

Document: EB 2011/102/R.6  
Agenda: 5(a)(iii)  
Date: 6 May 2011  
Distribution: Public  
Original: English

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Document: EC 2011/66/W.P.7  
 Agenda: 8  
 Date: 23 February 2011  
 Distribution: Public  
 Original: English

**E**

Enabling poor rural people  
to overcome poverty

## Progress report on the action plan for the implementation of the findings and recommendations of the Peer Review of IFAD's Office of Evaluation and Evaluation Function

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Evaluation Committee — Sixty-sixth Session  
Rome, 3 March 2011

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For: Review

## Action Plan for the Implementation of the Findings and Recommendations of the Peer Review of IFAD's Evaluation System:

Update as of ~~15 November~~ 18 February 20110

Table 1: Major written products and key actions

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
1. Both Office of Evaluation and management prepare formal written responses to the Peer Review for the information of the Executive Board.	IFAD Management and its Office of Evaluation			1 April 2010	21-22 April 2010	Completed	Not applicable any more.	-
2. The Executive Board, in considering the report of the Panel as well as the views of the Evaluation Committee, Office of Evaluation and management, weighs options and provides guidance, particularly in areas where some of the parties disagree, on key principles and a framework within which the Evaluation Committee, management and Office of evaluation can work together to develop detailed proposals to address the outstanding issues.	Executive Board				21-22 April 2010	Completed	Not applicable any more.	In its April 2010 session, the Board decided that the Evaluation Committee would be responsible for reviewing outstanding issues and would benefit from the full support of Management and the Office of Evaluation in this regard.
3. Establish the Working Group <sup>1</sup> to oversee revisions to the Evaluation Policy, President's Bulletin and Terms of Reference and Rules of Procedure of the Evaluation Committee	Executive Board with the advice of the Evaluation Committee				May 2010	Ongoing		As part of the delegation (see comment under point 2 above), the Evaluation Committee is actively involved

<sup>1</sup> The Working Group refers to the Working Group suggested in Para 141 (iv) of the report of the Peer Review of IFAD's Evaluation System.

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								in the process related to the preparation of these deliverables for Board approval.
4. Revised Evaluation Policy	Office of Evaluation	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (for review)	19-20 April 2011 (for review)	4-5 May 2011 (for approval)	Ongoing	Evaluation Policy	The Office of Evaluation <u>and management have worked on the draft policy and will be submitting this to the EC scheduled for 3 March. work closely with the IFAD Management in this process.</u>
5. Revised President's Bulletin	IFAD Management and Office of Evaluation				14-15 September 2011 (information)	Pending	President's Bulletin	IFAD Management will undertake this, working closely with the Office of Evaluation, once the revised Evaluation Policy is adopted by the Board.
6. Revised Terms of Reference and Rules of Procedure of the Evaluation Committee	IFAD Management	22 March 2011	19-20 April 2011 (review)	14-15 July 2011 (review)	14-15 September 2011 (approval)	Ongoing	Terms of Reference and Rules of Procedure of the Evaluation Committee	The IFAD Management will work closely with the Office of Evaluation in this process in conjunction with the revision of the Evaluation Policy and following its adoption.
7. Revised Evaluation Manual	Office of Evaluation	N.A.		25-26 November 2010	15-16 December 2010	Completed	Evaluation Manual, IOE's results-based	The Office of Evaluation has been addressing the

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion (information)	EB discussion (information)			
							work programme and budget for 2011 and indicative plan for 2012-2013 (IOE WPB), Note on expanding the IOE's Evaluation Manual to include questions for assessing gender, climate change and scaling up	concerns raised by the Peer Review. It is: (i) devoting enhanced attention to the 'why' analysis in individual evaluation reports and the ARRI; (ii) ensuring that while preparing the evaluation approach paper, the methodology and process is adequately tailored to the country/project context; and (iii) relying increasingly on self evaluation data and reports to undertake independent evaluations. Addressing the aforementioned comments does not require a revision to the Evaluation Manual. However, based on recent CLEs and the evolving priorities areas for IFAD, IOE has expanded its methods to capture better the performance and lessons related to gender, climate

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								change, and scaling up. In this regard, the indicators have been shared with the Committee before end 2010. Similarly, IOE has developed methodology for its new form of project evaluations, which has already been shared with the Evaluation Committee and Executive Board.
4 8. Action Plan for Validation of Project Completion Reports and Project Performance Assessment	Office of Evaluation			8 October 2010 (information)	15-16 December 2010 (information)	Completed	IOE WPB	The Office of Evaluation has developed a dedicated methodology and process for the validation of project completion reports (PCRVS) and project performance assessments (PPAs). A summary of the same is contained in an Annex of the 2011 work programme and budget document of the Office of Evaluation. The methodology <del>is being</del> <del>was</del> piloted in 2010 through 5 PCRVS and 1 PPA, which <del>will produce</del> <del>has produced</del> elements

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								for fine tuning the methods and processes before end 2010. The same document also includes further information about PCRV and PPAs (e.g., the number of PCRV and PPAs to be undertaken per year, the time required, etc). <a href="#">For 2011 ARRI, IOE and PMD have already started the process of reviewing PCRs and orienting staff.</a> IOE will conduct 25 PCRVs and 6 PPAs, as stated in the 2011 work programme document.
9. A paper prepared for the consideration of the Evaluation Committee that identifies options for the necessary changes to resolve any possible legal incompatibilities between the Evaluation Policy and the Agreement Establishing IFAD in a way that fully respects the wishes of the shareholders for an independent evaluation function, as expressed under the 6 <sup>th</sup> Replenishment.	IFAD Management			25 February 2011 (information)		Completed		The paper was prepared by the General Counsel and provided to the Evaluation Committee at its 64 <sup>th</sup> session in October. On that occasion, the Committee decided that the legal opinion would be considered at the same time when the revised Evaluation Policy will be discussed in 2011.
10. Costed-Action Plan for	IFAD	16 June 2011		14-15 July	14-15	Ongoing	Action Plan (AP)	IFAD management



Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
Further Development of the Self Evaluation System	Management			2011 (review)	September 2011 (approval)			has started working on a costed Action Plan, keeping also in view the central role the project completion reports will play in future <u>and the high learning potential of these documents.-</u>
11. Review of the Financial Management Systems of the Office of Evaluation	Office of Evaluation		15-16 July 2010 (information )	8 October 2010 (information)	15-16 December 2010 (information)	Completed (pending further consideration by the Board in December 2010)	IOE WPB	The Office of Evaluation has undertaken a review of its financial management system and is implementing the required activities as part of an Activity Plan that was developed for this purpose. In addition to undertaking tasks to strengthen financial management within IOE, the Activity Plan also addresses other recommendations of the Peer Review related to IOE's human resources management (consultant management) and administrative systems. A summary of the Activity Plan as well as the main actions and

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								improvements achieved have been provided in the <a href="#">2011 work programme and budget document of the Office of Evaluation</a> <a href="#">IOE WPB</a> , discussed with the Evaluation Committee in its 63 <sup>rd</sup> and 64 <sup>th</sup> session, the Audit Committee and Board in their respective sessions in September 2010 <sup>+</sup> , <a href="#">and the Audit Committee in November 2010<sup>+</sup></a> , <a href="#">and the Board in December 2010.</a>
12. Biannual Compliance Review of the Office of Evaluation with IFAD's Financial Management and Human Resources Policies and Practices	Evaluation Committee using resources allocated to the Committee.			Will be presented to the Evaluation Committee for information in 2012		Pending		In addition to the measures implemented in response to recommendation 11 above, the Peer Review recommended that the Office of Evaluation undertake every two years a compliance assessment, to evaluate its adherence with IFAD's financial, administrative and HR rules and policies. The first review is

