

Document: EC 2013/79/W.P.3
Agenda: 4
Date: 1 October 2013
Distribution: Public
Original: English

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Enabling poor rural people
to overcome poverty

Independent Office of Evaluation of IFAD's results-based work programme and budget for 2014 and indicative plan for 2015-2016

Note to Evaluation Committee members

Focal points:

Technical questions:

Fabrizio Felloni
Officer-in-Charge
Independent Office of Evaluation of IFAD
Tel.: +39 06 5459 2361
e-mail: f.felloni@ifad.org

Oanh Nguyen
Evaluation Officer
Independent Office of Evaluation of IFAD
Tel.: +39 06 5459 2055
e-mail: o.nguyen@ifad.org

Dispatch of documentation:

Deirdre McGrenra
Head, Governing Bodies Office
Tel.: +39 06 5459 2374
e-mail: gb_office@ifad.org

Evaluation Committee — Seventy-ninth Session
Rome, 4 October 2013

For: Review

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Abbreviations and acronyms

| | |
|--------|---|
| ARRI | Annual Report on Results and Impact of IFAD Operations |
| CLE | corporate-level evaluation |
| COSOP | country strategic opportunities programme |
| CPE | country programme evaluation |
| ECD | evaluation capacity development |
| ECG | Evaluation Cooperation Group |
| FAO | Food and Agriculture Organization of the United Nations |
| IMT | IFAD Management Team |
| IOE | Independent Office of Evaluation of IFAD |
| IFAD8 | Eighth Replenishment of IFAD's Resources |
| IFAD9 | Ninth Replenishment of IFAD's Resources |
| IFAD10 | Tenth Replenishment of IFAD's Resources |
| NONIE | Network of Networks on Impact Evaluation |
| OMC | Operations Management Committee |
| OSC | Operational Strategy and Policy Guidance Committee |
| PCR | project completion report |
| PCRV | project completion report validation |
| PMD | Programme Management Department |
| PPA | project performance assessment |
| PRISMA | President's Report on the Implementation Status of Evaluation Recommendations and Management Actions |
| RIDE | Report on IFAD's Development Effectiveness |
| SDC | Swiss Agency for Development and Cooperation |
| SWP | strategic workforce plan |
| UNEG | United Nations Evaluation Group |
| WFP | World Food Programme |

Independent Office of Evaluation of IFAD's results-based work programme and budget for 2014 and indicative plan for 2015-2016

I. Introduction

1. This document contains the work programme and budget for 2014 and indicative plan for 2015-2016. In line with the IFAD Evaluation Policy, IOE's administrative budget and IFAD administrative budget are prepared independently of each other.¹ As in the past, the proposed independent evaluation work programme has been developed building on consultations with IFAD Management and the guidance of the Executive Board, and Audit and Evaluation Committees. IOE also met with the Chairs of the Evaluation and Audit Committees to better understand their respective priorities and expectations. Finally, guidance was sought from the Evaluation Committee in an informal consultation with members prior to finalization of the preview document.
2. This is the first time in more than 10 years that IOE has changed the format and structure of its work programme and budget document, ensuring, inter alia, greater consistency with IFAD's administrative budget document. This document presents the work programme and budget "based on a critical assessment of needs, rather than simply using the current budget as a baseline".² It also aims to provide better linkage between the work programme and expenditures and greater detail in the breakdown of budgeted costs, particularly non-staff costs, including costs for consultants. The document provides details of actual expenditures for the previous year, as well as 2013 budget utilization as of the time this document was prepared. Similar updated information will be made available in the final submission to the Board in December 2013.
3. The high-level preview of IOE's results-based work programme and budget for 2014 and indicative plan for 2015-2016 were discussed during the Evaluation Committee's seventy-seventh session in June 2013 and also at the Audit Committee and the Executive Board during their September 2013 sessions. After further discussion with the Evaluation Committee at its seventy-ninth session at the beginning of October 2013, IOE's proposed results-based work programme and budget for 2014 and indicative plan for 2015-2016 will be discussed by the Audit Committee in November 2013 and the Executive Board at its 110th session in December 2013, together with IFAD's 2014 administrative budget. Finally, the budget will be submitted to the Governing Council in 2014 for approval.

II. Key lessons from implementation of the 2013 work programme

4. IOE undertook internal assessments of the implementation of its 2013 work programme and budget prior to preparing this document. During the process, some key lessons emerged, which have been taken into consideration in preparing the proposed 2014 work programme and budget and indicative plan for 2015-2016:
 - The importance of continuous, enhanced knowledge-sharing, outreach and communication with IFAD Management, the Evaluation Committee and Executive Board, partner countries and others to further strengthen the evaluation learning and feedback loop to improve IFAD's development effectiveness;

¹ See IFAD Evaluation Policy, page 13: "The levels of the IOE component and IFAD's administrative budgets will be determined independently of each other."

² See draft minutes of the 107th session of the Executive Board, paragraph 29.

- The importance of further developing the IFAD Evaluation Manual: Methodology and Processes to ensure that these are aligned with international good practice and capture the evolving priorities of the Fund;
- The need for independent evaluation to also gain deeper insights into current operations, with a focus on assessing their relevance as well as the extent to which past lessons are adequately internalized in new policies, strategies and operations; and
- The importance of ensuring rigorous and continuous budget monitoring to optimize use of the available budget according to established priorities and activities, and to appropriately reallocate resources to areas that require additional funding or for additional activities.

