Literature Study on M&E Practices in Development Assistance Organizations (January 2011)
Holger Nauheimer and Viktoria van den Hövel, Change Facilitation
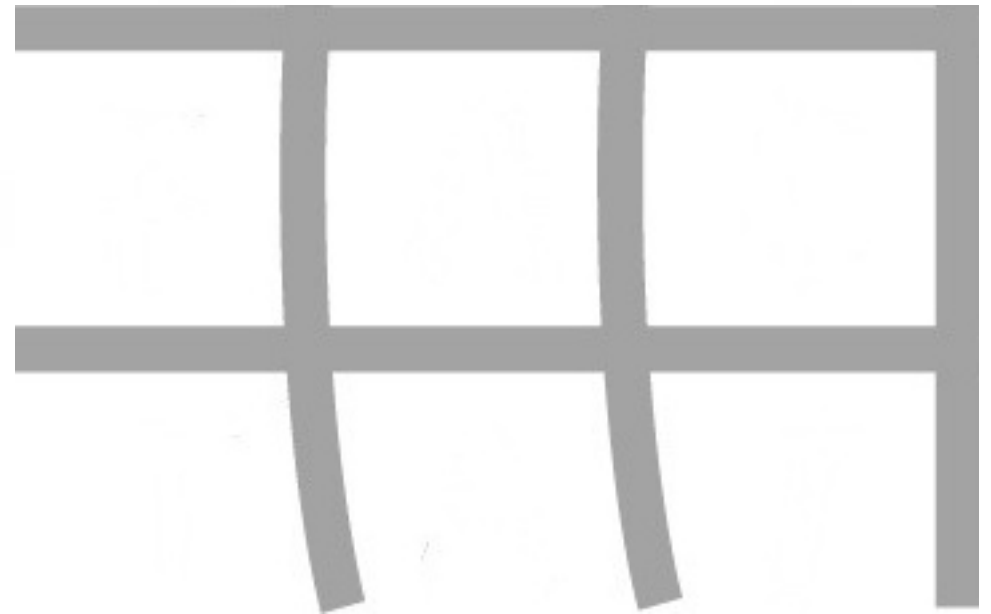
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List of abbreviations

ADB – Asian Development Bank
AFD – Agence Francaise de Developpement
BEP – Borrowers Ex-Post Evaluation
BS – Budget Support
BTC – Belgian Development Agency
CAPE – Country Assistance Program Evaluation
CAS – Country Assistance Strategy
CIDA – Canadian International Development Agency
CSP – Country Strategy Papers
CTB – Belgian Development Agency
DANIDA – Danish International Development Agency
DFID – Department for International Development (UK)
EPSA – Ex-Post Performance and Sustainability Assessment
GBS – General Budget Support
GTZ – German Agency for Technical Cooperation (resp. GIZ – German Agency for International Cooperation, by 1st January 2011)
IADB – Inter-American Development Bank
ICR – Implementation Completion Report
IED – Independent Evaluation Department (ADB)
IEG – Independent Evaluation Group (World Bank)
IER – Ex-Post Impact Evaluation Report
JBIC – Japan Bank for International Cooperation
JICA – Japan International Cooperation Agency
MAR – Management Action Record
MDG – Millennium Development Goals
M&E – Monitoring and Evaluation
MFA – Ministry of Foreign Affairs
MR – Management Response
MTEF – Medium-term Expenditure Framework
MTR – Mid-term Review (Process)
Norad – Norwegian Agency for Development Cooperation
OVE – Office of Evaluation and Oversight (IADB)

PAF – Performance Assessment Framework
PCR – Project Completion Report (also mentioned as 'CD')
PER – Public Expenditure Review
PPA – Project Performance Assessment
PPR – Project Progress Review
PRS – Poverty Reduction Strategy
SAF – Special Assistance Facility
SAPS – Special Assistance for Project Sustainability
SIDA – Swedish International Development Cooperation Agency
SSP – Sector Strategy Papers
SWA – Sector Wide Approaches
TA – Technical Assistance
UN-EG – United Nations Evaluation Group
USAID – United Stations Agency for International Development
UTV – Secretariat for Evaluation (SIDA)
WB – World Bank
XARR – Expanded Annual Review Report

International organizations					
Organization	**Criteria for selection of projects to be monitored / evaluated**	**Timing plan for monitoring / evaluation**	**Management response to final evaluation reports**	**Monitoring / evaluation budget**	**Budget Support M&E**
Asian Development Bank (ADB)	Project review missions: each project Mid-term review process (MTR): each project. Evaluation: two-tier approach (self-evaluation and independent evaluation). Self-evaluation is validated independently in all cases in-depth evaluation of selected operations only. Selection is based on ratings during the validation process, upcoming country and sector assistance program evaluations, and special interests. Evaluation of Technical Assistance: two-tier approach, excludes small-scale TA, and is not commented nor validated by IED. Independent evaluation of TA is highly selective, based on ADB-wide priorities Country and sector assistance program evaluations: IED selects the country or sector in consultation with the operations department.	MTR: flexible, depending on appropriateness. Evaluation: Self-evaluation: PCRs (Project Completion Report) within 12–24 months after completion. XARRs (Expanded Annual Review Reports) after early operating maturity (when a direct investment project is materially completed). TA completion report is generally prepared within 6-12 months of TA completion. Country assistance program evaluation (CAPE): prior to preparation of the relevant country partnership strategy (CPS).	Workshop after an evaluation mission with representatives from concerned operations. For major studies, IED holds a meeting with the relevant directors on conclusions and recommendations. Record system to follow up recommendations. Management monitors actions and recommendations twice a year. Results are consolidated and analyzed, forming IED's Annual Report on Acting on Recommendations.	MTR: budget is included in the project budget. Evaluation: (*no information available*)	(*no information available*)

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
Inter-American Development Bank (IADB)	Evaluation: Two-tier approach (self-evaluation, validated by independent evaluation; in-depth evaluation). Self-evaluation, including validation, applies to all projects. Any borrower can undertake ex-post evaluation (BEP – Borrowers Ex-Post Evaluation). Centrally managed (OVE) ex-post evaluation is based on samples. Ex-Post Performance and Sustainability Assessments (EPSAs) on at least 20% of completed projects. Ex-Post Impact Evaluation Reports (IERs) on at least 2 projects completed in the previous 4 or more years. Selection of projects for ex-post evaluation: 1. OVE's priorities based on the areas targeted for evaluation. 2. Innovative aspects of the operation and its potential for drawing lessons learned. 3. Strategic relevance 4. The interest and capacity of the Borrower, and how the evaluation exercise may help strengthen their evaluation capacity. Country strategies are all evaluated.	Monitoring: to be agreed during project design phase. Self-evaluation: upon project completion. BEP: four or more years after project completion EPSA: 2 or more years after completion. IER: 4 or more years after completion. Country strategies: ex-ante, before the start of a country program.	Results and recommendations are built in different regular reports targeting the management, allowing them continuous monitoring. (*no further information available*)	(*no information available*)	(*no information available*)

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
United Nations System (UN-EG)	Projects and programs to be evaluated must be on a selective basis. Cyclical or purposive selection of evaluation topics (separately by each agency). Evaluability defined as: • Clarity in the intent of the subject • Sufficient measurable indicators • Assessable reliable information sources • No major factor hindering an impartial evaluation process Secretariat programmes: All programs must be evaluated (evaluation is thus decentralized). 'One' Country programme: • Originally 5 selected country pilots • 20 countries by 2009 • 40 countries by 2012	Defined by each UN agency separately. Secretariat: "*regular, periodic evaluation of all program activities*"	*UNEG Good Practice Guidelines for Follow-up to Evaluations* Preconditions: • Quality evaluation planning and implementation • Involvement of stakeholders • Quality evaluation recommendations • The evaluation's credibility Common UN system Standard on mechanism of follow-up to evaluations: dissemination, management response (MR), learning, and usage. (Including time frame, formal and informal activities, roles and responsibilities, etc.) Key principles: ownership, consultation, transparency. MR matrix: for monitoring accepted recommendations and agreed actions. (Including deadlines and status of implementation.) A list of good practices on elements of MR, systematic follow-up, and learning/knowledge development.	Defined by each UN agency separately. For 'One' Country Programme: MDG Funding Mechanism is funding all activities ('One Budgetary Framework')	(*no information available*)

