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Investing in rural people

High-level preview of IFAD's 2017 results-based programme of work and regular and capital budgets, and the preview of the Independent Office of Evaluation of IFAD's results-based work programme and budget for 2017 and indicative plan for 2018-2019

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Abbreviations and acronyms

ARRI	Annual Report on Results and Impact of IFAD Operations
ASAP	Adaptation for Smallholder Agriculture Programme
CGIAR	Consultative Group on International Agricultural Research
CLE	corporate-level evaluation
CLEE	corporate-level evaluation of IFAD's institutional efficiency and efficiency of IFAD-funded operations
CMR	corporate management result
COSOP	country strategic opportunities programme
CPE	country programme evaluation
CSPE	country strategy and programme evaluation
DMR	divisional management result
DSF	Debt Sustainability Framework
ECD	Evaluation Capacity Development
ECG	Evaluation Cooperation Group
ESR	Evaluation Synthesis Report
FAO	Food and Agriculture Organization of the United Nations
IOE	Independent Office of Evaluation of IFAD
ICO	IFAD Country Office
ICP	IFAD Client Portal
LGS	Loans and Grants System
MTP	medium-term plan
PBAS	performance-based allocation system
PCR	project completion report
PCRV	project completion report validation
PoLG	programme of loans and grants
PPA	project performance assessment
PPE	project performance evaluation
PRISMA	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions
RBA	Rome-based agency
RIDE	Report on IFAD's Development Effectiveness
RMF	Results Measurement Framework
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SO	strategic objective
SSTC	South-South and triangular cooperation
UNEG	United Nations Evaluation Group
WFP	World Food Programme

Executive summary

1. During the three-year period of the Tenth Replenishment of IFAD's Resources (IFAD10), Management proposes to deliver a programme of loans and grants (PoLG) of at least US\$3.2 billion. For 2017 – the second year and midpoint of the IFAD10 period – the projected IFAD PoLG is planned at US\$1.50 billion, which reflects Management's efforts to even out the deliverables over the three-year IFAD10 period. This will reduce the burden of reaching the three-year lending target in the final year and allow room to undertake projects in order to exceed beyond the current US\$3.2 billion target. In order to achieve this level of PoLG, IFAD will need to access funding through additional borrowing.
2. In addition to this core programme, the Fund will aim to obtain a further US\$75 million in 2017 in IFAD-managed resources from other sources. IFAD will continue with its efforts to mobilize additional resources to achieve a high level of cofinancing and seek alternative financing arrangements to realize its overall programme of work. Attempts will be made to leverage, by a factor of 1.2, IFAD's baseline programme of US\$1.5 billion for 2017 in order to mobilize cofinancing of US\$1.8 billion.
3. Some 49 projects and programmes, including additional financing for 17 ongoing loans and grants, are currently being prepared for approval in 2017. Four of these projects and programmes are supported by financing from the Adaptation for Smallholder Agriculture Programme (ASAP). Management expects to meet its commitment to allocate between 45 and 50 per cent of financing to sub-Saharan Africa over the 2016-2018 period. The estimated number of global, regional and country grants in 2017 is 40-50, for a total of US\$53 million.
4. The medium-term plan (MTP) (2016-2018) translates into action the strategic objectives of: (i) increasing poor rural people's productive capacities; (ii) increasing poor rural people's benefits from market participation; and (iii) strengthening the environmental sustainability and climate resilience of poor rural people's economic activities, as set out in the IFAD Strategic Framework 2016-2025. The MTP also enables IFAD to achieve the stipulated outcomes, namely: (i) enabling policy and regulatory frameworks at national and international levels; (ii) increased levels of investment in the rural sector; and (iii) improved country-level capacity for rural policy and programme development, implementation and evaluation.
5. The MTP incorporates the new concept of "results pillars" introduced in the Strategic Framework. The shift from clusters to pillars will further improve the effectiveness of the corporate planning and budgeting processes. This improvement will allow IFAD to focus more on results and outputs and link the budget directly to deliverables.
6. The 2017 budget proposal focuses on meeting the resource requirements for accomplishing the outputs and associated activities for the second year of the MTP period by ensuring that resources are allocated in accordance with MTP priorities, while maintaining the Fund's drive for greater effectiveness.
7. For the high-level preview for 2017, the EUR 0.877 to US\$1 exchange rate has been used. The rate will be revisited at the time of preparing the final budget proposal using the agreed exchange rate methodology. The broad cost drivers identified as of the preparation of the 2017 high-level budget preview can be grouped as follows: (i) costs related to IFAD10 commitments, MTP priorities and measures to implement the results measurement framework targets; (ii) decentralization and costs related to IFAD Country Offices; (iii) the strategic workforce planning exercise; (iv) depreciation and other recurrent expenses related to capital budgets; and (v) price-related cost drivers.

8. In addition to the cost drivers noted above, some new measures will have to be considered in order to meet IFAD10 commitments and enable IFAD to improve its performance against the results measurement indicators. While some of these measures have been identified, the budgetary implications are yet to be determined.
9. The high-level net regular budget for 2017 is proposed at US\$150.78 million, representing a nominal increase of 2.8 per cent over 2016. The real increase is estimated at about 1.7 per cent, primarily for additional costs related to the strategic workforce planning exercise, incremental decentralization costs, and depreciation and recurrent costs associated with approved capital projects. The net price increase of 1.1 per cent arises from inflation and annual staff salary increases.
10. The gross budget for 2017 amounts to US\$155.28 million, including resources to manage operations financed by supplementary funds totalling US\$4.5 million (over and above the US\$150.78 million). This amount can be fully recovered from the annual allocable portion of the fee income generated from the management of supplementary funds. Endorsement by the Executive Board will be sought for the proposed net regular budget of US\$150.78 million.
11. Management is currently preparing the 2017 capital budget proposal. The final list of projects and corresponding capital costs has yet to be finalized. Priority will be given to completing the second phase of the Loans and Grants System (now called the IFAD Client Portal). The total capital budget for 2017 is not expected to exceed US\$2.5 million.
12. In line with Governing Council resolution 181/XXXVII, the Executive Board will be requested to approve the appropriation of the special expenditure budget for the IFAD11 Replenishment exercise. An initial estimate of US\$1.14 million is proposed for IFAD11. The costs will be revisited and a final request for approval will be made in the final budget document in December.

13. In accordance with regulation VII of the Financial Regulations of IFAD, medium-term budgetary projections on the basis of projected income flows to the Fund from all sources, along with projected disbursements based on operational plans covering the same period, are shown in table 1. It should be noted that this table is indicative and for information purposes only. The numbers on this year's table have been tied to IFAD's financial statements and projected on a cash flow basis for the purposes of consistency.

Table 1

Medium-term budgetary projections on the basis of projected inflows and outflows (all sources)
(Millions of United States dollars)

	<i>Projected 2016</i>	<i>Projected 2017</i>	<i>Projected 2018</i>
Resource balance carried forward at start of year	1 447	1 642	1 637
Inflows to IFAD			
Loan reflows	315	332	345
Investment income	-	-	-
Loan to IFAD	273	219	164
Supplementary fund fees	5	5	5
Subtotal	593	556	514
Outflows from IFAD			
Administrative and IOE budget	(147)	(150)	(152)
Other administrative expenses*	(4)	(4)	(3)
Capital budget	(8)	(4)	(2)
Debt service on loan to IFAD	(2)	(2)	(4)
Costs funded by supplementary fund fees	(5)	(5)	(5)
Subtotal	(166)	(165)	(166)
Net inflows/(outflows) to IFAD	427	391	348
Activities related to programme of work			
Contributions	462	335	311
Disbursements	(683)	(718)	(750)
Heavily Indebted Poor Countries Debt Initiative impact	(11)	(13)	-
Subtotal	(232)	(396)	(439)
Net inflows/(outflows) on all activities	195	(5)	(91)
Resource balance brought forward at end of year	1 642	1 637	1 546

* Other administrative expenses include one-time budgets and carry-forward resources.

Part one – High-level preview of IFAD’s 2017 results-based programme of work and administrative and capital budgets

I. Medium-term plan (2016-2018) in the context of the IFAD Strategic Framework 2016-2025

1. With the vision of contributing to inclusive and sustainable rural transformation in a bigger, better and smarter way, the IFAD Strategic Framework 2016-2025 was finalized in May 2016. The Strategic Framework presents the overarching goal, principles of engagement, strategic objectives, outcomes and results pillars over the next 10 years. Taking into account the evolving global context, it positions IFAD to achieve greater impact and play a larger role in helping countries fulfil their priorities relative to the 2030 Agenda for Sustainable Development.
2. The medium-term plan (MTP) (2016-2018) covers the first three years of implementation of the Strategic Framework. It responds to the commitments made under the Tenth Replenishment of IFAD’s Resources (IFAD10) and drives IFAD’s efforts to deliver greater development impact in a cost-effective manner. The MTP translates into action the Strategic Framework’s objectives of: (i) increasing poor rural people’s productive capacities; (ii) increasing poor rural people’s benefits from market participation; and (iii) strengthening the environmental sustainability and climate resilience of poor rural people’s economic activities. As a result, it enables IFAD to achieve the stipulated outcomes, namely: (i) enabling policy and regulatory frameworks at national and international levels; (ii) increased levels of investment in the rural sector; and (iii) improved country-level capacity for rural policy and programme development, implementation and evaluation.
3. The MTP incorporates the new concept of “results pillars” introduced in the Strategic Framework, namely: country programme delivery; knowledge-building, dissemination and policy engagement; financial capacity and instruments; and institutional functions, services and systems. The shift from clusters to pillars will further improve the effectiveness of the corporate planning and budgeting processes. This improvement will in turn allow IFAD to focus more on results and outputs and link the budget directly to deliverables. It is proposed that 2017 be treated as a transition year, and that the 2018 budget be the first to be based on the pillar-linked outputs approach.
4. Based on the MTP, the corporate development and operational objectives are to:
 - (i) Achieve an IFAD10 programme of loans and grants (PoLG) of at least US\$3.2 billion (including sovereign borrowing) and mobilize additional cofinancing of US\$1.2 for each US\$1 of IFAD loan/grant financing;
 - (ii) Raise the quality of new loans and grants to meet results measurement framework targets through better design;
 - (iii) Reach and benefit a greater number of people through efficient scaling up and better quality programmes;
 - (iv) Improve the quality of the ongoing portfolio through better supervision of projects;
 - (v) Expand the use of the Reimbursable Technical Assistance tool to allow Member States access to IFAD’s expertise;
 - (vi) Enhance public and private partnerships for increased financing from the private sector;

- (vii) Improve monitoring and evaluation systems and undertake impact assessments in accordance with commitments made;
 - (viii) Expand IFAD's role as a knowledge institution, including promotion of global policy engagement, knowledge management and South-South and triangular cooperation (SSTC) in order to meet the IFAD10 commitments; and
 - (ix) Further decentralize IFAD's operations through selective expansion and improvement of existing facilities, enhanced delegation of authority and more appropriate staffing levels for IFAD Country Offices (ICOs).
5. IFAD will continue its scaling-up efforts to ensure that the innovations it introduces have a significant impact on rural poverty during the MTP period. In accordance with the Strategic Framework thrust of becoming "bigger", IFAD will endeavour to play a larger role in fulfilling its mandate and achieving greater impact by mobilizing substantially more resources over and beyond the US\$3.2 billion target.
 6. IFAD's internal corporate objectives for 2017 are to make the operational objectives achievable through: (i) successful resource mobilization, including sovereign borrowing; (ii) improved quality and uptake of IFAD's knowledge products; (iii) fostering of public-private partnerships; (iv) better-designed projects complete with baseline studies for improved quality at entry; (v) reduction in number of projects at risk; (vi) a more constructive and motivating working environment and simplified human resource management policies; (vii) streamlined business processes for more effective and efficient service delivery; (viii) improved services to external clients and partners through strategic investments in state-of-the-art systems such as the IFAD Client Portal (ICP); and (ix) an information technology platform that provides the real-time data, automated processes and communications needed for the above.
 7. Through proactive monitoring and management of performance and risks, the above internal corporate objectives will be modified to respond to emerging internal and external trends in order to ensure that the objectives set out in the Strategic Framework continue to be achieved.
 8. The IFAD Consolidated Action Plan to Enhance Operational and Institutional Efficiency¹ was prepared by Management to address the agreed recommendations of the Corporate-level evaluation of IFAD's institutional efficiency and efficiency of IFAD-funded operations (CLEE). An update on the proposed CLEE actions will be provided in the final budget document.