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								foreseen in 2012 to allow for mainstreaming the results from the implementation of the above-mentioned Activity Plan.
13. Develop the procedures for appointing, dismissing and performance appraisal of the Director of the Evaluation Office	Office of Evaluation	<del>21 February</del> January 2011	<del>28 February</del> 3 March 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	Evaluation Policy and President's Bulletin	The procedures will be captured in the revised Evaluation Policy and revised President's Bulletin.
14. Revise the Conflict of Interest Guidelines Covering both the Staff and Consultants of the Office of Evaluation	Office of Evaluation			25-26 November 2010 (information)		Completed	Guidelines to avoid conflict of interest related to IOE evaluation officers	The Office of Evaluation, as acknowledged by the Peer Review, already has comprehensive conflict of interest provisions for the hiring of consultants. However, the Office of Evaluation has: (i) acted upon the recommendation of the Peer Review by streamlining the conflict of interest provisions for consultants, to ensure that IOE's capacity is not limited to hiring consultants from a restricted pool of persons available; and (ii) completed the preparation of the conflict of interest provisions for staff members. These

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								have been shared for information with the Committee before the end of 2010.
15. A proposal prepared for the Evaluation Committee identifying how the detailed data available in IFAD's financial systems could best be analysed in the context of a results-based budget to strengthen its financial oversight of OE.	Office of Evaluation with support of the Finance and Administration Department		15-16 July 2010	8 October 2010	15-16 December 2010	Completed	IOE WPB	The Office of Evaluation reviewed the type of data available in IFAD's financial systems, and used them in monitoring its budget execution in 2010 and developing its results-based budget for <del>the next</del> <del>year</del> 2011 following zero-based budgeting approach. The Office of Evaluation has provided significantly additional amount of financial data to the Evaluation and Audit Committees as well as Executive Board in 2010, to enhance their financial oversight of the Office of Evaluation. The Governing Bodies expressed their satisfaction with the data and information provided by the Office of Evaluation.

Table 2: Major actions to be taken on recommendations of the Peer Review

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
<b>1. The Executive Board reaffirms its commitment to the principles of IFAD's independent evaluation function and asks the General Counsel to prepare a paper for its consideration that identifies options for the necessary changes to resolve any possible legal incompatibilities between the Evaluation Policy and the Agreement Establishing IFAD in a way that fully respects the wishes of the shareholders for an independent evaluation function, as expressed under the 6<sup>th</sup> Replenishment.</b>	Executive Board					Ongoing		EB has broadly endorsed the Peer Review recommendations reaffirming its commitment to the principles of IFAD's independent evaluation function. A paper entitled 'Legal Issues Raised in the Report of the Peer Review of IFAD's Office of Evaluation and Evaluation Function' has been submitted for the consideration of the Evaluation Committee during the meeting being held on 8 October 2010. The EC however decided to consider this paper when reviewing the revised Evaluation Policy.
a. The institutional and behavioural independence of Office of Evaluation (OE) must be safeguarded by the Executive Board and not compromised.	Executive Board	<del>21 February</del> <del>28 January</del> 2011	<del>3 March</del> <del>25 February</del> 2011 (for review)	19-20 April 2011 (for review)	4-5 May 2011 (for approval)	Ongoing	Evaluation Policy (EP) and President's Bulletin (PB)	This <del>is</del> <del>will be</del> captured in the revised Evaluation Policy as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for dates of delivery of the PB).
b. The Executive Board must ensure that management does not create a perception of undermining OE's independence by raising questions about the legal interpretation of certain clauses in the Evaluation	Executive Board	<del>21 February</del> <del>28 January</del> 2011	<del>3 March</del> <del>25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	This will be captured in the revised Evaluation Policy as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for dates of delivery of the PB).

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
Policy concerning the delegation of powers to Director OE to make all personnel decisions related to OE staff.								
c. The Executive Board must ensure that OE recognizes that independence requires the transparent and responsible application of the IFAD's internal control framework.	Executive Board	<del>21 February 29 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP	This <del>is will be</del> captured in the revised Evaluation Policy. IOE has transparently provided a large amount of financial data in its work programme and budget document. IOE is also committed to undertaking the proposed biannual compliance review of IOE – in accordance with the Peer Review recommendation (see recommendation 12 in table 1).
<b>2. The Executive Board, through the Evaluation Committee, strengthens the oversight and accountability of the Office of Evaluation and its independence from management.</b>	Executive Board, Evaluation Committee	<del>21 February 29 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, Evaluation Committee's Terms of Reference and Rules of Procedure (EC TOR)	This <del>is will be</del> captured in the revised Evaluation Policy as per the timelines indicated in this row, and the revised terms of reference of the Committee (see recommendation 6 in table 1 for the timeline for delivery of the EC TOR).
a. The Executive Board, actively supported by the Evaluation Committee, is responsible for all procedures related to appointing, dismissing and supervising Director OE. Management is consulted but has no decision making authority.	Executive Board, Evaluation Committee	<del>21 February 29 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB, EC TOR	This <del>is will be</del> captured in the revised Evaluation Policy as per the timeline indicated in this row, and corresponding President's Bulletin, as well as the Committee's TORs (see recommendations 5 and 6, respectively, in table 1 for timelines for the delivery of PB and EC TOR).
b. Strengthening the Evaluation Committee and its role in the governance and oversight of OE, including having only Executive Board	Executive Board, Evaluation Committee	<del>21 February 29 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, EC TOR	This <del>is will be</del> captured in the revised Evaluation Policy as per timelines indicated in this row, and Terms of Reference and Rural of Procedure of the

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members and alternates as formal members of the Committee.								Evaluation Committee (see recommendation 6 in table 1 for the timelines for delivery of the EC TOR)..
c. More active Evaluation Committee scrutiny of OE's budget request and financial management.	Evaluation Committee		15-16 July 2010 (review)	8 October 2010 (review)		Completed	EP, EC TOR	As per the request of the EC, IOE has provided a significant amount of additional financial data in its work programme and budget document in 2010. The Committee has expressed its satisfaction in this regard, since this has allowed the Committee to exercise more effectively its scrutiny of IOE's budget request and financial management.
d. Requiring consultation with the Evaluation Committee for any proposed special audit of OE and empowering it, in consultation with the chair of the Audit Committee, to agree to the audit proposal, prescribe an external audit or veto the proposed audit.	Evaluation Committee, Audit Committee	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB, EC TOR	This <del>is</del> will be captured in the revised Evaluation Policy as per timelines indicated in this row, and in the revised Terms of Reference and Rules of Procedure of the Evaluation Committee (see recommendation 6 in table 1 for the timelines for delivery of the EC TOR).
e. Harmonising OE and IFAD practices regarding staff recruitment, appointment and promotion, approval of waivers for consultant fees and procurement, while retaining the delegation of the President's powers to Director OE in these areas and ensuring that any changes do not impinge adversely on OE's independence.	Office of Evaluation	<del>21 February</del> 29 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	This <del>is</del> will be captured in the revised Evaluation Policy as per timelines in this row, and in the corresponding President's Bulletin which will be presented as per timelines indicated under recommendation 5 in table 1.
<b>3. OE harmonises its</b>						Completed		This has been accomplished by

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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<b>approach to evaluation with that of Evaluation Cooperation Group good practice by basing OE's portfolio and project assessments more heavily on evidence drawn from validated Project Completion Reports.</b>						<del>pending consideration by the Board in December 2010</del>		transforming its project evaluation methodology and process, which will form the basis of the ARRI in 2011 onwards. See point 3a for details.
a. The transition to validating Project Completion Reports (PCRs) should begin immediately with a target date to base the portfolio analysis in the 2011 Annual Report on Results and Impact of IFAD Operations on both validated PCRs and OE's project evaluations.	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed <del>pending consideration by the Board in December 2010</del>	IOE's results-based work programme and budget for 2011 and indicative plan for 2012-2013 (IOE WPB)	The Office of Evaluation has developed a dedicated methodology and process for the validation of project completion reports (PCRv) and project performance assessments (PPAs). A summary of the same is contained in an Annex of the 2011 work programme and budget document of the Office of Evaluation. The methodology <del>is being</del> <del>was</del> piloted in 2010 through 5 PCRvs and 1 PPA, which <del>will</del> produced elements for fine tuning the methods and processes before end 2010. The same document also includes further information about PCRv and PPAs (e.g., the number of PCRv and PPAs to be undertaken per year, the time required, etc). <del>As stated, review for 2011 has already begun. In 2011, IOE will conduct 25 PCRvs and 6 PPAs, as stated in the 2011 work programme document. The 2011 ARRI will benefit from the data generated by the PCRv and PPAs.</del>
b. Consistent with the ECG approach, management	IFAD management,			25-26 November		Completed <del>pending</del>	Note on Revised	IOE and management have finalised a new template and