III. Current perspective

A. Highlights of 2013

5. IOE has been in transition since the departure of its former director at the end of October 2012. In addition to ensuring effective and efficient implementation of its 2013 work programme, in this transition period IOE has initiated a process of internal change and reform. Some key steps in ensuring high-quality evaluations and a conducive working environment include:
 - Earlier allocation and distribution of the 2013 annual evaluation work programme to IOE staff, to enable better forward planning of individual activities;
 - Greater emphasis on stronger communication and transparency within IOE through a de-layering of the internal organizational structure, also leading to quicker and smoother decision-making for enhanced efficiency. Further efforts will be made to identify opportunities for efficiency gains and cost savings. For example, in the context of the revision of the Evaluation Manual, IOE will review, analyse and streamline its evaluation processes;
 - Clearer articulation of the division of labour between IOE and the Office of the Secretary for a smooth and timely implementation of activities related to the work of the Evaluation Committee; and
 - Efforts to enhance the diversity and gender balance of staff and consultants, as well as improve work/life balance.
6. By the end of the year, IOE expects to have implemented all the activities planned in the 2013 work programme, as well as several additional activities. Selected key achievements to date include:
 - Completion of the corporate-level evaluation (CLE) on IFAD's institutional efficiency and efficiency of IFAD-funded operations, the first of its kind carried out in multilateral and bilateral development organizations;
 - Design and undertaking of IOE's first impact evaluation in Sri Lanka (Dry Zone Livelihood Support and Partnership Programme);
 - Preparation of the 2013 Annual Report on Results and Impact of IFAD Operations (ARRI) is ongoing, and this year IOE, together with IFAD Management, is making further efforts to harmonize the cohort of projects to be included in the ARRI and the Report on IFAD's Development Effectiveness (RIDE), so as to provide a clearer overview of the performance of IFAD operations;
 - Issuance of the first Joint Statement by the Consultative Group on International Agricultural Research (CGIAR), the Food and Agriculture Organization of the United Nations (FAO), IFAD and the World Food Programme (WFP) to strengthen collaboration in evaluation;

- More-intensive efforts to engage with IFAD Management, the Evaluation Committee and Executive Board, multilateral and bilateral organizations and partners at the country level to foster learning and dialogue on evaluation-based lessons and good practices. In this regard, as one example, in September 2013 at IFAD, IOE hosted an extraordinary Annual General Meeting of the United Nations Evaluation Group (UNEG) to discuss UNEG's medium-term strategy and priorities; and
 - Preparation and issuance of a dedicated booklet to mark the 10-year anniversary of IFAD's independent evaluation function, launched at the April 2013 Executive Board session.
7. Progress in implementation of the evaluation activities planned for 2013 are summarized in table 1 and detailed in table 2, annex II of this document. The list of additional activities conducted or planned may be seen in table 3 of annex II.

B. Budget utilization 2012-2013

8. The following table provides information on budget utilization by IOE in 2012 and 2013.

Table 1
IOE budget utilization in 2012 and projected utilization in 2013

| Evaluation work | Approved budget 2012 | Budget utilization 2012 (US\$) | Approved budget 2013 | 2013 commitment as of mid-July(US\$)* | Expected utilization as of year-end 2013 |
|---|----------------------|--------------------------------|----------------------|---------------------------------------|--|
| Staff travel | 350 000 | 323 817 | 330 000 | 348 382 | 360 000 |
| Consultant fees | 1 431 000 | 1 469 467 | 1 525 362 | 1 472 255 | 1 490 000 |
| Consultant travel and allowances | 350 000 | 354 760 | 352 007 | 352 587 | 365 000 |
| In-country CPE learning events | 25 000 | 24 670 | 30 000 | 36 525 | 45 000 |
| Evaluation outreach, staff training and other costs | 133 474 | 92 669 | 109 342 | 134 959 | 160 000 |
| Non-staff costs | 2 289 474 | 2 265 383 | 2 346 711 | 2 344 708 | 2 420 000 |
| Staff costs | 3 734 530 | 3 575 753 | 3 667 268 | 3 197 821 | 3 354 246 |
| Total | 6 024 004 | 5 841 136 | 6 013 979 | 5 542 529 | 5 774 246 |
| % utilization | | 96.96% | | | 96% |

* Based on all staff costs committed until year-end.

9. Actual utilization against IOE's 2012 budget amounted to US\$5.84 million, or 96.96 per cent. In 2013, against an approved budget of US\$6.01 million, utilization (in terms of commitments) as of mid-July was US\$5.54 million. This includes full commitment at the beginning of the year of staff costs for the whole of 2013, which is in line with the IFAD-wide established practice. A high utilization rate for 2013 travel costs at this stage is the result of the normal business cycle, with a large number of evaluations being launched in the first part of the year. The expected overall utilization of the total IOE budget in 2013 as of year-end is projected at US\$5.77 million or 96 per cent of the approved amount.
10. Less-than-budgeted expense for staff costs reflects the vacant position of Director, IOE. Part of the saving in staff costs has been and will be used to fund additional and/or unforeseen activities (see table 3, annex II).