II. Current perspective

A. Update on 2016 programme of loans and grants

9. As at 19 July 2016, the projected PoLG for the year 2016 stood at US\$945 million, comprising an investment programme amounting to approximately US\$890 million in support of 30 new projects and the balance as additional financing for seven ongoing projects.
10. By the end of September 2016, it is estimated that financing will have been approved for 10 new projects and additional financing for five. Of the remaining 20 new projects and two additional financing proposals, nine are at advanced stages of the design process.
11. For IFAD's global, regional and country grant programme, it is expected that some 45-50 grants will be approved by the end of 2016 for an approximate value of US\$66 million.

¹ Document: EB 2013/109/R.12.

Portfolio

12. As at 19 July 2016, there were 244 projects in the current portfolio for a value of US\$6.74 billion and 238 grants, valued at US\$205 million, in the active grant portfolio. Projected disbursements for the year are estimated at US\$686 million.

B. Net regular budget usage for 2015 and 2016

13. Actual expenditure against the 2015 regular budget amounted to US\$141.56 million or 93.4 per cent of the approved budget of US\$151.59 million. The significantly lower utilization is primarily due to the impact of the exchange rate on staff costs. Against the exchange rate of EUR 0.735:US\$1 used in preparing the budget, the actual average rate for the year was EUR 0.904:US\$1 which substantially impacted euro-denominated staff and non-staff costs. In addition, there were savings from vacant staff positions as well as lower costs associated with the use of short-term staff and consultants to temporarily fill some of the vacant positions. These savings were partly offset by additional resources required to make up for the shortfall in the first year of IFAD9 and to achieve the PoLG target for the IFAD9 period. The underspend also includes the non-utilization of the provision for an increase in Professional category salaries (US\$679,000) as agreed with the Executive Board.
14. Based on current projections, utilization of the 2016 budget is expected to be US\$144.10 million or 98.2 per cent. It is expected that the budget will not be fully used due to unutilized full-time equivalent (FTE) positions (partially vacant positions as a result of turnovers and normal recruitment time lags). This reflects the standard pattern of attrition and recruitment which results in a less than 100 per cent fill ratio at any given time of the year. Minor savings are anticipated from a slight difference in actual exchange rate for the year versus the exchange rate of EUR 0.877:US\$1 used at the time of the 2016 budget preparation.
15. The expected year-end utilization presented in the final budget document will take into account the utilization of the budget as of September 2016 and a better estimate of expenditures for the rest of the year adjusted for an updated exchange rate.

Table 1

Regular budget utilization – actual 2015 and forecast 2016

(Millions of United States dollars)

	2015 full year		2016 forecast	
	Budget	Actual	Budget	Forecast
Regular budget	151.59	141.56	146.71	144.10
Percentage utilization	93.4%		98.2%	

16. A more detailed breakdown of actual budget usage for 2015 and forecasted utilization for 2016 by department and cost category will be provided in the final budget document.

C. 2015 carry-forward allocation

17. The 3 per cent carry-forward rule, in place since 2004, states that unobligated appropriations at the close of the financial year may be carried forward into the following financial year up to an amount not exceeding 3 per cent of the approved annual budget of the previous year.
18. Of the total 3 per cent carry-forward from 2015, amounting to US\$4.55 million, the first tranche was allocated in accordance with the eligibility criteria and implementing guidelines contained in the President's Bulletin "Guidelines for Use of 3% carry forward funds" (PB/2012/06). The allocation against the first tranche, amounting to US\$2.94 million, was approved and made available in April 2016. In accordance with the President's Bulletin, a second tranche exercise will be carried out in September/October 2016. The utilization of the first tranche will continue to

be reviewed, and any amounts not expected to be utilized will be included for reallocation against the second tranche requests.

III. Gender sensitivity of IFAD's loans and budget

19. For 2017, IFAD will continue using the methodology that has been developed to determine the gender sensitivity of IFAD loans and the distribution of the regular budget in terms of gender-related activities.
 - (a) Gender sensitivity of IFAD loans and grants. An analysis was conducted of the 38 loans – amounting to US\$935 million – that were approved by the Executive Board between September and December 2015. In addition, as committed to in last year's budget document, a gender sensitivity analysis on grants was also undertaken. The results of the gender sensitivity of both the loans and the grants will be reported in detail in the Report on IFAD's Development Effectiveness (RIDE).
 - (b) Gender sensitivity of IFAD's regular budget.² The current approach of using 10 additional fields to capture ex ante gender-related and supporting activities in the budget system will be continued. This methodology has proved capable of adequately capturing the gender sensitivity of IFAD's regular budget within the constraints of the currently available IT systems.
20. The findings of the gender sensitivity analysis of the regular budget will be presented in the final budget document in December. IFAD will continue working on improving both the approach and data collection to enhance reporting on gender sensitivity, and will seek inputs from other organizations undertaking similar work, as and when available.

IV. IFAD's programme of work for 2017

21. In 2017, IFAD will be in the second year – and at the midpoint – of the IFAD10 period. As the Fund proposes to deliver a planned PoLG of at least US\$3.2 billion for this three-year period, it is important that the required pipeline is in place.
22. At the time of preparation of this document, the projected PoLG for 2017 stood at US\$1.50 billion, which is marginally higher than that achieved in 2015. The planned level of the 2017 PoLG is part of Management's efforts to distribute IFAD10 deliverables more evenly over the three-year replenishment period. It reduces the burden of reaching the three-year lending target in the final year of IFAD10 and allows room to undertake projects in order to exceed the current US\$3.2 billion target and prepare a stronger pipeline in 2018 for a higher level of lending in 2019 (the first year of IFAD11). The current projection for 2018 is a PoLG of US\$900 million.
23. In addition, IFAD will make concerted efforts to supplement this core programme with approximately US\$75 million in IFAD-managed funds mobilized from other sources, despite the increasing difficulties anticipated in securing funding from official development assistance budgets.

² Further details on regular budget distribution for gender-related activities will be provided in the final budget proposal in December.

Table 2
Actual and projected programme of loans and grants
(Millions of United States dollars)

	2013	2014	2015	2016	2017	2018
	<i>Actual^a</i>			<i>Forecast</i>	<i>Planned</i>	<i>Projected</i>
IFAD PoLG						
IFAD loans (including loan component grants) and Debt Sustainability Framework (DSF) grants	838	713	1 425	890	1 447	850
IFAD grants	50	46	66	53	53	50
Subtotal IFAD PoLG^b	888	760	1 491	943	1 500	900
Other funds under IFAD management^c	89	110	67	75	75	75
Total PoLG	976	870	1 558	1 018	1 575	975
Value of current portfolio	5 700	6 000	6 400	6 400	N/a	N/a

^a Grants and Investment Projects System (GRIPS) as at 15 July 2016. Current amounts reflect any increase/(decrease) in financing during implementation, including additional domestic funding and cofinancing.

^b Includes resources from the ASAP.

^c Other funds managed by IFAD include the Spanish Food Security Cofinancing Facility Trust Fund, Global Environment Facility/Least Developed Countries Fund, Global Agriculture and Food Security Program, European Commission and European Union, in addition to bilateral supplementary/complementary grants.

24. Some 49 projects and programmes, including additional financing for 17 ongoing loans and grants, are currently being prepared for approval during 2017. Four projects and programmes are planned to benefit from financing from the ASAP. IFAD expects to meet its commitment to provide between 45 and 50 per cent of financing to sub-Saharan Africa over the 2016-2018 period.
25. The estimated number of global, regional and country grants in 2017 is 40-50, for a total of US\$53 million. The priority areas of IFAD's grant programme in 2017 will be:
- (i) Rights and access of the most vulnerable populations to resources;
 - (ii) Innovative information and communications technology for smallholder farmers and addressing food losses along value chains;
 - (iii) Improved data collection and better results management; and
 - (iv) Agricultural research grants to sustainably increase production and productivity for food and nutrition security and income generation.

V. 2017 net regular budget

A. Strategic workforce planning exercise

26. The strategic workforce planning (SWP) exercise for 2017 was carried out in conjunction with functional reviews in selected departments undertaken to improve work processes. The review of organizational structures and workload analysis undertaken as part of the functional reviews served as inputs to the SWP exercise. As a result, the SWP exercise ensured that the workforce was more closely aligned in terms of numbers, competencies and skills to an organizational structure required to effectively and efficiently deliver IFAD's programme of work.
27. The 2017 SWP exercise was undertaken based on the following MTP priorities: (i) decentralization of IFAD's operations; (ii) expansion of IFAD's role as a knowledge institution; (iii) implementation of the Sovereign Borrowing Framework and resulting mobilization of resources; and (iv) cost-effective measurement of IFAD's development effectiveness. The requests for additional staffing were reviewed in light of the existing high-level planning parameters, namely maintaining a minimal budgetary impact and giving priority to ICO-related positions.

28. As committed to the Executive Board by Management, by the end of 2016 all staff performing core positions, but funded from other ad hoc funding sources, will have been absorbed into the regular budget. The extent to which the outcome of the SWP exercise is implemented will be determined in the final budget document once more detailed estimates of 2017 costs are available.

B. Cost drivers

29. The broad cost drivers identified as of the preparation of the 2017 high-level budget preview can be grouped as follows: (i) costs related to IFAD10 commitments, MTP priorities and measures to achieve the results measurement framework (RMF) targets; (ii) decentralization and ICO-related costs; (iii) strategic workforce plan; (iv) depreciation and other recurrent expenses related to capital budgets; and (v) price-related cost drivers.

30. The total cost implication of the above cost drivers, along with any new cost drivers identified, will be determined in the course of preparing the final budget proposal. Those currently estimated will be revisited at the same time. The budget proposal will be based on an updated exchange rate in accordance with the agreed methodology. In addition, there may be incremental costs necessary to achieve the significantly higher PoLG planned for 2017.

Costs related to IFAD10 commitments, MTP priorities, and measures to implement the RMF targets

31. Some new measures will have to be considered in order to meet commitments under IFAD10 and for IFAD to improve its performance against the results measurement indicators. While some of these measures have been identified, the budgetary implications have yet to be determined. In addition, the standard current allocation for certain deliverables may need to be augmented.

32. To date, the new deliverables identified include: (i) preparation of country strategic opportunities programme (COSOP) completion reports (an IFAD10-driven new requirement); and (ii) incorporation of SSTC knowledge into the design of new projects. The number of problem projects has increased compared to prior years and additional funding will be required for more intense and frequent supervision especially in countries with fragile situations and countries with less implementation capacity. Given the strategic importance and increasing complexity of COSOPs, the cost of their delivery may need to be adjusted upwards. The resource implications of all of the above will be assessed during the preparation of the final budget document and appropriately included in the budget proposal.

Strategic workforce planning exercise

33. The 2017 SWP exercise was undertaken in May/June. The exercise foresees a very small increase in staff numbers, primarily related to ICO and operational requirements. The cost of these staff increases is currently estimated at US\$900,000, adjusted for proposed reductions in staff positions and consultant staff years. The incremental real increase related to staff costs will be revisited at the time of the final budget proposal. The estimate may change depending on the extent to which staff and consultant reductions can be further realized.