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would take the lead for the Agreement at Completion Point process with strong input from OE.	Office of Evaluation							process which will also bring changes in the consultation and drafting process, giving a more enhanced role to the management. This note has been shared with the Evaluation Committee for information.
<b>4. IFAD further strengthens the use of evaluation findings, learning and the feedback loop.</b>						Ongoing		IOE is increasingly devoting greater attention to learning, knowledge management and evaluation feedback. See below comments for details.
a. The Executive Board develops a strategy to use evaluation results better to support accountability and learning.	Executive Board	<del>21 February</del> <del>28 January</del> 2011	<del>3 March</del> <del>25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, EC TOR	This <del>is will be</del> captured in the revised Evaluation Policy as per the timelines indicated in this row, and in the revised Terms of Reference and Rules of Procedure of the Evaluation Committee (see recommendation 6 in table 1 for the timelines for the delivery of the EC TOR).
b. Management develops incentives for IFAD to become a learning organisation, so that staff use evaluation findings to improve future operations and IFAD's development effectiveness.	IFAD Management	<del>21 February</del> <del>28 January</del> 2011	<del>3 March</del> <del>25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	This recommendation <del>is will be</del> captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). In recent years Management has put significant emphasis on learning from self and independent evaluation. A rigorous follow-up of the evaluation recommendations through PRISMA, participation of IOE in critical business processes, and significant increase in knowledge sharing events are some of the means

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								used. Management also recognises the need for further enhancing the capture and sharing of knowledge generated from evaluation systems. The costed Action plan mentioned above will present broad strategies to achieve this goal.
c. OE contributes more actively to IFAD knowledge management work.	Office of Evaluation	<del>21 February 28 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	This recommendation <del>is</del> will be captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). Starting from 2011, IOE will not only participate in selected OSCs and CPMTs as in the past but also the QE and QA processes, as well as in key platforms that will enable it to share lessons and good practices based on evaluation. Efforts have already been deployed in 2010 towards this end, for example, by participating in in-house seminars (e.g., on scaling up, middle income countries, etc).
d. OE places more emphasis on knowledge management.	Office of Evaluation	<del>21 February 28 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	This recommendation <del>is</del> will be captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). In addition to what is mentioned in the preceding point, IOE will also participate in

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								external platforms such as UNEG, ECG, and NONIE in order to exchange knowledge and lessons learned and remain engaged in the international debate on evaluation.
e. Greater OE engagement in existing IFAD mechanisms.	Office of Evaluation	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, PB	-This recommendation <del>is</del> will be captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin).
f. OE produces more evaluation syntheses.	Office of Evaluation			7 October 2011 (review)		Ongoing	EP	Two evaluation syntheses have been included as a new product of IOE starting from 2011. They are on: (i) Different IFAD groups, different development strategies: A review of IOE's lessons in light of the new strategic framework's (2011-15) emphasis on farming as a business; (ii) Direct supervision and implementation support of IFAD-financed projects. Background work towards the preparation of the synthesis has already commenced. <u>As decided by the Committee, it will discuss synthesis (ii) during its October 2011 session.</u> <del>This new product will be discussed in the Evaluation Committee.</del>
g. Management extracts information from the PCRs and the self-evaluation system.	IFAD Management	16 June 2011		14-15 July 2011 (review)	14-15 September 2011 (approval)	Ongoing	AP	This will be reflected in the costed Action Plan to be developed according to the timelines indicated in this row. This recommendation is already

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								being implemented. In fact, RIDE draws heavily from the PCRs in reporting outcomes/impact. More emphasis will be put in future in using PCRs for sharing knowledge, however.
h. OE broadens the forums used to disseminate evaluation findings.	Office of Evaluation	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, IOE WPB	This <del>is</del> <del>will be</del> captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the annual IOE work programme and budget document. IOE will continue to participate actively in internal and external learning events (including international conferences on evaluation, meetings of evaluation societies, etc) to disseminate evaluation findings. A number of external websites are also used for widening dissemination of evaluation lessons.
<b>5. OE identifies ways to improve further the quality through use of a broader range of evaluation approaches and methodologies.</b>						Nearly completed		A number of actions have been taken, which are documented in the below comments.
a. Change product mix to devote more resources to higher-order evaluations, including those covering aspects of operational corporate management and institutional support for corporate management.	Office of Evaluation	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	<del>Completed</del> Ongoing	EP, IOE WPB	This <del>is</del> <del>will be</del> captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the annual IOE work programme and budget document. IOE has for years shifted its emphasis to higher plane evaluations (corporate level evaluations and country programme evaluations), which has been documented in the division's work programme over

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								the years. Moving forward, for example, corporate level evaluations on efficiency (including both project and institutional efficiency), on supervision and implementation support, and on policy dialogue are in IOE's work plan for the coming years. IOE is also planning to undertake in 2011 greater number of country programme evaluations.
b. Avoid an overly standardised evaluation approach.	Office of Evaluation					Ongoing		IOE continues to invest greater efforts and resources to the preparation of the evaluation Approach Paper, which is the place where the evaluation methodology and approach can be customized taking into account the specific context and requirements of the evaluation. This is an ongoing practice.
c. Place greater reliance on validated information generated by the self-evaluation system.	Office of Evaluation	<del>21 February 29 January</del> 2011	<del>3 March 25 February</del> 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP, AP	This <del>is</del> will be captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the costed action plan by the IFAD Management (see recommendation 10 in table 1 for timelines for the production of the costed Action Plan). The 2011 ARRI will <del>also</del> be based on data from the validation of PCRs. Management has already started supporting this process. Next year's ARRI, as per standing practice, will be reviewed by the Committee and the Board in 2011.
d. Address issues related	Office of			25-26		Completed	Note on new	IOE has made adjustments to the

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
to ratings and measuring impact.	Evaluation			November 2010 (information)			impact indicators to assess gender, scaling up, and climate change	evaluation methodology to make evaluations rigorous and evidence based, and also address the emerging issues and priorities. In particular, IOE pays attention to reducing inter-evaluator variability by rigorous internal peer reviews and other methods. It is increasingly making use of control groups for impact assessment. Finally, IOE developed indicators for assessing gender, scaling up, and climate change, which has been shared with the Committee.
e. Continue efforts to address better the <u>why</u> question.	Office of Evaluation					Ongoing		Further efforts and resources will continue to be invested in understanding the proximate causes of performance. The 2010 ARRI clearly demonstrates IOE efforts in this regard by summarizing at the end of each section the underlying proximate causes of good or less good performance. Individual evaluation reports also treat the why question in more detail. This will continue to be a standing practice.
f. Strengthen OE's human resources in the areas of both evaluation expertise and operational experience through recruitment when vacancies arise, including encouraging the transfer of operational staff to OE, and through training and professional development of OE staff.	Office of Evaluation	<del>21 February</del> 28 January 2011	<del>3 March</del> 25 February 2011 (review)	19-20 April 2011 (review)	4-5 May 2011 (approval)	Ongoing	EP	IOE has been sending its staff to established evaluation training courses and will continue to do so in the future. Efforts are being made to encourage staff with background in operations to apply for vacancies in IOE. This <del>is</del> <del>will be</del> captured in the revised Evaluation Policy, which will be produced as per the timelines indicated in this row.