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
World Bank Group	Project reviews: Each project does self-evaluation (Implementation Completion Report – ICR) IEG validates each ICR and selects projects for Project Performance Assessment (PPA) based on good potential for further learning. Projects related to sectors, thematic areas, or countries soon to be evaluated are likely to be selected for PPA. 25% of projects are subject to PPA annually. Projects selected for PPA are clustered then. Sector, thematic and country strategies and programs are reviewed in all case. About 10 country evaluations, and 6 sector/thematic reviews per year,	ICR: upon project completion. PPA: after Bank fund have been fully disbursed to a project Sector, thematic, country reviews: in accordance with the revision on the Sector Strategy Papers (SSP) or Country Assistance Strategies (CAS). The flow of revised SSPs is scheduled up to three years in advance, and CASs, up to two years in advance. IEG sector and thematic reviews are produced from 6 months to 1 year before the SSP is finalized.	The Management Action Record (MAR) allows IEG to monitor the adoption and implementation of individual recommendations from sector, thematic, and corporate evaluations. It includes the ratings of both management and IEG on these two indicators, updated annually.	(*no information available*)	No defined assessment format

EU member states' organizations					
Organization	**Criteria for selection of projects to be monitored / evaluated**	**Timing plan for monitoring / evaluation**	**Management response to final evaluation reports**	**Monitoring / evaluation budget**	**Budget Support M&E**
Agence Française de Développement (AFD)	(*no information available*)	Mid-term evaluation: during the implementation process (around mid-way) Final evaluation: upon project completion Ex-post evaluation: "well after project completion" (measuring impact)	A reporting workshop for all relevant stakeholders to discuss the findings and recommendations. (Discussions may be taken further into working groups.) Conclusions and recommendations are forwarded to policymakers and officials, lessons learnt are used when formulating new projects. The implementation is monitored by the evaluation office.	Costs covered from project/programme budget	(*no information available*)
Belgian Development Agency (CTB/BTC)	(*no information available*)	Evaluation: 2-3 years after project completion	(*no information available*)	(*no information available*)	(*no information available*)
Danish International Development Agency (DANIDA)	Evaluation: Project or programme Completion Reports are prepared by all activities. Independent evaluation is done upon a sort of selection of projects, programmes (sector, country) and themes.	Monitoring: Annual meetings Evaluation: (*Information is inconsistent.*)	A follow up memo is prepared, identifying which departments are responsible for the agreed follow up activities. The memo is discussed in the Programme Committee; then the Evaluation Department monitors the implementation of the follow up activities. Dissemination happens via workshops and seminars for staff in co-operation with the Ministry's education section, and via Danida's Centre for Competence Development. "Best practices" are compiled and formulated.	(*no information available*)	Common Performance Assessment Framework: annual reviews, and completion report at the end of each phase

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
Department for International Development (DFID)	Reviews: all projects and programmes of over £1 million Mid-term review: obligatory for all interventions over £1 million, others may choose to have one. Evaluation: Project Completion Report (self-evaluation) must happen for all projects and programmes of over £1 million, when: • Actual expenditure reaches 95% threshold • During the last 3 months of the project • The stage of the project is announces as "completed"	Reviews: annually (for projects/programmes over £1 million) Mid-term reviews: around mid-point of implementation Ex-post evaluation: at the end of an intervention	Evaluation Manager's responsibility to follow-up the implementation of recommendations. Sometimes a summary of management responses and other follow-up action is published with the evaluation report.	Costs covered from project/programme budget	Focus on the national monitoring systems; Public Expenditure Review

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
German Agency for Technical Cooperation (GTZ)	Monitoring: All projects and programs. More rigorous on projects/programs with strategic importance. Evaluation: Two-tier approach (self-evaluation + independent evaluation by GTZ Ev. Unit) Selection of projects for evaluation each year: • 10 ongoing projects • 10 final evaluations • 10 ex-post evaluations Selection of random samples: based on the 2 thematic and/or regional priorities set each year	Monitoring: Strategically important projects/programs: 6 monthly reporting Project Progress Review (PPR): towards the end of each project phase Evaluation: Self-evaluation: in the form of a PPR (*see above*) Interim evaluations: after the 2nd phase and min. 2 years of continuation Final evaluation: 6 months before/after the project completion Ex-post evaluation: 2-5 years after completion	Under testing phase (until 2011): • Learning orientation extending from the preparation of evaluations (learning requirements in TOR, cross-departmental learning groups to assess evaluation findings, etc) • Encouraging discussion (learning dialogues among sector networks) • Application (in developing and design of new projects, or sector strategies and concepts) Evaluation Unit tracks and examines this testing phase.	(*no information available*)	(*no information available*)

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
Swedish International Development Cooperation Agency (SIDA)	Evaluation: Secretariat for Evaluation (UTV) assesses value and evaluability of projects to be selected for evaluation. The goal is to cover the full range of policy areas, aid modalities, countries and country categories where SIDA is active.	Evaluation: Not defined (based on need)	Evaluation Manager's responsibility to create a strategy for communicating and disseminating the results. All evaluations are followed up by a management response in 3 steps: 1) An overall assessment from Sida's point of view of the relevance, accuracy and usefulness of the evaluation and its findings. 2) A detailed response to the recommendations and/or main findings. 3) A summary action plan with a completion date for each action.	Costs covered by project budget.	(*no information available*)

Other donors					
Organization	**Criteria for selection of projects to be monitored / evaluated**	**Timing plan for monitoring / evaluation**	**Management response to final evaluation reports**	**Monitoring / evaluation budget**	**Budget Support M&E**
Canadian International development Agency (CIDA)	Project-level evaluations are based on specified needs. Major evaluations in accordance with corporate priorities. (The potential value-added for CIDA.)	Evaluation: Mid-term: during implementation End-of-phase: at the completion of a phase during multi–phase initiatives End-of-project/investment/program: on completion Ex-post impact: later	Implementing recommendations is up to the CIDA Management's decision. Sharing and distribution is the responsibility of the Evaluation Manager. (Internal online platforms, and oral briefing sessions are suggested.)	The Responsibility Centre Manager funds the evaluation.	(*no information available*)
Japan Bank for International Cooperation / Japan International Cooperation Agency (JBIC/JICA)	Mid-term reviews: all projects Ex-post project evaluation: all projects (external, verified by local experts) Ex-post thematic evaluation: selected projects linked together by a specific theme. Themes are chosen based on the priority areas of the donor. Ex-post monitoring: all projects	Mid-term reviews: 5 years after conclusion of the loan agreement and prior to the ex-post evaluations Ex-post evaluation: 2 years after the project is completed Ex-post monitoring: 7 years after the project completion	A feedback meeting is organized in the partner country for the relevant stakeholders. The ex-post monitoring sheet is drafted, recording the actions to be taken on annual basis. Based on ex-post evaluation results, the necessary improvements are implemented, and the effects are verified by ex-post monitoring. In case of concerns over the realization of effects, studies are undertaken. The evaluation results of similar past projects are reflected in ex-ante evaluations and in the Special Assistance Facility (SAF).	(*no information available*)	(*no information available*)

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
Norwegian Agency for Development Cooperation (NORAD)	Reviews (mid-term and end): from inventions over NOK 50 million

Project completion report (CD) for all interventions.

Evaluation: large programmes that are financed over a longer period, programmes that are particularly risk-exposed or have strategic interest. Frequency and scope of evaluations determined on the basis of the intervention's character, risk, and significance, and on a cost-benefit assessment. | Monitoring: annual meeting

Reviews: towards the mid-term and upon completion of the intervention (mandatory for large-budget program). Special reviews agreed during design phase or upon need/interest.

CD: upon project completion.