Decentralization and ICO-related costs

34. In line with the priority given to the establishment of ICOs and continued decentralization, at least two new ICOs and three upgrades of existing ICOs are planned for 2017. The recurrent non-staff costs of these offices are estimated at about US\$250,000 for a full year of operation. At the time of budget preparation, IFAD's contribution to supporting United Nations development coordination activities related to ICOs will be assessed in the context of new ICOs to be established.

Depreciation and other recurrent expenses related to new and ongoing capital budgets

35. As a result of the completion of the first phase of the Loans and Grants System (LGS) replacement project and expected completion of the second phase (LGS2), there will be an increase in depreciation and recurrent costs. The implementation of LGS2 has been renamed the IFAD Client Portal (ICP) and has a significantly expanded scope. The project foresees a more comprehensive platform than had been envisaged in 2011. In addition to the originally planned electronic disbursement process and reporting, several language versions and security enhancements will be included. Operational work will be streamlined and facilitated through improved service delivery, reduced cycle times and better visibility and access to data. The main beneficiaries of ICP implementation will be borrower/recipients of IFAD financing.
36. It is expected that the expanded LGS2/ICP project can be completed within the approved capital budget of US\$15.76 million. However, should there be any additional capital costs beyond the approved budget to complete the new scope of work, additional capital budget may be requested in 2018.
37. After considering all capital expenditure currently planned for completion by December 2016 – such as components of the CLEE, routine capital expenditures and the LGS2 – incremental recurrent costs and depreciation for 2017 have been estimated at US\$1.3 million. These estimates will be revisited based on the progress of all capital projects. A revised estimate of recurrent costs will be provided in the final 2017 budget document.

Price-related cost drivers

38. Staff costs for the 2017 budget are based on the following assumptions:
 - (i) There will be no increase or reduction in salaries in 2017 for either General Service or Professional staff. The International Civil Service Commission (ICSC) has proposed a number of changes to the salary structure for Professional staff that will reduce the net take home pay over the next several years. However, for 2017, there will be no impact as transitional allowances will fully cover any proposed shortfall.
 - (ii) For 2016, the standard costs for staff were already lowered to reflect the exchange rate of EUR 0.877:US\$1. In estimating the 2017 staff costs for the preview document, the same standard costs for the 2016 budget have been used as there is minimal difference between the exchange rate (as per agreed methodology) and the EUR 0.877:US\$1 rate. However, staff costs for the final budget document will be based on standard costs, which reflect the 12-month average (October 2015-September 2016) exchange rate at the time of the finalization of the budget document.
 - (iii) While there is no change in salaries, the normal within-grade-step increment (WIGSI) will constitute a price increase. The step increase varies from 1.6 to 3.2 per cent for Professional staff, to 2.1 to 4.2 per cent for General Service staff depending on the grade level and step. The average salary increase is about 2 per cent, or approximately US\$1.3 million in total. For the final budget document, the estimate will be based on the actual staff population for each grade.
 - (iv) The provision of US\$0.68 million made for Professional staff salary increases in 2012 will continue to be set aside in the corporate cost centre unless otherwise agreed with the Executive Board.
 - (v) The cost of new General Service recruits is based on the new lower salary scale approved by Management. The impact of this lower salary scale has been estimated at US\$0.4 million based on the cost of new recruits in the past four years. This estimate will be revised using actual staff costs prior to the

final budget proposal. The savings will be offset against the WIGSI-related increase.

- (vi) Based on current estimates, the net impact of (iii) and (v) will be about US\$0.9 million.
39. The inflationary adjustment for the 2017 budget will be based on the new methodology agreed by Management using specific inflation numbers for several line items and a weighted average of the global and Italian consumer price indices for all other costs. To the extent possible, it is proposed to limit price increases due to inflation to a minimum.
40. For the high-level preview for 2017, the EUR 0.877 to US\$1 rate has been used. The rate will be revisited at the time of preparing the final budget proposal using the agreed exchange rate methodology.

C. 2017 net regular budget proposal

41. The budget proposal for 2017 includes the current estimates for the above cost drivers. All estimates, including exchange rate and inflation assumptions, will be reviewed and updated in preparing the final budget proposal in September 2016.
42. The high-level net regular budget for 2017 is proposed at US\$150.78 million, representing a nominal increase of 2.8 per cent over 2016. The real increase is estimated at about 1.7 per cent and is primarily attributable to additional costs related to the strategic workforce planning exercise, incremental decentralization costs, and depreciation and recurrent costs associated with approved capital projects. The net price increase of 1.1 per cent arises from inflation and staff salary increases.
43. In the final budget document, the costs of each line item will be reviewed, refined to reflect the real and price-related increases, and adjusted for the 12-month average exchange rate. The final budget proposal will take into account the feedback provided by the Audit Committee and the Executive Board on this high-level preview.
44. A comparison between the 2016 approved budget and the 2017 high-level budget proposal is set out below.

Table 3

Net regular budget – staff and non-staff costs, 2016 and 2017 (Millions of United States dollars)

<i>Cost category</i>	<i>Approved 2016</i>	<i>Proposed 2017</i>
Staff	85.91	88.01
Consultants and discretionary costs	33.34	33.56
Other	27.46	29.21
Total	146.71	150.78

45. The initial estimates prepared for the proposed budget show a minimal increase in consultants and discretionary costs. Higher staff salaries in 2017 are mainly driven by staff increases arising from the SWP and the impact of the WIGSI, while the increase in other costs reflects higher expenditures associated with new ICOs and the incremental recurrent costs of approved capital projects. A tentative high-level summary of the total net regular budget proposal for 2017 by cluster is provided in annex 1.

D. 2017 gross budget proposal

46. IFAD implements and manages a number of operations for third parties that are external but complementary to IFAD's PoLG. These operations are financed from supplementary funds. Engaging in these partnership activities involves additional

incremental costs for IFAD in design, implementation, supervision and administration. These costs are usually funded from management fee income under the supplementary fund agreement and are currently estimated at US\$4.5 million.

47. This estimate will be subject to review prior to finalization of the gross budget proposal for inclusion in the final budget document. The amount can be fully recovered from the annual allocable portion of the fee income generated from the management of supplementary funds. Consequently, the current estimate of the gross budget is US\$155.28 million, including resources to manage the supplementary funded operations. Endorsement is being sought only for the proposed net regular budget of US\$150.78 million.

Table 4

Indicative gross and net budget for 2017
(Millions of United States dollars)

<i>Cost category</i>	<i>2016</i>	<i>2017</i>
Gross budget	151.31	155.28
Costs to support supplementary fund activities	(4.60)	(4.50)
Net budget	146.71	150.78

E. Capital budget for 2017

48. Capital budget proposals for 2017 are currently under preparation. The final list of projects and corresponding capital costs has yet to be finalized. Priority will be given to completing the LGS2/ICP.
49. As proposed in prior years, the capital budget will be split into two categories: (i) an annual capital budget to cover capital expenditures that are cyclical or regular in nature and have an economic life of more than one year (e.g. normal replacement of desktops and laptops undertaken every year, which this year may include the replacement of vehicles at ICOs); and (ii) a capital budget to fund any major IT or other investment projects, subject to available capacity to undertake such additional projects.
50. Once the list of capital projects is finalized and all IT-related projects are cleared by the IT Governance Committee, the total capital budget for 2017 is not expected to exceed US\$2.5 million, inclusive of capital budget for cyclical or regular items.

F. Special expenditure budget for IFAD11

51. In line with Governing Council resolution 181/XXXVII, the Executive Board will be requested to approve the appropriation for the special expenditure budget for the IFAD11 Replenishment exercise. An initial estimate – which includes the cost of the external chair for the IFAD11 Consultation – is provided below. The actual cost of the IFAD10 exercise was US\$1.05 million, whereas a budget of US\$1.14 million is proposed for IFAD11. The costs will be revisited and a request for approval will be made in the final budget document submitted in December.

Table 5
Estimated special expenditure budget
(Millions of United States dollars)

<i>Description</i>	<i>IFAD10 Actuals</i>	<i>IFAD11 Proposed</i>
Language, translators and conference-related costs	0.51	0.51
Staff costs	0.13	0.17
Administration costs	0.07	0.09
Consultancy costs (including external chair)	0.26	0.28
Midterm review	0.07	0.08
Contingency/miscellaneous	0.01	0.01
Total	1.05	1.14

Part two - Preview of the results-based work programme and budget for 2017 and indicative plan for 2018-2019 of the Independent Office of Evaluation of IFAD

I. Introduction

52. This document contains the preview of the Independent Office of Evaluation of IFAD (IOE) work programme and budget for 2017 and indicative plan for 2018-2019. In line with the IFAD Evaluation Policy,³ the IOE budget is developed independently of IFAD's administrative budget.⁴ This preview takes into account the feedback and priorities expressed by IFAD governing bodies in 2015, and has been developed in consultation with IFAD Management.
53. Context. IFAD plans to deliver US\$3.2 billion in loans and grants during the Tenth Replenishment of IFAD's Resources (IFAD10) period (2016-2018) from its own resources. IFAD10 set several operational priorities for achieving IFAD's overarching goal of rural transformation. They include the development of sustainable and inclusive smallholder agriculture, nutrition, adaptation to climate change, scaling up, gender equality and women's empowerment. These priority areas are reflected in the IFAD Strategic Framework 2016-2025. In addition, organizational decentralization and financial sustainability are major areas of attention to further enhance IFAD's development and institutional effectiveness.
54. These plans and priorities provide the backdrop for IFAD's independent evaluation work programme. The preview has been developed based on the application of the IOE selectivity framework after careful examination of the priorities set for IFAD10⁵ and the medium-term plan for 2016-2018. Also important is IOE's medium-term strategic vision for 2016-2018, which is anchored to IFAD's strategic vision 2016-2025 and provides the wider framework for IOE activities in the next two years (see Box 1).

Box 1

IOE mission and vision statements

Mission

To promote accountability and learning through independent, credible and useful evaluations of IFAD's work.

Vision

Increasing the impact of IFAD's operations for sustainable and inclusive rural transformation through excellence in evaluation.

55. While developing its work programme and budget, IOE has considered the need to continue providing high-quality evaluations. Rigorous methodology and improved analysis are fundamental for achieving IOE's mandate of accountability and learning. Since January 2016, IOE has been implementing the methodology contained in the second edition of the Evaluation Manual in all types of evaluations.
56. The Evaluation Manual codifies the methods and processes for all types of evaluation undertaken by IOE, including corporate-level evaluations (CLEs), country strategy and programme evaluations (CSPEs), project evaluations including impact evaluations, and evaluation synthesis reports (ESRs). The manual has streamlined the IOE evaluation methodology and processes, thereby increasing methodological

³ The revised IFAD Evaluation Policy is available at:

<https://webapps.ifad.org/members/eb/102/docs/EB-2011-102-R-7-Rev-3.pdf>.

⁴ See revised IFAD Evaluation Policy, para 38: "The levels of the IOE component and IFAD's administrative budgets will be determined independently of each other".

⁵ The final "Consultation on the Tenth Replenishment of IFAD's Resources" report is available at <https://webapps.ifad.org/members/gc/38/docs/GC-38-L-4-Rev-1.pdf>.

rigour, improving analysis and minimizing unit costs. The new manual also serves as the basis for developing a new harmonization agreement with IFAD Management to align the methodologies used in IFAD's independent and self-evaluation systems. The aim of the agreement is to ensure that both systems contribute to achieving IFAD's goals and objectives through mutual reinforcement.

