the DGE to the Committee on Development Effectiveness, and are disclosed to the public in line with its disclosure policy, which is being revised. Reports are posted on IEG websites, and many are published in book form. In addition, results are disseminated through conferences and workshops, papers in journals, professional meetings, and media releases and interviews.

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 - 2006: Portugal, United Kingdom, Netherlands, Greece, United States
 - 2007: Denmark, European Community, Canada, Spain, Finland
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ANNEX A

Resources

Resources overview

Note: For members with multiple evaluation units: the staff numbers, evaluations per year and budget figures for each unit are combined to provide one aggregate value per member. The results shown here therefore differ from the disaggregated averages shown in Table 2.1, which were calculated using individual unit figures. Consult the member profiles in Chapter 3 for specific figures on each evaluation unit.

DAC Country	Central evaluation unit budget	Central unit budget as % of ODA	Staff	Average evaluations per year	Average number of evaluations per staff per year	Notes on individual figures
Australia	USD 3 462 775	0.153%	14	3	0.2	
Austria	USD 576 951	0.400%	3	4	1.3	Central evaluation budget covers strategic evaluations only. Ratio compares strategic evaluation budget to overall bilateral ODA.
Belgium	USD 2 293 379	0.067%	9	5	0.6	
Canada	USD 3 626 895	0.100%	19	9	0.5	
Denmark	USD 3 900 000	0.138%	6	8	1.3	
Finland	USD 1 730 852	0.200%	5	8	1.6	
France (total)	USD 3 908 842	0.060%	22	38	1.7	Total of all three budgets over total ODA.
Germany (total)	USD 7 380 000	0.120%	25	89	3.6	
Ireland	USD 721 189	0.088%	6	7	1.2	
Italy	USD 600 000	0.100%	7	N/A	N/A	Plans to fix evaluation budget at 0.1% of ODA.
Japan (total)	USD 13 215 459	0.164%	35	159	4.5	Japan MOFA USD 2.4 million, 0.035%, Japan JICA USD 10.8 million, 0.961%
Korea (total)	USD 900 000	0.249%	12	20	1.7	KOICA 16 evaluations, EDCF 4 evaluations
Luxembourg	USD 1 700 000	0.606%	4	40	10.0	
Netherlands	USD 5 048 320	0.075%	17	6	N/A	
New Zealand	USD 460 000	0.185%	8	3	0.4	The central evaluation unit has eight staff, who produce strategic evaluations and is also involved as team members on some programme evaluations. The majority of evaluations are carried out by programme units. Given the use of staff time and budget to contribute to programme evaluations and other work beyond the two to three evaluations produced per year by the central unit, calculating NZ USD 670,000 for strategic evaluation and an estimated NZ USD 835,000 for programme evaluation with staff costs
Norway	USD 3 680 000	0.140%	10	11	1.1	
Portugal	USD 508 500	0.082%	3	3	1.0	Evaluations EUR 210 029 and administrative costs EUR 140 488
Spain	USD 458 000	0.016%	5	3	0.6	Excluding bilateral ODA managed by multilateral development agencies. A plan has been approved to increase the evaluation budget to EUR 900,000 in 2010. An overall spending figure includes information from the AECID, other Ministries, Regional departments and local councils and DNGO's.
Sweden (total)	USD 8 200 000	0.174%	32	27	0.8	Sweden UTV USD 5.2 million, 0.206%, SADEV USD 2.99, 0.063%. Overall spending figure and ratio for UTU only.
Switzerland (total)	USD 775 123	0.071%	4	5	1.3	The total figure is divided between two units: Switzerland SECO USD 228 000, 0.100%, 2 evaluations per year, and SDC USD 547 000, 0.063%, 3 evaluations (central evaluation only, not including aid effectiveness reporting).
United Kingdom	USD 9 046 499	0.094%	21	23	1.1	
USA (total)	USD 3 000 000	0.000%	18	7	0.4	DFA 1 million, 5 staff, no figure for number of reports; USAID USD 2 million, 14 staff, no figure for relative budget provided. Sum of two budgets over total ODA covered by DFA (35 million).