C. Utilization of the 2012 carry-forward

11. The 3 per cent carry-forward rule, in place since 2004, states that unobligated appropriations at the close of the financial year may be carried forward into the

following financial year up to an amount not exceeding 3 per cent of the approved annual budget of the previous year.

12. The IOE 3 per cent carry-forward from 2012 amounted to US\$180,419, which has been allocated to fund various activities supporting evaluation work. By mid-September, approximately US\$179,106 had been spent and IOE expects to utilize the full amount to:
 - (a) Continue enhancing its evaluation methodology and processes, leading to the full revision and issuance of the second edition of the Evaluation Manual in 2014. No allocation was foreseen for this task under the 2013 budget;
 - (b) Undertake the first impact evaluation, which was not fully costed in the 2013 IOE budget; and
 - (c) Finalize important evaluation activities carried over from 2012 (e.g. the country programme evaluation [CPE] for Madagascar and the China project performance assessment [PPA]).

IV. IOE strategic objectives

13. IOE proposes that its strategic objectives should henceforth be better aligned with IFAD priorities in the corresponding replenishment periods. As such, IOE has redefined its strategic objectives for the remaining part of the IFAD9 period,³ that is, for 2014 and 2015. Moreover, in 2015, while preparing its 2016 work programme, IOE will reassess its strategic objectives to ensure continued alignment with corporate priorities for the IFAD10 period (2016-2018).
14. Accordingly, IOE proposes the following two strategic objectives for 2014-2015:
 - (i) Strategic objective 1 (SO1): Contribute, through independent evaluation work, to enhancing accountability for results; and
 - (ii) Strategic objective 2 (SO2): Promote effective learning and knowledge management to further strengthen the performance of IFAD operations.
15. Since 2010, IOE has had two strategic objectives.⁴ These have been further sharpened for 2014-2015 (see SO1 and SO2 above) to better achieve the overarching goal set for independent evaluation as captured in the IFAD Evaluation Policy, namely to promote accountability and foster learning to improve the performance of corporate policies and IFAD-supported operations. SO2 also includes activities related to evaluation capacity development (ECD), given the growing need to strengthen national evaluation capacity in the agriculture and rural sectors in recipient countries.⁵ Attention to national ECD would also be consistent with the organization's broader commitments in IFAD9 to enhancing IFAD's business model, which include, among other activities, strengthening national M&E capacity.⁶
16. Annex III summarizes IOE's strategic objectives, divisional management results and the outputs the division proposes to deliver in 2014-2015.

V. 2014 work programme and indicative plan 2015-2016

17. The size and nature of the proposed work programme have been carefully determined taking into account a combination of factors, including: IOE's

³ Which runs from 2013 to 2015.

⁴ Strategic objective 1: Contribute to improving the performance of corporate policies and IFAD-funded operations; strategic objective 2: Promote effective learning and knowledge management.

⁵ Evaluation groups in several other development organizations also place a high priority on this objective (e.g. the World Bank and the United Nations Development Programme).

⁶ See REPL.IX/3/R.5: Report of the Consultation on the Ninth Replenishment of IFAD's Resources.

contribution to IFAD's institutional transformation and better performance, as well as the capacity of the Fund's self-evaluation system; the need to achieve IOE's strategic objectives; the commitments to be fulfilled in relation to the IFAD Evaluation Policy and the terms of reference of the Evaluation Committee; and the absorption capacity and resource availability within IFAD Management and the governing bodies to engage systematically in independent evaluation processes and to respond effectively and promptly to recommendations made by such evaluations.

18. This year, IOE developed a "selectivity framework" (see annex IX) to assist in the construction of its 2014 work programme. The framework includes a list of guiding questions for CLEs and evaluation syntheses, CPEs and PPAs, allowing IOE to better identify and prioritize evaluations to be conducted in a given year. In developing the selectivity framework, IOE reviewed the experience of other organizations that have already introduced a similar tool in preparing their respective work programmes (e.g. the Independent Evaluation Group of the World Bank).
19. Bearing this in mind, IOE proposes to undertake a CLE on IFAD's engagement in fragile states in 2014, and, in line with the selectivity framework, has ensured a good mix of countries for country programme and project evaluations. It also proposes to prepare an evaluation synthesis report on IFAD's engagement in middle-income countries, with the aim of generating insights that may help further sharpen the organization's role and approaches in such country contexts.
20. Beyond individual evaluations, IOE will continue to present and discuss key evaluations with the Evaluation Committee and the Executive Board to enable the governing bodies to exercise their oversight role and provide strategic guidance to IFAD management and IOE. The division will also engage in IFAD10 in 2014 by presenting selected evaluation results at key stages during replenishment consultations. For example, in December 2012, the Board decided that IOE should present the ARRI as a standing item in the first meeting of future Replenishment Consultations, starting from IFAD10 in 2014. Moreover, the Evaluation Committee recommended that the evaluation synthesis report on IFAD's engagement in middle-income countries be presented at an appropriate time next year to the IFAD10 Consultation. The Board expressed the importance of having the CLE on IFAD replenishments discussed by the Consultation as well.
21. It is essential to highlight here that in order to continue improving its results-based budgeting process, this year, for the first time, IOE presented its preview work programme to the Evaluation Committee in both base-case and high-case scenarios. The selection of the additional high-case scenario outputs was based on the level of priority assigned to those outputs by responses to the guiding questions of the selectivity framework. Nevertheless, the Evaluation Committee advised IOE to proceed with the zero-growth (base-case) scenario for presentation to the Audit Committee and the Executive Board in September. Committee members also advised IOE to assess whether some planned outputs in the high-case scenario could be included in the base-case scenario of the zero nominal growth budget.
22. Based on this advice, and following further consultations with IFAD Management, IOE has incorporated two activities from the high-case scenario into its 2014 work programme: (i) preparation of an evaluation synthesis report on pastoral development; and (ii) a wider range of activities in relation to ECD, including the organization of training workshop(s) in partner countries on evaluation methods and processes. The evaluation synthesis on pastoral development⁷ should generate lessons and good practices for strengthening the design and implementation of future and ongoing operations using pastoral development to improve incomes and