57. The preview document is based on a critical assessment of needs rather than simply using the current budget as a baseline.⁶ It illustrates the links between the work programme and expenditures, and details the breakdown of budgeted costs, especially non-staff costs such as those for consultants. In addition, the document provides details of actual expenditures for 2015, budget utilization up to 15 June 2016 and a current estimate of the expected 2016 year-end utilization. Updated information will be provided in future versions of the document as it becomes available until its final submission to the Executive Board in December 2016.
58. This preview will be further developed following the incorporation of comments by the Evaluation Committee at its ninety-third session in September 2016, and based on feedback from the Audit Committee and the Executive Board during its September 2016 session. In line with the IFAD Evaluation Policy, the revised document will be discussed with the Evaluation Committee at its ninety-fourth session on 13 October 2016.
59. The final document will be considered by the Executive Board in December 2016. Prior to this, the budget proposal will be considered by the Audit Committee in November 2016 together with IFAD's 2017 administrative budget. It will then be submitted, upon recommendation of the Board in December 2016, to the Governing Council for approval in February 2017. This proposal is based on the same budgeting principles and parameters (e.g. exchange rate, standard costs for staff positions and inflation factor) used by IFAD Management in preparing its own administrative budget for 2017.
60. The preview document has been organized into five sections. Section II highlights: achievements of the 2016 evaluation work programme so far; the overall 2015 budget utilization; the 2016 budget utilization as of 15 June 2016 and the projected utilization for 2016; and the use of the 3 per cent carried forward from the 2015 IOE budget. Section III provides a brief description of IOE's strategic objectives (SOs) while section IV focuses on proposed evaluation activities for 2017. Section V outlines the initial proposal for the 2017 budget and the human resources IOE requires to implement its work programme and achieve its main objectives effectively and on time.

II. Current perspective

A. Highlights of 2016

61. By the end of this year, IOE expects to implement all planned activities in its 2016 work programme. Selected achievements to date include the following:
 - Completion of the CLE of IFAD's performance-based allocation system (PBAS)⁷. The CLE was finalized on time and presented to the Evaluation Committee in March and the Board in April 2016. Its findings and recommendations are expected to inform the revised PBAS design, which will be presented to the Board by Management in December 2016.
 - Initiation of the formative CLE on IFAD's decentralization experience. The paper on the CLE approach⁸ was presented to the Evaluation Committee in March 2016 and incorporated comments by Committee members. The evaluation is now in progress and will be completed by September 2016 for

⁶ See document EB 107/Rev-1, Minutes of the 107th session of the Executive Board, paragraph 29.

⁷ Final report available at: <https://webapps.ifad.org/members/eb/117/docs/EB-2016-117-R-5.pdf>.

⁸ Available at: <https://webapps.ifad.org/members/ec/91/docs/EC-2016-91-W-P-3-Rev-1.pdf>.

presentation to the Board in December 2016. The findings of this evaluation will inform the preparation of the corporate decentralization plan, which Management aims to present to the Board in December 2016.

- Implementation of the second edition of the IFAD Evaluation Manual⁹ and development of the harmonization agreement between IFAD's independent and self-evaluation systems. IOE is implementing its 2016 evaluation activities according to the provisions of the second edition of the Evaluation Manual. Since this preview document adopts the terminology used in the new manual, project performance assessments (PPAs) are now referred to as project performance evaluations (PPEs) and country programme evaluations (CPEs) as country strategy and programme evaluations (CSPEs). The manual also provides the basis for preparing a revised harmonization agreement between IOE and IFAD Management on the organization's independent and self-evaluation systems.
 - Finalization of the 2016 Annual Report on Results and Impact of IFAD Operations (ARRI). As decided by the Executive Board in September 2015, both the ARRI and the Report on IFAD's Development Effectiveness (RIDE) will be presented at the September session of the Board in 2016. In line with the IFAD Evaluation Policy and the Terms of Reference and Rules of Procedure of the Evaluation Committee of the Executive Board, the Evaluation Committee will continue to consider the document before it is discussed by the Board. This year's ARRI learning theme is knowledge management, with an emphasis on learning to improve performance in IFAD operations. This is the second edition of the ARRI in which data-collection, analysis and report writing have been entirely undertaken by IOE staff. It is a reflection of IOE's intention to increasingly insource its evaluation work in order to achieve cost savings and improve quality.
 - Finalization of two evaluation synthesis reports. ESRs on non-lending activities in the context of South-South and triangular cooperation, and on environment and natural resource management were completed in 2016. The ESR on non-lending activities was presented to the Evaluation Committee in June 2016 while the ESR on the environment and natural resource management will be presented to the Committee in October 2016. As agreed with the Executive Board, three additional ESRs are being prepared in 2016 on: (i) IFAD's support to scaling up results; (ii) country-level policy dialogue; and (iii) achieving gender equality and women's empowerment – a review of practices and results.
 - Presentation of the CPEs in Brazil and Turkey to the Evaluation Committee in March 2016. In addition, CPEs in India and Nigeria were completed following national round-table workshops held in New Delhi on 12 May 2016 and Abuja on 7 April 2016 respectively. The agreement at completion point for Nigeria has been signed and will be presented to the Evaluation Committee in September. CSPEs in the Democratic Republic of the Congo, Egypt, Mozambique, Nicaragua and the Philippines are ongoing in accordance with the IOE workplan.
 - IOE has completed its third impact evaluation, which was conducted in Mozambique. Another impact evaluation of an IFAD-funded operation will commence in the second half of 2016. The Mozambique impact evaluation will be discussed by the Evaluation Committee in October 2016.
62. Reporting. The 2016-2018 Results Measurement Framework, which comprises IOE's monitoring and reporting framework for 2016-2018, is included in annex II. Progress in implementing planned evaluation activities for 2016 is summarized in

⁹ The first Evaluation Manual was developed in 2008 and published in 2009. Both editions of the Evaluation Manual are available at www.ifad.org/evaluation/policy_and_methodology/overview.

table 1 of annex III. This preview also includes a summary of progress made until 15 June 2016 in meeting the targets for each key performance indicator included in the 2016-2018 Results Measurement Framework (table 2 in annex III). The data reveal that most activities are on track. Updated achievements (both in planned evaluation activities and against IOE's key performance indicators) will be reported to the Board in December 2016.

B. 2015 budget utilization

63. Table 6 provides information on IOE's budget utilization in 2015 as well as from January until 15 June 2016 and that expected by the year's end.

Table 6
IOE budget utilization in 2015 and projected utilization in 2016
(United States dollars)

<i>Evaluation work</i>	<i>Approved budget 2015</i>	<i>Budget utilization 2015</i>	<i>Approved budget 2016</i>	<i>Commitment as of 15 June 2016</i>	<i>Expected utilization as of year-end 2016</i>
Staff travel	355 000	432 277	376 000	230 092	376 000
Consultant fees	1 485 000	1 638 956	1 495 000	1 070 689	1 495 000
Consultant travel and allowances	410 000	445 724	440 000	211 650	440 000
In-country CPE/CSPE learning events	40 000	1 864	45 000	14 996	45 000
Evaluation outreach, staff training and other costs	165 892	249 700	185 520	93 638	185 520
Non-staff costs	2 455 892	2 768 521	2 541 520	1 621 065	2 541 520
Staff costs	3 614 041	3 199 558	3 127 899	2 854 318	3 003 172
Total	6 069 933	5 968 079	5 669 419	4 475 383	5 544 692
Utilization (percentage)		98.3%		78.9%	97.8%

Based on committed staff costs adjusted for exchange rate to 15 June 2016.

64. Actual total expenses against IOE's 2015 budget amounted to US\$5.97 million, equal to a utilization of 98.3 per cent. The slightly reduced utilization largely resulted from savings in staff costs derived from the strengthening of the United States dollar against the euro in the latter part of the year, and from vacant positions. Staff cost savings were partly offset by an increase in consultancy requirements to accomplish tasks related to vacant positions. Some of the staff costs savings were also used to undertake training and additional outreach in order to ensure wider dissemination of evaluation lessons during the year.
65. Against an approved budget for 2016 of US\$5.67 million, utilization (in terms of commitments) as of 15 June 2016 is US\$4.47 million, or 78.9 per cent. High utilization at this time of year is based on the full-year commitment of staff costs, which is in line with IFAD's established practice, as well as a higher utilization in consultancy fees and staff/consultant travel costs in the first part of the year. This is in line with the normal business cycle since most evaluations are launched in the first part of the year.
66. The expected overall utilization in 2016 of the total IOE budget as of the year-end is projected at US\$5.54 million, corresponding to 97.8 per cent of the approved budget. The anticipated lower utilization is in staff costs as a result of vacant positions to be filled between February and September, including the Deputy Director position.

C. Utilization of the 2015 carry-forward

67. The 3 per cent carry-forward rule, in place since 2004, states that unobligated appropriations at the close of the financial year may be carried forward into the following financial year up to an amount not exceeding 3 per cent of the approved annual budget of the previous year.
68. IOE's 3 per cent carry-forward from 2015 amounted to US\$182,098. These funds have been allocated to the following evaluation activities:
- (i) ESR on gender. The evaluation synthesis report was partially costed in the 2016 budget since it was planned to be conducted jointly with the Food and Agriculture Organization of the United Nations (FAO) and the World Food Programme (WFP). This cost must now be fully absorbed by IOE.
 - (ii) CLE on decentralization. This evaluation is being undertaken in an extremely short time period. The resource implications of this could only be fully estimated when the evaluation design was finalized in early 2016. The 3 per cent carry-forward was used to enhance the evidence base and quality of the evaluation by conducting regional consultations to capture the views of in-country partners and beneficiaries. These data will be triangulated with the other data collected through such as surveys, interviews and case studies.

III. IOE strategic objectives

69. As agreed with the Executive Board in December 2013, IOE aligns its SOs with IFAD replenishment periods. The purpose is to ensure a more coherent link between IOE SOs and corporate priorities. The following SOs were proposed for 2016-2018 (IFAD10) and approved by the Board in December 2015:
- (i) SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability; and
 - (ii) SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness.
70. These two objectives should allow IOE to achieve the overarching goal set for independent evaluation: to promote accountability and learning through independent, credible and useful evaluations of IFAD's work.
71. IOE has strengthened its internal performance management and monitoring systems over the last two years by developing and implementing balance score cards. This valuable tool enables IOE to monitor, assess and report on its performance during the year, and make adjustments as needed to achieve its SOs in an effective and timely manner.

IV. 2017 work programme

72. The proposed list of IOE evaluation activities for 2017 can be found in table 1 of annex IV, and the indicative plan for 2018-2019 is presented in table 2 of that annex. The proposed work programme for 2017 is enhanced in terms of methodological rigour and insourcing of evaluation activities, and driven by a methodology and streamlined process derived from the second edition of the Evaluation Manual. It is also important to note that the mix of evaluation products that IOE proposes in 2017 provides the necessary basis for strengthening IFAD's broader accountability and learning, enabling better development effectiveness.
73. The selection and prioritization of independent evaluations is facilitated by the use of a selectivity framework, which is included in annex VII. The selectivity framework also enhances transparency in developing the divisional work programme. The following paragraphs provide an overview of IOE's main evaluation activities for 2017.