Evaluation: upon agreement between donor(s) and partner(s) | A Memorandum with a sum of the experiences and suggested points to be followed up is send to the MFA. MFA decides about the actual follow-up actions, the time frame and responsibilities. This follow-up plan is announced within six weeks to the partner country. The department responsible will, within one year, report as to what measures have been implemented. | Included in program budget (monitoring, reviews and evaluations as well). | Annual review and mid-year review. |

Organization	Criteria for selection of projects to be monitored / evaluated	Timing plan for monitoring / evaluation	Management response to final evaluation reports	Monitoring / evaluation budget	Budget Support M&E
United States Agency for International Development (USAID)	Monitoring (Performance Management): all projects. Internal process. Evaluation: at least 1 evaluation is mandatory for each project. Others are upon need. Final or impact evaluations: upon consideration by USAID	Monitoring: continuous (at least yearly reporting) Evaluation: towards the end of implementation (if not needed otherwise) Final or impact evaluation: sometime after project completion	Responsibility of the intervention implementing team: • Debriefing meeting with the evaluation team • Systematic review of key findings and recommendations • Identifying actions needed, timeline and assigning responsibilities • Suggesting for revision in country assistance strategies and plans, if needed • Disseminating evaluation report, and discussing it with key stakeholders.	Both monitoring and evaluation from intervention budget. In general, they suggest 5-10% of total program resources to be allocated for performance management (monitoring & evaluation).	(*no information available*)

Private foundations					
Organization	**Criteria for selection of projects to be monitored / evaluated**	**Timing plan for monitoring / evaluation**	**Management response to final evaluation reports**	**Monitoring / evaluation budget**	**Budget Support M&E**
Gates Foundation	Monitoring: all projects Evaluation: Focus is on initiative and sub-initiative levels (key areas and key activities of a strategy, considered as a portfolio of linked projects). Occasionally, some grants and sub-grants are evaluated. Prioritization of measuring initiatives is based on investment type, focus priority is "Model Development" and "Demonstration of Effectiveness".	Monitoring: annual tracking and reporting Evaluation: Evaluation of strategy level every 3-5 years. Evaluation of initiative and grant levels is not defined in time bounds.	Rigorous system for tracking and measuring grants, and linking grants with initiative and strategy levels. This ensures: • Feedback from grant level to strategy level • Implementation of learning points from grant and initiative level into strategy level	(*No clear indication, but it sounds like M&E costs are budgeted on project level for grants, and on organization level for initiatives and strategies*)	
W.K. Kellogg Foundation	Evaluation: Project level – all projects Cluster level – all clusters	Evaluation: (Understood as "*consistent, ongoing collection and analysis of information for use in decision making*") Project evaluation – ongoing, at every major phase of a project. Cluster evaluation – not defined (but stated as "*regular*")	Must be planned and delivered by the project staff, evaluation team and other stakeholders together: • How the evaluation team informs the project staff on the evaluation progress • Marketing and dissemination of the evaluation report • Use of the evaluation findings.	Evaluation: expected to be 5-7% of a project's total budget.	

Summary table of Monitoring and Evaluation practices

Donor	Mid-term project evaluation/review	Final project eval.		Final program evaluation	Reviews		Country evaluation
		Self	Independent		Internal review missions	External review missions	
ADB	Yes	Yes	Yes		Defined for each project separately		
IADB	Yes, if needed	Yes	Yes		Structured - annual	No	Yes
DANIDA	Yes, if needed	No	If relevant	Yes	Internal and/or external reviews annually		Yes
CIDA	yes	yes	Yes	Yes	Yes		
DFID	Yes	yes	yes	Yes	Yes		Yes (country program by DFID only, country dev. by all donors)
JICA	yes	No	Yes (varified by experts from developing countries)	Yes (thematic programs only)	Internal and/or external review teams (regular and/or ad hoc)		Yes
Norad	Yes, above a certain budget	Yes	Yes, above a certain budget	Yes, above a certain budget			
SIDA	Yes	If needed	Yes	Yes			
AFD	Yes	Yes	Yes	Yes			
USAID	If needed	Yes	Yes	Yes		No	Yes
Gates Foundation			Yes	Yes			
Kellogg Foundation	Yes (unstructured)	Project manager decided whether to get an external evaluator or not	yes (cluster evaluation)				
GTZ	Yes	Yes	Yes	Yes			Yes (by BMZ only, as external evaluation)

UN		Yes	Yes	Yes	Yes	Yes
WBG	yes	yes	Yes	Yes	Yes	Yes

Annex 1 – Best practices: Main features of Monitoring and Evaluation activities by large aid organizations

The best practices are selected based on their relevance to the international Aid Effectiveness agenda.

1) Criteria for selection of projects to be monitored / evaluated

Inter-American Development Bank (IADB):

IADB had a two-tier approach for each project, consisting of a self-evaluation by the project management upon project completion (Project Completion Report), and of an independent review and validation of each project, carried out by the Office of Evaluation and Oversight (OVE).

Besides, OVE performs in-depth ex-post evaluations of a sample basis, two or more years after completion: Ex-Post Performance and Sustainability Assessment (EPSA) on at least 20% of completed projects; and Ex-Post Impact Evaluation Reports (IER) on at least two projects completed in the previous 4 or more years.

The criteria for projects to be selected for ex-post evaluations are: (1) OVE's priorities based on the areas targeted for evaluation; (2) the innovative aspects of the operation and its potential for drawing lessons learned; (3) the strategic relevance at the Bank, sector, or national levels; (4) the particular interest and capacity of the Borrower.

Any Borrower may undertake ex-post evaluation of operations, taking into account the institutional capacity to carry them out. Borrowers Ex-Post Evaluations (BEP) are prepared by Borrowers on voluntary basis, preferably 4 years or more after project completion. IADB provides capacity building for carrying out any BEP.

Bill and Melinda Gates Foundation:

The measurement framework of the Foundation is called the Actionable Results Measurement, which is based on a strategy hierarchy, made up of strategy, initiative and grant levels. The measurement planning efforts concentrate on the "initiative" level (key areas of action within a strategy), where grant-level results can be aggregated, while it can provide more useful inputs to strategy level. Grants are monitored on a regular basis by grant managers, initiatives are to be carried out as independent evaluations, and strategies are evaluated on a corporate level every 3 years.

Initiative-level measurement, however, is highly dependent on the type of investment. For most investment types (Research, Product Development, Delivery at Scale) the Foundation suggests to focus on tracking and short-term outcomes. The priority for evaluation resources is "Model Development" and "Demonstration of Effectiveness" as they are believed to require more technical expertise, planning and greater financial resources than the rest.

2) Timing plan for monitoring and evaluation

Asian Development Bank (ADB):

The timing plan of monitoring and evaluation activities at ADB is set in a way that they provide a framework with relative timing, there is a high level of flexibility provided based on the needs.

The timing of the Mid-term Review Process (MTR) depends on the appropriateness. According to ADB's experiences, it usually happens towards 60% of completion of a project.

Project Completion Reports (for public sector operations) are required within 12-24 months after completion, while Expanded Annual Review Reports (XARR – for

nonsovereign operations) are prepared after early operating maturity (when a direct investment project is materially completed).
Self-evaluation for Technical Assistance shall be prepared within 6-12 months of TA completion. Timing of the independent evaluation of TA is undefined.

<u>German Agency for Technical Cooperation (GTZ):</u>
GTZ provides its projects and programs with a very clear time frame for monitoring and evaluation activities.
Strategically important projects and programs report on a 6-monthly basis. For each project, a Project Progress Review (PPR) is prepared towards the end of each project phase. PPR also serves as self-evaluation upon project completion.
Interim evaluations are carried out after the second phase, after minimum 2 years of continuation of a project.
Final evaluations shall happen 6 months before or after the project completion, carried out as an independent evaluation, by the Evaluation Unit. Ex-post evaluations are also independent ones (by Evaluation Unit), scheduled 2-5 years after the project completion.

3) Management response to final evaluation reports

<u>United Nations Evaluation Group (UN-EG)</u>
The UN Evaluation Group has created two sets of guidelines in regards to how evaluations shall be followed up in the UN System. One of these is included in the "Standards for Evaluation in the UN System", determining the need of follow-up mechanisms to be in place in each organizations, and suggesting on the shape of these mechanisms.
The second document is the "Good Practice Guidelines for Follow-up to Evaluations". This document, first, sets preconditions to an effective follow-up, which are: (1) quality evaluation planning and implementation; (2) involvement of stakeholders; (3) quality evaluation recommendations; and (4) the evaluation's credibility. The key principles for UN System evaluation follow-up shall be ownership, consultation, and transparency.
There is a collection of good practice in regards to dissemination, management response (MR), learning and the usage of evaluation recommendations, as well as a set of guidance on how best to implement an effective follow-up mechanism. It also suggests that UN organizations should use a so-called MR matrix: for monitoring accepted recommendations and agreed actions, including deadlines and status of implementation. Templates for management response are included.

<u>Japanese Official Development Assistance (JBIC/JICA)</u>
JBIC's feedback mechanism is set in 4+2 steps. It all starts with a feedback meeting, after the ex-post evaluation work is completed. It is organized in the partner country, and stakeholders are invited to participate. The purposes of the meeting are to inform the executing agencies and other project-related parties of the results of the evaluation and receive comments from them.
The ex-post monitoring sheet is drafted at the end of the meeting, and the performance of the selected operation and effect indicators are recorded, as well as the actions to be taken to respond to the recommendations on annual basis. The results of those actions are evaluated in the seventh year after the project completion.
If necessary, JBIC implements the so-called Special Assistance for Project Sustainability (SAPS – a Special Assistance Facility), and other studies to follow up actions implemented upon recommendations.
The lessons learned from the ex-post evaluation are kept in a database by sector. In the ex-ante evaluation of a new project, JBIC searches the database and incorporate relevant lessons in the planning.

