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Enabling poor rural people  
to overcome poverty

## **IFAD Policy on Supervision and Implementation Support Corporate-level Evaluation Approach Paper**

### **Note to Evaluation Committee members**

#### Focal points:

#### Technical questions:

**Luciano Lavizzari**  
Director  
Independent Office of Evaluation of IFAD  
Tel.: +39 06 5459 2274  
e-mail: [l.lavizzari@ifad.org](mailto:l.lavizzari@ifad.org)

#### Dispatch of documentation:

**Kelly Feenan**  
Head, Governing Bodies Office  
Tel.: +39 06 5459 2058  
e-mail: [gb\\_office@ifad.org](mailto:gb_office@ifad.org)

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For: **Review**

## Contents

<b>Abbreviations and Acronyms</b>	<b>II</b>
<b>I. Introduction</b>	<b>1</b>
A. Background	1
B. Definitions	2
C. Selected conclusions of the synthesis report	3
D. What do we know from other organizations?	5
<b>II. Objectives of the evaluation</b>	<b>7</b>
<b>III. Evaluation approach, methodology and process</b>	<b>7</b>
A. Evaluation approach	7
B. Methodology and key evaluation questions	8
C. Process	9
<b>IV. Core learning partnership and focus group</b>	<b>11</b>
<b>V. Evaluation team</b>	<b>11</b>
<b>VI. Communication and dissemination</b>	<b>11</b>
<b>VII. Evaluation road map</b>	<b>12</b>
<b>APPENDICES</b>	
1. Results framework	1
2. Evaluation framework	2
3. Learning Event: Synthesis Report on Direct Supervision and Implementation Support	8
4. Feedback on the Synthesis Report and Preparation of the CLEs TORs	10
5. Proposed Table of Contents	16
6. Bibliography	18
7. CLE Conceptual framework	19
8. Country Studies	22
9. Comparator Studies	24
10. CLE on Direct Supervision and Implementation Support – Work Schedule	25

## Abbreviations and Acronyms

ADB	Asian Development Bank
AfDB	African Development Bank
ARRI	Annual Report on Results and Impact of IFAD Operations
CFS	Controller and Financial Services Division
CLE	corporate-level evaluation
CLP	core learning partnership
COSOP	country strategic opportunities programme
CPM	country programme manager
DSPP	Direct Supervision Pilot Programme
FPPP	Field Presence Pilot Programme
IEG	Independent Evaluation Group
IFI	international financial institution
IOE	Independent Office of Evaluation of IFAD
M&E	monitoring and evaluation
PBAS	performance-based allocation system
PMD	Programme Management Department
PMU	project management unit
PSR	project status report
PTA	Policy and Technical Advisory Division
TORs	terms of reference

# IFAD Policy on Supervision and Implementation Support

## I. Introduction

### A. Background

1. Improving the quality of project implementation and achieving better results on the ground has been an increasing priority for IFAD since the early 1990s. Based on the recommendations of a joint review of supervision issues in IFAD-financed projects conducted by IFAD and cooperating institutions, in 1996 Management initiated a Direct Supervision Pilot Programme (DSPP), which included 15 IFAD-financed projects.
2. In 2004, the Independent Office of Evaluation of IFAD (IOE) conducted a corporate-level evaluation (CLE) on supervision modalities. The evaluation found significant variations in the performance of cooperating institutions in charge of supervision. The evaluation highlighted the need to place more emphasis on implementation support, which was recognized as absolutely essential for IFAD projects to achieve their expected development outcomes. The Independent External Evaluation of IFAD, conducted in 2005, made the next important contribution to IFAD's evolution towards direct supervision. It advocated moving to a more hands-on approach, as well as releasing IFAD from the long-standing restriction on involvement in project supervision.
3. In 2005, IOE then conducted a CLE of the DSPP, which found that, in general, IFAD direct supervision was contributing to better development effectiveness and improving the focus on IFAD's broader objectives at the country programme level. The CLE recommended that IFAD embark on direct supervision and implementation support and develop a policy on the topic. Endorsing the conclusions of this evaluation, IFAD reached two fundamental decisions: (i) in February 2006, the Governing Council amended the Fund's Articles of Agreement, delegating decisions on IFAD supervision to the Executive Board; and (ii) in December 2006 the Executive Board approved the IFAD Policy on Supervision and Implementation Support.
4. The Policy on Supervision and Implementation Support, referred to here as the supervision policy, must be seen in the context of the Executive Board decision to establish IFAD country offices. In a process similar to the one followed with regard to direct supervision, IFAD first agreed to test the idea of an IFAD country presence in 2003 with the Field Presence Pilot Programme (FPPP), which also covered 15 countries, three per region. The FPPP was evaluated by a CLE in 2006/07. The evaluation concluded, *inter alia*, that "*the experimentation ... has... proven positive on the whole, particularly as far as implementation support activities are concerned*". These two reforms have radically transformed the business model of IFAD.
5. At its December 2010 session, the Executive Board requested that IOE conduct a CLE on the direct supervision and implementation support of IFAD-financed projects, in 2012-2013. In order to prepare for this important evaluation, it also requested that IOE prepare a synthesis report and focus on direct supervision as the learning theme of the 2011 edition of the Annual Report on Results and Impact of IFAD Operations (ARRI).
6. The synthesis report was discussed by the Evaluation Committee on 7 October 2011 and is provided as a background document to the seventy-first session of the Evaluation Committee. It detailed the history of IFAD's role in supervision and, based on the findings of previous evaluations, provided a preliminary assessment of progress made by IFAD in implementing the policy. The synthesis report also raised issues for consideration and further exploration in the forthcoming CLE planned for 2012-2013 and identified gaps in information and data availability.

7. Before being submitted to the Evaluation Committee, the synthesis report<sup>1</sup> was discussed at an in-house learning workshop held on 16 September 2011 and attended by IFAD Management, several country programme managers (CPMs) and IFAD staff. A summary of the discussion is attached in appendix 3. In addition, all 30 IFAD country offices were asked to provide feedback and highlight any relevant issues to be captured by the CLE. Their responses have been summarized in appendix 4. These inputs, together with the comments made by the Evaluation Committee and Programme Management Department (PMD), were used in preparing this approach paper.

## B. Definitions

8. **Definition of supervision and implementation support.** The CLE will review the current principles underlying supervision and fiduciary activities, and assess the need to revise them in view of the principles to enhance aid effectiveness established in Paris, Accra and Busan. The supervision policy defines supervision and implementation support as two mutually supportive and operationally linked functions.
9. Based on the premise that *implementation, per se, is the responsibility of recipients*, the policy offers the following definitions:
- i) *Supervision* is defined as the administration of loans, for the purposes of the disbursement of the proceeds of the loan and the supervision of the implementation of the project or programme concerned. It ensures compliance with loan covenants, procurement, disbursement and the end use of funds, and is an effective tool for promoting economy, efficiency and good governance; and
  - ii) *Implementation support* focuses on development impact based on assessment of progress against agreed indicators embedded in an effective monitoring and evaluation (M&E) system, joint identification of problems with recipients and implementers, and agreement (with recipients) on suitable actions to achieve the project's development objectives. Where needed, IFAD supports project implementation through specific technical support, policy dialogue, innovations and/or design adjustments to improve effectiveness. Implementation support pays special attention to social and environmental dimensions, including improved targeting and mainstreaming of gender issues with a focus on poor women.
10. **Guiding principles.** The supervision policy is driven by a set of principles: (i) recognition of loan and grant recipients, who are owners and implementers of IFAD-financed projects and programmes, as key partners with shared accountability for outcomes; (ii) adherence to improved management systems, quality standards and accurate reporting, guided by good practices and policies to improve management effectiveness, and M&E; (iii) supervision and implementation support activities set within the context of results-based country programmes, seeking to maximize synergies, opportunities and learning, and to make efficient use of resources; (iv) encouragement of innovation during project implementation; and (v) ongoing learning and knowledge sharing with all stakeholders and building of partnerships with the private sector, civil society and other development partners, for enhanced coverage and reach of supervision and implementation support, and, where appropriate, improved practices for greater development impact. Moreover, recognizing the evaluation findings on the DSPP, IFAD needs to draw on a wider selection of supervising partners.
11. **Supervision modalities.** The supervision policy outlines a series of modalities, to be selected on the basis of national implementation capacity, the size of the country programme, and funding arrangements. The first set of these covers supervision by IFAD and comprises various "blends" of headquarters staff and

<sup>1</sup> The synthesis report is available at: <http://www.ifad.org/gbdocs/eb/ec/e/69/e/EC-2011-69-W-P-6-Rev-1.pdf>.

contracted service providers, including reputable international, regional and national institutions, and local partners. The second modality, supervision by cooperating institutions, is limited to projects in countries with moderate to low implementation capacity and medium- to small-sized country programmes, and to projects initiated by another international financial institution (IFI) for which IFAD provides cofinancing. The supervision policy states that, regardless of the modality selected, IFAD will always be responsible for providing implementation support related to IFAD financing.

### C. Selected conclusions of the synthesis report

12. The following findings in the synthesis report, which will be investigated further and validated by the upcoming CLE, were based on available evidence from independent evaluations (both country programme and project evaluations) and are supported by multiple sources, such as self-evaluation, audits and staff interviews. This evidence seems sufficient to draw the following conclusions:

#### Box 1. Key factors that contribute to effective and ineffective supervision

##### Factors that contribute to effective supervision

- Terms of reference focusing on priorities
- Timing of the mission and adequate field visits
- Full involvement of major stakeholders
- Clear and executable recommendations

##### Factors that contribute to ineffective supervision

- Lack of continuity between missions
- Inconsistency in recommendations
- Lack of ownership of recommendations
- Lack of follow-up

13. **Implementation of the supervision policy.** Overall, IFAD has implemented the supervision policy effectively, according to the synthesis report. Introducing the policy and its implementation plan was ambitious given the complexity and extent of its impact on the Fund as a whole and on PMD in particular. Widespread commitment in PMD was crucial to implementing the policy at a much faster pace than anticipated - although at the time of the CLE on the DSPP, enthusiasm for taking on direct supervision was not shared equally across the department. The rapid pace of the move to direct supervision bears testimony to IFAD's firm commitment to taking on an expanded role in project supervision, and to ownership by CPMs.
14. Initially IFAD gave priority to, and invested time and resources in, building staff capacities on fiduciary issues. For example, Management organized training sessions on procurement and financial management. Overall, however, preparations for implementing this ambitious supervision policy were inadequate, as evidenced by insufficient training provided in non-fiduciary matters, the nine-month delay in preparation of a new supervision manual after the Executive Board decision and, perhaps most importantly, the absence of an IFAD-wide study on disbursement arrangements covering both the Controller and Financial Services Division (CFS) and PMD.
15. The pace of implementation has varied among the five regional divisions. The flexibility introduced by the DSPP experience was useful in the initial stages, as it allowed each division to transition to direct supervision at its own pace. It reflected both flexibility by PMD Management and a recognition of varying degrees of readiness, whether for internal or external reasons. As a result, PMD regional

divisions took different approaches to undertaking supervision in view of regional specificities and the lack of department-wide preparation for implementation. At the same time, the change was mainly PMD-driven, with little interaction with other relevant IFAD departments. Many of the supervision tasks are the sole responsibility of the CPM, which can give rise to workload and conflict of interest issues.