⁷ Discussions are ongoing to prepare this synthesis jointly with the FAO Office of Evaluation.

food security, while ECD will enable recipient governments to make greater use of evaluations in the future for learning and improved performance on the ground.

23. As mentioned earlier, IOE will strive to reduce costs in general (e.g. through the use of more regional/national consultants, etc.) and to further streamline internal processes for efficiency gains. This will enable the division to fully integrate these two high-case activities into the low-case scenario. Only if needed will IOE make use of supplementary funds to ensure the full and timely implementation of these activities in 2014. The third activity originally envisaged under the high-case scenario (i.e. a subregional evaluation in the English-speaking Caribbean island countries) has been included in the indicative forward plan for 2015-2016.
24. Table 2 summarizes the major outputs planned for 2014. The full list of proposed evaluation activities and their timelines may be seen in annex V, which also includes the indicative work plan for 2015-2016.

Table 2
Major outputs planned for 2014

| <i>Strategic objectives (SOs)</i> | <i>Divisional management results (DMRs)</i> | <i>Outputs</i> |
|---|--|---|
| SO1: Contribute, through independent evaluation work, to enhancing accountability for results | DMR 1: ARRI and CLEs that provide concrete building blocks for development and implementation of better corporate policies and processes | ARRI 2 CLEs (CLE on Revised IFAD Policy for Grant Financing – to be completed; and CLE on IFAD's engagement in fragile states – to start) |
| | DMR 2: CPEs that serve as concrete building blocks for better results-based COSOPs | 7 CPEs (Bolivia, China, Senegal and Zambia – to be completed; Bangladesh, Sierra Leone and United Republic of Tanzania – to start) |
| | DMR 3: Project evaluations that contribute to better IFAD-supported operations | Validate all project completion reports (PCRs) available in year 8 PPAs^a 1 impact evaluation of an IFAD-funded project (project to be determined) ^b |
| | DMR 4: Methodology development | Issuance of second edition of Evaluation Manual |
| | DMR 5: Work related to IFAD governing bodies to ensure accountability and learning | Comments on RIDE and PRISMA and selected COSOPs and corporate policies; preparation of IOE work programme and budget; and participation in GC and IFAD10, all sessions of EC and EB, and selected Audit Committee meetings |
| SO2: Promote effective learning and knowledge management to further strengthen the performance of IFAD operations | DMR 6: Production of evaluation syntheses and ARRI learning themes | 2 evaluation syntheses: IFAD's engagement in middle-income countries; and pastoral development |
| | DMR 7: Systematic communication and outreach of evaluation-based lessons and good practices | Participate in internal platforms (OSCs, OMCs, IMTs, CPMTs, etc.) Organization of in-country learning workshops to discuss main results from CPEs as building blocks for preparation of new COSOPs, as well as learning events in IFAD based on other evaluations (e.g. CLEs, syntheses, ARRI) to share lessons and good practices Partnership (ECG, UNEG, NONIE, the Swiss Agency for Development and Cooperation [SDC] and Rome-based agencies FAO/WFP/CGIAR) |
| | DMR 8: ECD in partner countries | Engage in ECD in context of evaluations (e.g. organize special seminars on evaluation methods and processes, both within framework of an ongoing CPE or PPA) and in other countries where IOE is not undertaking evaluations, on request |

^a The selection of projects to undergo a PPA may only be determined upon submission of PCRs by PMD and the subsequent validation exercise by IOE.

^b Priority will be given to a project in a country in which a CPE is planned in the near future (2015 or soon thereafter).

Note: GC = Governing Council; EC = Evaluation Committee; EB = Executive Board; OSC = Operational Strategy and Policy Guidance Committee; OMC = Operations Management Committee; IMT = IFAD Management Team; CPMT = Country Programme Management Team; ECG = Evaluation Cooperation Group; and NONIE = Network of Networks on Impact Evaluation.