Feedback activities are expected from the partner countries as well. First of all, after the feedback meeting, the partner country is expected to plan and execute those follow-up actions that concern its own project/program management system. Furthermore, through the ex-post monitoring sheet they are requested to track progress and provide information and feedback.

When it turns out during the ex-post monitoring (7 years after project completion) that the project performance after the ex-post evaluation is not satisfactory (e.g. the actual figures of the selected operation/ effect indicators did not reach the targets or they are getting worse), undertakings of some corrective actions are expected.

German Agency for Technical Cooperation (GTZ):

In its latest evaluation concept paper, GTZ admits that even though it conducts more than 130 evaluations per year, the learning as per recommendations has not been adequately tapped so far. To overcome this, the organization has developed systematic learning processes and interfaces for knowledge management, and implementation of recommendations. This is under testing phase at the moment, until 2011. The elements include: (1) Learning orientation from the preparation of evaluations (e.g. earning requirements identified in Terms of Reference), (2) establishing platforms for dialogue (e.g. cross-departmental learning groups to the assessment of evaluation findings, learning dialogues among sector networks); and (3) application (e.g. in developing the products of the GTZ-Planning and Development Department, the design of new projects or the development of sector strategies and concepts).

The responsibility for the process is in the hands of the operative units, while the Evaluation Unit supports and tracks the learning process.

4) Monitoring and evaluation budget

United States Agency for International Development (USAID)

Performance Management (including both monitoring and evaluation activities) are included in the project/program budgets at USAID. The budget shall include funds for capacity improvement in host country or local organization partners. According to USAID's experience, 5-10% of the total program resources should be allocated for performance management. However, there is a requirement to integrate USAID and partner's performance management activities and work plans, thus to keep the performance management system cost effective.

Annex 2 – Best practices: Monitoring and Evaluation of Budget Support operations

Best practices: Monitoring and Evaluation of Budget Support operations

Common features:

- Budget support mostly involves multiple donors, thus the evaluation of budget support tends to be done in a joint fashion as well
- In BS, just like as for SWA, there is a tendency to involve more and more the partner government - in many cases the M&E framework of the budget support is in alignment with the recipient government's processes, or indeed, builds on that

Common challenges:

- Formal monitoring frameworks do not always track progress in remedying weaknesses in financial systems
- Donors use data generated by partner government systems to monitor progress - gaps in baselines and weaknesses in partner government statistical systems sometimes constrain effective monitoring
- BS requires capacity building in the recipient country in various fields, including monitoring and evaluation, due to massive part of the administration and implementation activities are transferred from donors to the partner country's institutions

Best practices:

<u>Norwegian Agency for Development Cooperation (Norad)</u>
Norad's budget support is reviewed twice a year, through an annual review and a mid-year review. The annual review is focused on a joint view of performance, which serves as the basis for commitments. The mid-year review focuses on dialogue on forward planning and budgeting and agreement on the Performance Assessment Framework (PAF). PAF include a combination of underlying processes, process indicators and outcome indicators. The number and category of indicators in the PAF is based on each country's Poverty Reduction Strategy/Action Plan.

In the case of Uganda, the dialogue between government and donors is coordinated through sector working groups that include government ministries, civil society and development partners. Most sectors hold annual joint reviews, ensuring that strategies are formulated and reviewed. Sector joint reviews - for instance within health, education, agriculture and water and sanitation - provide input to the Budget Support monitoring framework. Monitoring is partially conducted through local coordination and harmonization (forums, working groups, etc).

Over the last few years, Norad has relied on the Joint Assessment Frameworks for many countries to which it delivers budget support. These frameworks provide a common base for the donors harmonizing monitoring and evaluation matters in a certain country.

<u>World Bank</u>
WB has not defined an assessment format and practice will differ from country to country depending on assessment of field staff. The Development Policy Lending implies high degree of delegation and decentralisation of authority to field offices.
Generally speaking, effectiveness of budget support is measured in terms of outputs and outcomes. The system also allows for scaling up of development effectiveness. Conditionality is focused on policy measures related to overall budget priorities, and in principle they do not track the use of funds for specific budget expenditures. Additional accountability arrangements may be warranted if there are weaknesses in public financial management. World Bank expects the use of established government systems instead of

parallel reporting and accounting systems for individual projects to result in reduced transaction costs.
Some experiences:

"Weak coordination among implementing agencies... That said, there is some emerging good practice. In Tanzania, for example, poverty data is being used for the determination of fiscal transfer formulas to local government while, in Cambodia and Burkina-Faso, innovative mechanisms for the joint monitoring of sectoral results frameworks have been developed including an annual review of sector performance reports. In Cambodia, moreover, these reports – for education and health - feed in to the production of revised financing frameworks for the MTEF."

"Align PRSP and budget timelines. Both the strategic priorities of the PRSP and results from monitoring need to be available at a time which is relevant to the annual budget process for both inter and intra- sectoral allocations as well as medium term adjustments. Over time, PRSP progress reports should be timed so as to inform the budget process and could usefully become background papers to national budget documents."

Danish International Development Agency (DANIDA)
The Government Agreement for general budget support, between the recipient government and DANIDA, includes a common Performance Assessment Framework (performance indicators, targets, deadlines, etc.). The PAF is a joint matrix of performance indicators with targets, actions, and, where relevant, deadlines, agreed by all partners to a GBS arrangement. Progress reports include annual reports on (a) implementation of the country's poverty reduction strategy; (b) implementation of specific measures based on PAF; (c) state budgets and expenditure / fiscal frameworks; (d) diagnostic reports, assessments and reviews (based on the Government Agreement).
A Completion Report must be prepared at the end of each phase of GBS.
Annual reviews are held by the partner government together with the GBS development partner group. The government and development partners plan the annual cycle with reference to the annual budget process and the PRS reviews. This also implies that, when Danish GBS is only one component of broader programme support, linked to the other components.

Department for International Development (DFID)
DFID emphasises the need to use the governments own monitoring system in terms of poverty outcomes and that a useful Public Expenditure Review (PER) system is in place. The shared system is important to make monitoring as effective and coordinated as possible and to let the monitoring form the basis for the political dialogue inside and outside the country in question. The PER is important to constantly monitor the overall budget allocations towards priority and non-priority sectors and to have a basis for meaningful dialogue on budget support.

SIDA-DFID partnership in Rwanda (education sector):
General budget support monitoring framework includes indicators and targets for the sector. Monitoring of the targets is done through annual reviews that also assesses progress towards PRS targets and provides input to MTEF and annual budget process.
The intention of Sida was to delegate monitoring of the education sector to DFID, to rely on their reports and be informed through annual meetings with DFID. However, DFID requested Sida to participate in the annual sector reviews, while DFID is responsible for day-to- day follow up and has one full time education adviser stationed in Rwanda.

Annex 3 - Bibliography

A. Binnendijk (2000) *Results Based Management in the development cooperation agencies: a review of experience, DAC OECD Working Party on Aid Evaluation.*
This paper focuses on the experiences and approaches of the donor agencies with establishing results based management systems. It is based on a document review of selected donor agencies with the most experience, including five bilateral and two multilateral agencies: USAID (United States); DFID (United Kingdom); AusAID (Australia); CIDA (Canada); Danida (Denmark); the UNDP; and the World Bank.

Bill and Melinda Gates Foundation (2010) *A Guide to Actionable Measurement*
This document provides an overview of results measurement at the Foundation. The guide informs about the Foundation's views on measurement, the framework called Actionable Measurement, and guidelines on how to apply the framework in their project work.

B. T. Nguyen and E. Bloom (2006) *Impact Evaluation – Methodological and operational issues – Asian Development Bank*
This reference provides an overview of methods available for evaluating impacts of development programs, and addresses some common operational concerns about their practical application. It presents general concepts and approaches of impact evaluation; and an overview of quantitative methods available for evaluating development interventions. The document addresses some general concerns about impact evaluation, and issues of operational implication including choosing an evaluation method, designing steps, and resource commitments.

CIDA (2008) *Results-Based Management Policy Statement*
CIDA's Policy Statement describes the context and importance of results-based management to CIDA, and covers the organization's principles and understanding in regards to RBM's application and use.