16. This ad hoc approach may have been appropriate at the initial stages of moving to direct supervision. However, in the longer term IFAD should consider drawing on best practices from the different approaches in order to increase harmonization, efficiency, shared responsibilities across IFAD departments and cross-learning, and reduce risk (e.g. by adopting common quality assurance processes).
17. **Contribution to improving development effectiveness.** The positive contributions of direct supervision to enhancing IFAD's development effectiveness are most evident at the project level (e.g. by lowering the number of problem projects and increasing implementation performance levels), where increased implementation support was provided in addition to direct supervision. Generally, in the findings of the synthesis report, direct supervision has not been linked as well as it might have been to support broader priorities beyond the immediate project objectives. IFAD's impact declines as one moves further away from project level to broader objectives such as country programming, knowledge management and policy dialogue, where benefits from the project-level direct supervision are foregone. Knowledge management has been particularly weak across the Fund, although recently at the divisional level some progress has been made.
18. **Balanced use of human resources.** The rapid adoption of direct supervision has created new imbalances affecting IFAD in various areas. The pressure points seem to have been felt mainly at the level of human resources, but potentially also in other areas. As evidenced throughout this review, the shift from cooperating institution supervision to direct supervision has had enormous consequences for CPMs. PMD partially addressed this issue by increasing the number of CPMs. The increase balanced the workload between CPMs and reduced the average workload. However, the issue has not disappeared entirely and pressure remains strong. CPMs have to allocate much more time to management issues, such as delegating new functions to administrative assistants (checking withdrawal applications), consultants (supervision missions) and country office staff (implementation support missions). In addition, the job descriptions for PMD positions have not changed. They are still rather general and lack any indication of priorities among the CPM's tasks.
19. Another move to address the issue of additional workload brought in by the supervision policy has been to transfer responsibilities to country offices and gradually strengthen them. Interestingly, PMD is projecting that the large majority of new staff in the next few years will be in the field. Together with internal discussions on the outposting of CPMs or even regional divisions, it can be said that as a consequence of the new supervision policy, the centre of gravity of IFAD is shifting quite rapidly from headquarters to the field. This change brings with it tremendous opportunities, in terms of enhancing efficiencies and development effectiveness - but also challenges, in terms of revising the organizational structure, job descriptions, and accountability framework.
20. Against this background, there is a need to optimize the division of labour in direct supervision within IFAD and between IFAD headquarters, the country offices and regional and subregional offices. According to the synthesis report, now that implementation of the supervision policy is well under way, CPM resources need to be directed at leveraging the contribution of knowledge gained from projects improved through direct supervision. The aim is to build better country programmes and engage in policy dialogue and partnership building, rather than spending undue time on controls, especially on ex post control of expenditures and disbursements. This would appear to have a high pay-off for the Fund. Thus, a better understanding is needed of the roles, responsibilities and distribution of

labour within PMD (between the CPM, portfolio advisors, programme assistants and country office) and between PMD and CFS. In this regard, IFAD Management has recently taken a number of steps: (i) a President's Bulletin issued in December 2011 provided information on revised IFAD operational procedures and IFAD guidelines on project audits, clarifying, inter alia, internal roles in the project audit cycle; (ii) in early 2012 an information circular was issued on the revised IFAD loan and grant management business model and interdepartmental cooperation framework; and (iii) all financial management staff involved in loan administration have been transferred from PMD to CFS.

#### **D. What do we know from other organizations?**

21. The synthesis report included a preliminary review of reports on supervision prepared by the independent evaluation offices of the African Development Bank (AfDB), Asian Development Bank (ADB), Inter-American Development (IDB) and World Bank. Another report, prepared jointly by the evaluation offices of AfDB and IFAD, covered supervision among other matters. The reports varied in terms of objectives and scope, but all were prepared in response to evaluation needs specific to each IFI, and accordingly were of varying relevance to IFAD.
22. **Lessons from the African Development Bank.** Although most of the criticism of the supervision system contained in the AfDB evaluation report is institution-specific and does not apply to IFAD, two points merit attention. First, an efficient and effective results-based supervision system must be risk-based. Both internal risks over which project teams have direct control and can take corrective action, and external risks that cannot be influenced directly but can be mitigated, need to be taken into account. Second, with supervision gradually shifting from a centralized system to field-based arrangements, there is a need to better integrate supervision instruments and activities, and to better monitor resources expended on supervision on a full-cost accounting basis.
23. **Lessons from the Asian Development Bank.** Although no evaluations exclusively addressing direct supervision have been undertaken, the Independent Evaluation Department (IED) of ADB has conducted a number of evaluations that address direct supervision issues to varying degrees. A general finding from an evaluation study on the project cycle is that project implementation supervision is not given sufficient attention, particularly compared to the emphasis on project preparation. Adequate supervision of ADB projects during the project implementation phase is necessary as it is important in influencing ultimate project success.
24. Another more recent report highlights the shift in thinking about supervision from a separate activity focused on outputs to an activity that is well integrated into project management and focused on improving development effectiveness and learning. This coincides with the move towards results-based management and the need to have much timelier access to information, particularly on higher-level results and impact. The report goes on to link supervision to real-time evaluation and the role of mid-term reviews in generating this type of information. This link to development effectiveness and impact may be something for IFAD to consider. As IFAD has taken on direct supervision it appears that the role and weight of the mid-term review has been reduced. Similarly, IOE has stopped undertaking interim evaluations that provide real-time assessments.
25. **Lessons from the Inter-American Development Bank.** As at the AfDB, IDB's lessons emphasize the need for a sharper focus on risk during supervision. However, more importantly, IFAD may find the broader results from a 2004 evaluation of interest. The evaluation report gives an exceptionally thorough and meticulous evaluation of the bank's supervision system, detailing a range of shortcomings (lack of consistency in missions between projects, completion reports not completed for many projects). According to the evaluation, the objective of supervision is to ensure that Management is fully knowledgeable of the risks involved in IDB's operations. There is a danger that bureaucratic procedures and instruments, if not used properly, may create a sense of certainty about the



performance of the institution. The report distinguishes three levels of risks for the institution in achieving its goals: (i) development effectiveness risks; (ii) operational risks (depending on the ability of clients to implement agreed operations); and (iii) fiduciary risks (procurement, financial, environmental, social, etc.). Risks should be viewed as an integrated whole, meaning that supervision begins when a project is conceived. Project risks need to be identified in order to mitigate them, if they cannot be eliminated. Thus supervision should start much earlier than traditionally defined: indeed, supervision begins with determining whether a project can be carried out. Hence, supervision has developed into a much broader concept than is traditionally the case in IFIs.

26. **Lessons from the World Bank.** No independent evaluation of the World Bank's supervision system has been reported. However ADB assessed to a limited extent the World Bank's supervision in its 2010 Annual Evaluation Review. The Independent Evaluation Group (IEG) of the World Bank has produced other related evaluations that are of interest to IFAD, such as the Annual Reports on Development Effectiveness (ARDE), now known as Results and Performance Reports (RAPs). Additional relevant documents are the Quality Assurance Group (QAG) reports, and the Annual Reports on Portfolio Performance, now discontinued.
27. **ADB findings on World Bank supervision.** Until recently, the World Bank had two routes to carry out M&E of operations during implementation. The first route is conventional project and portfolio reviews to monitor and evaluate projects, programmes and strategies. Recent procedural changes indicate that the World Bank is placing more emphasis on evaluative aspects of project supervision. A move toward results-based management of projects and programmes has triggered the shift. The second route was the QAG, which assessed the quality of project preparation, supervision and analytical work in a more rigorous evaluative framework and reports to World Bank Management.
28. **Project supervision.** The World Bank's old operational directives, while recognizing that interim evaluations could be carried out during implementation, did not necessarily encourage them. The old directives stated, "Supplementary data collection and special studies required for interim evaluations should be kept as simple as possible, and planned to minimize interference with regular project operations". Monitoring and evaluation were considered separate activities, and evaluation was expected to be carried out at the completion of the project. This has evidently changed in recent years as the World Bank has moved toward results-based management of its programmes and projects.
29. New staff instructions for project administration state that "project supervision covers monitoring, evaluative review, reporting, and technical assistance activities to: (a) ascertain whether the borrower is carrying out the project with due diligence to achieve its development objectives in conformity with the legal agreements; (b) identify problems promptly as they arise during implementation and recommend to the borrower ways to resolve them; (c) recommend changes in project concept or design, as appropriate, as the project evolves or circumstances change; (d) identify the key risks to project sustainability and recommend appropriate risk management strategies and actions to the borrower; and (e) prepare the World Bank's Implementation Completion Report to account for the use of Bank resources, and to draw lessons to improve the design of future projects, sector and country strategies, and policies".
30. **Quality Assurance Group.** In 1996 the World Bank created the QAG in response to evaluation findings that one third of its projects were not likely to achieve their intended objectives. The QAG was set up under the managing director of operations to help improve the quality of World Bank operations by assessing the quality-at-entry of lending products, the quality of supervision, and the quality of analytical and advisory activities. Its purpose was to promote operational excellence through better accountability, and enhance learning by (i) providing real-time feedback to staff and management on operational effectiveness; (ii) finding out systemic problems impinging on efficiency; (iii) informing changes in policies, procedures,

and programmes; and (iv) using lessons learned to support training. The QAG was closed after it had achieved its intended objectives. Its functions now fall largely under the umbrella of self-evaluation, or have been assigned to the Operations Policy and Country Services Department, which provides advice and support to the president and managing directors.