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
g. More effective management and use of consultants.	Office of Evaluation					Ongoing		IOE has a dedicated internal working group devoted to finding ways and means to further improve consultants' managements. The group has contributed, inter-alia, to developing customised system for consultants' appraisals, determining the level of effort for team leaders and mission members, as well as developed a clearer definition on the division of labour and responsibilities between IOE staff and consultants in undertaking evaluations in order to eliminate possible duplications. The group will continue its work in 2011.
h. Address various methodological issues.	Office of Evaluation					Ongoing		See comments under recommendation 7 in table 1.
<b>6. Management prepares a costed action plan (CAP) covering the next five years, which establishes priorities and makes the case for additional funding and more staff time within a feasible resource envelope to strengthen the self-evaluation system, so that is it increasingly used to help achieve development results.</b>	IFAD Management	16 June 2011		14-15 July 2011 (review)	14-15 September 2011 (review)			IFAD management has started working on a costed Action Plan (see timelines for its delivery in this row), keeping also in view of the central role the project completion reports will play in future <u>and the high learning potential of the PCRs.</u>
a. Identify ways to extract knowledge systematically to make the self-evaluation system more useful in supporting new	IFAD Management					Ongoing	AP	Will form part of the costed Action Plan to enhance the self evaluation system.

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
policies, country strategies and projects.								
b. Continuing to take measures to improve the quality and use of PCRs.	IFAD Management					Ongoing	AP	Management currently monitors the quality of PCRs. The CAP will propose the most optimum way to support the government and IFAD staff to enhance the quality further.
c. Harmonise the Results and Impact Management System with the self-evaluation and independent evaluation systems.	IFAD Management and Office of Evaluation	<del>9 February 2011</del> <del>16 June 2011</del>		<del>14-15 July 2011</del> <del>25 February 2011</del> (information)		<del>Partly completed</del> Ongoing	AP, Harmonization agreement	<u>1. The harmonisation agreement between IOE and PMD has been completed and agreed to by Director IOE and Associate Vice President PMD. It has been shared with the EC for information.</u> <u>2. A review of RIMS is on-going by PMD. The harmonization agreement will be shared with the Evaluation Committee for information as per timelines in this row.</u>
d. Develop practical ways to improve project level monitoring and evaluation, recognising that this will be a long-term endeavour, including considering whether it is feasible and necessary to undertake three surveys for every project as is envisioned in the design of the Results and Impact Management System.	IFAD Management					Ongoing	AP	More grant resources will be invested in strengthening further the project level financial management and monitoring systems. The requirement for the RIMS mid-term survey is conditional now. It will be made fully optional henceforth.
e. Identify the priorities and sequencing to request OE to evaluate systematically the various components of the self-evaluation system, using focused real-time evaluations	IFAD Management					Ongoing	AP	Management will work closely with IOE in undertaking such evaluations. IOE will do a CLE on supervision in 2012, and within the context of the CLE on efficiency in 2011 review selected components of the self evaluation system (e.g., quality



Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								assurance system).
<b>7. OE improves its efficiency by using more cost efficient approaches, while enhancing quality and effectiveness, in carrying out its programme of work and more efficient ways of undertaking its work</b>	Office of Evaluation					Ongoing		Efforts have been made through the implementation of a dedicated Activity Plan to enhance the IOE's efficiency as well as enhancing the quality and effectiveness in carrying out its work programmes. See below comments for more details.
a. Efficiency gains for the most part will come from doing things differently to achieve similar outcomes (e.g., validating PCRs; shifting support for the Evaluation Committee and for Executive Board field visits to the Secretary's Office; shifting responsibility for the Agreement at Completion Point process to Program Management Department).	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed <del>pending consideration by the Board in December 2010</del>	IOE WPB	Efficiency gains have been achieved through the transformation of IOE's project evaluation approach to PCR validations and PPAs, organizing simpler and less costly workshops with government taking the lead, and more systematic use of the evaluation manual. Savings come from the elimination of financial allocation for the annual country visit of the Evaluation from IOE budget, and transferring of main responsibilities for organizing EC sessions to the Office of the Secretary.
b. Other measures include changes in the use of the hybrid model, using lighter evaluations when possible, streamlining evaluation processes and strengthening OE's internal management and administrative processes.	Office of Evaluation					<del>Completed</del> Some completed, some ongoing	EP, IOE WPB	IOE has established a clearer division of labour between the consultants' team leader and the lead evaluation officer to eliminate possible duplication of tasks. IOE has also changed its approach to project evaluation to undertaking PCR validations and project performance assessments, which are less costly and can be undertaken more quickly.

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								IOE has allocated fifty per cent time of one existing professional staff position to financial and administrative function. An activity plan to enhance IOE's financial systems, human resource management and administrative processes has been developed and is being implemented.
c. Some of these savings should be redeployed to other forms of evaluation activities (e.g., strengthening the feedback and learning loop, validating PCRs, preparing evaluation syntheses, and undertaking a greater number of lighter evaluations of a variety of policy issues and project assessments).	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed <del>pending consideration by the Board in December 2010</del>	EP, IOE WPB	See the work programme and budget for 2011 of IOE.

## **Harmonisation Agreement between IFAD's independent evaluation and self evaluation methods and systems February 2011**

### **Background**

1. The Peer Review of IFAD's Office of Evaluation and Evaluation Function recommended that IOE and IFAD management update the harmonisation agreement signed in 2006, bringing it in line with developments in IFAD's independent and self evaluation functions over the past 4 years.
2. This note therefore includes the areas (listed below) that require further harmonisation between IFAD's independent and self evaluation methods and systems. The Associate Vice President of the Programme Management Department and the Director of the Office of Evaluation fully subscribe to the below provisions and their timely implementation.

### **Project Evaluations**

3. PMD in due course will update the self assessment system in such a way that it allows the use of same evaluation criteria (including for gender, scaling up and climate change), as and when applicable, as contained in Evaluation Manual (and its recent expansion) in Project Status Reports, Supervision Reports, Mid Terms Reviews, Project Completion Reports and the in-house portfolio review process. PMD might however rate additional evaluation criteria - over and above those included in the Evaluation Manual - or use sub-areas or sub-domains (e.g., measure agricultural productivity gains within the domain of food security). Additional indicators will be used particularly in relation to the activities/input and output areas, which are not explicitly covered by independent evaluation.
4. PMD should use the same or equivalent guiding questions to make an assessment of each criterion contained in the Evaluation Manual and its expansion.
5. Ratings on a six point scale should be provided in IFAD self evaluation reports (see paragraph 3 above), as per the Evaluation Manual across each evaluation criteria adopted therein.
6. The ratings should be shared with the concerned regional division director and CPM as well as the government.
7. It is important that PCR ratings are provided by PMD to IOE in three to four batches, beginning end January of each year and completed by end-March, to facilitate the production of the ARRI for the December Board. The dates for sharing of each batch of PCRs along with the ratings will be agreed between the PMD and IOE at the start of each calendar year.

### **Results-based COSOP Review**

8. PMD will follow the same methodology for COSOP completion reviews, as contained in the Evaluation Manual for CPEs. This includes using and rating the same three key criteria, namely portfolio performance, non-lending activities (disaggregated by Knowledge Management, policy dialogue and partnership building), and COSOP performance (in terms of relevance and effectiveness).
9. The COSOP completion reviews should also contain an overall *government-IFAD partnership* ratings, building on the ratings for the three key CPE criteria (see preceding paragraph).

### **PRISMA**

10. The PRIMSA will continue to report on the implementation of recommendations contained in CLEs, thematic evaluations and CPEs.
11. As already agreed by IOE and the IFAD management, there will be no Agreement at Completion Points for Project Completion Report Validations (PCRVs) and Project Performance Assessments (PPAs). However, starting from its 2011 edition, the PRIMSA will include a new section reporting on the follow-up to the recommendations Management found feasible in the PCRVs and PPAs. The PRIMSA will also include an inventory in a matrix format (possibly to be included in an Annex) of recommendations not adopted by the Management with a short explanation why they were not found pertinent.
12. The final PRIMSA will be provided to IOE for its written comments four weeks before it is planned for presentation to the Evaluation Committee. IOE comments will be transmitted to members around two weeks before the session.