Results: Bilateral agencies only	AVERAGE	USD 3 417 854	0.156%	13	23	2
	MEDIAN	USD 2 646 690	0.100%	10	8	1
	MIN	USD 458 000	0.016%	3	3	0
	MAX	USD 13 215 459	0.606%	35	159	10
	STD DEV	USD 3 272 467	-	-	-	-
MULTILATERALS						
Member	Evaluation unit budget	Budget as percent of administrative budget	Staff	Evaluations per year	Average number of evaluations per staff per year	
AFDB	USD 4 500 000	1.500%	24	23	1.0	
ADB	USD 8 000 000	2.000%	46	39	0.8	
EBRD	USD 5 000 000	1.500%	16	36	2.3	
EC	USD 11 000 000	n.a.	16	17	1.1	
IADB	USD 7 000 000	1.400%	33	25	0.8	
IMF	USD 5 000 000	0.500%	12	2	0.2	
UNDP	USD 6 000 000	n.a.	20	17	0.9	
World Bank Group	USD 31 000 000	1.400%	112	62	0.6	
Results: Multilaterals only	AVERAGE	USD 9 687 500	1.38%	35	28	0.8
	MEDIAN	USD 6 500 000		22	24	1.1
	MIN	USD 4 500 000	0.500%	12	2	0.2
	MAX	USD 31 000 000	2.000%	112	62	0.6
	STD DEV	USD 8 867 829	0.488%	-	-	-
Results: Full network	AVERAGE	USD 5 089 759		19	24	1
	MEDIAN	USD 3 790 000		15	11	1
	MIN	USD 458 000		3	2	0
	MAX	USD 31 000 000		112	159	10
	STD DEV	USD 5 916 250		-	-	-

Overall spending on evaluation – DAC countries

Bilaterals	Estimated overall spending on evaluation	Ratio of central spending on evaluation to overall evaluation spending
Australia	USD 6 183 527	56%
Austria	USD 586 615	36%
Belgium	USD 2 596 278	88%
Canada	USD 6 974 798	52%
Denmark	Not applicable	
Finland	No reply	
France (total)	Not known	
Germany (total)	Not known	
Ireland	Not applicable	
Italy	No reply	
Japan (total)	USD 14 800 000	89%
Korea (total)	USD 1 080 000	83%
Luxembourg	USD 1 561 349	109%
Netherlands	Not known	
New Zealand	USD 1 505 000	31%
Norway	No reply	
Portugal	No reply	
Spain	USD 4 590 982	10%
Sweden (total)	USD 7 485 366	69%
Switzerland (total)	Not known	Estimate 6-8%
United Kingdom	Not known	
USA (total)	Not known	
AVERAGE	USD 4 836 391	62%
MEDIAN	USD 3 593 630	63%
MIN	USD 1 080 000	10%
MAX	USD 14 800 000	109%

ANNEX B

Questionnaire

Member Development Evaluation Profile Questionnaire

Respondent/Interviewee:
Unit:
Agency:
Country:

EVALUATION POLICY

1. Does the agency have an evaluation policy? *Please attach or indicate where we can find it.*

Yes

No

A policy is being developed

Comments:

2. If yes, does the policy include (check all that apply):

definition of evaluation's role and responsibilities

description of evaluation's place in the institutional aid structure

use and dissemination of results

feedback and management response system

process for clearing evaluation reports

quality standards for evaluation processes and outputs

joint evaluation

partner (recipient) country role in evaluation

evaluation capacity development

3. What is the main focus/role of the **central evaluation unit**? (Examples: conducting evaluation, managing evaluations, supporting decentralised evaluations)

FINANCIAL RESOURCES FOR EVALUATION

Please indicate currency and year

4. What is the annual budget of the central evaluation unit for the current budget year? __
What is the budget for evaluation studies for the current year? _____
(or distinguish between administrative vs. operational budget, as applicable)

How much is spent annually overall on evaluation in the agency, if known? _____
(including evaluations done outside the central evaluation unit)

Total bilateral ODA handled by the agency: _____

5. How is the budget determined?
6. In your opinion, is the current evaluation budget adequate for meeting the learning and accountability needs of the agency?

Yes, adequate

Somewhat adequate

No, inadequate

Not sure

Comments:

HUMAN RESOURCES FOR EVALUATION

7. How many full-time staff work:

		Managers	Advisors/Evaluation Professionals	Support staff/ Other	TOTAL
in central evaluation unit?	<i>female</i>				
	<i>male</i>				
primarily on evaluation in other parts of the agency?					
in the agency overall?					