31. **IEG findings.** Lessons from the World Bank independent evaluations are of a different nature given that no evaluation of the Bank's supervision system has been reported. However, in recent years IEG has prepared two reports on agriculture<sup>2</sup> which are of potential interest to IFAD in the present context: (i) on the World Bank Group worldwide experience in agriculture and agribusiness, published early this year; and (ii) on the Bank's experience in agriculture in sub-Saharan Africa, published in 2007. Both reports contain only brief sections on the Bank's supervision. The main finding in both reports relates to the World Bank's declining capacity to assist borrowers in the agriculture and rural development areas, from project design to supervision. They conclude that there has been a substantial, if not major, decline in the technical capacity in agriculture in the Bank. The 2011 study, again, concludes that the decline in technical skill was most pronounced in sub-Saharan Africa, and derives from its analysis that staff skills are likely to affect project design and outcome.
32. The reasons behind the decline in technical capacity were multiple, but one merits mention. Discussions with World Bank staff suggested that the decentralization of agriculture staff to the Bank's country offices meant that demand for sector-wide generalists was larger than for specialized technical staff. The upshot of the decentralization thus was that knowledge and experience, which in the past "travelled" across countries (and across regional offices), was now largely circumscribed to one country, and locally recruited agriculture staff benefited only rarely from obtaining experience through working in other countries. Therefore, in cases of moving IFAD staff from headquarters to country offices, it is important that technical staff so far used across countries do not become narrowly circumscribed to one country. It is also recognized that this is not likely to become a major issue at IFAD as long as staff in country offices are recruited locally.

## II. Objectives of the evaluation

33. Building on the preliminary findings of the synthesis report, the CLE's main objectives will be to:
  - (i) Assess the performance and results of the IFAD supervision policy; and
  - (ii) Generate findings and recommendations towards strengthening DSIS activities in the future.

## III. Evaluation approach, methodology and process

### A. Evaluation approach

34. **Coverage period.** The evaluation will focus on IFAD's activities since the introduction of the DSIS, in December 2006, although in order to achieve the evaluation's objectives, projects and approaches to supervision and implementation support before that date may need to be reviewed as well.
35. **Key components of the evaluation.** The CLE will be structured around the following components:
  - **Assessing relevance and effectiveness of the supervision policy.** Among other issues, this will entail assessing: (i) the coherence of the policy's objectives, overall strategy and design logic, the proposed implementation arrangements, accountability framework, resource allocation, monitoring and

<sup>2</sup> Evaluative Lessons from World Bank Group Experience: Growth and Productivity in Agriculture and Agribusiness. IEG World Bank, IFC, MIGA. The World Bank Group, Washington, D.C., 2011, and World Bank Assistance to Agriculture in Sub-Saharan Africa: An IEG Review. The World Bank, Washington, D.C., 2007.

reporting provisions, and the quality of the results framework; and (ii) the extent to which the objectives stated in the policy have been achieved or are likely to be achieved in the near future. The policy's results framework will provide the starting point for the evaluation's effectiveness analysis, even though additional indicators will be defined by the evaluation team in the inception phase.

- **Assessing IFAD's and governments' performance in the implementation of the supervision policy.** This will include a thorough analysis of actions taken by IFAD with the Supervision Guidelines and staff trainings provided so far, and actions taken by governments on agreed actions and recommendations. The evaluation will also assess human and financial resource allocation as well as staff skills and competencies, including the role of CFS, the Office of the General Counsel and the Human Resources Division in supporting the supervision policy.
- **Assessing the contribution of the supervision policy in achieving better results in IFAD and government country programmes.** In addition to the aforementioned, the CLE will also assess the link between DSIS and key elements of the country programmes (e.g. the portfolio composed of loan and grant-funded projects, and the non-lending elements of knowledge management, policy dialogue, partnership building) which contribute to IFAD's overall development effectiveness.
- **Reviewing in depth the experience of other IFIs.** The CLE will review other IFIs' experience to learn from their approaches and experiences in direct supervision and identify good practices that can be applicable to IFAD in the future.

## **B. Methodology and key evaluation questions**

36. A comprehensive **evaluation framework** is presented in appendix 2 with the key evaluation questions that the CLE will address, together with the activities that will be undertaken for collecting data and information to answer these questions.
37. The evaluation will rely on a mix of evaluation tools and methods to achieve its objectives. The main **evaluation tools** will be the following:
  - Meta-evaluation report;
  - Interviews with IFAD Management and staff;
  - Stakeholder surveys (including project managers/directors, CPMs, IFAD country offices staff, consultants);
  - Comparator studies;
  - Country studies;
  - Learning workshop.
38. The preparation of these products will require the following **methods**:
  - Desk review of documents (see appendix 6), including the synthesis report, feedback received from Evaluation Committee members, supervision reports and portfolio review reports;
  - Surveys (using Survey Monkey software) with key stakeholders: project managers/directors, country office staff, country programme managers, portfolio advisors, programme assistants, IFAD staff involved in direct supervision (Policy and Technical Advisory Division, CFS, Office of the General Counsel), recipient governments, implementing partners and consultants;
  - Structured interviews and meetings with IFAD Management and staff;
  - Interactions with members of the core learning partnership and focus group;
  - Focus group discussions with relevant headquarters and IFAD country offices staff;
  - Visits to selected countries having received IFAD assistance;

- Visits to other IFIs.
39. A meta-evaluation will compile information on direct supervision experience from IFAD-supported project, country and corporate-level evaluations. The 2011 synthesis report covered 38 project evaluations and 17 country programme evaluations, in addition to regional portfolio review reports, country strategic opportunities programmes, audit reports and other relevant management documents. Hence, the meta-evaluation will simply update the synthesis report and attempt to discern what the evaluations indicate about the quality of IFAD supervision.
  40. Interviews with IFAD Management. This will allow the evaluation to collect information on the opportunities and difficulties encountered in the broader context of IFAD's institutional development during the period, including the expansion of the portfolio, the build-up of country offices, the increasing prominence given to knowledge management and non-lending services, enhanced efforts at quality assurance, etc.
  41. A set of country studies. The country studies will examine the practical impact and evolution of supervision on the ground to identify good practices for replication. The countries will be selected during the inception phase of the evaluation based on the categories in the supervision policy, which differentiates countries in terms of their capacity and the size of the IFAD programme. Countries will be selected in each of the quadrants, with additional countries in those areas suggested by the direct supervision as the main focus. The sample of countries covered will be representative of the five geographic regions covered by IFAD operations. The draft TORs for the country studies are presented in appendix 8.
  42. A review of comparator organizations. This review will assess how other organizations are organized in terms of inputs (staff and budgetary resources), processes (role and engagement of country offices, role and engagement of counterparts, frequency of missions, use of aide-memoires, follow-up activities) and outcomes (analysis by each agency of the impact on supervision on programme quality, any evaluations they have undertaken, etc.). However, the precise scope of the comparator organization review will be determined during the inception phase. The draft TORs for the comparator studies are presented in appendix 9.
  43. The evaluation's overall methodology will be further developed in the inception report. This report will finalize the conceptual framework (see appendix 7), spell out the details of the methodology and how to analyse CLE's findings on the basis of triangulation, finalize TORs for each assignment, identify ways and means to capture feedback from project beneficiaries, as the ultimate clients of IFAD's work, and spell out the synergies between the ongoing CLE on IFAD's efficiency and the CLE on supervision. Finally, given that a full-fledged results-based evaluation would be quite challenging in view of the limited implementation period of the supervision policy, the inception report will consider the trade-offs between results-based vs. benchmarking assessments in the context of this evaluation.

## C. Process

44. The evaluation will be divided into the following steps:
  - **Synthesis report.** Completed.
  - **Inception phase.** The inception phase will entail the review of the synthesis report, interviews with IFAD Management, the CLE approach paper and other key documents. The inception report will further develop the evaluation methodology contained in the approach paper, and in particular define the objectives and plans for visits to selected developing partner countries and comparator organizations. The inception report will be disseminated to all relevant IFAD staff at headquarters and country offices and if possible, discussed at the workshop with country offices, jointly organized with PMD (to be confirmed). Main deliverable: inception report.

- **Desk review phase.** The desk review phase will include:
  - a. **Meta-evaluation.** Building on the 2011 synthesis report and on the analysis of the 2011 ARRI, which had supervision as a learning theme, the CLE will compile the most recent evidence on the quality of supervision and implementation support in IFAD-financed project, country and corporate-level evaluations. Main deliverable: meta-evaluation report.
  - b. **Staff interviews and stakeholder surveys.** The analysis will then be supplemented by discussions – bilateral interviews and focus group discussions – with staff at IFAD headquarters in Rome and IFAD country offices. Stakeholder surveys will collect the perspectives and comments of different partners. Interviews will be conducted with selected Board members also. Main deliverables: staff interviews and stakeholder surveys.
  - c. **Comparator studies.** Connecting the desk review and country studies, a number of comparator multilateral institutions will be visited, both at headquarters and, during country visits, at their country offices, following desk reviews and data/information gathering in Rome and the formulation of preliminary findings. The comparable organizations to be covered include AfDB, the European Bank for Reconstruction and Development, ADB, IDB and the World Bank. Main deliverable: comparator study report. The feasibility to “upgrade” the comparator studies to benchmarking studies and to increase, to the extent possible, the number of comparator institutions will be explored during the preparation of the inception report.
- **Main phase - Country studies.** Ten country visits will be undertaken, averaging two in each geographic region covered by IFAD operations. The countries will be selected in consultation with PMD to include both effective or innovative experiences and unsuccessful ones. The main objective of the country studies will be to validate the findings and hypothesis from the desk review phase as well as to listen to the voice of partners at the country level and capture their feedback and suggestions. To this end, during country visits, meetings will be held with governments, implementing partners, representatives from comparable organizations (see below), IFAD country offices (if any) and project directors. Main deliverable: individual country studies.
- **Final report writing and communication.** IOE will deliver PowerPoint presentations to IFAD Management and staff on the emerging evaluation findings. The full draft report will incorporate their comments and will be shared with IFAD Management for review and comments. IOE will prepare an audit trail, which will clearly illustrate how Management’s comments have been addressed in the final report. Comments will be addressed in line with the provisions contained in the IFAD Evaluation Policy.<sup>3</sup> The draft report will be discussed at a **learning workshop**, attended by staff from IFAD headquarters and IFAD country office. All IFIs covered by the comparator studies will also be invited. In order to solicit additional feedback from project directors, the IOE/CLE team will also participate in the regional implementation workshops organized by various regional divisions during this period. Based on these discussions, IOE will finalize the CLE report. A written Management response will be prepared, as per normal practice for all CLEs. IOE will be responsible for the overall evaluation process, for the contents of the final report, and for all other deliverables produced during the evaluation, in accordance with the Evaluation Policy. Main deliverables: learning workshop and final CLE report.