Document: EC 2011/67/W.P.-4  
 Agenda: 5  
 Date: 11 April 2011  
 Distribution: Public  
 Original: English

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Enabling poor rural people  
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## Progress report on the action plan for the implementation of the findings and recommendations of the Peer Review of IFAD's Office of Evaluation and Evaluation Function

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Evaluation Committee — Sixty-seventh Session  
Rome, 19-20 April 2011

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For: Review



**Action Plan for the Implementation of the Findings and Recommendations of the Peer Review of IFAD's Evaluation System:  
Update as of ~~18 February~~ **31 March** 2011**

**Table 1: Major written products and key actions**

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
1. Both Office of Evaluation and management prepare formal written responses to the Peer Review for the information of the Executive Board.	IFAD Management and its Office of Evaluation			1 April 2010	21-22 April 2010	Completed	Not applicable any more.	-
2. The Executive Board, in considering the report of the Panel as well as the views of the Evaluation Committee, Office of Evaluation and management, weighs options and provides guidance, particularly in areas where some of the parties disagree, on key principles and a framework within which the Evaluation Committee, management and Office of evaluation can work together to develop detailed proposals to address the outstanding issues.	Executive Board				21-22 April 2010	Completed	Not applicable any more.	In its April 2010 session, the Board decided that the Evaluation Committee would be responsible for reviewing outstanding issues and would benefit from the full support of Management and the Office of Evaluation in this regard.
3. Establish the Working Group <sup>2</sup> to oversee revisions to the Evaluation Policy, President's Bulletin and Terms of Reference and Rules of Procedure of the Evaluation Committee	Executive Board with the advice of the Evaluation Committee				May 2010	Ongoing		As part of the delegation (see comment under point 2 above), the Evaluation Committee is actively involved in the process related to the preparation of these deliverables for Board approval.

<sup>2</sup> The Working Group refers to the Working Group suggested in Para 141 (iv) of the report of the Peer Review of IFAD's Evaluation System.

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
4. Revised Evaluation Policy	Office of Evaluation	21 February 2011	3 March 2011 (for review)	19-20 April 2011 (for review)	<del>11-12</del> 4-5 May 2011 (for approval)	Ongoing	Evaluation Policy	<del>The Office of Evaluation and management have worked on the draft policy and will be submitting this to the EC scheduled for 3 March.</del> The EC reviewed the draft policy at its 66 <sup>th</sup> session on 3 <sup>rd</sup> March, and the final document will be discussed in the Committee at its 67 <sup>th</sup> session on 19-20 April.
5. Revised President's Bulletin	IFAD Management and Office of Evaluation				14-15 September 2011 (information)	Pending	President's Bulletin	IFAD Management will undertake this, working closely with the Office of Evaluation, once the revised Evaluation Policy is adopted by the Board.
6. Revised Terms of Reference and Rules of Procedure of the Evaluation Committee	IFAD Management	22 March 2011	19-20 April 2011 (review)	14-15 July 2011 (review)	14-15 September 2011 (approval)	Ongoing	Terms of Reference and Rules of Procedure of the Evaluation Committee	The IFAD Management <del>will</del> <u>work is working</u> closely with the Office of Evaluation in this process in conjunction with the revision of the Evaluation Policy and following its adoption. <u>A draft will be submitted to the EC for review at its</u>



Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								<a href="#">67<sup>th</sup> session on 19-20 April 2011.</a>
7. Revised Evaluation Manual	Office of Evaluation	N.A.		25-26 November 2010 (information)	15-16 December 2010 (information)	Completed	Evaluation Manual, IOE's results-based work programme and budget for 2011 and indicative plan for 2012-2013 (IOE WPB), Note on expanding the IOE's Evaluation Manual to include questions for assessing gender, climate change and scaling up	The Office of Evaluation has been addressing the concerns raised by the Peer Review. It is: (i) devoting enhanced attention to the 'why' analysis in individual evaluation reports and the ARRI; (ii) ensuring that while preparing the evaluation approach paper, the methodology and process is adequately tailored to the country/project context; and (iii) relying increasingly on self evaluation data and reports to undertake independent evaluations. Addressing the aforementioned comments does not require a revision to the Evaluation Manual. However, based on recent CLEs and the evolving priorities areas for IFAD, IOE has expanded its

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								methods to capture better the performance and lessons related to gender, climate change, and scaling up. In this regard, the indicators have been shared with the Committee before end 2010. Similarly, IOE has developed methodology for its new form of project evaluations, which has already been shared with the Evaluation Committee and Executive Board.
8. Action Plan for Validation of Project Completion Reports and Project Performance Assessment	Office of Evaluation			8 October 2010 (information)	15-16 December 2010 (information)	Completed	IOE WPB	The Office of Evaluation has developed a dedicated methodology and process for the validation of project completion reports (PCR/V) and project performance assessments (PPAs). A summary of the same is contained in an Annex of the 2011 work programme and budget document of the Office of Evaluation. The methodology was

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								piloted in 2010 through 5 PCRVs and 1 PPA, which has produced elements for fine tuning the methods and processes before end 2010. The same document also includes further information about PCRV and PPAs (e.g., the number of PCRV and PPAs to be undertaken per year, the time required, etc). For 2011 ARRI, IOE and PMD have already started the process of reviewing PCRs and orienting staff.
9. A paper prepared for the consideration of the Evaluation Committee that identifies options for the necessary changes to resolve any possible legal incompatibilities between the Evaluation Policy and the Agreement Establishing IFAD in a way that fully respects the wishes of the shareholders for an independent evaluation function, as expressed under the 6 <sup>th</sup> Replenishment.	IFAD Management			25 February 2011 (information)		Completed		The paper was prepared by the General Counsel and provided to the Evaluation Committee at its 64 <sup>th</sup> session in October. On that occasion, the Committee decided that the legal opinion would be considered at the same time when the revised Evaluation Policy will be discussed in 2011.
10. Costed-Action Plan for Further Development of the Self	IFAD Management	16 June 2011		14-15 July 2011	14-15 September	Ongoing	Action Plan (AP)	IFAD management has started working

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
Evaluation System				(review)	2011 (approval)			on a costed Action Plan, keeping also in view the central role the project completion reports will play in future and the high learning potential of these documents. <a href="#">The development of the costed action plan is progressing well and is on track for submission to the EB in September 2011, and prior to that to EC.</a>
9 11. Review of the Financial Management Systems of the Office of Evaluation	Office of Evaluation		15-16 July 2010 (information )	8 October 2010 (information)	15-16 December 2010 (information)	Completed	IOE WPB	The Office of Evaluation has undertaken a review of its financial management system and is implementing the required activities as part of an Activity Plan that was developed for this purpose. In addition to undertaking tasks to strengthen financial management within IOE, the Activity Plan also addresses other recommendations of the Peer Review related to IOE's human resources management

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								(consultant management) and administrative systems. A summary of the Activity Plan as well as the main actions and improvements achieved have been provided in the IOE WPB, discussed with the Evaluation Committee in its 63 <sup>rd</sup> and 64 <sup>th</sup> session, the Audit Committee and Board in their respective sessions in September 2010, the Audit Committee in November 2010, and the Board in December 2010.
12. Biannual Compliance Review of the Office of Evaluation with IFAD's Financial Management and Human Resources Policies and Practices	Evaluation Committee using resources allocated to the Committee.			Will be presented to the Evaluation Committee for information in 2012		Pending		In addition to the measures implemented in response to recommendation 11 above, the Peer Review recommended that the Office of Evaluation undertake every two years a compliance assessment, to evaluate its adherence with IFAD's financial, administrative and