Comments:

8. In your opinion, are human resources in the central evaluation unit adequate, given the size and type of programmes the unit is charged with evaluating, in terms of:

number of staff in the central evaluation unit?	Yes, adequate Somewhat adequate No, inadequate Not sure
technical evaluation skills of staff?	Yes, adequate Somewhat adequate No, inadequate Not sure
management capacity of the evaluation unit?	Yes, adequate Somewhat adequate No, inadequate Not sure
knowledge and skills for evaluating cross-cutting themes? (as applicable) Specify relevant themes:	Yes, adequate Somewhat adequate No, inadequate Not sure

Comments:

External Consultants

9. Describe the role of external consultants in the evaluation process:

What proportion of evaluations is conducted by consultants? ___%

10. How would you rate the average quality of consultants conducting evaluations for the unit?

Excellent
Good/satisfactory
Variable
Poor/inadequate
Don't know
n.a.

Comments:

MANAGEMENT SET-UP AND INDEPENDENCE

11. To whom does the unit (the Head of evaluation) report?
If available, please provide an organisational chart showing reporting lines:
12. For organisations with multiple agencies/evaluation units, how is co-ordination ensured?
13. How is independence ensured?
14. Is the evaluation unit supported by an internal or external evaluation committee or advisory body?
Yes No
If yes, please describe its mandate, role, authority, and budget:
15. What is the seniority level of the Head of the central evaluation unit?
16. Does the Head of Evaluation participate in agency senior management meetings?
Yes No
Comments:

NORMS, STANDARDS, MANUALS AND GUIDANCE

17. Does the unit have an evaluation manual or guidelines for evaluating?
Yes No
If yes, list reference:
18. What are the instruments for quality control?
19. Has an assessment of the quality of the central unit's evaluations been done?
Yes No
If yes, please provide the reference or briefly summarise the findings:
If no formal assessment has been made, what is your general impression of the quality of evaluations carried out in/managed by the central evaluation unit?
Excellent
Good/satisfactory
Variable
Poor/inadequate
Don't know
n.a.
Comments:

20. Please indicate if any of the following resources from the OECD DAC Network on Development Evaluation are used in the agency, and, if so, how useful they are:

	Not used	Used	Somewhat useful	Useful	Comments
DAC Principles for the Evaluation of Development Assistance (1991)					
DAC Glossary of Key Terms in Evaluation and Results Based Management					
DAC Evaluation Quality Standards (draft for test-phase)					
Guidance for Managing Joint Evaluations (2006)					
Draft Guidance on Evaluating Conflict Prevention and Peacebuilding Activities (2007)					
Other (please explain)					

DECENTRALISED EVALUATION

21. Are evaluations carried out elsewhere in the organisation (field offices, country programme level, etc.)?

Yes No

If yes, what kinds of evaluations and what is the role of the central evaluation unit in these evaluations (if any)?

22. Do the same quality requirements apply to evaluations carried out by decentralised evaluation units?

Yes No

If no, what rules or standards apply?

23. Has an assessment of the quality of decentralised evaluations been done?

Yes No

If yes, please provide the reference or briefly summarise the main findings:

If no formal assessment has been made, what is your general impression of the quality of evaluations carried out outside the evaluation unit?

Excellent

Good/satisfactory

Variable

Poor/inadequate

Don't know

n.a.

Comments:

WORK PROGRAMME, PLANNING, CO-ORDINATION AND HARMONISATION

24. Does the unit have a multi-year evaluation plan? Yes No
 If yes, please link or describe span and content:
 Is the evaluation plan publicly available? Yes No
25. How is the work programme determined?
26. Coverage – Describe the proportion of programmes/projects that are subject to evaluation:
27. What types of evaluations does the unit produce?
 Project activities Policy/strategy Country evaluations
 Programme Process evaluations Annual reviews
 Sector-wide Impact Meta-evaluations
 Thematic – specify:
 Cross-cutting issues – specify:
 Other – specify:
 Comments:
28. How many evaluations does the central evaluation unit produce per year on average?
 How many joint evaluations per year? multi-donor: ___with partner country(s): ___
29. Does the unit regularly consult relevant evaluation reports others have completed before planning a new evaluation?
 Yes No
30. Does the unit consult other donor evaluation plans when setting the evaluation programme or planning an upcoming evaluation to look for possible areas of collaboration?
 Yes. Please describe:
 Yes, we have a specific group we regularly contact. Please list:
 No
31. Does the unit share its future evaluation plans and emerging ideas with the DAC Evaluation Network Secretariat?
 Yes No Plan to start doing so

USE OF COUNTRY SYSTEMS, ALIGNMENT, AND SUPPORT TO PARTNER CAPACITY DEVELOPMENT

32. Please describe the involvement of partner countries in the evaluation process, distinguishing between different types of evaluation as necessary:

Specifically, to what extent are partner country stakeholders involved?