Civil Law Division of Legal Affairs Department of the Dutch Ministry of Foreign Affairs (2004/2007) – *Nordic Plus – Practical Guide to Joint Financing Arrangements –* **on behalf of CIDA, the Ministry of Foreign Affairs of Denmark, the Ministry of Foreign Affairs of Finland, Irish Aid, NORAD, SIDA and DFID**
The Practical Guide identifies Joint Financing Arrangements (JFA) as a practical tool for multi-donor cooperation. The goal of the JFA is to provide practical support to the field in the often time-consuming process of harmonisation. The Guide introduces good practices for determining donor predictability, and it features improved flexibility and user-friendliness. It gives practical background information on the use of the accompanying checklist and template. It provides an outline of the structure of these arrangements and the way items are grouped into paragraphs. Furthermore, the Guide makes clear how the harmonisation and alignment of donor assistance is operationalised.

C. Gerrard, D. Hill, L. Kelly, and E. Wee-Ling Ooi (2007) *Sourcebook for Evaluating Global and Regional Partnership Programs – Indicative Principles and Standards -* **Independent Evaluation Group of the World Bank**
The basis of the Sourcebook is the growing need to develop consensus principles and standards for the evaluation of Global and Regional Partnership Programs (GRPPs), based on IEG's prior reviews of a sample of such programs and their evaluations. The aim has been to develop a set of principles and standards that are applicable to both global and regional partnership programs, to improve the independence and quality of program-level evaluations of GRPPs. It covers topics such as: relevance, effectiveness, efficiency, governance and management, resource mobilization and financial management, sustainability and risk management, impact evaluations, terms of reference, and evaluation products.

CLEAR (2010) *Programme Paper – The Regional Centers for Learning on Evaluation and Results (CLEAR) Initiative –* **The World Bank**
The CLEAR Programme Paper describes the background of the initiative and it provides with an idea of its two components: regional centers and global learning. The document also contains information about the selection process of institutions that will host the regional centers, as well as on the governance of CLEAR. The initiative is being supported by the African Development Bank,

Asian Development Bank, Inter-American Development Bank, Swedish International Development Cooperation Agency, United Kingdom's Department for International Development and the World Bank.

DANIDA (2006) *Evaluation Guidelines, Ministry of Foreign Affairs in Denmark*
DANIDA's Evaluation Guidelines explains the organization's approach to evaluation of development interventions and identify those attributes it considers important to quality. It constitutes a framework built on principles, criteria, standards, good practices and information about Danida's evaluation process. Particular emphasis has been put on defining the roles of various stakeholders in evaluations and on developing codes of conduct for these stakeholders.

DANIDA (2006) *Evaluation Policy, Ministry of Foreign Affairs in Denmark*
This is an updated version of DANIDA's earlier Evaluation Policy (1997), in order to align it with its internal institutional changes and the new trends in international aid evaluation. It captures DANIDA's evaluation framework in regards to evaluation objectives, guiding principles, the role and mandate of the Evaluation Department, evaluation programming, the evaluation process, dissemination and follow-up of evaluation reports, and monitoring of the policy implementation.

DANIDA (2009) *Guidelines for the provision of General Budget Support, Ministry of Foreign Affairs in Denmark*
The guidelines replace the "Guidelines for the Provision of Budget Support" from 2007, covering only the question of General Budget Support (GBS), while Sector Budget Support (SBS) got place in a different document. These guidelines offer guidelines and recommendations meant to help in planning, design and follow-up regarding GBS. It contains basic concepts related to budget support, an overview of the Danish preparation and follow-up process, a set of criteria and considerations in regards to the feasibility of GBS, and essentials on GBS design.

Department for International Development (DFID) (2005) *Guidance on Evaluation and Review for DFID Staff*
This is a step-by-step guide on the practice of designing, managing, reporting on and responding to an evaluation. It targets both inexperienced and seasoned evaluators with basic guidance, and support on more complex, large-scale or joint evaluations. It puts emphasis on the international context and standards in regards to evaluating development assistance.

Department for International Development (DFID) (2007) *Results Action Plan*
The paper has been developed upon DFID's need to use evidence more effectively in development assistance. It presents an action plan in three parts, covering actions within DFID, in country and internationally. These aim to embed results into DFID culture and systems, encourage partner countries to monitor and account for their poverty-reducing policies and programmes, and support an internationally coherent approach to impact evaluation.

Department for International Development (DFID) (2009) *Building the evidence to reduce poverty - The UK's policy on evaluation for international development*
DFID's first ever evaluation policy aims to strengthen the function of independent evaluation and the culture of evaluation and learning from experience across DFID and its partners. It focuses on strengthening independence, developing partnerships with various stakeholders (partner countries, UK governmental institutions, multilaterals, global and regional funds and civil society organizations), introducing a culture of learning and evaluation, and driving up quality of evaluations. It contains a detailed plan on how to put the policy into practice.

D. Jupp, S.I. Ali and C. Barahona (2010) *Measuring Empowerment? Ask Them - Quantifying qualitative outcomes from people's own analysis - Insights for results-based management from the experience of a social movement in Bangladesh – SIDA Studies in Evaluation*
'Measuring Empowerment?' shows how participatory assessments can transform relationships, and at the same time generate reliable and valid statistics for qualitative dimensions. This publication suggests that steps in the process of attainment of rights and the process of empowerment are possible to identify and measure. It presents the experience of a social movement in Bangladesh, which managed to find a way to measure empowerment by letting the members themselves explain what benefits they acquired from the Movement and by developing a means to measure

change over time. The document describes the challenges the case had to face by its nature; the process of developing the approach; as well as the practical use and features of it.

Governance and Social Development Resource Centre (2007) *Monitoring and Evaluation – Topic Guide (UK)*

This topic guide provides an overview of current knowledge in monitoring and evaluation of development activities. It includes short summaries of key texts, each with an extended version in the appendix and a link to the original source. The guide introduces some of the core debates and considerations in regards to designing and managing monitoring and evaluation activities, and it provides case studies of applying different methodological approaches, tools for step by step planning, and lessons learned from international experience of M&E in a range of developing country contexts.

E. Ashbourne—Senior Operations Offices, Team Leader; Ingwell Kuil, Daphne Leger and Eva Kolker—Consultants (2008) *MfDR Principles in Action: Sourcebook on Emerging Good Practices (OECD-DAC Joint Venture on Managing for Development Results)*

The third edition of the Sourcebook documents MfDR leadership, surveying how leadership drives effective organizational change in action to provide practitioners at many levels and in many contexts with solution- oriented examples of MfDR in action. It first introduces MfDR in the global context, then draws case studies of leadership at individual, and country levels, assessing the leaders' characters, actions, circumstances, roles and impacts, and analyses lessons learnt and conclusions.

The Issue Paper presents and analyses the methodological issues underlying the proposed approach to the evaluation of budget support operations, addressing both a conceptual and methodological issues and providing the necessary background to justify and explain the choices made and approach proposed. The paper is structured in two sections: the first one provides a literature review of approaches to budget support evaluation and a discussion of the main related methodological issues, completed by the description and analysis of different approaches to the construction of counterfactuals; the second section presents the origin and justification for the proposed intervention logic and methodological approach developed for the evaluation of budget support operations, the three-step approach.

E. Caputo, A. Lawson, M. van der Linde and D. Luiz (2008) *Methodology for Evaluations of Budget Support at Country Level – Issue Paper – Assignment for the European Commission*

Evaluation Department, European Bank for Reconstruction and Development (2010) *Update of the Evaluation Policy of the EBRD*

The latest version of the EBRD Evaluation Policy provides a statement of understanding in regards to the evaluation function, its objectives, putting a major emphasis on accountability and independence of evaluations. It describes the required evaluation process and methodology, with special regards to different types evaluation reports and studies. Knowledge production and usage got an exceptional focus in this Policy document.

Evaluation Office UNICEF (2010) *Developing national capacities for Country-led evaluation systems – A conceptual framework*

The conceptual framework presented gives the rationale for engaging on national evaluation capacity development, by confirming why it is important to support country-led evaluation systems; presenting a systemic approach to the framework which aims to strengthen an enabling environment, institutional and individual capacities; and offering ideas on what donor offices could do in partnership with other stakeholders to support country-led evaluation systems.

Evaluation Service FAO (2006) *Note on the Approach and Funding Arrangements for the Evaluation of FAO's Work in Emergency Response and Rehabilitation*

This document describes the approach FAO is intended to apply in the case of emergency responses and rehabilitation programmes. The importance of the document lies in the need for evaluating such kind of development assistance, but, looking at the urgency and fragility of the situations, it requires a different approach from "normal" project or programme evaluations. This approach is briefly described in the note.

Executive Board of the United Nations Development Programme and of the United Nations Population Fund (2006) *The evaluation policy of UNDP*

This paper presents the policy of UNDP for evaluation. The purpose of the policy is to establish a common institutional basis for the UNDP evaluation function. This policy note establishes the guiding principles and norms; explains key evaluation concepts; outlines the main organizational roles and responsibilities; defines the types of evaluation covered; and identifies the key elements of a system for learning and knowledge management. It also outlines the capacity and resource requirements to enhance excellence in the development of an evaluation culture and a learning organization.