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								HR rules and policies. The first review is foreseen in 2012 to allow for mainstreaming the results from the implementation of the above-mentioned Activity Plan.
13. Develop the procedures for appointing, dismissing and performance appraisal of the Director of the Evaluation Office	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-12</del> 4-5 May 2011 (approval)	Ongoing	Evaluation Policy and President's Bulletin	The procedures <u>has been will be captured</u> in the <u>draft revised</u> Evaluation Policy and <u>will be reflected accordingly in the</u> revised President's Bulletin.
14. Revise the Conflict of Interest Guidelines Covering both the Staff and Consultants of the Office of Evaluation	Office of Evaluation			25-26 November 2010 (information)		Completed	Guidelines to avoid conflict of interest related to IOE evaluation officers	The Office of Evaluation, as acknowledged by the Peer Review, already has comprehensive conflict of interest provisions for the hiring of consultants. However, the Office of Evaluation has: (i) acted upon the recommendation of the Peer Review by streamlining the conflict of interest provisions for consultants, to ensure that IOE's capacity is not limited to hiring consultants from a restricted pool of persons available;

Product/Action	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
								and (ii) completed the preparation of the conflict of interest provisions for staff members. These have been shared for information with the Committee before the end of 2010.
15. A proposal prepared for the Evaluation Committee identifying how the detailed data available in IFAD's financial systems could best be analysed in the context of a results-based budget to strengthen its financial oversight of OE.	Office of Evaluation with support of the Finance and Administration Department		15-16 July 2010	8 October 2010	15-16 December 2010	Completed	IOE WPB	The Office of Evaluation reviewed the type of data available in IFAD's financial systems, and used them in monitoring its budget execution in 2010 and developing its results-based budget for 2011 following zero-based budgeting approach. The Office of Evaluation has provided significantly additional amount of financial data to the Evaluation and Audit Committees as well as Executive Board in 2010, to enhance their financial oversight of the Office of Evaluation. The Governing Bodies expressed their satisfaction with the data and information provided by the Office of Evaluation.





Table 2: Major actions to be taken on recommendations of the Peer Review

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
<b>1. The Executive Board reaffirms its commitment to the principles of IFAD's independent evaluation function and asks the General Counsel to prepare a paper for its consideration that identifies options for the necessary changes to resolve any possible legal incompatibilities between the Evaluation Policy and the Agreement Establishing IFAD in a way that fully respects the wishes of the shareholders for an independent evaluation function, as expressed under the 6<sup>th</sup> Replenishment.</b>	Executive Board					Ongoing		EB has broadly endorsed the Peer Review recommendations reaffirming its commitment to the principles of IFAD's independent evaluation function. A paper entitled 'Legal Issues Raised in the Report of the Peer Review of IFAD's Office of Evaluation and Evaluation Function' has been submitted for the consideration of the Evaluation Committee during the meeting being held on 8 October 2010. The EC however decided to consider this paper when reviewing the revised Evaluation Policy.
a. The institutional and behavioural independence of Office of Evaluation (OE) must be safeguarded by the Executive Board and not compromised.	Executive Board	21 February 2011	3 March 2011 (for review)	19-20 April 2011 (for review)	<del>11-124-5</del> May 2011 (for approval)	Ongoing	Evaluation Policy (EP) and President's Bulletin (PB)	This is captured in the revised Evaluation Policy as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for dates of delivery of the PB).
b. The Executive Board must ensure that management does not create a perception of undermining OE's independence by raising questions about the legal interpretation of certain clauses in the Evaluation Policy concerning the delegation of powers to	Executive Board	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, PB	This <del>will be</del> captured in the revised Evaluation Policy as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for dates of delivery of the PB).

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
Director OE to make all personnel decisions related to OE staff.								
c. The Executive Board must ensure that OE recognises that independence requires the transparent and responsible application of the IFAD's internal control framework.	Executive Board	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP	This is captured in the revised Evaluation Policy. IOE has transparently provided a large amount of financial data in its work programme and budget document. IOE is also committed to undertaking the proposed biannual compliance review of IOE – in accordance with the Peer Review recommendation (see recommendation 12 in table 1).
<b>2. The Executive Board, through the Evaluation Committee, strengthens the oversight and accountability of the Office of Evaluation and its independence from management.</b>	Executive Board, Evaluation Committee	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, Evaluation Committee's Terms of Reference and Rules of Procedure (EC TOR)	This is captured in the revised Evaluation Policy as per the timelines indicated in this row, and the revised terms of reference of the Committee (see recommendation 6 in table 1 for the timeline for delivery of the EC TOR).
a. The Executive Board, actively supported by the Evaluation Committee, is responsible for all procedures related to appointing, dismissing and supervising Director OE. Management is consulted but has no decision making authority.	Executive Board, Evaluation Committee	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>114-12-5</del> May 2011 (approval)	Ongoing	EP, PB, EC TOR	This is captured in the revised Evaluation Policy as per the timeline indicated in this row, and corresponding President's Bulletin, as well as the Committee's TORs (see recommendations 5 and 6, respectively, in table 1 for timelines for the delivery of PB and EC TOR).
b. Strengthening the Evaluation Committee and its role in the governance and oversight of OE, including having only Executive Board members and alternates as formal members of the Committee.	Executive Board, Evaluation Committee	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, EC TOR	This is captured in the revised Evaluation Policy as per timelines indicated in this row, and <a href="#">the revised Terms of Reference and Rural of Procedure of the Evaluation Committee EC TOR</a> (see recommendation 6 in table 1 for the timelines for delivery of the EC TOR).

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
c. More active Evaluation Committee scrutiny of OE's budget request and financial management.	Evaluation Committee		15-16 July 2010 (review)	8 October 2010 (review)		Completed	EP, EC TOR	As per the request of the EC, IOE has provided a significant amount of additional financial data in its work programme and budget document in 2010. The Committee has expressed its satisfaction in this regard, since this has allowed the Committee to exercise more effectively its scrutiny of IOE's budget request and financial management.
d. Requiring consultation with the Evaluation Committee for any proposed special audit of OE and empowering it, in consultation with the chair of the Audit Committee, to agree to the audit proposal, prescribe an external audit or veto the proposed audit.	Evaluation Committee, Audit Committee	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, PB, EC TOR	This is captured in the revised Evaluation Policy as per timelines indicated in this row, and in the revised <a href="#">Terms of Reference and Rules of Procedure of the Evaluation Committee</a> <del>EC TOR</del> (see recommendation 6 in table 1 for the timelines for delivery of the EC TOR).
e. Harmonising OE and IFAD practices regarding staff recruitment, appointment and promotion, approval of waivers for consultant fees and procurement, while retaining the delegation of the President's powers to Director OE in these areas and ensuring that any changes do not impinge adversely on OE's independence.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, PB	This is captured in the revised Evaluation Policy as per timelines in this row, and in the corresponding President's Bulletin which will be presented as per timelines indicated under recommendation 5 in table 1.
<b>3. OE harmonises its approach to evaluation with that of Evaluation Cooperation Group good practice by basing OE's</b>						Completed		This has been accomplished by transforming its project evaluation methodology and process, which will form the basis of the ARRI in 2011 onwards. See point 3a for

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
		Draft to consultant	Draft to EC	EC discussion	EB discussion			
<b>portfolio and project assessments more heavily on evidence drawn from validated Project Completion Reports.</b>								details.
a. The transition to validating Project Completion Reports (PCRs) should begin immediately with a target date to base the portfolio analysis in the 2011 Annual Report on Results and Impact of IFAD Operations on both validated PCRs and OE's project evaluations.	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed	IOE's results-based work programme and budget for 2011 and indicative plan for 2012-2013 (IOE WPB)	The Office of Evaluation has developed a dedicated methodology and process for the validation of project completion reports (PCR) and project performance assessments (PPAs). A summary of the same is contained in an Annex of the 2011 work programme and budget document of the Office of Evaluation. The methodology was piloted in 2010 through 5 PCRs and 1 PPA, which produced elements for fine tuning the methods and processes before end 2010. The same document also includes further information about PCR and PPAs (e.g., the number of PCR and PPAs to be undertaken per year, the time required, etc). As stated, review for 2011 has already begun.
b. Consistent with the ECG approach, management would take the lead for the Agreement at Completion Point process with strong input from OE.	IFAD management, Office of Evaluation			25-26 November 2010 (information)		Completed	Note on Revised Process and Template for the Agreement at Completion Point	IOE and management have finalised a new template and process which will also bring changes in the consultation and drafting process, giving a more enhanced role to the management. This note has been shared with the Evaluation Committee for information.
<b>4. IFAD further strengthens the use of evaluation findings,</b>						Ongoing		IOE is increasingly devoting greater attention to learning, knowledge management and