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<sup>3</sup> “IOE will decide which comments should be incorporated in the revised (final) report. As a general rule: (i) the draft report will be revised to incorporate comments that correct factual errors or inaccuracies; (ii) it may also incorporate, by means of a note in the report, judgments that differ from those of the evaluation team; and (iii) comments not incorporated in the final evaluation report may be provided separately and included as an appendix to the report”.

## IV. Core learning partnership and focus group

45. The role of the core learning partnership (CLP) is to provide guidance to the evaluation process and review key evaluation deliverables. In particular, at the start of the evaluation, CLP members will review the draft approach paper and will be requested to support the CLE with information sources. Subsequently, the CLP will meet twice to review and discuss the inception report and the draft final report. CLP's comments will be considered in the finalization of the respective documents.
46. In light of the evaluation's objectives, the CLP will include the following members, and the possibility of including government representation will be explored:

- Associate Vice President, Programmes, PMD
- Chief Development Strategist, SKM
- Director, IOE
- Directors, IFAD regional divisions and PTA
- Director, Office of the General Counsel
- Director, CFS
- Director, Human Resources Division
- Director OPV
- Deputy Director, IOE
- Senior Portfolio Manager, PMD
- Lead Evaluator for DSIS Evaluation, IOE
- Representative of IFAD's Quality Assurance Group

47. Close interaction with PMD will be sought throughout the evaluation process. The role of the focus group will be to act as sounding board and interact regularly throughout the CLE process. IOE will organize a series of focus group discussions in the form of formal meetings and/or webinars, on selected topics being examined by the evaluation, as a means to capture the opinions of concerned staff. IOE will invite 15 staff (representing CPMs, portfolio advisers and country office staff) from all five regional divisions to become member of the focus group.

## V. Evaluation team

48. The designated lead evaluator for this CLE is Mattia Prayer Galletti, Senior Evaluation Officer, IOE. Selected other IOE evaluation officers and research assistants will support the CLE activities through peer review activities.
49. The consultants' team will be led by Mr Basil Kavalsky (Economist) and will include expertise in supervision, implementation support and loan administration, project and financial management, budget, and operational processes. In addition, IOE will mobilize one or two senior independent advisers for a limited duration to provide inputs on critical issues at any point during the evaluation process. The advisers will prepare a short written report on the quality of the evaluation process and its contents.

## VI. Communication and dissemination

50. In order to ensure maximum ownership among all stakeholders, the CLE process will be as inclusive as possible, with a constant flow of communication on progress being made. As previously mentioned, the synthesis report was discussed at an in-house workshop, well attended by IFAD staff and CPMs, and was sent for comments to all IFAD country offices. Feedback was shared and used in the preparation of the approach paper.
51. Likewise, during the process of the CLE there will be constant interactions with main stakeholders, to understand their needs and address their concerns. The main instruments will be: i) the stakeholder surveys; ii) the meetings and webinars of the focus group; iii) regional portfolio implementation workshops; and iv) the final learning workshop in Rome. In particular, the focus group will meet to review the

approach paper/inception report, and the draft CLE report. Whenever possible, IOE will participate in the regional portfolio implementation workshop to present and discuss the preliminary findings with all project directors, CPMs and IFAD country office staff. The learning workshop will be held in October or November.

52. In addition, in order to enhance the CLE's impact, its findings and conclusions will be disseminated to a targeted audience. The report will be distributed in electronic form to members of the IFAD Management and staff, Executive Board members, IFIs, United Nations agencies and other development partners. The main report will be around 50 pages long, and hard copies will be made available upon request. As per usual practice, the executive summary, the evaluation profile and the evaluation insights will be produced and distributed more widely both within and outside IFAD.<sup>4</sup>
53. Finally, all outputs will also be made available to the public at large through the dedicated web page to be created under the IOE section of the Fund's corporate website.

## VII. Evaluation road map

54. The following is a provisional time frame for the evaluation (a more detailed timetable is presented in appendix 10):

### Proposed Evaluation Road Map

<u>Date</u>	<u>Activities</u>
16 September 2011	IFAD workshop on 2011 ARRI learning theme
7 October 2011	Submission to the Evaluation Committee of the synthesis report
January 2012	Revise and finalize draft approach paper
February- mid April	Preparation phase: <ul style="list-style-type: none"> <li>• Desk review</li> <li>• Interviews and focus group meetings</li> <li>• Inception report</li> </ul>
2 April	Discussion with the Evaluation Committee on the approach paper
Mid-April to June	Main phase: <ul style="list-style-type: none"> <li>• Country studies</li> <li>• Comparator studies</li> </ul>
July	Report writing: <ul style="list-style-type: none"> <li>• PowerPoint presentation to IFAD Management</li> <li>• IOE internal peer review process</li> </ul>
September	Submission of draft evaluation report to IFAD Management
October-November	Learning workshop with key stakeholders
December	Report finalization and preparation of IFAD Management response
Date to be determined 2013	Discussion of final report in the Evaluation Committee together with IFAD Management response
April 2013	Discussion of final report in the Executive Board together with IFAD Management response

<sup>4</sup> The profile will contain a succinct summary of the evaluation's findings and recommendations, whereas the Insight will focus on one learning theme emerging from the evaluation, with the aim of promoting debate among development practitioners, policy-makers and others on the topic.

## Results framework

Narrative summary	Key performance indicators
<p>Goal</p> <p>New supervision and implementation support policy mainstreamed in IFAD's operating model</p>	<p>Impact and quality of projects and country programmes improved as a result of better supervision and implementation support</p> <ul style="list-style-type: none"> <li>• Policy adopted by IFAD (December 2006)</li> <li>• Operational guidelines for supervision and implementation support finalized and mainstreamed in regional divisions (May 2007)</li> <li>• Results-based COSOP includes assessment of supervision performance and proposed strategy for country programme supervision (May 2007)</li> <li>• Description of supervision modalities included in project design document as a mandatory requirement (May 2007)</li> </ul>
<p>Capacity of IFAD to ensure proper supervision and implementation support is improved</p>	<ul style="list-style-type: none"> <li>• Policy for supervision and implementation support and operational guidelines disseminated to staff, partners, cooperating institutions and consultants (June 2007)</li> <li>• Enhanced agreements with cooperating institutions designed and approved (June 2007)</li> <li>• Framework for selection and evaluation of performance of national/regional partners designed and approved (June 2007)</li> <li>• Needs-based capacity-building training modules on supervision and implementation support for IFAD staff, country partners, cooperating institutions and national/regional partners developed and executed (from June 2007)</li> </ul>
<p>Efficiency and effectiveness of supervision and implementation support monitored through strengthened quality enhancement and quality assurance systems</p>	<ul style="list-style-type: none"> <li>• Quality of supervision and implementation support reported in annual country programme review (April 2007)</li> <li>• Under the Action Plan, quality assurance system established with indicators for supervision and implementation support to undertake at regular intervals independent assessment of quality of supervision (December 2007)</li> <li>• Relevance of projects maintained at a minimum level of 60 per cent with high, and 40 per cent with substantial ratings</li> <li>• Raising project effectiveness from baseline rating of 66 per cent (Independent External Evaluation) to 75 per cent by December 2008 and to 80 per cent by 2009</li> <li>• Raising the high and substantial level of project efficiency from 45 per cent to a minimum of 60 per cent by 2009</li> </ul>



	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
1. <i>Assessing relevance and effectiveness of the December 2006 IFAD Policy on Supervision and Implementation Support</i>	<p><i>Has the supervision policy:</i></p> <ul style="list-style-type: none"> <li>• <i>Clearly stated its intended objectives, guiding principles and proposed approach?</i></li> <li>• <i>Adequately identified costs and benefits?</i></li> <li>• <i>Correctly identified the workload/resource implications, human and financial?</i></li> <li>• <i>Properly identified the risks and mitigating measures required for its successful implementation?</i></li> <li>• <i>Clearly defined the accountability framework?</i></li> <li>• <i>Provided enough flexibility to respond to different country programme requirements?</i></li> <li>• <i>How efficient is the supervision and portfolio management process? (from CLE on efficiency)</i></li> <li>• <i>Does IFAD have adequate expertise, procedures and systems for loan administration to ensure efficiency and timeliness in processing of withdrawal applications? (from CLE on efficiency)</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Review selected IFAD policies and guidelines as well as key country strategy and project documents</i></li> <li>• <i>Interviews with IFAD Management and staff, Evaluation Committee and selected Board members</i></li> <li>• <i>Stakeholders' surveys</i></li> <li>• <i>Desk review of policies on supervision of other IFIs and follow-up discussions</i></li> </ul>
2. <i>Assessing IFAD's and GOVs' performance in the implementation of the Policy</i>	<p><i>Has the supervision policy been implemented in accordance with:</i></p> <ul style="list-style-type: none"> <li>• <i>Its guiding principles? Namely:</i> <ul style="list-style-type: none"> <li>○ <i>Recognition of loan and grant recipients as key partners with shared accountability for outcomes;</i></li> <li>○ <i>Adherence to improved management systems, quality standards and accurate reporting;</i></li> <li>○ <i>Seeking to maximize synergies, opportunities and learning and to make efficient use of resources;</i></li> <li>○ <i>Encourage innovations;</i></li> <li>○ <i>Enhance learning and sharing of knowledge and partnerships with private sector, civil society and other development partners.</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <i>Desk review of relevant documents</i></li> <li>• <i>Stakeholders' surveys</i></li> <li>• <i>Review of findings of CLE on IFAD's efficiency</i></li> <li>• <i>Analysis of budget and expenditure</i></li> </ul>

	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
	<ul style="list-style-type: none"> <li>• <i>The criteria for selection of the supervision modality?</i></li> <li>• <i>Its proposed timeframe?</i></li> <li>• <i>Appropriate quality standards, across the regions?</i></li> </ul> <p><i>What have been the workload implications on:</i></p> <ol style="list-style-type: none"> <li>a. <i>CPMs;</i></li> <li>b. <i>Programme assistants;</i></li> <li>c. <i>Country office staff.</i></li> </ol> <ul style="list-style-type: none"> <li>• <i>Has IFAD developed appropriately staff capacities, competencies and skills, including country office staff and a pool of experienced consultants?</i></li> <li>• <i>Do job descriptions of PMD staff and country office staff, need to be revised?</i></li> <li>• <i>Have the two functions of supervision and implementation support been well integrated?</i></li> <li>• <i>Have adequate provisions for quality enhancement/quality assurance been made?</i></li> <li>• <i>What does it take to have a good supervision and how to assess supervision quality?</i></li> <li>• <i>Are knowledge management systems adequate to promote cross-learning and to institutionalize it?</i></li> <li>• <i>Do GOVs devote the necessary attention to monitoring the implementation of supervision, mid-term review and evaluation recommendations?</i></li> </ul>	
3. <i>Assessing the contribution of the Policy in achieving better results in IFAD/GOVs country programmes</i>	<p><i>Has the supervision policy:</i></p> <ol style="list-style-type: none"> <li>1. <i>Enhanced the quality of IFAD's portfolio, in terms of:</i> <ul style="list-style-type: none"> <li>○ <i>ARRI/RIDE ratings</i></li> <li>○ <i>Capacity to identify implementation</i></li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>• <i>Country visits: feedback from government's counterparts, implementing partners and project staff</i></li> <li>• <i>Interviews with IFAD Management and staff as well as representatives of Member States</i></li> </ul>