Food and Agriculture Organization of the United Nations (FAO) (2007) *Draft Auto-Evaluation Guidelines*

FAO auto-evaluations are intended to strengthen the results-based management of the organization for the purposes of improving programmes, enhancing organizational learning and providing a sound basis for informed decision-making. These Auto-evaluation guidelines are intended to introduce the auto-evaluation process by outlining the procedures, quality standards, planning and management of the auto-evaluation; explain methodological approaches and highlight common methods; and to provide practical guidance to auto-evaluation teams.

Food and Agriculture Organization of the United Nations (FAO) (2009) *Programme Evaluation Report*

The 2009 Programme Evaluation Report aims to present the major evaluations completed over the past 2 years. The report consists of four main sections: new developments in evaluation (focusing on improving stakeholder involvement, follow-up of evaluation recommendations, and impact evaluations); collaboration with the UN system on the field of evaluation; the evaluation program of FAO (a listing of evaluation outputs for 2008-2009, and the work plan for 2010-1011); and finally, the briefs of major evaluations completed in 2008-2009. The briefs contain a summary of the management response, as well as conclusions by the Programme Committee.

GTZ (2008) *Guidelines on the Project Progress Review (PPR)*

The Project Progress Review (PPR) has long been an established, tried and tested instrument for steering and planning Technical Cooperation (TC) development measures, and is a binding element of all development measures conducted by GTZ. These PPR Guidelines are meant to provide guidance on designing a PPR and information on new features. The document is divided into three sections: the general framework and process steps; the contents of the PPR and an annotated breakdown of the report; and a specimen Terms of Reference for PPR appraisers, refers to helpful documents and contains key questions intended to help with specific issues.

H. Razafindramanana, R. Saerbeck, I. J. Ruprah, P. Grasso, and S. Hutaserani (2008) *Good Practice Standards – Country Strategy and Program Evaluations – Evaluation Cooperation Group*

To promote evaluation harmonization, the ECG has prepared and implemented good practice standards (GPSs) for several categories of MDB evaluations. The standards on country strategy and program evaluations (CSPEs) aim to contribute to the ECG objectives of harmonization of evaluation criteria and processes, help MDBs link evaluation and operational standards in pursuit of their missions and objectives, and assist in learning from experience among MDBs for improved results. It identifies good practices standards for independent CSPEs on three perspectives: process-related, methodology-related and reporting-related good practice standards. A document also contains a benchmarking table, summarizing the standards.

HTSPE Limited (2007) *EuropeAid Comparative Study of External Aid Implementation Process, a project funded by the European Union*

The aim of this study is to seek the optimal mix of tasks and responsibilities between field offices and headquarters in five organisations dedicated to the implementation of effective and efficient development cooperation. The four bilateral donors invited by the European Commission (EC) to participate in the study are: France, the Netherlands, Sweden and the United Kingdom. The specific objectives of the study is to compare the donors' external aid processes (from planning to evaluation); decision-making levels; average time-frame for each step of the process; level of detail in guidance linked to the different steps of the process; and the levels of powers and the donors' flexibility to adopt to changing needs.

IDD and Associates (2007) *Evaluation of General Budget Support – Note on Approach and Methods. A Joint Evaluation of General Budget Support 1994-2004 (DFID)*

The Joint Evaluation of General Budget Support (JEGBS) was commissioned by a consortium of donor agencies and seven partner Governments under the auspices of the DAC Network on Development Evaluation, to examine to what extent, and under what circumstances, Partnership General Budget Support (PGBS) is relevant, efficient and effective for achieving sustainable impacts on poverty reduction and growth. The Note on Approach and Methods has been written as a stand-alone document, providing the reader with an ex-post assessment of their relevance and the experience the evaluation team had employing them in an evaluation of this type and scale. It combines documentation, explanation and analysis of the methodology employed for the JEGBS, as well as lessons learnt and recommendations for future evaluations.

IFAD Office of Evaluation (2003) *IFAD Evaluation Policy*

The aim of this paper is to strengthen the effectiveness of the evaluation function at IFAD in the light of international principles and experience. The focus of the document is on independent evaluation, and as such, the function, mandate and responsibilities of the Office of Evaluation (OE). The document is organized into four parts: the outline of the policy framework (including the purpose of evaluation, stakeholders, principles and operational policies); the details of operational procedures and arrangements; the summary of high-level responsibilities; and finally the description of how the policy will become effective.

IFAD Office of Evaluation (2009) *Evaluation Manual – Methodology and Processes*

The manual contains the core methodology that the Office of Evaluation (OE) applies in undertaking its evaluations, including project, thematic, country programme and corporate-level evaluations. It contains a detailed description of methodological fundaments, and it presents the key processes for designing and conducting project and country programme evaluations. The annexes include, among other things, examples of good practices in terms of the evaluation framework, approach papers, evaluation forewords, executive summaries, and agreements at completion point.

IFAD Office of Evaluation: *Managing for impact in rural development – A guide for project M&E*

The guide focuses on how M&E can support project management and engage project stakeholders in understanding project progress, learning from achievements and problems, and agreeing on how to improve both strategy and operations. It aims to provide advice on how to set up and implement an M&E system. It includes guidance on using M&E to manage for impact; linking M&E to project design and planning; setting up and managing an M&E system; information management; ensuring the needed conditions and capacities; and follow-up of evaluation findings.

Independent Evaluation Department, Asian Development Bank (2009) *Independent Evaluation*

The Independent Evaluation Department (IED) of the Asian Development Bank has undergone several organizational changes over the past years, and the policies needed to be aligned with those changes. This document provides these alignments. It contains ADB's understanding on evaluation, the description of its independent evaluation system, policy on independent evaluation, and the scope and outputs of independent evaluations.

I. Ohno and Y. Niiya (2004) *Good Donorship and the Choice of Aid Modalities – Matching Aid with Country Needs and Ownership - GRIPS Development Forum*

This paper aims to provide a conceptual framework for deciding the choice of aid modalities, based on the country and sector-specific context; to clarify features of respective aid modalities and show examples of how and under what conditions specific modalities can help address development needs while fostering ownership of recipient countries; and to suggest how donors can effectively assist in achieving sustainable growth and poverty reduction by properly practicing aid. The paper stresses the importance of matching aid with country needs and ownership as well as a set of issues ("good donorship" principles) that should be honoured by donors—regardless of their choice of aid modalities—in order to realize effective aid.

JBIC Project Development Department Development Assistance Operations Evaluation

Office (2006/2008) *Evaluation Handbook for ODA load projects*
The Evaluation Handbook is a detailed guide on evaluating ODA loan projects, in regards to approaches, tools and methodologies. It discusses the new directions of evaluation development assistance; the background and process of ex-post evaluations; and the feedback procedures of evaluation findings. Important to mention its description of evaluation tools, with special regards to Social Analysis.

J.-M. Severino and O. Ray (2010) *Taking the Measure of Global Aid, Current History – A journal of contemporary world affairs, January 2010, p. 35-39.*
The article takes into account the evolution and recent developments on the global development aid platform, and discusses the need for change in the way of measuring global aid from three key perspectives: change of objectives, players and instruments of global aid assistance. It questions basic assumptions in regards to aid measurement and provides with some suggestions for changes.

J.-M. Severino and O. Ray (2010) *The end of ODA: The birth of hyper-collective action –* Center for Global Development
Severino and Ray use the lessons of the Paris Declaration— the first large-scale effort to coordinate hypercollective action—as a starting point for envisioning a new conceptual framework to manage the complexity of current international collaboration. They offer concrete suggestions to improve the management of global policies, including new ways to share information, align the goals of disparate actors, and create more capable bodies for international collaboration.

K. Mackay (2007) *How to Build M&E Systems to Support Better Government – The International Bank for Reconstruction and Development / The World Bank*
IEG's publication documents good practice and promising practice country systems for M&E. It starts by focusing on exactly what monitoring and evaluation has to offer to governments, then builds on the experience of several countries that have succeeded in building a well-functioning government M&E system, to examine what exactly a "successful" M&E system looks like. It analyzes the lessons from building government M&E systems in these and many other countries, both developing and developed. Particular attention is paid to the benefits from conducting a country diagnosis. It also maps out those issues where international experience with government M&E systems is not well understood or well documented.