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<b>learning and the feedback loop.</b>								evaluation feedback. See below comments for details.
a. The Executive Board develops a strategy to use evaluation results better to support accountability and learning.	Executive Board	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<a href="#">11-124-5</a> May 2011 (approval)	Ongoing	EP, EC TOR	This is captured in the revised Evaluation Policy as per the timelines indicated in this row, and in the revised <a href="#">Terms of Reference and Rules of Procedure of the Evaluation Committee</a> <a href="#">EC TOR</a> (see recommendation 6 in table 1 for the timelines for the delivery of the EC TOR).
b. Management develops incentives for IFAD to become a learning organisation, so that staff use evaluation findings to improve future operations and IFAD's development effectiveness.	IFAD Management	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<a href="#">11-124-5</a> May 2011 (approval)	Ongoing	EP, PB	This recommendation is captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). In recent years Management has put significant emphasis on learning from self and independent evaluation. A rigorous follow-up of the evaluation recommendations through PRISMA, participation of IOE in critical business processes, and significant increase in knowledge sharing events are some of the means used. Management also recognises the need for further enhancing the capture and sharing of knowledge generated from evaluation systems. The costed Action plan mentioned above will present broad strategies to achieve this goal.
c. OE contributes more actively to IFAD knowledge management work.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<a href="#">11-124-5</a> May 2011 (approval)	Ongoing	EP, PB	This recommendation is captured in the Evaluation Policy which will be produced as per the timelines

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								indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). Starting from 2011, IOE will not only participate in selected OSCs and CPMTs as in the past but also the OE and QA processes, as well as in key platforms that will enable it to share lessons and good practices based on evaluation. Efforts have already been deployed in 2010 towards this end, for example, by participating in in-house seminars (e.g., on scaling up, middle income countries, etc).
d. OE places more emphasis on knowledge management.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, PB	This recommendation is captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production of the President's Bulletin). In addition to what is mentioned in the preceding point, IOE will also participate in external platforms such as UNEG, ECG, and NONIE in order to exchange knowledge and lessons learned and remain engaged in the international debate on evaluation.
e. Greater OE engagement in existing IFAD mechanisms.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-124-5</del> May 2011 (approval)	Ongoing	EP, PB	This recommendation is captured in the Evaluation Policy which will be produced as per the timelines indicated in this row, and corresponding President's Bulletin (see recommendation 5 in table 1 for the timelines for the production

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								of the President's Bulletin).
f. OE produces more evaluation syntheses.	Office of Evaluation			7 October 2011 (review)		Ongoing	EP	Two evaluation syntheses have been included as a new product of IOE starting from 2011. They are on: (i) Different IFAD groups, different development strategies: A review of IOE's lessons in light of the new strategic framework's (2011-15) emphasis on farming as a business; (ii) Direct supervision and implementation support of IFAD-financed projects. Background work towards the preparation of the synthesis has already commenced. <del>As decided by the Committee, it will discuss synthesis (ii) during its October 2011 session.</del>
g. Management extracts information from the PCRs and the self-evaluation system.	IFAD Management	16 June 2011		14-15 July 2011 (review)	14-15 September 2011 (approval)	Ongoing	AP	This will be reflected in the costed Action Plan to be developed according to the timelines indicated in this row. This recommendation is already being implemented. In fact, RIDE draws heavily from the PCRs in reporting outcomes/impact. More emphasis will be put in future in using PCRs for sharing knowledge, however.
h. OE broadens the forums used to disseminate evaluation findings.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-12</del> 4-5 May 2011 (approval)	Ongoing	EP, IOE WPB	This is captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the annual IOE work programme and budget document. IOE will continue to participate actively in internal and external learning events (including international conferences on evaluation, meetings of evaluation societies, etc) to disseminate evaluation findings. A number of

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								external websites are also used for widening dissemination of evaluation lessons.
<b>5. OE identifies ways to improve further the quality through use of a broader range of evaluation approaches and methodologies.</b>						Nearly completed		A number of actions have been taken, which are documented in the below comments.
a. Change product mix to devote more resources to higher-order evaluations, including those covering aspects of operational corporate management and institutional support for corporate management.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-12</del> 4-5 May 2011 (approval)	Ongoing	EP, IOE WPB	This is captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the annual IOE work programme and budget document. IOE has for years shifted its emphasis to higher plane evaluations (corporate level evaluations and country programme evaluations), which has been documented in the division's work programme over the years. Moving forward, for example, corporate level evaluations on efficiency (including both project and institutional efficiency), on supervision and implementation support, and on policy dialogue are in IOE's work plan for the coming years. IOE is also planning to undertake in 2011 greater number of country programme evaluations.
b. Avoid an overly standardised evaluation approach.	Office of Evaluation					Ongoing		IOE continues to invest greater efforts and resources to the preparation of the evaluation Approach Paper, which is the place where the evaluation methodology and approach can be customized taking into account the specific context and requirements of the



Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								evaluation. This is an ongoing practice.
c. Place greater reliance on validated information generated by the self-evaluation system.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	<del>11-12</del> 4-5 May 2011 (approval)	Ongoing	EP, AP	This is captured in the new Evaluation Policy to be developed as per timelines indicated in this row, as well as in the costed action plan by the IFAD Management (see recommendation 10 in table 1 for timelines for the production of the costed Action Plan). The 2011 ARRI will also be based <u>also</u> on data from the validation of PCRs. Management has already started supporting this process. <del>Next year's ARRI</del> <u>The 2011 ARRI</u> , as per standing practice, will be reviewed by the Committee and the Board <del>in 2011</del> .
d. Address issues related to ratings and measuring impact.	Office of Evaluation			25-26 November 2010 (information)		Completed	Note on new impact indicators to assess gender, scaling up, and climate change	IOE has made adjustments to the evaluation methodology to make evaluations rigorous and evidence based, and also address the emerging issues and priorities. In particular, IOE pays attention to reducing inter-evaluator variability by rigorous internal peer reviews and other methods. It is increasingly making use of control groups for impact assessment. Finally, IOE developed indicators for assessing gender, scaling up, and climate change, which has been shared with the Committee.
e. Continue efforts to address better the <u>why</u> question.	Office of Evaluation					Ongoing		Further efforts and resources will continue to be invested in understanding the proximate causes of performance. The 2010 ARRI clearly demonstrates IOE efforts in this regard by summarizing at the end of each

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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								section the underlying proximate causes of good or less good performance. Individual evaluation reports also treat the why question in more detail. This will continue to be a standing practice.
f. Strengthen OE's human resources in the areas of both evaluation expertise and operational experience through recruitment when vacancies arise, including encouraging the transfer of operational staff to OE, and through training and professional development of OE staff.	Office of Evaluation	21 February 2011	3 March 2011 (review)	19-20 April 2011 (review)	11-12+5 May 2011 (approval)	Ongoing	EP	IOE has been sending its staff to established evaluation training courses and will continue to do so in the future. Efforts are being made to encourage staff with background in operations to apply for vacancies in IOE. This is captured in the revised Evaluation Policy, which <del>will be</del> is produced as per the timelines indicated in this row.
g. More effective management and use of consultants.	Office of Evaluation					Ongoing		IOE has a dedicated internal working group devoted to finding ways and means to further improve consultants' managements. The group has contributed, inter-alia, to developing customised system for consultants' appraisals, determining the level of effort for team leaders and mission members, as well as developed a clearer definition on the division of labour and responsibilities between IOE staff and consultants in undertaking evaluations in order to eliminate possible duplications. The group <del>is will</del> <del>continue</del> <del>ing</del> its work in 2011.
h. Address various methodological issues.	Office of Evaluation					Ongoing		See comments under recommendation 7 in table 1.
<b>6. Management prepares a costed action plan (CAP) covering the</b>	IFAD Management	16 June 2011		14-15 July 2011 (review)	14-15 September 2011			IFAD management has started working on a costed Action Plan (see timelines for its delivery in