VI. 2014 resource envelope

A. Staff resources

25. As a first step in preparation of the 2014 budget proposal, IOE undertook an internal strategic workforce planning (SWP) exercise. It reviewed current staffing numbers and staff grading composition, and compared these to the estimated workload (in terms of total number of days) to implement the overall proposed work programme for 2014 effectively and promptly.
26. Based on the results of this exercise, IOE proposes to maintain the same number of staff in 2014 as in 2013. Changes in the staff-level complement are envisaged, to ensure that the division has the right mix of staff resources, taking into account the number, type and complexity of evaluations included in the 2014 work programme. It is to be noted that changes in staff-level complement have led to savings in total staff costs. Human resources required and any proposed changes for 2014 may be seen in annex VI.

B. Budget proposal

27. **Budget process.** In preparing the budget for 2014, IOE took into consideration the need to further improve the linkages between budget and results, as well as the drive for efficiency improvements.
28. During the course of the planning exercise, the division defined its strategic objectives and DMRs for 2014-2015. Using standard coefficients based on historic costs and level of effort by type of evaluation, the workload (in person days) and costs were estimated by types of evaluations to form a basis for developing the budget for 2014. Consultant resource requirements are net of the available staff resources and costed accordingly. Travel costs for both staff and consultants were estimated based on the type of evaluation activity and corresponding evaluation processes, in line with the Evaluation Manual, and the mix of countries where evaluations are expected to take place.
29. **Cost drivers.** The primary cost drivers for the 2014 budget are: (i) the effect of inflation on non-staff costs; and (ii) increased travel costs due to price increases beyond average inflation assumptions.
30. **The assumption.** The parameters IOE uses in finalizing its 2014 budget are suggested by the IFAD Budget Unit, and are consistent with what IFAD will be using for its 2014 administrative budget: (i) inflation rate of 2.1 per cent for non-staff costs; (ii) no increase in salaries of Professional and General Service staff anticipated for 2014; and (iii) exchange rate of US\$1= EUR 0.72 – that of 2013 has been retained for 2014.
31. The total IOE 2014 budget (both staff and non-staff costs) is presented according to three different criteria: (i) type of evaluation activity to be conducted (table 3); (ii) category of expenditure (table 4); and (iii) the two strategic objectives (table 5).
32. Based on historic costs by type of evaluation activity and the number of planned evaluations in 2014, table 3 shows that the largest amount of non-staff costs is allocated to higher-plane evaluations (corporate-level and country programme evaluations, including the ARRI). This is consistent with the increased attention to such evaluations in other international financial institutions, given their unique role in contributing to institutional changes and improvements. Specific allocations are made, respectively, for one new impact evaluation of an IFAD-funded project and preparation of the second edition of the Evaluation Manual (a one-time cost).

Table 3
Proposed budget for 2014 (by type of activity)

| <i>Type of activity</i> | <i>Approved 2013 budget</i> | <i>Proposed 2014 budget</i> |
|---|-----------------------------|-----------------------------|
| ARRI | 150 000 | 150 000 |
| CLEs | 430 000 | 410 000 |
| CPEs | 1 300 000 | 760 000 |
| PCR validations | 30 000 | 50 000 |
| PPAs | 200 000 | 230 000 |
| Impact evaluation | 0* | 210 000 |
| Evaluation syntheses | 50 000 | 120 000 |
| Second edition of Evaluation Manual | 0 | 150 000 |
| Communication, evaluation outreach, knowledge-sharing, partnership activities | 108 000 | 198 000 |
| ECD, training and other costs | 78 711 | 117 992 |
| Total non-staff costs | 2 346 711 | 2 395 992 |
| Staff costs | 3 667 268 | 3 586 690 |
| Total | 6 013 979 | 5 982 682 |

* As impact evaluation is a project-level evaluation, it was decided to allocate US\$25,000 from the PPA budget line to this evaluative exercise. The remaining balance was funded through the 3 per cent carry-forward from 2012, as well as through supplementary funds.

33. Table 4 shows the budget (non-staff costs) distributed by category of expenditure. For the 2014 proposed budget, the individual categories of expenditure (e.g. consultant fees, staff travel, etc.) include the cumulative costs needed to satisfactorily complete each and every planned activity in the 2014 work programme. Consultant costs include only fees, while their travel and allowances are shown separately. In-country CPE learning workshop expenses have also been separated and will be carefully monitored to ensure adequate and effective allocation to this important activity. In addition, a separate allocation has been provided for IOE staff training costs, given that training is so important to staff development. This budget category also includes communication and outreach costs, but excludes the travel component, which is appropriately reflected in staff travel. Based on experience gathered in 2014, these costs will be analysed and allocations adjusted to further reflect IOE priorities.
34. Table 4 illustrates efforts being made to contain consultant fees. This will be done, inter alia, by mobilizing a greater number of regional/national consultants,⁸ using consultants with a high daily honorarium very selectively, and in-sourcing some activities that would have been undertaken by consultants in the past. In this regard, more efforts will be made to conduct joint evaluations, inter-alia, which will also entail cost-sharing of consultants used. Finally, tables 3 and 4 show that there are decreases in staff costs. This is due to (i) changes in the staff-level complement (as mentioned in paragraphs 25 and 26); and (ii) no increase in staff salaries. Part of the savings due to no increase in staff salaries have been reprogrammed to non-staff costs to enhance and intensify the CLE on IFAD's engagement in fragile states and the evaluation synthesis on middle-income countries, given the high priority given by the Board to these evaluations.