	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
	<p style="text-align: center;"><i>bottlenecks</i></p> <ul style="list-style-type: none"> <li>○ <i>Timely action on recommendations/agreed actions</i></li> <li>○ <i>Increased loan disbursements</i></li> <li>○ <i>Timely processing of Withdrawal Applications</i></li> <li>○ <i>Timeliness of audit reports</i></li> <li>○ <i>Effective response to fiduciary observations</i></li> <li>○ <i>Allowed IFAD a more active portfolio management, in terms of:</i> <ul style="list-style-type: none"> <li>▪ <i>Timely loan amendments;</i></li> <li>▪ <i>Timely loan suspensions;</i></li> <li>▪ <i>Timely loan cancellations</i></li> </ul> </li> <li>• <i>Allowed a deeper understanding of national systems and provided a learning loop to improve project design?</i></li> <li>• <i>Changed IFAD's operating model?</i></li> <li>• <i>Enhanced the efficiency of IFAD? (drawing from the ongoing CLE on IFAD's efficiency)</i></li> <li>• <i>Enabled IFAD to enhance its institutional knowledge, at headquarters and country offices level?</i></li> </ul>	

	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
	<p>2. <i>Enhanced the quality of IFAD/GOVs country programs in terms of:</i></p> <ol style="list-style-type: none"> <li>a. <i>Enhanced impact;</i></li> <li>b. <i>Knowledge management (learning and sharing of knowledge);</i></li> <li>c. <i>Policy dialogue with key stakeholders;</i></li> <li>d. <i>Partnership development with national/international institutions;</i></li> <li>e. <i>Better scouting and support of innovations;</i></li> <li>f. <i>Scaling up and/or introduction of successful elements in national development programmes;</i></li> <li>g. <i>Sustainability</i></li> <li>h. <i>Enhanced reporting on results</i></li> </ol> <p>3. <i>Strengthened the partnership between IFAD and the governments?</i></p>	<ul style="list-style-type: none"> <li>• <i>Interviews with IFAD Management and staff as well as Evaluation Committee and selected Board members</i></li> <li>• <i>Country visits: feedback from government's counterparts, implementing partners and project authorities</i></li> </ul>
4. <i>Review of experience of other IFIs</i>	<ul style="list-style-type: none"> <li>• <i>How other IFIs have institutionalized supervision arrangements?</i></li> <li>• <i>How many resources they have allocated?</i></li> <li>• <i>What is the delegation of authority to their country offices?</i></li> <li>• <i>What have they learned about what does and does not work?</i></li> <li>• <i>What are their good practices?</i></li> <li>• <i>Can their work be benchmarked for CLE purposes? If so:</i></li> <li>• <i>How does the IFAD supervision policy compare with those of other similar organizations? Key performance indicators include:</i> <ul style="list-style-type: none"> <li>○ <i>Cost and time per direct supervision</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <i>Gathering and analysis of data on supervision and implementation support from other IFIs (e.g., African Development Bank, Asian Development Bank, Inter-American Development Bank, and World Bank)</i></li> <li>• <i>Benchmarking vs. comparator organizations</i></li> </ul>

	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
	<ul style="list-style-type: none"> <li>○ <i>Output/staff (at headquarters and country offices)</i></li> </ul>	
5. <i>Review of internal business processes</i>	<ul style="list-style-type: none"> <li>• <i>How adequate and coordinated are the current business processes, (information technology, human resources, loan administration, communication) to support the implementation of the supervision policy?</i></li> <li>• <i>How effective is the quality assurance process?</i></li> <li>• <i>How adequate are disbursement, audit, and prior-review on procurement processes?</i></li> <li>• <i>How efficient are the processes for contracting and payment of services to partners involved in project execution?</i></li> <li>• <i>How efficient and effective are the current control systems?</i></li> <li>• <i>Do internal business processes adequately support a decentralization of operations to country offices?</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Interviews with IFAD Management and staff</i></li> </ul>
6. <i>Review accountability framework</i>	<ul style="list-style-type: none"> <li>• <i>Who is accountable for project performance?</i></li> <li>• <i>How clear is the distinction of responsibility between IFAD and government, (in particular, where there are multiple levels of government administrations involved)?</i></li> <li>• <i>How clear is the accountability of both IFAD and GOVs towards the ultimate clients, i.e. the rural poor?</i></li> <li>• <i>How to improve the effectiveness of loan agreements?</i></li> <li>• <i>Where cofinancing is involved, how to define shared responsibilities?</i></li> <li>• <i>What are the specific responsibilities of IFAD, its CPMs, its country office staff, and its consultants?</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Interviews with IFAD Management and staff as well as Evaluation Committee and selected Board members</i></li> <li>• <i>Interviews with cofinanciers and consultants</i></li> <li>• <i>Stakeholders' surveys</i></li> </ul>

	<b><u>EVALUATION FRAMEWORK</u></b>	
<b>Components</b>	<b>Key Evaluation Questions</b>	<b>Key Activities</b>
	<ul style="list-style-type: none"> <li>• <i>Is there a need for a revised accountability framework for IFAD staff?</i></li> <li>• <i>Is there a potential conflict of interest:</i> <ul style="list-style-type: none"> <li>a. <i>For CPMs, responsible to indicate project status report ratings, relevant for the performance-based - allocation system (PBAS), and their performance evaluation?</i></li> <li>b. <i>For IFAD country offices staff and/or consultants in providing implementation support and supervision?</i></li> </ul> </li> </ul>	
7. <i>Conclusions and recommendations</i>	<ul style="list-style-type: none"> <li>• <i>What are the emerging good practices that could be mainstreamed?</i></li> <li>• <i>What bad practices can be eliminated or rectified?</i></li> </ul> <p><i>In order to enhance IFAD's development effectiveness, is there a need to revise the:</i></p> <ul style="list-style-type: none"> <li>• <i>IFAD supervision policy?</i></li> <li>• <i>IFAD guidelines for direct supervision?</i></li> <li>• <i>IFAD's business processes, including:</i> <ul style="list-style-type: none"> <li>○ <i>Quality assurances</i></li> <li>○ <i>Cross learning and knowledge management</i></li> <li>○ <i>Cofinancing modality</i></li> </ul> </li> <li>• <i>Training and capacity building activities</i></li> <li>• <i>IFAD's organizational structure?</i></li> <li>• <i>IFAD country offices' role in project design, supervision and implementation support</i></li> <li>• <i>Accountability framework?</i></li> <li>• <i>Rating system?</i></li> <li>• <i>Mitigation of operational and fiduciary risks?</i></li> </ul>	

## **Learning Event: Synthesis Report on Direct Supervision and Implementation Support**

**16 September 2011**

Main issues arising from the discussion include the following:

1. **Definition/concept.** What is supervision and what does it include (i.e. not just fiduciary but also other aspects)? What does it require to have a good supervision mission? How to assess the supervision quality? How binding is the aide-mémoire? What is the devolution of power to the mission leader to take decisions on fiduciary aspects? What about the prior review process of procurement, which is currently not covered in the supervision report but is a very important area? How far can we go in providing implementation support given our constraints in terms of time, expertise and resources?
2. **Quality of direct supervision.** The quality of supervision has gone up in recent years for many reasons, one of that is the internal peer review process (for example, in the Asia and the Pacific Division, all supervision reports are peer reviewed). There is also pressure to ensure good quality of supervision reports, given the upcoming disclosure policy.
3. **Results.** Direct supervision has good impact on project design and performance. The current evaluation synthesis focuses on the achievement at project level, but direct supervision also has an enormous impact at country programme level, making the whole programme more coherent. At the same time, the challenges in measuring results, including weak M&E, lack of impact and baseline surveys are also raised by some participants. The issue is how can direct supervision support managing for impact? Another limitation is related to the fact that there are a number of chronic problem projects which continue to exist, years after years despite the supervision recommendation for closure (in some cases due to political reasons).
4. **Incentive.** When undertaking direct supervision, there is no incentive to be honest, or to expose the problems, because the results reported in PSRs are linked to PBAS allocations, and also we tend to just look at problems projects , or projects at risk.
5. **Budget constraints.** IFAD is committing around 20% increase in its programme of work next year, yet the budget is at zero real growth. At the same time, many evaluations revealed that the CPMs need to invest more time and resources in non-lending activities such as policy dialogue, knowledge management and partnership building. The issue therefore is how to organize direct supervision and implementation support in such a way that more can be done with less.
6. **Work load.** Direct supervision requires enormous workload from PMD. The evaluation on the direct supervision pilot programme done some years ago concluded that in order to undertake direct supervision (and in that pilot programme, direct supervision included only the technical aspect, not the fiduciary aspects as the current situation), IFAD would need to double the number of CPMs. The issue of work load leads to the question about how the CPMs can prioritise the tasks they are expected to do.
7. **Learning and knowledge management.** There is no effective knowledge sharing mechanism in IFAD, even between the CPMs. Knowledge gained from a project

hence is still kept within the region. We should have a better mechanism to use the learning gained from direct supervision. Currently there is also no incentive for knowledge sharing. A CPM can participate in a supervision mission of another project in another country, but this does not happen very often due to time and budget constraints. It would be interesting to see how the portfolio review process could feed into the corporate learning processes of IFAD.