74. Next year, IOE proposes to undertake a new CLE on IFAD's financial architecture, which will be completed by the year-end and presented to the Executive Board in 2018. It is timely for IOE to look at the adequacy and sustainability of the financial instruments used by IFAD to fund its programme of loans and grants (PoLG), and contribute to the identification of innovative sources of financing other than traditional replenishment sources.
75. Given the significant reduction in official development assistance, which is affecting the level of funding mobilized through the replenishment cycles, IFAD cannot only rely on donor contributions through periodic replenishments in the future. In 2015, the Board allowed IFAD to begin borrowing funds from sovereign sources to augment its resource availability. In light of this, the evaluation will look at IFAD's capacity to leverage additional financial resources for rural poverty reduction.
76. The CLE on IFAD's financial architecture constitutes a major evaluation on a critical topic and will be a ground-breaking exercise; only the International Finance Corporation of the World Bank has conducted a similar evaluation in the past. Other CLEs provisionally planned beyond 2017 are shown in the indicative plan for 2017-2018 (annex IV, table 2).
77. With regard to CSPEs, the principal aims are to: assess the results and impact of the partnership between IFAD and governments in reducing rural poverty; and provide building blocks for the preparation of IFAD country strategies in each country following completion of the CSPE. In 2017, IOE will complete the CSPEs begun in 2016 in Egypt and Mozambique. In addition, IOE plans to initiate five new CSPEs – one in each of IFAD's five regional divisions. The 2017 CSPEs will be undertaken in Angola, Cambodia, Cameroon, Georgia and Peru. It is worth noting that no CSPE has been conducted in any of these countries in the past. Therefore, the 2017 CSPEs will further strengthen IFAD's learning and accountability.
78. Building on its experience conducting impact evaluations,¹⁰ next year IOE will launch another impact evaluation on a project to be determined based on the selectivity framework. It is important to underline that IOE's impact evaluations are not the same as those undertaken by Management in the IFAD9 and IFAD10 periods. In fact, IOE's main aim in conducting impact evaluations is to test innovative methodologies and processes for assessing the results of IFAD operations more rigorously. They also allow IOE to gain important first-hand experience in implementing impact evaluations, thus contributing to ongoing internal and external debate on the subject.
79. In addition, IOE will prepare two ESRs in 2017. These reports are largely based on existing evaluation evidence and serve to document and share lessons and good practices on topics that can inform IFAD's policies, strategies and operations. The proposed topics for the two ESRs in 2017 are: (i) fishery, aquaculture and coastal area development; and (ii) partnership-building at the country level, including with the private sector.
80. The ESR on fisheries and aquaculture was requested by the Evaluation Committee. However, it is important to note that IFAD has little existing evaluative evidence from past evaluations on this topic. Therefore, IOE proposes to incorporate evidence from evaluations on the topic performed by evaluation functions in other multilateral and bilateral development organizations. With regard to the ESR on partnerships, IOE has past evaluative evidence on the topic since all CSPEs assess and rate partnership-building at the country level. Moreover, IOE conducted a CLE on IFAD's private-sector development and partnership strategy, which was presented to the Executive Board in May 2011.
81. Following the methodological streamlining introduced by the second edition of the Evaluation Manual, IOE has adopted a more rigorous approach to preparing

¹⁰ IOE has conducted three impact evaluations in Sri Lanka, India and Mozambique.

- ESRs – for example by applying a more systematic analysis of qualitative and quantitative secondary data. This will enhance the analytic rigour and credibility of the products.
82. Following accepted practice, IOE aims to validate all project completion reports (PCRs) and undertake 10 PPEs of selected projects each year.¹¹ The number of PPEs has increased from eight per year to ten per year in order to enhance the availability of independent and field-based evaluation evidence on IFAD's operational performance. These data will also: serve as critical inputs for the ARRI, CLEs and CSPEs; allow IOE to cover more IFAD operations across all regions; and further strengthen IFAD's accountability framework. This is fundamental given that the majority of IFAD's development resources are channelled through investment projects and programmes to developing member countries.
 83. Furthermore, IOE is strengthening the evidence base and analytic rigour of PPEs by: increasing collaboration with beneficiaries and other in-country stakeholders; and ensuring that evaluation teams have the opportunity to conduct more structured participatory rural appraisals and a wider range of site visits in remote rural areas.
 84. As stated in the IFAD Evaluation Policy, IOE will prepare the 2017 edition of the ARRI, its annual report. As in previous years, the ARRI will include a detailed analysis and a dedicated chapter on one major learning theme. IOE will propose the topic of the 2017 learning theme to the Board in consultation with IFAD Management, for approval in September 2016.
 85. IOE will support selected recipient countries in evaluation capacity development (ECD) activities. There will be an increased focus on strengthening partnerships with the other Rome-based agencies (RBAs), especially in joint evaluations. IOE will also ensure timely, customized dissemination and outreach of results and lessons to key audiences.
 86. Finally, the Director of IOE has been elected as the Chairperson of the Evaluation Cooperation Group (ECG) of the multilateral development banks, giving IFAD an opportunity to highlight to partners its critical role in international development cooperation – especially the important work of IOE in promoting change within the organization. There will be increased attention to strengthening partnerships with other RBAs and evaluation offices in other development organizations, especially in joint evaluations and quality assurance of the external evaluation of the Committee on World Food Security. IOE will also ensure timely, customized dissemination and outreach of results and lessons to key audiences.
 87. IOE will present all CLEs, the ARRI and selected CSPEs to both the Evaluation Committee and the Executive Board. It will present impact evaluations and ESRs to the Evaluation Committee, and to the Executive Board upon request. Finally, IOE will prepare written comments on new country strategic opportunities programmes (COSOPs) that have been preceded by CSPEs for consideration by the Executive Board. In line with the IFAD Evaluation Policy, IOE will provide written comments on new corporate policies and strategies that have been informed by major CLEs. Table 7 summarizes the evaluation activities planned by IOE in 2017.

¹¹ Such evaluations were previously called project performance assessments (PPAs). The name was changed by IOE to project performance evaluations (PPEs) since the latter term more appropriately captures the objectives and methodological approach followed.

Table 7
Evaluation activities planned by IOE for 2017

<i>Strategic objectives (SOs)</i>	<i>Divisional management results (DMRs)</i>	<i>Outputs</i>
SO1: Generate evidence through independent evaluations on IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	<ul style="list-style-type: none"> • CLE on IFAD's financial architecture • 15th ARRI • Comments on the RIDE, the President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA), selected COSOPs and corporate policies/strategies, and on new IFAD strategies and policies
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	<ul style="list-style-type: none"> • CSPEs: Angola, Cambodia, Cameroon, Georgia and Peru • ESRs on: Fishery, aquaculture and coastal area development; and Partnership-building at the country level, including with the private sector
	DMR 4: IFAD-supported operations are improved through independent project evaluations	<ul style="list-style-type: none"> • PPEs • All PCRs available in the year validated
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	<ul style="list-style-type: none"> • Project impact evaluation completed and a new impact evaluation started • Contribution to in-house and external debate on impact evaluations
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	<ul style="list-style-type: none"> • One learning theme in the context of the 2017 ARRI (topic to be determined) • In-country learning workshops on the main results from CSPEs to provide building blocks for the preparation of new COSOPs; learning events in IFAD from other evaluations (e.g. CLEs, ESRs and ARRI) to share lessons and good practices • Partnerships including ECG, United Nations Evaluation Group (UNEG), Swiss Agency for Development and Cooperation (SDC) and RBAs
	DMR 7: Evaluation capacity development (ECD) in partner countries	<ul style="list-style-type: none"> • ECD engaged in thorough seminars and workshops on evaluation methodology and processes in the context of: (i) regular evaluations (e.g. ongoing CSPEs and PPEs); and (ii) upon request in countries where IOE is not undertaking evaluations • Extension of statement of intent with China on ECD
SO1 and SO2*	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	<ul style="list-style-type: none"> • Preparation of the IOE work programme and budget; participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, as well as selected Audit Committee meetings; participation in internal platforms (Operational Strategy and Policy Guidance Committee, Operations Management Committee, IFAD Management teams, country programme management teams, selected learning events, etc.)

* A number of outputs contribute to DMR 8, which cuts across both SOs.

V. 2016 resource envelope

A. Staff resources

88. IOE's staff requirements are based on a comprehensive annual strategic workforce planning exercise. The 2017 strategic workforce planning exercise will be finalized following presentation of this preview document to the Evaluation Committee in September. Throughout this exercise, IOE will consult with the Office of Budget and Organizational Development to ensure that the methodology used by IOE is the same as that used throughout IFAD. Results of the 2017 exercise will be included in

the final proposal for consideration by the Evaluation Committee at its October 2016 session. Pending completion of the strategic workforce planning exercise, it is anticipated that in 2017 IOE will require an additional P4 senior evaluation officer position. The rationale for the additional officer is provided in the paragraphs below.

89. From May 2014 to May 2016, IOE benefited from the secondment at no cost of a P5 SDC staff member, who undertook CSPEs and PPEs. The secondment was crucial for the timely delivery of the work programme given that the streamlining of evaluation processes in line with the new Evaluation Manual shortened the duration of major evaluations (especially CPEs and CLEs) from 18 to 12 months. As mentioned in paragraph 31, the number of PPEs also increased from eight per year to ten per year and was accompanied by the increased insourcing of evaluation work. These changes are in line with the new Evaluation Manual's focus on improving quality, enhancing learning and reducing unit costs. The increased insourcing is reflected in reduced consultancy fees, allowances and travel as discussed in section V(B) (below), which contains the budget proposal.
90. Increased insourcing of both high-level evaluations such as CLEs and the ARRI, and project-level evaluations including PPEs and project completion report validations (PCRVs) entails a greater level of effort for IOE staff than in previous years. Therefore, the recruitment of a senior-level staff member will be critical to support the undertaking of major evaluations (e.g. CSPEs) and to ensure that an increasing number of PPEs and PCRVs can be produced internally from 2017 onwards. A P4-level staff member will also provide appropriate guidance to junior staff at the P2 and P3 levels.
91. In addition, since 2009 IOE has not requested any new positions in either the professional and general service staff categories. It is worth underlining that the IOE professional to general service staff ratio remains at approximately 1 to 0.46, which is among the best for any division in IFAD.
92. The modified staffing levels for 2017 can be seen in annex V. In the coming months, IOE will further analyse the total level of effort required to implement its proposed 2016 work programme, and will make adjustments as required in the revised version of the document to be presented to the Evaluation Committee in October.

B. Budget proposal

93. This section outlines IOE budget requirements. IOE's budget requirements are detailed below by type of activity, category of expenditure and SO. Tables 8-11 include both the 2016 approved budget and the proposed budget for 2017 to facilitate a comparison between the two years. Table 12 contains the IOE gender-sensitive budget for 2017, which identifies the distribution of the budget for gender-related activities.
94. The proposed preview budget will be further reviewed and will take into consideration inputs from the Evaluation Committee, the Audit Committee and the Executive Board in September 2016 before the 2017 budget proposal is finalized.
95. Assumptions. As in the past, the parameters used to develop the proposed 2017 budget are the same as those used by IFAD Management to develop IFAD's administrative budget for 2017. As of the writing of this preview document, it is assumed that: (i) there is no increase in the salaries of professional and general service staff anticipated for 2017, and therefore the same 2015 standard costs adjusted for the euro/dollar exchange rate have been used; (ii) inflation will be absorbed to the greatest extent possible; and (iii) an exchange rate of US\$1 = EUR 0.877 will be used. These assumptions will be subject to review until presentation of the final budget proposal.
96. Between now and the year-end, IOE will liaise with IFAD's Office of Budget and Organizational Development to ensure that the division continues to use the same

budget parameters followed by Management in developing its administrative budget for next year. Should there be any changes to the IFAD budget parameters for 2017, IOE will also apply them and present a revised budget to the Audit Committee and the Executive Board before the end of 2017.

97. Budget by type of activity. As shown in table 8, US\$465,000 of the total non-staff costs of US\$2.490 million – or 18.7 per cent of non-staff costs – is allocated to higher-level evaluations (i.e. the ARRI and CLEs). These evaluations have the potential to result in far-reaching and systemic changes at the institutional level. The increase in the CLE budget compared to the 2016 budget is a result of the unique nature of the CLE on IFAD's financial architecture. IOE will need to mobilize high-level technical experts in finance and resource mobilization, who normally command significantly higher market rates than the consultants that IOE mobilizes for other types of CLEs.

Table 8
Proposed budget for 2017 (by type of activity)*

<i>Type of activity</i>	<i>Approved 2016 budget (US\$)</i>	<i>Absolute number 2016</i>	<i>Level of effort 2016</i>	<i>Proposed 2017 budget (US\$)</i>	<i>Absolute number 2017</i>	<i>Level of effort 2017</i>
Non-staff costs						
ARRI	100 000	1	1	80 000	1	1
CLEs	310 000	2	1	385 000	2	1
CSPEs	1 090 000	7	5.6	1 000 000	7	5.2
Evaluation syntheses	140 000	3	3	110 000	2	2
PPEs	315 000	10	10	315 000	10	10
PCRVs	50 000	30	30	30 000	30	30
Impact evaluations	200 000	2	1	200 000	2	1
Knowledge-sharing, communication, evaluation outreach and partnership activities	195 000	-	-	225 000		
ECD, training and other costs	141 520	-	-	145 861		
Subtotal non-staff costs	2 541 520			2 490 861		
Staff costs	3 127 899			3 272 797		
Total	5 669 419			5 763 658		

Note: A more detailed explanation of the breakdown is provided in annex VI, table 2.