⁸ That is, consultants based in the geographical region or country where a project or country programme evaluation will be undertaken. Moreover, systematic efforts will be made to further enhance the number of women consultants.

Table 4
Proposed budget for 2014 (by category of expenditure)

| <i>Category of expenditure</i> | <i>Approved 2013 budget</i> | <i>Proposed 2014 budget</i> |
|---|-----------------------------|-----------------------------|
| Staff travel | 330 000 | 345 000 |
| Consultant fees | 1 525 362 | 1 465 000 |
| Consultant travel and allowances | 352 007 | 395 000 |
| In-country CPE learning events | 30 000 | 35 000 |
| Evaluation outreach, staff training and other costs | 109 342 | 155 992 |
| Total non-staff costs | 2 346 711 | 2 395 992 |
| Staff costs | 3 667 268 | 3 586 690 |
| Total | 6 013 979 | 5 982 682 |

35. Table 5 shows allocation of the total proposed budget (non-staff and staff components) to achieve the two strategic objectives proposed by IOE. Further detail, including allocation to each DMR, can be found in annex VII, table 3. SO1 receives the greater allocation, mainly because the bulk of consultancy resources will be mobilized for activities that contribute to achieving this objective. However, most of the activities undertaken within this objective also contribute to SO2. For example, preparation of the second edition of the Evaluation Manual (which is budgeted under SO1) will also assist in undertaking ECD in recipient countries (which is an activity that will contribute to achieving SO2).
36. Table 5 also shows that the 2014 budget is directly linked to the planned outputs of IOE in 2014. In coming years, more effort will be made to link IOE's outputs to outcomes, bearing in mind that – in the experience of similar organizations – measurable outcomes may only be seen several years after evaluations have been finalized.

Table 5
Proposed budget allocation (by strategic objective)

| <i>Strategic objective (SO)</i> | <i>Approved 2013 budget</i> | | <i>Proposed 2014 budget</i> | |
|---|-----------------------------|-------------------|-----------------------------|-------------------|
| | <i>Amount (US\$)</i> | <i>Percentage</i> | <i>Amount (US\$)</i> | <i>Percentage</i> |
| SO1: Contribute, through independent evaluation work, to enhancing accountability for results | 4 752 846 | 79 | 4 358 525 | 73 |
| SO2: Promote effective learning and knowledge management to further strengthen the performance of IFAD operations | 1261 133 | 21 | 1 624 157 | 27 |
| Total | 6 013 979 | 100 | 5 982 682 | 100 |

37. The proposed 2014 budget is US\$5.98 million, compared to US\$ 6.01 million in 2013, reflecting a reduction of 0.5 per cent. In preparing this budget, efforts have been made to further: (i) trim consultant costs, through a more-efficient use of the skills, competencies and experience of IOE staff; and (ii) absorb the effect of the 2.1 per cent inflation rate for non-staff costs.

IOE strategic objectives, DMRs and types of outputs

| <i>IOE strategic objective</i> | <i>IOE DMR</i> | <i>Type of output</i> |
|---|---|--|
| SO1: Contribute, through independent evaluation work, to enhancing accountability for results | DMR 1: Annual Reports on Results and Impact of IFAD Operations (ARRIs) and CLEs that provide concrete building blocks for the development and implementation of better corporate policies and processes | ARRI CLE IOE comments on PRISMA and RIDE IOE comments on selected IFAD operational policies prepared by IFAD Management for consideration by Evaluation Committee and the Executive Board |
| | DMR 2: CPEs that serve as concrete building blocks for better results-based country strategic opportunities programmes (COSOPs) | CPEs IOE comments on selected COSOPs |
| | DMR 3: Project evaluations that contribute to better IFAD-supported operations | Project performance assessment (PPA) Project completion report validation (PCRv) Impact evaluation |
| | DMR 4: Methodology development | Second edition of the manual and other related guidelines |
| | DMR 5: Work related to IFAD governing bodies | IFAD10, GC and EC/EB and Audit Committee sessions |
| SO2: Promote effective learning and knowledge management to further strengthen the performance of IFAD operations | DMR 6: Production of evaluation syntheses and ARRI learning themes | Evaluation synthesis ARRI learning theme |
| | DMR 7: Systematic communication and outreach of IOE's work | Workshop on thematic issues Publications Learning events |
| | DMR 8: ECD in partner countries | In-country workshops on evaluation methodology and processes and related activities |

IOE achievements in 2013

Table 1
IOE work programme 2013 – selected tasks
 (summary of projected and current achievements at mid-year)