M. Bamberger and E. Ooi (2004) *Influential Evaluations: Evaluations that Improved Performance and Impacts of Development Programs - The International Bank for Reconstruction and Development/The World Bank*
This report presents eight examples of evaluations that had a significant impact. It aims to compare the costs of conducting the evaluation with the economic benefits produced and to show that the evaluation was a highly cost-effective management tool. The report concludes with a summary of lessons learned concerning the design of useful evaluations, the extent to which evaluation utilization can be assessed, and the extent to which their cost-effectiveness can be estimated.

M. Reuber and O. Haas (2009) *Evaluations at the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ GmbH) German Technical Cooperation.*
The document presents what success, result and their measurement means to GTZ, and describes GTZ's new (2009) approach to managing for development results. It documents the organization's evaluation system: the role and mandate of the evaluation unit; evaluation standards and principles; evaluation criteria and issues; and evaluation structure and instruments. The paper closes with a chapter on future challenges, namely establishing learning from evaluations; and the harmonization of evaluation.

M. Segone (2005) *From policy to results - Developing capacities for country monitoring and evaluation systems – Evaluation Office UNICEF*
This publication aims to contribute to the international debate on how monitoring and evaluation can enhance evidence-based policy making, and furthers it by providing new analysis on strengthening country monitoring and evaluation capacities, and in moving from policies to results through country-led monitoring and evaluation systems. It offers contributions from senior officers in institutions dealing with national monitoring and evaluation capacity development, on the topics of *From policies to results through country-led monitoring and evaluation systems; Developing*

country monitoring and evaluation capacities; and Good practices and lessons learned from country-led monitoring and evaluation systems.

M. S. Lin and A. Davet (2010) *COMPAS Evaluation Report – Evaluation Cooperation Group*
The evaluation was mandated to: review whether the objectives set for COMPAS are being met; assess the relevance and effectiveness of its framework of categories and indicators; identify improvements; situate COMPAS in the context of corporate performance frameworks and indicators that are being developed by MDBs; and articulate key findings, providing concrete and evidence-based recommendations on the future of COMPAS and its shape and form. The report provides background and genesis of COMPAS; the methods used for evaluation and their limitations; and an analysis of the structure of the COMPAS indicator framework. It addresses how the reports are prepared and used which impinges on the effectiveness of COMPAS, then details the report's key findings and the concrete recommendations.

N. Fujita (2010) *Beyond Logframe; Using Systems Concept in Evaluation – Issues and Prospects of Evaluation for International Development Series IV, Ministry of Foreign Affairs of Japan (FASID)*
In the first article, "Beyond logframe: Critique, Variations and Alternatives," the author sums up the critique of logframe and the Logical Framework Approach (LFA), and explores some variations employed to overcome specific shortcomings of LFA. In the second article, "Systems Thinking and Capacity Development in the International Arena," the author explains what "thinking systemically" is about and how it might help evaluation. In the third article, "Using Systems Concepts in Evaluation – A Dialogue with Patricia Rogers and Bob Williams –" the two interviewees explain in simple conversational style where and how we can start applying systems concepts in development evaluation. The issue also carries a report of two collaborative evaluations of Japanese Official Development Assistance (ODA) projects.

Norad (2005) *Development Cooperation Manual – The Norwegian Ministry of Foreign Affairs*
Development Cooperation Manual (DCM) is a quality assurance tool and describes key principles, procedures and standard working methods in different phases of a programme cycle. It provides an overview of the general framework for the bilateral cooperation and guidelines for the management in the phases of the Programme Cycle. It deals with Norad's Development Cooperation Policy, Mandatory Procedures, Delegation of Authority and Documentation and the division of responsibilities over the programme cycle. The programme cycle refers to the life cycle of a programme, from the initial planning to implementation and completion.

Norad (2006) *Evaluation Policy 2006–2010 – The Norwegian Ministry of Foreign Affairs*
This document sets out Norad's strategic priorities in regards to evaluation for 2006-2010, explaining each priority in details and discussing the way resources need to be allocated to be able to implement the priorities. It also draws up the evaluation program for 2006-2008, while the last chapter is devoted to describe the guidelines for evaluation of Norwegian Development Cooperation, starting with the purpose and understanding of the evaluation function, through the process of delivering an evaluation, to knowledge production and capacity building in partner countries.

Norad (2007) *Norway's provision of budget support to developing countries - Guidelines – The Norwegian Ministry of Foreign Affairs*
These Guidelines are based on Norad's internal manuals and guidelines, as well as on international guidance on budget support, so as to be aligned to both internal and international standards. It covers general and sector budget support, as well as budget support to fragile states. It discusses the criteria based on which countries may be considered for budget support, then explains in details the process that shall be followed during the preparatory, follow-up and completion phases of providing budget support.

OECD (2005/2008) *The Paris Declaration on Aid Effectiveness and the Accra Agenda for Action*
This is a fundamental document, listing the commitments and agreements that were developed in the Paris Declaration of Aid Effectiveness in 2005, and in the following Accra Agenda for Action in 2008.

OECD-DAC Network on Development Evaluation (2010) *Development evaluation resources and systems – A study of network members*

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. 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. It 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, it sets out several areas to be further explored through joint effort – including communicating and supporting the use of evaluation results.

OECD DAC Network on Development Evaluation (2010) *Evaluating Development Co-operation – Summary of key norms and standards*

A key component of the Network's mission is to develop internationally agreed norms and standards to strengthen evaluation policy and practice. The norms and standards summarized here are based on experience, and evolve over time to fit the changing aid environment. These principles serve as an international reference point, guiding efforts to improve development results through high quality evaluation.

OECD Development Assistance Committee (1991) *Principles for Evaluation of Development Assistance*

In response to its general mandate to strengthen the volume and developmental effectiveness of aid, the DAC has drawn up a series of policy principles addressing key areas of aid programming and management including Project Appraisal, Programme Assistance and Technical Co-operation. Aid evaluation plays an essential role in the efforts to enhance the quality of development co-operation. The following set of principles state the views of DAC Members on the most important requirements of the evaluation process based on current policies and practices as well as donor agency experiences with evaluation and feedback of results.

OECD Development Assistance Committee (2010) *Inside the DAC – A Guide to the OECD Development Assistance Committee 2009-2010*

Inside the DAC is intended to provide readers with an overview of the DAC, zeroing in on its various working bodies and modes. It intends to present what DAC is and how it works, its organization structure and principles, and the work of its different bodies: networks and working parties; and some of its key initiatives such as the Peer Reviews, engaging with other donors, the Global Forum on Development and the PARIS21 (partnership in statistics for development).

Office of Evaluation, Planning and Coordination Department Japan International Cooperation Agency (JICA) (2004) *JICA Guideline for Project Evaluation – Practical Methods for Project Evaluation*

This document outlines JICA's understanding and objectives of the evaluation function, the system of its project evaluation, including the frameworks and basic steps, the evaluation process, methods and the management of evaluations. It puts a rather big emphasis on the management system of evaluations, and on the big picture of each step in the evaluation process and tool and methods applied.

Office of Evaluation and Strategic Planning, UNICEF (1997) *A UNICEF Guide for Monitoring and Evaluation - Making a Difference?*

This manual covers monitoring and evaluation policies and procedure. It presents the organization of monitoring and evaluation in UNICEF: the roles of UNICEF staff in country, regional and headquarters offices; their responsibility to strengthen national capacity to monitor and evaluate; and the place of monitoring and evaluation in UNICEF's programming cycle. It also discusses monitoring: first, of services, programmes and projects; second, of the situation of women and children in the country and third, of global goals. Finally, it follows the stages of an evaluation: planning, managing, conducting and using the results of evaluations.

Office of Technical Assistance Management (2008) *Technical Assistance Evaluation*

Program Findings of Evaluations and Updated Program – International Monetary Fund

This paper summarizes the findings of evaluations of technical assistance (TA) projects conducted since 2006 – providing key recommendations for future programmes and their evaluations. Updates to the Evaluation Program are provided for 2009–2011. The document also studies evaluations of two Fund regional TA centers (RTACs) and one multi-donor subaccount.

Office of Technical Assistance Management (2008) *Enhancing the Impact of Fund Technical Assistance* – International Monetary Fund

This paper outlines reforms to increase the impact of the Fund's Technical Assistance (TA). It reviews the status of the Fund's Medium-Term Strategy (MTS) for TA and discusses TA-related policy issues raised by relevant departments and units of the Fund. The key aspects are: aligning Fund TA with recipient countries' strategic objectives; strengthening result-focused monitoring and evaluation; improvement of financing TAs.

Programme Committee (2010) *Charter for the FAO Office of Evaluation* – FAO

This Charter responds to the requirement formulated in 2008 that a comprehensive evaluation policy needs to be developed for the FAO Office of Evaluation. The document incorporates the purposes and definition and principles of evaluation in FAO, the types of evaluation in FAO and the scope and methodology set for these evaluations. It also presents the mechanism for evaluation follow-up, a quality assurance system, and the institutional and management arrangement of FAO evaluations.