* Based on experience and historical data: 140 person (staff) days are allocated for conducting a CLE, 130 days for a CSPE, 40 days for ESRs, 80 days for impact evaluations, 40 days for PPEs and 11 days for PCRVs. These figures are used to estimate the level of effort by type of activity shown in table 8.

98. The decrease in the unit cost of the ARRI, CSPEs and PCRVs can be attributed to the increased insourcing of these evaluations – to which the recruitment of a P4 staff member strongly contributes. Table 8 shows that in 2017, the absolute number of CSPEs will remain the same as in 2016 while the total cost will be reduced by US\$90,000. The level of effort is slightly lower than in 2016 because the national round-table workshops for two of the five CSPEs planned for 2017 will be organized in early 2018.
99. Finally, slight increases in partnership, communication, dissemination and outreach activities aim to strengthen the evaluation learning and feedback loop, build evaluation capacity at the national level and foster joint activities with other RBAs and development organizations (such as UNEG and the ECG of the multilateral development banks). In 2017, these costs will also be driven by the Director of IOE's position as Chairperson of the ECG. This will entail participation in meetings, seminars and high-level events.

100. Table 9 shows the effect on budget allocations of IOE's increased insourcing for each evaluation activity. It also shows the level of effort of IOE staff and consultants, travel, fees and allowances before (2014-2015) and after the introduction of the second edition of the Evaluation Manual (2016-2017).

Table 9
Insourcing of evaluation activities

Type of activity	Before the introduction of the second edition of the Evaluation Manual						After the introduction of the second edition of the Evaluation Manual					
	Approved 2014 budget	Absolute number 2014	Level of effort 2014	Approved 2015 budget	Absolute number 2015	Level of effort 2015	Approved 2016 budget	Absolute number 2016	Level of effort 2016	Proposed 2017 budget	Absolute number 2017	Level of effort 2017
ARRI	150 000	1	1	100 000	1	1	100 000	1	1	80 000	1	1
CPEs/CSPEs	760 000	7	3.3	1 035 000	8	4.5	1 090 000	7	5.6	1 000 000	7	5.2
PPAs/PPEs	230 000	8	8	230 000	8	8	315 000	10	10	315 000	10	10
PCRVs	50 000	30	30	50 000	30	30	50 000	30	30	30 000	30	30
Consultant fees	1 465 000			1 485 000			1 495 000			1 400 000		
Consultant travel allowances	395 000			410 000			440 000			380 000		

101. Budget by category of expenditure. In table 10, the proposed non-staff budget is allocated by category of expenditure. Of the non-staff budget, 56 per cent is allocated to consultancy fees to support evaluation work; this is lower than the 60 per cent of non-staff costs allocated in 2016. With regard to consultants, IOE is continuing its efforts to ensure gender balance and regional diversity across all evaluation types. Preference is given to hiring consultants from the same country or region in which an evaluation is planned, especially for PPEs, CSPEs and country visits undertaken in the context of CLEs and ESRs.

Table 10
Proposed budget for 2017 (by category of expenditure)
(United States dollars)

Category of expenditure	Approved 2016 budget	Proposed 2017 budget
Staff travel	376 000	440 000
Consultant fees	1 495 000	1 400 000
Consultant travel and allowances	440 000	380 000
In-country CSPE learning events	45 000	45 000
Evaluation outreach, staff training and other costs	185 520	225 861
Total non-staff costs	2 541 520	2 490 861
Staff costs	3 127 889	3 272 797
Total	5 669 419	5 763 658

102. The increase in staff travel reflects: (i) the cost of travel for the new staff member; (ii) the effect of the insourcing evaluation activities, for which IOE staff will spend more time in the field; and (iii) the cost of travel for activities undertaken by the Chairperson of the ECG. There is a substantial reduction in consultant fees, allowances and travel. As in the past, a small allocation is proposed for staff training, which is essential for continuous professional development. Higher total staff costs are a result of the recruitment of a P4 staff member.

103. Budget by strategic objective. Table 11 shows the proposed IOE budget allocation for 2017, including both staff and non-staff costs, against IOE's SOs. Further detail, including the allocation to each divisional management result (DMR), can be found in annex VI, table 3.

104. SO1 receives a much greater allocation than the other SO2 since a larger part of IOE's consultancy resources are allocated to activities that contribute to this objective (such as CLEs, CSPEs and PPEs). However, many of the activities undertaken in line with this objective also contribute to SO2. This includes SO1 activities that promote evaluation-based learning and an enhanced institutional-results culture. For example, in-country workshops at the end of CSPEs – which are budgeted under SO1 – provide a unique opportunity to exchange views on lessons learned and good practices with policy and decision makers, IFAD operations staff and other stakeholders.

Table 11
Proposed budget allocation (by SO)

<i>Strategic objective</i>	<i>Approved 2016 budget</i>		<i>Proposed 2017 budget</i>	
	<i>Amount (US\$)</i>	<i>%</i>	<i>Amount (US\$)</i>	<i>%</i>
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	4 057 049	71	4 008 638	70
SO2: Promote evaluation-based learning and enhanced results culture for better development effectiveness	1 322 250	24	1 446 272	25
SO1 and SO2	290 120	5	308 748	5
Total	5 669 419	100	5 763 658	100

105. Gender budget. The methodology followed by IOE in constructing its gender budget entails determining the proportion of staff and non-staff costs devoted to analysing and reporting on gender issues in IOE evaluations. In this regard, it is important to recall that IOE has a dedicated criterion on gender equality and women's empowerment that is applied in all ARRIs, CSPEs, PPEs, PCRVs and impact evaluations. Additional attention is being devoted to gender issues in other evaluation products such as CLEs and ESRs. Table 12 shows that 6.3 per cent of the total proposed IOE budget for 2017 is directly allocated to examining gender issues, which is higher than the 5.8 per cent calculated in the 2016 budget.

Table 12
IOE 2017 gender-sensitive budget

<i>Type of activity</i>	<i>Proposed 2017 budget (US\$)</i>	<i>Gender component (percentage)</i>	<i>US\$</i>
Non-staff costs			
ARRI	80 000	10	8 000
CLEs	385 000	5	15 500
CSPEs	1 000 000	10	100 000
PCRVs	30 000	5	1 500
PPEs	315 000	7	22 050
Impact evaluations	200 000	7	14 000
Evaluation syntheses	110 000	5	5 500
Communication, evaluation outreach, knowledge-sharing and partnership activities	225 340		
ECD, training and other costs	145 521	5	7 276
Subtotal non-staff costs	2 490 861	7	173 827
Staff costs			
Gender focal point	165 579	20	33 106
Alternate gender focal point	106 320	10	10 645
All evaluation officers	3 000 898	5	150 045
Subtotal staff costs	3 272 797	5.9	193 796
Total	5 763 658	6.3	367 623

106. Budget proposal. The proposed 2017 budget is US\$5.76 million, or a nominal 1.6 per cent increase against the 2016 approved budget of US\$5.67 million. The 1.6 per cent nominal increase comprises a 0.3 per cent real increase, which can be attributed to higher staff costs and a 1.3 per cent price increase.
107. It is important to underline that the proposed 2016 IOE budget is 0.39 per cent of IFAD's expected programme of loans and grants for next year,¹² which is below the 0.6 per cent in 2015 and well below the IOE budget cap of 0.9 per cent adopted by the Executive Board.¹³ An overview of IOE's proposed budget, including historical trends since 2013, is shown in annex VI, table 1.

¹² It is anticipated that IFAD will plan to commit US\$1.1 billion in new loans and grants in 2017 in line with IFAD10 commitments.

¹³ This decision was made by the Executive Board in December 2008.

Indicative results and process matrix for results-based budgeting in IFAD and 2017 proposed budgets

<i>Cluster</i>	<i>Outcome</i>	<i>Corporate management result (CMR)</i>	<i>Process</i>	<i>2016 approved US\$ million</i>	<i>2017 proposed US\$ million</i>
Operational					
1	Effective national policy, harmonization, programming, institutional and investment frameworks for rural poverty reduction	CMR 1: Better country programme management CMR 2: Better project design (loans and grants) CMR 3: Better supervision and implementation support	Country programme development and implementation	85.91	88.32
2	Supportive global resource mobilization and policy framework for rural poverty reduction	CMR 8: Better inputs into global policy dialogue for rural poverty reduction CMR 10: Increased mobilization of resources for rural poverty reduction	High-level policy dialogue, resource mobilization and strategic communication	12.39	12.87
Institutional support					
3	An effective and efficient management and institutional service platform at headquarters and in-country for achievement of operational results	CMR 4: Better financial resource management CMR 5: Better human resource management CMR 6: Better results and risk management CMR 7: Better administrative efficiency and an enabling work and information and communications technology environment	Corporate management, reform and administration	35.80	36.43
4	Effective and efficient functioning of IFAD's governing bodies	CMR 9: Effective and efficient platform for Members' governance of IFAD	Support to Members' governance activities	7.63	7.78
Total 2017 regular budget proposed for clusters 1-4				141.73	145.40
Corporate cost centre				4.98	5.38
Total net regular administrative budget				146.71	150.78

IOE Results Measurement Framework 2016-2018

<i>Strategic objectives (SOs)</i>	<i>Divisional management results (DMRs)</i>	<i>Key performance indicators</i>	<i>Baseline 2011</i>	<i>Target (per year)</i>	<i>Means of verification</i>
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	1. Adoption rate of recommendations from CLEs, CSPEs, ESRs and PPEs	n/a	90%	PRISMA and IOE work programme and budget document
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations				
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed				
	DMR 4: IFAD-supported operations are improved through independent project evaluations				
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	2. Range of new methods and designs applied	n/a.	2	IOE evaluations
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	3. Evaluations with quantitative analysis	n/a	3 (in the entire period)	Impact evaluations
		4. Number of outreach products for all evaluations disseminated through social tools and the Internet	n/a.	80	
		5. Number of in-country learning events co-organized by IOE with governments	4	5	
		6. Number of in-house and external knowledge events organized by IOE	5	7	
		7. Feedback on quality of IOE products from client survey	n/a	100 people (at least 60% positive feedback)	
		8. Number of downloads of IOE publications	n/a	200	
		9. Number of people receiving IOE newsletters	n/a	600	
		DMR 7: Evaluation capacity development (ECD) in partner countries	10. Number of ECD seminars/workshops organized in partner countries	n/a	1
	11. Number of events attended by IOE staff related to self-evaluation and ECD		n/a	3	
SO1 and SO2	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	12. Budget cap	< 0.9% of IFAD PoLG	< 0.9% of IFAD PoLG	
		13. Ratio of professional to general service staff	n/a	1/0.46	
		14. Budget execution rate at year-end	n/a	97%	
		15. Execution rate of key evaluation activities	n/a	95%	

IOE reporting on achievements (as of 15 June 2016)

In 2016, IOE is reporting against both: (i) planned activities (table 1); and (ii) its key performance indicators (table 2 on page 30).