| Task | Year-start projection | | Current | Year-end output |
|---|---|-------------------------|---|---|
| | Type of activity | To be completed in 2013 | To start in 2013 and be completed in 2014 | Status at end-September 2013 |
| Corporate-level evaluation (CLE) | 3 | 2 | 2 completed 2 started 1 postponed | 3 completed 1 ongoing |
| Country programme evaluation (CPE) | 2 | 4 | 1 completed 5 ongoing | 2 completed 4 ongoing |
| Project completion report validation (PCRV) | All PCRs available from PMD in year | | 18 completed | All PCRs available from PMD in year |
| Project performance assessment (PPA) | 8 | | 8 ongoing | 8 completed |
| Impact evaluation (IE) | 1 | | 1 started as scheduled and ongoing | IE completed |
| Evaluation Committee (EC) and Executive Board (EB) | EC sessions: 4 EB sessions: 3 One country visit by EC | N/A | EC sessions : 5 EB sessions : 2 GC : 1 Annual EC country visit (Viet Nam 2013) | EC sessions: 6 (2 extra sessions) EB: 3 GC: 1 One country visit by EC |
| Evaluation synthesis (ES): water management and conservation; youth | 1 | | 1 started as scheduled and ongoing; 1 extra on youth started | ESs on water and youth completed |
| Annual Report on Results and Impact of IFAD Operations (ARRI) | 1 | N/A | ARRI started as scheduled and ongoing | 1 |
| IOE comments on PRISMA and RIDE | 2 | N/A | 1 completed 1 to start | 2 |

Note: Further details provided in table 2.

Table 2
Progress of 2013 planned activities

| <i>Type of work</i> | <i>Evaluation activities</i> | <i>Planned implementation status</i> | <i>Present status</i> |
|---|--|--------------------------------------|---|
| 1. Corporate-level evaluation | Assessment of IFAD's institutional efficiency and efficiency of IFAD-funded operations | To be completed in April 2013 | Completed. Evaluation report presented to Evaluation Committee and Executive Board in April 2013 |
| | Direct supervision and implementation support | To be completed in June 2013 | Completed. Final evaluation report discussed by Evaluation Committee in June 2013 and Executive Board in September 2013 |
| | Evaluation of achievements of IFAD replenishments | To be completed in December 2013 | In progress as planned |
| | Revised IFAD Policy for Grant Financing | To start in January 2013 | Started as planned and to be completed in 2014 |
| | IFAD's approach to and results in policy dialogue | To start in September 2013 | As discussed with IFAD Management, deferred to allow IOE to start CLE on IFAD's engagement in fragile states in January 2014, a topic that deserves attention and has higher priority at this stage |
| 2. Country programme evaluation | Bolivia | To start in January 2013 | Started as planned and to be completed in 2014 |
| | China | To start in January 2013 | Started as planned and to be completed in 2014 |
| | Madagascar | To be completed in September 2013 | Completed ahead of schedule. National round-table workshop organized in May 2013 |
| | Moldova | To be completed in December 2013 | In progress as planned. Main mission fielded in March 2013 |
| | Senegal | To start in January 2013 | Started as planned. Main mission fielded in April 2013; to be completed in 2014 |
| | Zambia | To start in January 2013 | Started as planned. Main mission fielded in July 2013; to be completed in 2014 |
| 3. Project completion report validation | Validate all PCRs available during year | To be completed in December 2013 | In progress as planned |
| 4. Project performance assessment | About 8 project performance assessments | To be completed in December 2013 | In progress as planned |
| 5. Impact evaluation | Sri Lanka Dry Zone Livelihood Support and Partnership Programme | To start in January 2013 | In progress as planned. Approach paper discussed by Evaluation Committee in April 2013. Final report to be presented to Evaluation Committee by end 2013 |
| 6. Evaluation Committee and Executive Board | Review of implementation of results-based work programme for 2013 and indicative plan for 2014-2015, and preparation of results-based work programme and budget for 2014 and indicative plan for 2015-2016 | To be completed in December 2013 | In progress as planned |

| <i>Type of work</i> | <i>Evaluation activities</i> | <i>Planned implementation status</i> | <i>Present status</i> |
|--|--|--------------------------------------|---|
| | 11 th Annual Report on Results and Impact of IFAD's Operations (ARRI) | To be completed in December 2013 | In progress as planned |
| | IOE comments on President's Report on Implementation Status of Evaluation Recommendations and Management Actions (PRISMA) | To be completed in September 2013 | Completed |
| | IOE comments on Report on IFAD's Development Effectiveness (RIDE) | To be completed in December 2013 | To be undertaken as planned. RIDE with IOE comments to be discussed with Evaluation Committee and thereafter by Executive Board in December 2013 |
| | IOE comments on selected IFAD operational policies prepared by IFAD Management for consideration by Evaluation Committee | To be completed in December 2013 | N/A |
| | Participation in all sessions of Evaluation Committee, according to terms of reference and rules of procedure of EC | To be completed in December 2013 | Five formal sessions held. One more session planned in November, respectively. IOE participated in EC field visit to Viet Nam, and made presentation on results of CPE |
| 7. Communication and knowledge management activities | Evaluation reports, Profiles, Insights, IOE website, etc. | January-December 2013 | In progress as planned |
| | Evaluation synthesis on water management and conservation | To be completed in December 2013 | In progress as planned. Another evaluation synthesis started on youth – originally planned to start in January 2014 |
| | Attend IFAD Management Team meetings; OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE; participate selectively in CPMTs; and attend (as observer) Operational Management Committee meetings | January-December 2013 | In progress as planned |
| | IOE-OPV quarterly meetings | January-December 2013 | In progress as planned |
| 8. Partnership | ECG, NONIE, UNEG and SDC partnership | January-December 2013 | In progress as planned. IOE participated in ECG Spring Meeting and UNEG Annual General Meeting. New partnership formally established with the SDC to strengthen cooperation in evaluation |
| 9. Methodology | Fine-tune methodology for PCR validations and PPAs as needed | January-December 2013 | In progress as planned |
| | Contribute to in-house and external debate on impact evaluations | January-December 2013 | In progress as planned |
| | Continue to fine-tune Evaluation Manual to reflect key emerging issues as required | January-December 2013 | Process launched for preparing second edition of Evaluation Manual, to be issued in 2014 |
| | Implement revised harmonization agreement between | January-December 2013 | In progress as planned |