R. Jones, V. Young and C. Stanley (2004) *CIDA Evaluation Guide* – CIDA Evaluation Division Performance & Knowledge Management Branch

The "CIDA Evaluation Guide" documents the Agency's current approach for evaluating development cooperation policies, programs and projects. It sets out the process to be followed, acceptable standards of performance, appropriate work practices, and guidelines for achieving success. The Guide is designed to promote and facilitate informed decision-making throughout the evaluation process: from the planning/design stage, then implementation, through to reporting and the sharing of results. The Guide is structured based on the steps of an evaluation process.

Secretary-General's High-level Panel on UN System-wide Coherence in the Areas of Development, Humanitarian Assistance, and the Environment (2006) *Delivering as One - Report of the Secretary-General's High-Level Panel* – United Nations

The report puts forward a series of recommendations to overcome the fragmentation of the United Nations so that the system can deliver as one, in partnership with and serving the needs of all involved countries. The initiative 'Delivering as One' is a central theme of our report, which formulates a set of clear recommendations, in multiple fields: development, humanitarian assistance and the environment; governance, funding and management. The basis of the recommendations lies in the need for a coherent and strong multilateral framework within the UN System, in order to achieve the Millennium Development Goals.

SIDA (2009) *Action Plan on Aid Effectiveness 2009-2011*

This Action Plan lays the foundation for intensified work for an effective Swedish Development Cooperation and has been elaborated jointly by the Ministry for Foreign Affairs (MFA) and Sida. The Action Plan operationalises the commitments made by the Government. It presents seven priorities towards improved aid effectiveness. Attached to the Action Plan is a matrix presenting a number of activities to be implemented, with information on responsible unit/department at the Ministry for Foreign Affairs and/or Sida, and the time frame.

S. Koeberle and Z. Stavreski (2005) *Budget Support: Concept and issues* (The World Bank)

This paper presents a synopsis of some key concepts, issues and emerging good practice relevant to budget support as an aid modality. Its objective is to provide an overview of general concepts, suggest the rationale and objectives of budget support and draw together some terminology and definitions. The paper presents principal characteristics of budget support and explores basic differences with other modalities of development assistance in a historical context. It outlines a number of key issues related to budget support that are at the core of ongoing discussions about its effectiveness, including choice of instruments, selectivity, predictability, and donor coordination.

S. Molund and G. Schill (2004) *Looking Back, Moving Forward – Sida Evaluation Manual (SIDA)*

This is a manual for evaluation of development interventions. It consists of two main parts. The first deals with the concept of evaluation, roles and relationships in evaluation, and the evaluation criteria and standards of performance employed in development co-operation. The second is a step-by-step guide for Sida programme officers and others involved in the management of evaluations initiated by Sida or its partners.

The World Bank (2008) *Multilateral Development Banks' Common Performance Assessment System COMPAS 2008 REPORT – on behalf of the the MDB Working Group on MfDR*

The MDB Working Group agreed to publish an annual joint report using the Common Performance Assessment System (COMPAS), to evaluate their institutional effectiveness in managing for results. The objective of COMPAS is to provide MDBs and their partners with information on strengths and areas for improvement relating to MfDR. The MDBs can use this information to leverage improvements in the MDBs themselves, and also to support dialogue within and among MDBs and partner institutions regarding MfDR improvements and results achievement. The 2008 COMPAS report shows how MDBs made progress in strengthening their focus on results and improving their frameworks and systems for MfDR.

The World Bank Group (2010) *Measuring Results to Improve Lives*

This publication aims to present how World Bank Group (IDA, IBRD, IFC, MIGA and ICSID) uses results to measure World Bank's work, what are the different initiatives it has introduced in order to better understand the impact on results. It lists the key tools and activities it has implemented, such as the measurement systems of the World Bank Group; or the support provided to developing countries in times of crisis, the social safety net programs, support on education and health care, and support provided in fragile and conflict-affected countries, amongst others. The publication also presents some case studies that showcase the impacts of World Bank support.

The World Bank Group – IDA Result Measurement System, http://ddp-ext.worldbank.org/ext/GMIS/home.do?siteId=1

It is a website, going into details in regards to the so-called Result Measurement System of the International Development Association. It describes the concepts of both country and agency effectiveness, on different fields, and provides with statistics and data in regards to measuring the impact of IDA activities.

UNDP (2009) *Handbook on planning, monitoring and evaluating for development results*

The Handbook aims to support UNDP in becoming more results-oriented and to improve its focus on development changes and real improvements in people's lives. It recognizes that planning, monitoring and evaluation require a focus on nationally owned development priorities and results, and should reflect the guiding principles of national ownership, capacity development and human development. Therefore, it complements the programme and operations policies and procedures by providing practical and integrated guidance on how to plan, monitor and evaluate for development results.

UNDP Evaluation Office: *RBM in UNDP: Overview and General Principles*

This paper outlines the context, the methodology and the key features of the RBM system introduced in UNDP. It describes the strategic choices made by UNDP in designing its RBM system, and presents some of the emerging implications that these choices may have for UNDP and its partners.

UN Evaluation Group (2005) *Norms for Evaluation in the UN System*

The United Nations Evaluation Group (UNEG) undertook to define norms that aim at contributing to the professionalization of the evaluation function and at providing guidance to evaluation offices in preparing their evaluation policies or other aspects of their operations. The present document outlines the norms for evaluating the results achieved by the UN system, the performance of the organizations, the governing of the evaluation function within each entity of the UN system, and the value-added use of the evaluation function.

UN Evaluation Group (2005) *Standards for Evaluation in the UN System*

Complementary to the norms, a set of standards has been drawn from good practice of UNEG members. They are intended to guide the establishment of the institutional framework, management of the evaluation function, conduct and use of evaluations. They are also a reference for the competencies of evaluation practitioners and work ethics, and are supposed to be applied as appropriate within each organization.

UN Evaluation Group (2006) *The Role of Evaluation in Results-Based Management – A UNEG Reference Document*

This report, prepared by the UNEG Task Force on Results-Based Management, highlights seven key issues that emerged from a survey (sent to a total of 26 UN entities, including specialized agencies, the UN Secretariat and funds and programmes) to ascertain the role evaluation plays in the implementation of Results Based Management in various international organizations. It contains the findings emanating from the survey and their analysis, and it provides an overview of the status of implementation of RBM in UN organizations, ongoing coordination and collaboration, and the role of evaluation in RBM.

UN Evaluation Group (2007) *Evaluation in the UN System*

The "Reference Document" is intended to provide a basic guidance for the UN System in regards to the purpose of evaluation and to how evaluation works in the UN System. It acknowledges the diversity UN entities have in regards to mandates and governing structures, including that of the evaluation function, and sets the function and mandate of a system-wide evaluation unit. It also describes the situation of evaluation policies and mandates according to the types of the entities: UN Secretariat, specialized agencies, funds and programmes, research and training institutes.

United Nations Children's Fund Executive Board (2008) *UNICEF evaluation policy*

The evaluation policy aims to foster a common institutional understanding of the evaluation function in UNICEF, and further strengthen evidence-based decision-making and advocacy, transparency, coherence and effectiveness. The paper provides the background to the policy; defines the scope of it and the guiding principles for the evaluation function in UNICEF; describes the accountability framework for evaluation; puts forward measures to strengthen the evaluation system; outlines the collaboration with partners in evaluation; refers to the periodic review of the policy; and contains a draft decision for consideration by the Executive Board.

USAID (2010) *Assessing and Learning (ADS Chapter 203)*

ADS Chapter 203 aims to provide guidance on practices and standards used to determine how well Assistance Objectives (AOs) are achieving their intended results. It describes the systems of performance monitoring, reporting and evaluation of the agency; the way to use these functions to promote learning and strengthen future performance in achieving intended development results; and how to understand the factors that may be limiting progress made in achieving targeted results and the kinds of actions needed to optimize the achievement of targeted results.

W.K. Kellogg Foundation (1998/2004) *W.K. Kellogg Foundation Evaluation Handbook*

This Evaluation Handbook is designed to encourage dialogue about the role evaluation should play at the project level, providing a solid base from which to make decisions that ultimately lead to stronger programs and more effective services. It presents an overview of the Foundation's philosophy and expectations for evaluation; provides a framework for evaluation of the Foundation's work, and outlines a blueprint for planning, designing, and conducting project-level evaluation. The Handbook also provides with examples in the form of case studies.