	Always	Regularly/For certain types of evaluation	Occasionally	Not at all
in setting the unit's work programme/evaluation plan?				
in deciding to undertake a particular evaluation?				
in designing evaluations, developing TORs?				
to facilitate data collection or field visits?				
as members of a reference or steering group?				
in tracking or implementing follow-up actions and management responses?				
as consultants carrying-out evaluations?				
in other ways? Please specify:				

33. In your opinion, how well do evaluations address issues of concern to *both* donors and partner countries?

Adequately

Somewhat

Not at all

Comments:

34. Does your agency have a strategy for supporting evaluation capacity development (ECD) in partner countries?

Yes No

If *yes*, please provide reference or briefly describe the types of specific capacity development support provided and the role of the central evaluation unit:

If *no*, is support to evaluation capacity development undertaken by another agency unit? Does the central evaluation unit contribute to that work in any way?

DISSEMINATION, FEEDBACK, LEARNING AND USE

35. Does the evaluation budget cover activities aimed at promoting feedback and use of evaluation findings?

Yes No *Comments:*

36. Is there a mechanism to ensure management responses to and follow-up action on evaluation recommendations?

Yes No *If yes, please describe:*

37. Are management responses and follow-up actions made public?

Yes No *Comments:*

38. In your opinion, how well does the management response and follow-up action system work in terms of evaluation contributing to concrete improvements in policy and programme design, implementation and effectiveness and improved development results?

Very well

Satisfactorily

Not well at all

Comments/Explanation:

39. Does the evaluation unit have a website? Yes No

Provide link:

Are reports available for download on it? Yes No

40. What channels do you use to distribute evaluation reports?

Please check all that apply and briefly describe how and when outreach is done, as applicable.

Audience	Description of outreach
agency programme staff at headquarters	
agency programme staff in country/field	
agency management at headquarters	
agency management in country/field	
parliament/legislature in donor country	
parliament /legislature in recipient country	
beneficiaries in developing countries	
civil society in donor country	
civil society in recipient country	
media and general public in donor country	
media and general public in recipient country	
Other:	
submitted to DEREc not submitted	

41. Are there any other comments or information you would like to share?

ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

The OECD is a unique forum where governments work together to address the economic, social and environmental challenges of globalisation. The OECD is also at the forefront of efforts to understand and to help governments respond to new developments and concerns, such as corporate governance, the information economy and the challenges of an ageing population. The Organisation provides a setting where governments can compare policy experiences, seek answers to common problems, identify good practice and work to co-ordinate domestic and international policies.

The OECD member countries are: Australia, Austria, Belgium, Canada, Chile, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea, Luxembourg, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Slovak Republic, Slovenia, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States. The European Commission takes part in the work of the OECD.

OECD Publishing disseminates widely the results of the Organisation's statistics gathering and research on economic, social and environmental issues, as well as the conventions, guidelines and standards agreed by its members.

Better Aid

Evaluation in Development Agencies

The evaluation of official development programmes has grown tremendously over the past two decades; the public and taxpayers increasingly demand credible assessments of whether aid “works” to improve the lives of the world’s poorest. Global efforts to hold donors and partners accountable for the outcomes of development co-operation have also contributed to the growing interest in evaluation.

In this context, this study describes the role and management of evaluation in development agencies and multilateral banks, based on questionnaires, findings from peer reviews by the OECD Development Assistance Committee (DAC), interviews and a literature review. The study includes information about the specific institutional settings, resources, policies and practices of each of the DAC Evaluation Network’s 32 members. The study identifies major trends and current challenges in development evaluation, covering: human and financial resources, institutional set-ups and policies, independence of the evaluation function, reporting and use of evaluation findings, management response systems, donor co-ordination, joint evaluation, and the involvement of partner countries in evaluation work.

This study 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.

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