Table 1
Reporting on IOE planned activities (January to 15 June 2016)

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
1. CLEs	IFAD's decentralization experience	To be completed in December 2016	Ongoing. The approach paper was discussed at the ninety-first session of the Evaluation Committee in March 2016 and finalized thereafter. Consultations were held with Board representatives and the Programme Management Department (PMD). Two regional in-country workshops with recipient country representatives were held in May and two were held in June and July. The final report will be ready by the end of September for presentation to the Board in December 2016.
	Democratic Republic of the Congo	To be completed in December 2016	Ongoing. Main mission held in April 2016. Report in preparation.
	Egypt	To be completed in December 2016	Ongoing. Preparatory mission held in May-June 2016.
	India	Completed as planned in May 2016	Completed. National round-table workshop held on 12 May 2016. Agreement at completion point currently in preparation – will inform the new COSOP.
	Mozambique	To be completed in December 2016	Ongoing. Preparatory mission in July 2016.
	Nigeria	Completed as planned in April 2016	Completed. National round-table workshop held on 7 April 2016. Agreement at completion point signed.
2. CSPEs	Nicaragua	To be completed in December 2016	Ongoing. Preparatory mission held in April 2016 and main mission held in May-June 2016.
	Philippines	To be completed in December 2016	Ongoing. Preparatory mission held in January and main mission conducted in April. Report in preparation.
	Turkey	Completed in January 2016	Completed. National round-table workshop held in January 2016. Discussed at the ninety-first session of the Evaluation Committee in March 2016. Agreement at completion point signed and will be presented to the Board in September 2016.
3. PCRVs	Validate all project completion reports (PCRs) available within the year	To be completed in December 2016	Progressing as planned.
4. PPEs	Ten PPEs	To be completed by December 2016	All PPEs completed or ongoing according to planned schedule.
5. Impact evaluations	Mozambique, Sofala Bank Artisanal Fisheries Development Project	To be completed in July 2016	Report in preparation. To be discussed at the ninety-fourth session of the Evaluation Committee in October 2016.
	One new impact evaluation (project to be determined)	To start in July 2016	Ongoing

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
6. Engagement with governing bodies	14th Annual Report on Results and Impact of IFAD Operations (ARRI)	To be completed in July 2016	Ongoing. Report is being prepared for presentation to the Evaluation Committee and Executive Board in September 2016, including the learning theme on knowledge management.
	Review of the implementation of IOE's Results-based work programme for 2016 and indicative plan for 2017-2018 and preparation of the Preview of the results-based work programme and budget for 2017 and indicative plan for 2018-2019	To be completed in December 2016	In progress as planned. The Evaluation and Audit Committees, and Executive Board will review the 2017 high-level preview of the IOE work programme and budget in September and November.
	IOE comments on PRISMA	To be completed in September 2016	PRISMA, with IOE comments, will be discussed with the Evaluation Committee and the Board in September 2016. The Board has underscored the importance of PRISMA, together with IOE comments on it, as an instrument for promoting accountability and learning.
	IOE comments on RIDE	To be completed in December 2016	RIDE, with IOE comments, will be discussed together with the ARRI at the Evaluation Committee and Executive Board sessions in September 2016.
	IOE comments on the update on IFAD's approach to a strategy for engagement in countries with fragile situations; and on the Synthesis of lessons learned from the IFAD9 Impact Assessment Initiative by IFAD Management	Completed in April 2016	IOE comments on : (i) IFAD's approach to a strategy for engagement in countries with fragile situations; and (ii) Synthesis of lessons learned from the IFAD9 Impact Assessment Initiative were both presented to the Evaluation Committee in March and to the Board in April 2016.
	Participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, selected Audit Committee meetings, and the 2016 country visit of the Executive Board to Brazil	To be completed in December 2016	Evaluation Committee: one formal session held in March 2016. Executive Board: one formal session held in April 2016. Audit Committee: one formal meeting held in March 2016.
	IOE comments on COSOPs when related CPEs/CSPEs are available	To be completed in December 2016	IOE provided its written comments on the new COSOPs for Brazil and Tanzania for the Board's consideration in April 2016.
	7. Communication and knowledge management activities	ESR on IFAD's support to scaling up results	To be completed in December 2016
ESR on country-level policy dialogue		To be completed in December 2016	Ongoing. Approach paper prepared.
ESR on achieving gender equality and women's empowerment – a review of practices and results		To be completed in December 2016	Ongoing. Approach paper prepared.
Evaluation reports, <i>Profiles, Insights</i> , IOE website, etc.		January-December 2016	In progress as planned. IOE has published and disseminated to internal and external audiences a total of: 12 evaluation reports, 16 <i>Profiles, Insights</i> and briefs, 5 press releases, 3 overviews, 1 booklet, 9 infographics, 2 quarterly newsletters and 3 videos.

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
	Organization of in-country CPE/CSPE learning workshops as well as learning events in IFAD	January-December 2016	CPE national round-table workshops held in (i) Turkey in January; (ii) Nigeria in April; and (iii) India in May. Learning event on the Mozambique impact evaluation to be held in September 2016 in Maputo. Special efforts are being made in each workshop to invite representatives of beneficiaries, civil society and NGOs. In-house events included: (i) an in-house learning event on the CLE on IFAD's PBAS; (ii) an event at the IFAD global staff meeting on IOE and the independent evaluation function.
	Participation and knowledge-sharing in selected external platforms such as learning events or meetings of evaluation groups	January-December 2016	In progress as planned. UNEG webinar – led by IOE – on Rooting evaluation independence in the context of multilateral development organizations.
	Attendance at all Operational Strategy and Policy Guidance Committee meetings that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attendance at Operations Management Committee meetings, quality assurance learning sessions, IFAD Management team meetings and selected country programme management team meetings	January-December 2016	In progress as planned. These forums provide IOE with opportunities to share evaluation lessons with IFAD Management and staff to strengthen the design of new policies, strategies and operations. IOE has participated in a number of Operational Strategy and Policy Guidance Committee meetings where evaluations have been done and occasionally in others for comments on monitoring and evaluation. IOE's Director and Deputy Director have attended a number of weekly Operational Strategy and Policy Guidance Committee meetings. The Director of IOE participated in the IFAD in May 2016 Management team meeting; a second meeting is planned for November 2016. IOE has also participated in selected country programme management team meetings.
	ECG, UNEG and SDC partnership	January-December 2016	In progress as planned. IOE participated in two ECG meetings in January 2016 and June 2016. In the January meeting, the Director of IOE chaired a session on climate finance and multilateral development bank collaboration in measuring the impact of climate finance projects. IOE also participated in the UNEG Annual General Meeting held in April, making presentations on: (i) no one left behind – equity and equality; (ii) national ECD for evaluation of the sustainable development goals (SDGs) and partnerships – lessons and ways forward; and (iii) evaluability of the SDGs. Collaboration with SDC is ongoing amid regular interactions with partners.
8. Partnerships	Contribution as external peer reviewer to evaluations by other international organizations as requested	January-December 2016	In his capacity as Chairperson of the UNEG sub-group of peer review, the Director of IOE led the peer review of the evaluation unit of International Trade Centre. Draft report to be finalized by June 2016.
	Implementation of joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	January-December 2016	In progress as planned. Presentation of the joint evaluation synthesis of FAO's and IFAD's Engagement in Pastoral Development in June 2016.
9. Methodology	Training on the second edition of the	January-December 2016	In progress as planned. Learning event on the Evaluation Manual at IFAD's Global

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
	Evaluation Manual		Staff Meeting to share the revised methodology used in the manual's second edition with IFAD staff.
	Contribution to in-house and external debate on impact evaluation and evaluation synthesis, including the SDGs	January-December 2016	In progress as planned. IOE was represented in a major conference in March on evaluating the SDGs with an equity-focused and gender-responsive lens, organized by UN Women, EvalPartners and other agencies. IOE also participated in: the Development Evaluation Week hosted by the African Development Bank's Independent Development Evaluation; the UK Evaluation Society's annual conference; and the national conference of the Canadian Evaluation Society.
	Development of a new harmonization agreement	To be completed by December 2016	Ongoing. The new agreement was originally planned for presentation to the Evaluation Committee in its October 2016 session. However, Management suggested delaying the presentation until 2017 in order to roll out the development effectiveness framework in the course of 2016.
10. Evaluation capacity development (ECD)	Engagement in ECD in the context of regular evaluation processes	January-December 2016	Ongoing. The second edition of the Evaluation Manual was presented in New Delhi following the India CPE national round-table workshop in May 2016.
	Organization of workshops in partner countries on evaluation methodology and processes (upon request)	January-December 2016	The second edition of the Evaluation Manual was presented in New Delhi following the India CPE national round-table workshop in May 2016.
	Implementation of statement of intent with the Government of China on ECD in the country	January-December 2016	IOE conducted training in China on evaluation and evaluation methodology at the Asia-Pacific Finance and Development Institute. A presentation on evaluation methodology was also delivered during the Shanghai International Program for Development Evaluation Training.

Reporting on IOE key performance indicators (January to 15 June 2016)

Based on IOE's 2016-2018 Results Measurement Framework, the following reporting matrix provides an overview of IOE achievements in the first half of 2016 against key performance indicators established with the Executive Board.

Table 2
Reporting on IOE key performance indicators (January to 15 June 2016)

<i>Strategic objectives (SOs)</i>	<i>Divisional management results (DMRs)</i>	<i>Key performance indicators</i>	<i>Achievements as of 15 June 2016</i>	<i>Target (2016)</i>	<i>Means of verification</i>	
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations					
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	1. Adoption rate of recommendations from CLEs, CSPEs, ESRs and PPEs	n/a (PRISMA available in September)	90%	PRISMA and IOE work programme and budget document	
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed					
	DMR 4: IFAD-supported operations are improved through independent project evaluations					
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	2. Range of new methods and designs applied	1	2	IOE evaluations	
		3. Evaluations with quantitative analysis	1	1	Impact evaluations	
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	4. Number of outreach products for all evaluations disseminated through social tools and the internet	12 evaluation reports, 16 Profiles, Insights and briefs, 5 press releases, 3 overviews, 1 booklet, 9 infographics, 2 quarterly newsletters and 3 videos.		80	
		5. Number of in-country learning events co-organized by IOE with governments		3	5	
		6. Number of in-house and external knowledge events organized by IOE		3	7	
		7. Feedback on quality of IOE products from client survey		n/a	100 people (at least 60% positive feedback)	
		8. Number of downloads of IOE publications		n/a	200	
		9. Number of people receiving IOE newsletters		n/a	600	

DMR 7: Evaluation capacity development (ECD) in partner countries	10. Number of ECD seminars/workshops organized in partner countries	1	1	IOE records
	11. Number of events attended by IOE staff related to self-evaluation and ECD	2	3	
SO1 and SO2	12. Budget cap	0.6% of IFAD PoLG	< 0.9% of IFAD PoLG	
	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured			
	13. Ratio of professional to general service staff	1/0.46	1/0.46	
	14. Budget execution rate at year-end	78.9%	97.8%	
	15. Execution rate of key evaluation activities	n/a	95%	

IOE proposed evaluation activities for 2017 and indicative plan for 2018-2019

Table 1
Proposed IOE work programme for 2017 by type of activity

Type of work	Proposed activities for 2017	Start date	Expected finish date	Expected delivery time				
				Jan-Mar 2017	Apr-Jun 2017	Jul-Sep 2017	Oct-Dec 2017	2018
1. Corporate-level evaluations (CLEs)	IFAD's financial architecture	Jan-17	Dec-17				X	
2. Country strategy and programme evaluations (CSPEs)	Angola	Jan-17	Dec-17				X	
	Cambodia	Jan-17	Dec-17				X	
	Cameroon	Jul-17	Jun-18					X
	Georgia	Jul-17	Jun-18					X
	Peru	Jan-17	Dec-17				X	
3. Project completion report validations (PCRVs)	Validation of all PCRs available in the year	Jan-17	Dec-17	X	X	X	X	
4. Evaluation synthesis reports (ESRs)	Fishery, aquaculture and coastal area development Partnership-building at the country level, including with the private sector	Jan-17	Dec-17				X	
5. Project performance evaluations (PPEs)	10 PPEs	Jan-17	Dec-17			X	X	
6. Impact evaluations	One new impact evaluation (project to be determined)	Jul-17	Jun-18					X
7. Engagement with governing bodies	Review of implementation of IOE's Results-based work programme and budget for 2017 and indicative plan for 2018-2019; preparation of the Results-based work programme and budget for 2018 and indicative plan for 2019-2020	Jan-17	Dec-17			X	X	
	15 th ARRI	Jan-17	Dec-17			X		
	IOE comments on the PRISMA	Jan-17	Sep-17			X		
	IOE comments on the RIDE	Jun-17	Sep-17			X		
	IOE comments on IFAD Management policies and strategies	Jan-17	Dec-17	X	X	X	X	
	Participation in all sessions of governing body meetings (Evaluation Committee, Executive Board and Governing Council); selected Audit Committee meetings; and 2017 Executive Board country visit	Jan-17	Dec-17	X	X	X	X	
	IOE comments on COSOPs, when related CSPEs are available	Jan-17	Dec-17		X	X	X	