8. **Partnership.** Partnership is considered an important issue. IFAD should try to move more from the type of "police" supervision (which could be the case when supervising the fiduciary aspects) to partnership. Direct supervision is a good opportunity for undertaking this move.
9. **Roles of different actors.** It is important to identify clearly what are the roles of different actors in supervision (IFAD [and within IFAD the roles of CPMs, PTA and CFS]; government; cofinanciers, etc.). For example, there are grey areas of responsibility between government and IFAD (i.e. IFAD can provide no objection, not approval).
10. **The unit of account now has moved from the project to country programme level,** hence there is a need to see how the supervision of country strategic opportunities programmes can be organized in the future. One suggestion is to organize supervision mission according to themes, not according to projects. Another suggestion is to organize a big supervision mission covering a few different projects, not just one project. This can also enhance efficiency and cost effectiveness.
11. **Use of existing resources.** We need to make better use of in-house resources (PTA, CFS), as well as existing tools, such as the national implementation workshop, or the template of the aide-mémoire to enhance direct supervision. The new upcoming loans and grants system can provide a good opportunity thanks to the computerised system.
12. Is there a conflict of interest if the CPMs directly supervise their own projects? There are also the risks of CPMs to be too much involved in the management of the project.
13. It is important to provide continuous, real time implementation support. In this regard, we need to determine to what extent direct supervision and implementation support can be done from Rome, and when this has to be done by country presence to ensure sustainability. There are different models for regional and sub-regional offices. We need to find a way to make best use of the country office to support direct supervision. The use of more local consultants should also be considered.



## Feedback on the Synthesis Report and Preparation of the CLEs TORs

### Country Offices' Perspectives – A Summary

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
1	Relevance and effectiveness of the supervision policy	Adaptation/amendment of the policy based on the experience of implementation gained so far. Specify role of country programme officers (CPOs) and their training needs within the policy.	Kenya, Sri Lanka/ Maldives
2	IFAD's performance in the implementation of the supervision policy	Analysis of the evolution of the role and image of IFAD vis a vis borrowers through the implementation of the supervision policy.	India, Zambia
		Assess whether supervision missions' recommendations are implemented and review enforcement framework for supervision missions' recommendations - they are not seen as legally binding by the government. Identify the best way to ensure that project staff implements mission's recommendations. Assess the opportunity of introducing clauses in financial agreements which mention that supervision missions' recommendations are legally binding for the government.	Nigeria, India, Ecuador
		Assess effectiveness of implementation support delivery. Assess effectiveness and continuity of follow-up activities and value addition of these in terms of aid effectiveness	Sri Lanka/ Maldives
		Review operational guidelines and ensure they include provisions for projects which are specific to the different stages of implementation (such as start-up, mid-term or nearing completion).	Sri Lanka/ Maldives
3	Supervision arrangements	Review supervision missions' composition, quality and cost efficiency.	India, China
		Assess the appropriateness of building local capacities when technical support is provided within the context of the supervision policy.	Tanzania
		Assess quality of government stakeholders' participation in supervision missions	India, China, Sri Lanka/ Maldives, Tanzania, Zambia
		Assess the role of country offices in missions' coordination and in following up on implementation of mission's recommendations. Assess adequacy of level of delegation of authority from headquarters to the field.	India, Pakistan
		Assess the opportunity presented by establishing local follow up mission teams (not the country office)	Haiti
		Assess the opportunity presented by appointing a supervision mission leader for all supervision	Bolivia

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
		missions of IFAD in the country.	
		Asses the opportunity of organizing an annual workshop where all supervision mission findings are shared within the country with all projects and their stakeholders	Bolivia
		Assess the cost effectiveness gained by organizing one direct supervision mission for all IFAD projects in one country instead of multiple ones – one for each project.	Rwanda
		Assess level of inclusiveness of supervision processes (project staff from other areas of the country should participate too; government and project management units' opinions should be fully taken into account).	Tanzania, Zambia, China
		Assess the opportunity presented by including private-sector organizations and other specialized development partners (including CBOs/CSOs and NGOs) in supervision processes.	Haiti, Nigeria, Viet Nam
		Assess how to best address fiduciary aspects within direct supervision.	Viet Nam
		Review the role of country offices in implementation support – mix of available expertise within the country office and level of delegation of authority; expectations of government partners.	India, Pakistan, Sri Lanka/ Maldives
4	Implementation support arrangements	Identify a definition of implementation support: should it be considered a continuous process which cannot be treated as a supervision mission? When should implementation support be responsive and when proactive? In which area? When is implementation support too much or too little?	Tanzania, Zambia, Ecuador, India
		Assess the relation between implementation support and the political context of the project – the first should be modulated on the basis of the second.	Tanzania
		Review the intensity of interaction between projects (project management units) and country offices, as well as the scope of implementation support (need for boundaries and to avoid engendering projects' dependence on IFAD's support, or sense of diminished autonomy or of IFAD's micromanaging projects).	India, China, Ethiopia, Haiti, Sudan, Ecuador
		Assess whose responsibility is it to identify and mobilize technical support required by projects – at project start up and during implementation.	India

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
		Review the role and composition of the headquarter and country-based CPMs in direct supervision and their interaction with/inclusion in the list of country stakeholders.	China, Nigeria, Rwanda
		Review frequency and team composition of implementation support missions; formal reporting requirements (does it have to be a full supervision report or would a leaner aide memoire, probably with a table on the agreed action plan suffice?).	Kenya, Mozambique
		Assess how to promote cost effectiveness within the implementation support context: there could be advantages to organizing one implementation support mission for all IFAD projects in one country instead of multiple ones – one for each project.	Rwanda
		Assess the inverse correlation between project management units' capacities and implementation support needs (available capacities' sets depend on borrowers' project staff recruitment/appointment processes). Assess the impact of direct supervision on enhancing the transparency of borrower's recruitment/appointment processes.	Nigeria
		Analyse the adequacy of implementation support to project needs (is it "IFAD or project-centric?") and the quality of training provided, if any.	Sri Lanka/ Maldives
5	Division of labour and responsibilities between headquarters and country offices	Review current roles and workloads particularly of CPMs and CPOs as related to direct supervision under the various arrangements (presence of an out-posted CPM at the country office, availability of a regional office, loan administration undertaken in the field or at headquarters, etc.) and identify best practices.	China, India, Haiti, Kenya, Mozambique, Nigeria, Sri Lanka/ Maldives, Zambia
		Review the current balance in the level of the delegation of authority and the number and capacity of cost staff.	Haiti, Nigeria, Sri Lanka /Maldives, Zambia
		Explore the areas in which headquarters can support country offices (financial management, human resources management, etc.)	Viet Nam
		Review country offices' budget availability for implementation support (with more implementation support the project requires less supervision). Assess the appropriateness of allocating a "buffer" budget for country offices to flexibly and promptly meet emerging project/portfolio needs without requiring ad hoc, discrete allocations by regional divisions.	India, China, Mozambique, Pakistan, Zambia

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
		Review adequacy of implementation support budget for key project implementation requirements such as tackling fiduciary and M&E issues.	Sri Lanka/ Maldives
		Identify minimum staffing requirements for a well-functioning country office.	India, China, Mozambique, Pakistan, Viet Nam
6	Human and financial resources allocated to direct supervision and implementation support	Review the effectiveness of CPM's management of the country programme and the budget: choice of consultants and country offices' staff (fee rates and types of contracts), choice of design and supervision strategy, choice of hiring consultants retained to provide technical support across projects, budget reallocation - among projects (reallocation at country programme level) and countries (reallocation at division level).	Kenya, Viet Nam
7	Training received for direct supervision and implementation support	Assess the need to train consultants also on supervision requirements.	India
		Assess the possibility of allowing country offices/Project Directors to supervise other countries' projects as a learning experience and to support cross-fertilization.	China, Tanzania, Sri Lanka /Maldives
		Assess duration, topics coverage and continuity of training in direct supervision and implementation support when provided and what is required. Assess the need for continuous and expanded training for new and old country offices staff including on supervision quality, procurement, and monitoring of disbursements.	Kenya, Nigeria, Tanzania, Zambia, Sri Lanka/ Maldives Rwanda, Sudan
		Consider the appropriateness of training country offices staff in documentation of knowledge and lessons learned.	Zambia
		Consider the appropriateness of organizing periodic meetings on lessons learnt and experience sharing among the staff involved in direct supervision and implementation support.	Pakistan
8	Quality assurance of supervision (if applicable)	Review clarity of quality assurance procedures relating to the quality of supervision missions (country offices need to receive feedback from PDs on mission's quality too.)	India
		Review scope of current quality assurance systems. Develop a standard one and introduce it, particularly where not available	Kenya, Sudan, Zambia
		Consider the appropriateness of including government experts in the review of draft supervision reports within the current quality assurance process.	Nigeria
		Assess level of subjectivity and relevance (for borrowers) of PSR rating: does it capture regional variations in project performance? Can PSRs be used to increase accountability of borrowers for results?	China, Sri Lanka/ Maldives

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
		Assess whether the quality assurance system in place in the Asia and the Pacific Division should be replicated.	Pakistan, Sri Lanka/ Maldives
		Assess the opportunity presented by a historical analysis of direct supervision reports for one country and the production of recommendations specific to that country to tackle recurring issues.	Sri Lanka/ Maldives
9	Impact of direct supervision and implementation support on: - project performance and portfolio quality; - policy dialogue; - partnerships' development; - scaling up; - project sustainability; - managing and sharing knowledge; - projects' cross-fertilization; and - design amelioration	Realistically assess the impact of direct supervision and implementation support on these areas only within this scope. Lack of performance in certain areas or of certain projects, in some countries, due to political reasons, should not be taken into consideration by the CLE.	India, Sri Lanka/ Maldives, Haiti, Nigeria
		In attributing impact, there should be a differentiation between the input provided through supervision activities and that provided through implementation support. Certain achievements were possible only thanks to field presence arrangements. The level of overall impact depends also on the level of delegation of authority from headquarters to the field. Assess the need for some standardization in the definition of roles and responsibilities.	India, Pakistan
		Assess the opportunity presented by conducting design and supervision missions together.	Haiti
		Assess the importance of governments/projects sense of ownership of supervision recommendations/these priority areas for overall impact.	Haiti
		Assess impact through innovation (e. g. 2009 report on Innovation Mainstreaming Initiative grant on country programme supervision in Tanzania).	Kenya
		Assess the level of underreporting of project's successes as documentation of impact is often lacking. Assess the need for systematic collection and sharing of knowledge across country programmes and eliminate reliance of institutional memory on CPMs and CPOs primarily.	Nigeria, Pakistan, Zambia
		Assess the level of leverage within the policy dialogue context that the country office has gained through direct supervision and implementation support.	Tanzania
		Assess impact of moving Withdrawal Applications' processing responsibility from headquarters to country offices.	Nigeria
10	Institutional and individual accountability	Provide clarity in terms of IFAD's accountability: who is IFAD accountable to and against what parameters?	India, Zambia
		Provide clarity on the respective roles of country offices' staff and consultants vis a vis projects.	India
		Provide clarity on accountability of borrowers and IFAD in terms of project performance.	India
		Provide clarity on the accountability framework of the various departments within IFAD in the direct supervision and implementation support context	Mozambique