Recommendations and Actions	Accountable for delivery/action	Deadlines				Status	In which document?	Comment regarding status/Degree of implementation
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<b>next five years, which establishes priorities and makes the case for additional funding and more staff time within a feasible resource envelope to strengthen the self-evaluation system, so that it is increasingly used to help achieve development results.</b>								this row), keeping also in view of the central role the project completion reports will play in future and the high learning potential of the PCRs. <a href="#">It is on track for submission to September 2011 EB.</a>
a. Identify ways to extract knowledge systematically to make the self-evaluation system more useful in supporting new policies, country strategies and projects.	IFAD Management					Ongoing	AP	Will form part of the costed Action Plan to enhance the self evaluation system.
b. Continuing to take measures to improve the quality and use of PCRs.	IFAD Management					Ongoing	AP	Management currently monitors the quality of PCRs. The CAP will propose the most optimum way to support the government and IFAD staff to enhance the quality further.
c. Harmonise the Results and Impact Management System with the self-evaluation and independent evaluation systems.	IFAD Management and Office of Evaluation	9 February 2011		3 March 2011 (information)		Partly completed	AP, Harmonization agreement	1. The harmonisation agreement between IOE and PMD has been completed and agreed to by Director IOE and Associate Vice President PMD. It has been shared with the EC for information. 2. A review of RIMS <del>by PMD</del> is ongoing. <del>by PMD.</del>
d. Develop practical ways to improve project level monitoring and evaluation, recognising that this will be a long-term endeavour, including considering whether it is feasible and	IFAD Management					Ongoing	AP	More grant resources will be invested in strengthening further the project level financial management and monitoring systems. The requirement for the RIMS mid-term survey is conditional now. It will be made

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necessary to undertake three surveys for every project as is envisioned in the design of the Results and Impact Management System.								fully optional henceforth.
e. Identify the priorities and sequencing to request OE to evaluate systematically the various components of the self-evaluation system, using focused real-time evaluations	IFAD Management					Ongoing	AP	Management will work closely with IOE in undertaking such evaluations. IOE will do a CLE on supervision in 2012, and within the context of the CLE on efficiency in 2011 review selected components of the self evaluation system (e.g., quality assurance system).
<b>7. OE improves its efficiency by using more cost efficient approaches, while enhancing quality and effectiveness, in carrying out its programme of work and more efficient ways of undertaking its work</b>	Office of Evaluation					Ongoing		Efforts have been made through the implementation of a dedicated Activity Plan to enhance the IOE's efficiency as well as enhancing the quality and effectiveness in carrying out its work programmes. See below comments for more details.
a. Efficiency gains for the most part will come from doing things differently to achieve similar outcomes (e.g., validating PCRs; shifting support for the Evaluation Committee and for Executive Board field visits to the Secretary's Office; shifting responsibility for the Agreement at Completion Point process to Program Management Department).	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed	IOE WPB	Efficiency gains have been achieved through the transformation of IOE's project evaluation approach to PCR validations and PPAs, organizing simpler and less costly workshops with government taking the lead, and more systematic use of the evaluation manual. Savings come from the elimination of financial allocation for the annual country visit of the Evaluation from IOE budget, and transferring of main responsibilities for organizing EC sessions to the Office of the Secretary.
b. Other measures include changes in the use of	Office of Evaluation					Completed	EP, IOE WPB	IOE has established a clearer division of labour between the

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the hybrid model, using lighter evaluations when possible, streamlining evaluation processes and strengthening OE's internal management and administrative processes.								consultants' team leader and the lead evaluation officer to eliminate possible duplication of tasks. IOE has also changed its approach to project evaluation to undertaking PCR validations and project performance assessments, which are less costly and can be undertaken more quickly. IOE has allocated fifty per cent time of one existing professional staff position to financial and administrative function. An activity plan to enhance IOE's financial systems, human resource management and administrative processes has been developed and is being implemented.
C. Some of these savings should be redeployed to other forms of evaluation activities (e.g., strengthening the feedback and learning loop, validating PCRs, preparing evaluation syntheses, and undertaking a greater number of lighter evaluations of a variety of policy issues and project assessments).	Office of Evaluation		15-16 July 2010 (review)	8 October 2010 (review)	15-16 December 2010 (approval)	Completed	EP, IOE WPB	See the work programme and budget for 2011 of IOE.

## ANNEX-1

### Harmonisation Agreement between IFAD's independent evaluation and self-evaluation methods and systems February 2011

#### Background

1. The Peer Review of IFAD's Office of Evaluation and Evaluation Function recommended that IOE and IFAD management update the harmonisation agreement signed in 2006, bringing it in line with developments in IFAD's independent and self-evaluation functions over the past 4 years.

2. This note therefore includes the areas (listed below) that require further harmonisation between IFAD's independent and self-evaluation methods and systems. The Associate Vice President of the Programme Management Department and the Director of the Office of Evaluation fully subscribe to the below provisions and their timely implementation.

#### Project Evaluations

3. PMD in due course will update the self-assessment system in such a way that it allows the use of same evaluation criteria (including for gender, scaling up and climate change), as and when applicable, as contained in Evaluation Manual (and its recent expansion) in Project Status Reports, Supervision Reports, Mid Terms Reviews, Project Completion Reports and the in-house portfolio review process. PMD might however rate additional evaluation criteria – over and above those included in the Evaluation Manual – or use sub-areas or sub-domains (e.g., measure agricultural productivity gains within the domain of food security). Additional indicators will be used particularly in relation to the activities/input and output areas, which are not explicitly covered by independent evaluation.

4. PMD should use the same or equivalent guiding questions to make an assessment of each criterion contained in the Evaluation Manual and its expansion.

5. Ratings on a six point scale should be provided in IFAD self-evaluation reports (see paragraph 3 above), as per the Evaluation Manual across each evaluation criteria adopted therein.

6. The ratings should be shared with the concerned regional division director and CPM as well as the government.

7. It is important that PCR ratings are provided by PMD to IOE in three to four batches, beginning end January of each year and completed by end March, to facilitate the production of the ARRI for the December Board. The dates for sharing of each batch of PCRs along with the ratings will be agreed between the PMD and IOE at the start of each calendar year.

#### Results-based COSOP Review

~~8. PMD will follow the same methodology for COSOP completion reviews, as contained in the Evaluation Manual for CPEs. This includes using and rating the same three key criteria, namely portfolio performance, non-lending activities (disaggregated by Knowledge Management, policy dialogue and partnership building), and COSOP performance (in terms of relevance and effectiveness).~~

~~9. The COSOP completion reviews should also contain an overall *government-IFAD partnership* ratings, building on the ratings for the three key CPE criteria (see preceding paragraph).~~

#### PRISMA

~~10. The PRISMA will continue to report on the implementation of recommendations contained in CLEs, thematic evaluations and CPEs.~~

~~11. As already agreed by IOE and the IFAD management, there will be no Agreement at Completion Points for Project Completion Report Validations (PCRVs) and Project Performance Assessments (PPAs). However, starting from its 2011 edition, the PRISMA will include a new section reporting on the follow-up to the recommendations Management found feasible in the PCRVs and PPAs. The PRISMA will also include an inventory in a matrix format (possibly to be included in an Annex) of recommendations not adopted by the Management with a short explanation why they were not found pertinent.~~

~~12. The final PRISMA will be provided to IOE for its written comments four weeks before it is planned for presentation to the Evaluation Committee. IOE comments will be transmitted to members around two weeks before the session.~~