Type of work	Proposed activities for 2017	Start date	Expected finish date	Expected delivery time				2018
				Jan-Mar 2017	Apr-Jun 2017	Jul-Sep 2017	Oct-Dec 2017	
8. Communication and knowledge management activities	Evaluation reports, <i>Profiles, Insights</i> , website, etc.	Jan-17	Dec-17	X	X	X	X	
	Organization of in-country CSPE learning workshops as well as learning events in IFAD	Jan-17	Dec-17	X	X	X	X	
	Participation and knowledge-sharing in selected external platforms such as learning events and meetings of evaluation groups	Jan-17	Dec-17	X	X	X	X	
	Attendance at all Operational Strategy and Policy Guidance Committee meetings that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE; attendance at meetings of the Operations Management Committee, IFAD Management Team and selected country programme management teams	Jan-17	Dec-17	X	X	X	X	
	ECG, UNEG and SDC partnerships	Jan-17	Dec-17	X	X	X	X	
	ECG Chair	Jan-17	Dec-17	X	X	X	X	
9. Partnerships	Quality assurance of the external evaluation of the Committee on World Food Security. Contribution as external peer reviewer to evaluations by other development organizations as requested	Jan-17	Dec-17	X	X	X	X	
	Implementation of joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	Jan-17	Dec-17	X	X	X	X	
10. Methodology	Contribution to in-house and external debate on impact evaluations	Jan-17	Dec-17	X	X	X	X	
	Implementation of the new harmonization agreement between self- and independent evaluations	Jan-17	Oct-17	X	X	X	X	
11. ECD	Engagement in ECD in context of regular evaluation processes	Jan-17	Dec-17	X	X	X	X	
	Organization of workshops in partner countries on evaluation methodology and processes (upon request)	Jan-17	Dec-17	X	X	X	X	
	Implementation of statement of intent with the Government of China on ECD in the country	Jan-17	Dec-17	X	X	X	X	

Note: The quarterly delivery time is marked with an **X** only for an expected specific deliverable.

Table 2
IOE indicative plan for 2018-2019 by type of activity*

Type of work	Indicative plan for 2017-2018	Year
1. Corporate-level evaluations (CLEs)	IFAD's contribution to agriculture-related value chain development	2018
	IFAD's self-evaluation system	2019
2. Country strategy and programme evaluations (CSPEs)	Pakistan, Sri Lanka	2018
	Countries to be selected in the East and Southern Africa Division	2018
	El Salvador, Mexico/Ecuador	2018
	Sudan	2018
	Niger, Sierra Leone	2018
3. Project completion report validation (PCRVs)	Validation of all PCRVs available in the year	2018-2019
4. Project performance evaluation (PPEs)	Approximately 10 PPEs per year	2018-2019
5. Impact evaluations	1 per year (project to be determined)	2018-2019
	16 th and 17 th ARRIIs	2018-2019
6. Engagement with governing bodies	Review of implementation of results-based work programme and budget for 2018 and indicative plan for 2019-2020; and Preparation of results-based work programme and budget for 2019 and indicative plan for 2020-2021	2018
	IOE comments on the PRISMA	2018-2019
	IOE comments on the RIDE	2018-2019
	IOE comments on selected IFAD operational policies, strategies and processes prepared by IFAD Management for consideration by Evaluation Committee	2018-2019
	Participation in all sessions of Evaluation Committee according to the revised Terms of Reference and Rules of Procedure of the Evaluation Committee of the Executive Board; participation in Executive Board and Governing Council sessions; participation in annual country visit of the Executive Board	2018-2019
	IOE comments on COSOPs, when related CPEs/CSPEs are available	2018-2019
	Evaluation reports, <i>Profiles, Insights, website, etc.</i>	2018-2019
7. Communication and knowledge management activities	Evaluation synthesis on food security and agricultural productivity	2018
	Evaluation synthesis on community-driven development	2018
	Evaluation synthesis on climate change	2019
	Evaluation synthesis on IFAD's contribution to improving household income and assets	2019

* The topics and number of CLEs, CPEs/CSPEs and ESRs are tentative. The actual topics and numbers to be undertaken in 2017 and 2018 will be determined later in 2016.

	Attend all meetings of the Operational Strategy and Policy Guidance Committee that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE; attend Operations Management Committee, IFAD Management team and selected country programme management teams' meetings	2018-2019
8. Partnership	ECG, UNEG, and SDC partnerships	2018-2019
	Joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	2018-2019
9. Methodology	Contribute to in-house and external debate on impact evaluation	2018-2019
10. ECD	Implement activities in partner countries related to ECD	2018-2019

IOE staff levels

Table 1
IOE staff levels for 2017

<i>Year</i>	<i>Professional staff</i>	<i>General service staff</i>	<i>Total</i>
2007	10.5	9.5	20
2008	10	8.5	18.5
2009	11	8.5	19.5
2010	11.5	8	19.5
2011	11.5	8	19.5
2012	11.5	8	19.5
2013	12.5	6	18.5
2014	12.5	6	18.5
2015	13	6	19
2016	13	6	19
2017	14	6	20

Table 2
Human resource category

<i>Category</i>	<i>2016</i>	<i>2017</i>
Professional staff		
Director	1	1
Deputy director	1	1
Lead evaluation officer	3	3
Evaluation officer	6	7
Evaluation research analyst	1	1
Evaluation knowledge and communication officer	1	1
Subtotal professional staff	13	14
General service staff		
Administrative assistant	1	1
Assistant to the Director	1	1
Assistant to the Deputy Director	1	1
Evaluation assistant	3	3
Subtotal general service staff	6	6
Grand total	19	20

IOE proposed budget for 2017

Table 1
IOE proposed budget 2017
 (United States dollars)

<i>Evaluation work</i>	<i>2013 budget</i>	<i>2014 budget</i>	<i>2015 budget</i>	<i>(1) 2016 budget</i>	<i>Proposed 2017 budget</i>		
					<i>(2) Real increase/(decrease)</i>	<i>(3) Price increase/(decrease)</i>	<i>(4) Total 2017 budget (4)=(1)+(2)+(3)</i>
Non-staff costs	2 346 711	2 395 992	2 455 892	2 541 520	(125 000)	74 341	2 490 861
Staff costs	3 667 268	3 586 690	3 614 041	3 127 899	144 898	-	3 272 797
Total	6 013 979	5 982 682	6 069 933	5 669 419	19 898	74 341	5 763 658

Table 2
2017 IOE budget proposal breakdown for non-staff costs
 (United States dollars)

Type of activity	Absolute number	Relative number in terms of per cent of work completed ^a	United States dollars	
			Standard unit costs ^b	Proposed non-staff costs in 2017
ARRI	1	1	80 000 – 150 000	80 000
CLEs		1		
• IFAD's experience in decentralization		0.2	Differentiated cost based on scope and nature of issues to be assessed: 250 000 – 450 000	385 000
• IFAD's financial architecture	1	0.8		
CSPEs			Differentiated cost based on size of portfolio, size of country, travel costs and availability of evaluative evidence: 180 000 – 200 000	1 000 000
	7	5.2		
ESRs				
• Fishery, aquaculture and coastal area development		0.7	40 000 – 65 000	110 000
• Partnership-building at the country level, including with the private sector	2	0.3		
PPEs	10	10	30 000 – 40 000	315 000
PCR/V	About 30	About 30	-	30 000
Impact evaluations	2	1		200 000
Knowledge-sharing, communication, evaluation outreach and partnership activities	-	-		225 000
ECD, training and other costs	-	-		145 861
Total				2 490 861

^a Some evaluations take two years to complete; this figure represents the percentage of work for each type of evaluation activity in 2017.

^b Standard unit costs include staff travel when necessary.

Table 3

IOE proposed 2017 budget allocation (staff and non-staff costs) by objective and divisional management result (DMR)

(United States dollars)

<i>IOE strategic objectives</i>	<i>IOE DMRs</i>	<i>Proposed budget (staff and non-staff costs)</i>	<i>Percentage of total proposed budget</i>
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	723 610	13
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	2 011 910	34
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	450 162	7
	DMR 4: IFAD-supported operations are improved through independent project evaluations	822 956	15
Total for SO1		4 008 638	70
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	495 180	8
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	613 477	13
	DMR 7: Evaluation capacity development (ECD) in partner countries	337 615	5
Total for SO2		1 446 272	25
Joint SO1 and SO2	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	308 748	5
Grand total		5 763 658	100

IOE selectivity framework

Table 1
Criteria for the selection and prioritization of evaluations for inclusion in IOE's work programme

<i>Corporate-level evaluations (CLEs)</i>	<i>Country strategy and programme evaluations (CSPEs)</i>	<i>Evaluation synthesis reports (ESRs)</i>	<i>Project performance evaluations (PPEs)</i>	<i>Impact evaluations</i>
<p>Strategic priority The evaluation contributes to IFAD's strategic priorities and replenishment commitments.</p> <p>Accountability Topic selected contributes to strengthening IFAD's institutional accountability.</p> <p>Knowledge gap CLEs contribute to filling a critical knowledge gap in IFAD.</p> <p>Timeliness Evaluation results feed punctually into pertinent corporate policies, strategies and/or processes.</p> <p>Corporate risks The evaluation serves to help minimize critical corporate risks.</p>	<p>Link to COSOPs Results feed into the development of IFAD country strategies/ COSOPs. Coverage: Regional and country coverage of CSPEs Size of the portfolio in terms of total investments and number of operations Debt sustainability framework classification (red, yellow, green) Lending terms (highly concessional, blend or ordinary)</p>	<p>Evaluative evidence Availability of adequate evaluative evidence by IOE and evaluation functions in other development organizations.</p> <p>Knowledge gap ESRs contribute to filling a critical knowledge gap in IFAD.</p> <p>Strategic priority The synthesis contributes to IFAD's strategic priorities and replenishment commitments.</p> <p>Timeliness The synthesis feeds punctually into pertinent corporate policies, strategies and/or processes.</p> <p>Building block The synthesis serves as an input for other IOE products.</p>	<p>Availability of PCR PPEs will be done only when a PCR is available.</p> <p>Geographic coverage PPEs selected to ensure regional balance of the IOE evaluation programme.</p> <p>Building block Priority given to PPEs that will provide an input into CSPEs, CLEs or synthesis reports.</p> <p>Information gaps PCR does not provide sufficient analysis of project performance and results.</p> <p>Inconsistencies PCR ratings are inconsistent with narrative.</p> <p>Innovative approaches The project includes innovative approaches that merit deeper analysis and documentation.</p> <p>Learning from PPE Evidence needed on what worked and why.</p>	<p>No duplication No impact evaluation conducted by IFAD Management of the same operation.</p> <p>Learning from impact evaluation Evidence needed on what works in a certain context.</p> <p>Building block Priority for impact evaluations that will provide an input into CSPEs, CLEs or synthesis reports.</p> <p>Completion date Impact evaluations will be done within three years after completion date.</p> <p>Baseline data The availability and usability of baselines is essential to determine the methodology to be applied in impact evaluations.</p> <p>Information gaps The PCR does not provide sufficient analysis of the effectiveness and impact of certain interventions.</p> <p>Innovative approaches The project includes innovative approaches that merit deeper analysis and documentation.</p>