No.	Topics of Synthesis Report	Issues/ Comments for CLE	Country
11	Best practices in direct supervision and implementation support to be assessed by the CLE	Gather knowledge about current processes of documentation of best practices such as the creation of a central communication platform by ongoing programmes in Nigeria to share information and best practices from IFAD with the public.	India, Nigeria
		Gather knowledge on: (i) how to effectively involve host ministries in direct supervision and implementation support as part of building their capacity as well as how to strengthen their ownership of this process and outcome and (ii) how to ensure that supervision mission's findings are clearly linked to recommendations and action plans.	Zambia
		Identify best practices which enable attribution of impact on the areas listed under point 9 to direct supervision and implementation support.	Viet Nam
		Learn about the impact of direct supervision and implementation support on, and best practices of, national capacity building and enhancing accountability of the borrower for projects' performance.	China
		Assess the appropriateness of establishing local follow up mission teams (not the country office) as an arrangement created to provide continuity of supervision and to support implementation of recommendations by projects, under the supervision of the country office.	Haiti
		Assess the opportunity presented by using in-country development partners and private-sector organizations to help projects be more effective on the ground.	Haiti, Nigeria, Zambia
		Assess the cross-fertilization opportunity presented by allowing participation of country office staff of a country in the supervision and design activities of another.	Pakistan
		Assess the following best practices: use of peer reviews in quality assurance; organization of joint missions (IFAD/government) with agreements reached at field level before wrap up meetings take place and increased in-country activities – negotiations, video conference reviews of design etc.	Kenya
12	Any other topic or issue you would like the CLE to address	Assess pros and cons of hiring (i) the same consultants for both design and supervision of the same project; (ii) the same consultants for the supervision of a project throughout its implementation. Assess whether consultants should be changed or whether there should be a mix of new and old consultants after a certain period of time such as midterm. Assess the trade-off between continuity of support and potential conflict of interest.	Mozambique, Pakistan
		Establish a flexible framework for country portfolio review.	Sri Lanka/ Maldives
		Assess the appropriateness of establishing decentralized responsibilities for loan administration and financial management.	Viet Nam

## **Proposed Table of Contents**

Abbreviations and Acronyms

Map

Foreword

Executive Summary

Agreement at Completion Point

1. Background
2. The Evaluation
  - a. Objectives of the Evaluation
  - b. Evaluation Framework
  - c. Evaluation Methodology
  - d. Evaluation Processes
  - e. Challenges Faced by the Evaluation
3. IFAD Policy of Supervision and Implementation Support
  - a. Supervision Policy
  - b. Supervision Guidelines
  - c. Procurement Handbook
  - d. Loan Administration Handbook
4. IFAD's Performance in Implementing the Supervision Policy
  - a. Performance in Project Supervision
  - b. Performance in Loan Administration
  - c. Performance in Implementation Support
  - d. Institutional and Organizational Aspects
  - e. Human Resources
  - f. Financial Resources
5. Impact of the Supervision Policy in Enhancing Project Implementation Performance and IFAD's Development Effectiveness
  - a. Impact on IFAD's portfolio
  - b. Scouting and Supporting Innovations
  - c. Knowledge Management
  - d. Policy Dialogue
  - e. Partnership Development
  - f. Scaling Up
  - g. Sustainability
6. Supervision Practices of Other IFIs
7. Conclusions
  - a. Identification of Best Practices
  - b. Identification of Common Framework
8. Recommendations
  - a. Strategic Recommendations
  - b. Operational Recommendations

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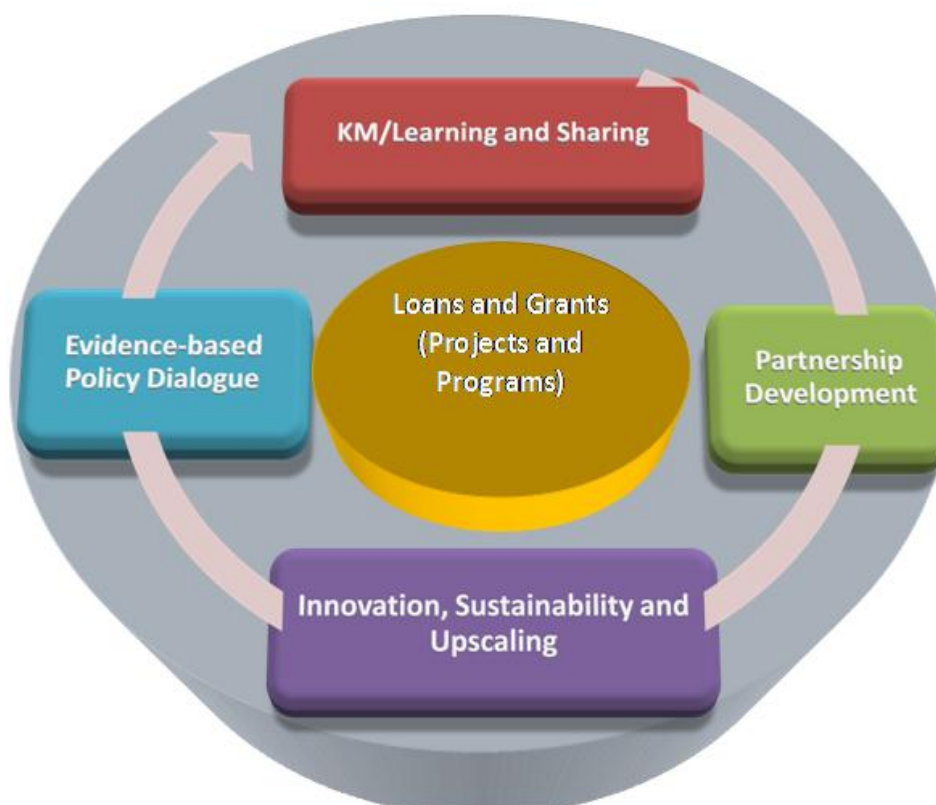
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## CLE CONCEPTUAL FRAMEWORK

1. IFAD's assistance to its member developing countries begins with the preparation of a country strategic and opportunities programme (COSOP). This document analyses the country context and the ongoing poverty eradication efforts and identifies a set of **objectives** pointing to the results that IFAD and each country agree to pursue together during a certain period of time. This document shapes IFAD's assistance as translated into a country programme.
2. According to IFAD's current business model portrayed in figure 1 below, a portfolio of grant and loan financed investments constitutes the core of each country programme. This core is nurtured by corporate activities which promote sustainability and innovation as well as upscaling and replication of those projects and programmes that have proven particularly successful. Such activities include also knowledge creation and sharing, the development of partnerships as well as engaging in evidence-based policy dialogue.

**Figure 1. IFAD's Operating Model**



3. The next step in shaping IFAD's assistance is the **design** of projects and programmes with objectives that refer to those identified in the COSOP. The **implementation** of these projects and programmes leads to the achievement of results, which are also identified in the COSOP. The logical sequence of the results chain is depicted in figure 2 for ease of reference. It starts with the identification of COSOP's objectives. It continues with project design and, through implementation, with project results. Finally, it ends with the achievement of COSOP's objectives. The results obtained and the lessons learned from this cycle of assistance then feed the next cycle, starting with the preparation of a new COSOP.

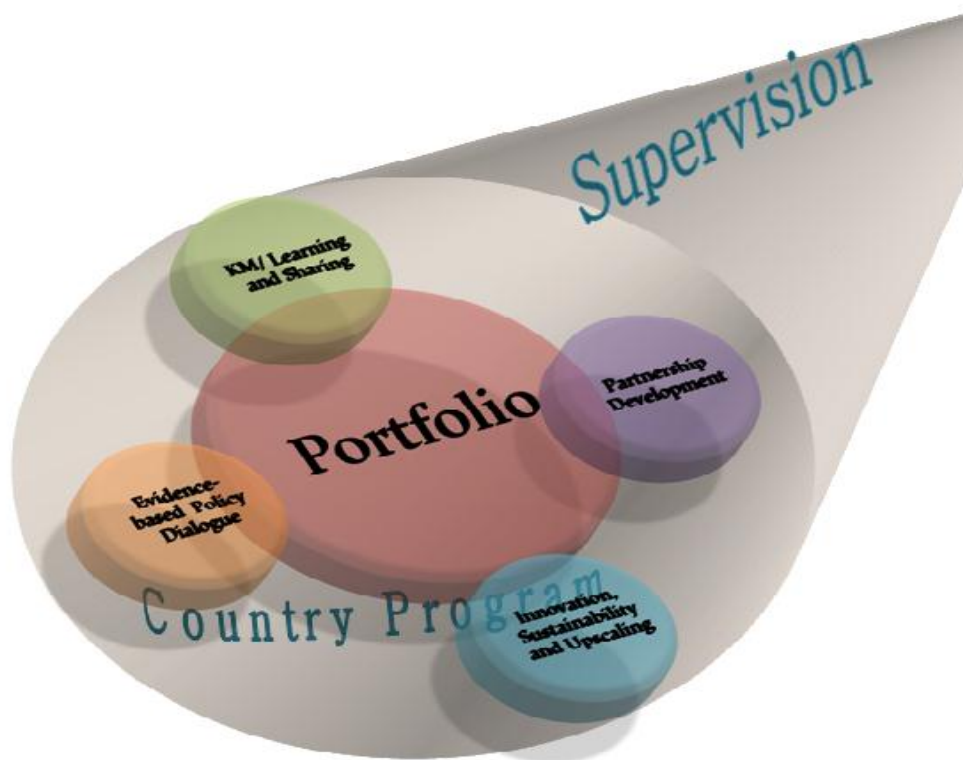
**Figure 2. Results Chain**

4. In relation to the implementation of the country programme, there are two considerations to be made:

- i) At portfolio level, project implementation links the design stage to the results' stage. This level of implementation is primarily in the hands of project/programme implementing partners (government, project management, civil society organizations, and project beneficiaries) with IFAD maintaining an enabling/supporting and supervisory role; and
- ii) At country programme level, the linkage between portfolio and corporate activities is primarily led by IFAD and conducted within its supporting and supervisory function.

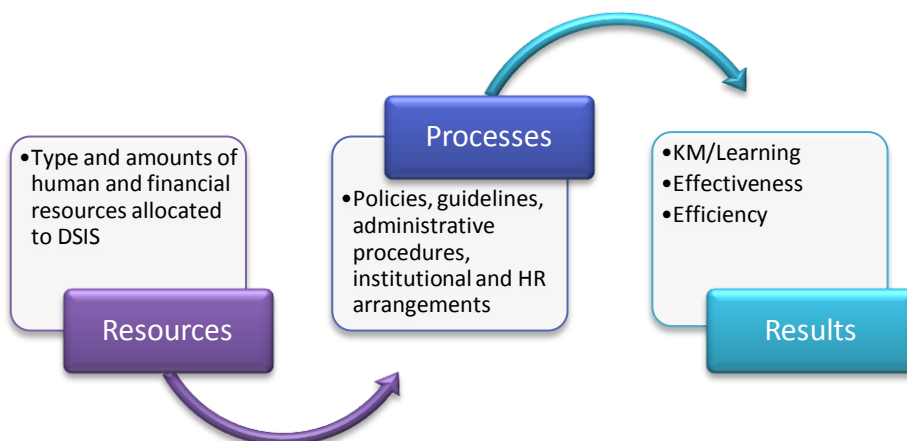
5. It follows that the functions of supervision and implementation support encompass all implications relating not only to the portfolio but also the other elements of the country programme. Figure 3 presents the areas of the country programme impacted by supervision activities.

**Figure 3. Impact of Supervision on IFAD’s Portfolio and Country Programme**



6. Investigating supervision as a corporate function requires identifying the resources made available to the supervision, the processes that are followed to engage those results and obtain the results that are desired. Figure 4 describes this aspect of the CLE investigation.

**Figure 4. Supervision as a Corporate Function**



## **COUNTRY STUDIES**

### DRAFT TERMS OF REFERENCE

1. **Objectives:** The country studies are designed to complement the other inputs into the evaluation (i.e. the synthesis report, interviews with IFAD Management, the surveys, the comparator study). They will attempt to deconstruct the impact of the IFAD Supervision and Implementation Support Policy activities e.g.:
  - did they produce a change in design?
  - what were the elements identified as problematic – e.g. targeting, procurement, credit provision, etc.?
  - what were the recurring issues?
  - did they properly report on achievements?
  
2. In addition, they are designed to identify some innovative practices which are yielding promising results and could be replicated and scaled up, as well as some unsuccessful ones, which can provide good lessons for the future. The country studies are also designed to validate the evaluation questions.
  
3. **Approach:** The analysis will focus on the supervision activities undertaken after the approval of the 2006 supervision policy.
  
4. Each country study will be carried out in 10 working days, divided between three phases – preparatory work, field work and report completion.
  - The country case studies will start with a substantial desk review phase. During this phase, part of the report will be drafted including the overview of the context and a description of the country programme, encompassing the strategy, lending and non-lending activities, policy dialogue, grant funded programmes, knowledge sharing and partnerships. The documents to be reviewed during this phase include: the synthesis report, supervision reports of loan and grant-funded projects, audit reports, implementation support/follow-up mission reports, portfolio review reports, and, whenever available, quality enhancement review. During this phase, an interview will be held with the CPM to understand his or her strategic approach to the role of supervision in the programme. Where relevant, the previous CPM should also be interviewed.
  - The second phase of the study is the country visit and field work. The team would begin its work with the IFAD country presence office and then interview relevant government officials and key implementing partners. During the country visit the team will also meet with other IFIs to know about their experience and to scout useful learning for IFAD. A meeting with all loan and grant-funded project directors will be organized in the capital. Where relevant, former project directors should also be invited to the meeting. Visits to up to two ongoing projects would be undertaken both to enrich the descriptive material on good practices and to validate the assessment made in the desk review.
  - The third phase is the final report writing, which should require relatively little time given the emphasis on preparation in the desk review phase. The original draft from the desk review would be updated based on the field experience with particular emphasis placed on the description of good practice programmes.
  
5. **Country selection:** Ten countries will be selected, based on the following criteria:

- Consultations with regional divisions with regard to the most relevant experiences/ideas being tested and introduced since the approval of the policy
- Geographical distribution among the five IFAD regions
- Coverage by recent CPEs
- Overlapping with recent CLEs
- Relevance of portfolios: availability of a COSOP, a critical mass of ongoing projects, the presence of an IFAD country office.

6. Seven of these will involve country visits, while the remaining three (India, Vietnam, Yemen – recently covered by a CPE) will be carried out as desk studies. For the countries that are handled as desk studies, the work programme is the same as the first phase identified below for the countries to be visited, with the addition of the completion of the report in phase 3.

### **COUNTRY STUDY OUTLINE**

1. Background and explanation of the purposes of the evaluation.
2. IFAD country programme. Summary of the COSOP and its results framework. Lending and non-lending activities. PBAS ratings.
3. IFAD's country portfolio. i) Description of loan and grant-funded activities; ii) Counterparts and implementing partners; and iii) Evolution of PSR ratings.
4. IFAD's supervision activities, including a description of:
  - DSIS activities carried out since the approval of the policy; composition of IFAD's programme and its evolution over time;
  - Human and financial resources used;
  - Time spent in the field;
  - Linkages with non-lending activities (knowledge management, partnership development, policy dialogue).
5. Identification of good practices and missed opportunities. The criteria for identification of a good practice case are as follows:
  - Supervision policy activities that have resulted in improvements in portfolio
  - Supervision policy activities that have enhanced IFAD's efficiency
  - Supervision policy activities that have received positive feedback by counterparts.
6. Overall assessment. This section would rate i) IFAD performance across the projects covered; and ii) Government performance. An overall rating will be provided for IFAD-government partnership in supervision, explaining the basis for the ratings.
7. Conclusions and lessons. A short section focused on those aspects of the country case that appear to have wider implications for IFAD's activities.

## **COMPARATOR STUDIES**

### DRAFT TERMS OF REFERENCE

1. **Objectives:** The study of comparator institutions is designed to complement the other inputs into the evaluation (i.e. the synthesis report, interviews with IFAD Management, the surveys, the country studies). As part of the evaluation a study of comparator institutions will be undertaken with the following objectives: i) to gauge their experience with direct supervision; ii) to ascertain the instruments they are using for these purposes; iii) to identify potential lessons for IFAD's modus operandi from either the good practices and successful experiences they have had or from the difficulties they have faced and the areas where they have been less successful. It is important to note that this is not a formal benchmarking study. The institutions will not be rated or ranked according to the relevance, impact and efficiency of their programmes.
2. **Selection of comparators:** The set of institutions has been limited to those most comparable to IFAD. Convenience and cost considerations have also played a role in the selection:
  1. World Bank/IDA
  2. Inter-American Development Bank
  3. African Development Bank
  4. Asian Development Bank
  5. European Bank for Reconstruction and Development
3. **Approach:** The starting point will be to position the function of supervision within each institution, covering the questions: i) Does it have an explicit policy for it, and if not is this covered explicitly in other policies or strategies?; ii) What instruments and resources does it avail for supervision? iii) How is the institution structured to carry out supervision? iv) Has their supervision been covered by evaluation activities?
4. The second section will focus on the actual supervision and implementation support activities. Questions to be addressed are: i) What has been the experience of each institution in supervision? ii) What is the broad assessment of the effectiveness of the approach overall? iii) Are there particularly successful experiences that can be pointed to, or, on the contrary, are there some evident failures to learn from? And iv) What does the institution see as the principal constraints in supervision function?
5. Implications of comparator experience for IFAD's own operations.
6. **Work Plan:** The comparator study will be carried out by one-two consultants. The consultants will spend a day to familiarize him/herself with the relevant materials of the concerned institution and will visit each institution for up to two days to carry out a series of interviews with the relevant staff of the institution. Twenty-two days are allocated for the preparation of the study i.e. three days for visits to each comparator, including preparatory reading, visits and interviews and write-ups, and five days for the preparation of the overview report. This is intended as a broad scan and not an in-depth assessment of what each institution is doing. The report will consist of an overview and an annex with two to three pages covering each institution.

CLE on Direct Supervision and Implementation Support - Work Schedule																			
#	Activity	Resp. Staff	2011	2012												2013			
				Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr
<b>1. Synthesis Report</b>																			
1.1	Preparation and EC's approval of the Synthesis Report	SE																	
<b>2. Approach Paper</b>																			
2.1	Appointment of the members of the CLP	SE																	
2.2	Preparation of the the Approach Paper (AP)	SE																	
2.3	Submission of the AP to the CLP for review	SE																	
2.4	Submission of the AP for despatch (EC)	SE																	
2.5	EC's review and approval of AP	SE																	
<b>I. Preparation Phase</b>																			
1	Collection of reports and documents	SE																	
2	Desk review	SE																	
3	IFAD Management Self-Assessment	SE																	
4	Preparation and distribution of surveys	SE																	
5	Preparation of interviews for HQs staff and in-country stakeholders	SE																	
6	Identification of the Focus Group members. First meeting.	SE																	
7	Preparation of Inception Report	SE																	
<b>II. Main Phase</b>																			
1	Country Studies	SE																	
2	Comparator Study	SE																	
3	2nd Meeting with the Focus Group	SE																	
<b>III. Report-writing Phase</b>																			
1	Preview of findings to Management	SE																	
2	Preparation of Draft Final Report	SE																	
3	OE Peer Review	SE																	
4	Draft Final Report sent to Management	SE																	
<b>IV. Finalisation Phase</b>																			
1	Preparation of audit trail	SE																	
2	2nd CLP Meeting	SE																	
3	Learning Workshop with IFAD Staff from HQs and ICOs	SE																	
4	Preparation of Final Report and ACP	SE																	
5	Submission to EC	SE																	
6	Submission to EB	SE																	
<b>V. Communication Activities</b>																			
1	Preview of findings to Management	SE																	
2	Sharing of Draft Report	SE																	
3	Dissemination Final Report	SE																	
4	Preparation of Insights	SE																	



Consultants Team																		
Expert	Position																	
1	Basil Kavalsky	Team Leader																
2	Rodolfo Launtto	..																
3	Kishan Gill	..																
4	Financial Management	..																
5	Research Assistant	Research																
Deliverables		2011	2012												2013			
			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr
1	Synthesis Report		■															
2	Approach Paper			■														
4	IFAD Management Self-Assessment				■	■												
5	Inception Report				■	■												
6	Surveys - Compiled findings				■	■												
7	Interviews - Compiled findings					■												
8	Comparator Study							■	■									
9	Country Case Studies								■	■								
10	Draft Final Report									■								
11	Audit Trail										■							
12	Learning Workshop Proceedings											■						
14	Final Report												■					
15	Signed ACP													■				
16	EC Submission														■			
17	EB Submission																	■