| <i>Type of work</i> | <i>Evaluation activities</i> | <i>Planned implementation status</i> | <i>Present status</i> |
|---------------------|--|--------------------------------------|--|
| | IOE and IFAD Management on independent and self-evaluation methodology and processes | | |
| 10. ECD | Implementation of activities in partner countries related to ECD | January-December 2013 | In progress as planned. Seminar on evaluation methodology held in context of Madagascar CPE; a statement of intent with Government of China in preparation |

Table 3
Key additional activities in 2013

| <i>Description of activities</i> | <i>Time line</i> |
|---|--|
| Joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation. Examples of collaborative activities already undertaken include: (i) sharing of consultant databases; (ii) participation in recruitment process of P-2 Professional staff member in IOE; (iii) participation in recruitment process of P-5 Professional staff member in CGIAR; and (iv) participation of evaluators from Rome-based agencies in learning event on impact evaluation and 2013 ARRI organized by IOE | Joint statement effective 2 April 2013 |
| Hosting extraordinary Annual General Meeting of United Nations Evaluation Group (UNEG) to discuss strategy and priorities of UNEG | 26-27 September 2013 |
| Follow-up study to review implementation of agreed recommendations from Joint Evaluation with AfDB on Agriculture and Rural Development in Africa | January-June 2013 |
| Preparation of dedicated booklet to mark 10 years of IFAD's independent evaluation function, launched at April 2013 session of Executive Board | January-April 2013 |
| Statement of Intent signed by IOE and the Ministry of Finance of China to engage in a partnership to strengthen evaluation capacity development in the country. In this context, for example, IOE is designing and will implement a one-day training course on evaluation methodology and processes in Beijing on 1 November. | September 2013 |
| Discussion of CPE reports at Executive Board sessions scheduled in 2013: <ul style="list-style-type: none"> • Uganda in April; • Kenya, Nepal and Rwanda in September; and • Others (to be determined) in December 2013 | January-December 2013 |
| Preparation of IOE notes on COSOPs for Executive Board: <ul style="list-style-type: none"> • Kenya, Nepal and Rwanda in September; • Others in December 2013 | January-December 2013 |
| External peer reviews: <ul style="list-style-type: none"> • Asian Development Bank annual evaluation review report; • Global Environmental Facility (GEF) Fifth Overall Performance Study | January-December 2013 |
| Disclosure of evaluation ratings database | Made public in May 2013 |

Proposed IOE evaluation activities for 2014 and indicative plan for 2015-2016

Table 1
Proposed IOE work programme for 2014 by type of activity

| Type of work | Proposed activities for 2014 | Start date | Expected finish | Expected delivery time ^a | | | | |
|---|--|------------|-----------------|-------------------------------------|--------------|--------------|--------------|------|
| | | | | Jan-Mar 2014 | Apr-Jun 2014 | Jul-Sep 2014 | Oct-Dec 2014 | 2015 |
| 1. Corporate-level evaluation | Revised IFAD Policy for Grant Financing | Jan-13 | Jun-14 | | X | | | |
| | IFAD's engagement in fragile states | Jan-14 | Jun-15 | | | | | X |
| 2. Country programme evaluation | Bolivia | Jan-13 | Mar-14 | X | | | | |
| | Bangladesh | May-14 | Jul-15 | | | | | X |
| | China | Jan-13 | Mar-14 | X | | | | |
| | Senegal | Jan-13 | Mar-14 | X | | | | |
| | Sierra Leone | Jan-14 | Mar-15 | | | | | X |
| | United Republic of Tanzania | Jan-14 | Mar-15 | | | | | X |
| | Zambia | Jan-13 | Mar-14 | X | | | | |
| 3. Project completion report validation | Validate all PCRs available in year | Jan-14 | Dec-14 | X | X | X | X | |
| 4. Project performance assessment | About 8 PPAs | Jan-14 | Dec-14 | | | X | X | |
| 5. Impact evaluation | One (project to be determined) | Jan-14 | Dec-14 | | | | X | |
| 6. Engagement with governing bodies | Review of implementation of results-based work programme for 2014 and indicative plan for 2015-2016, and preparation of results-based work programme and budget for 2015 and indicative plan for 2016-2017 | Jan-14 | Dec-14 | | | | | |
| | 12 th ARRI | Jan-14 | Dec-14 | | | | | X |
| | IOE comments on PRISMA | Jun-14 | Sep-14 | | | X | | |
| | IOE comments on RIDE | Oct-14 | Dec-14 | | | | | X |
| | IOE comments on selected IFAD operational policies prepared by IFAD Management for consideration by Evaluation Committee | Jan-14 | Dec-14 | | | | | |
| | Participation in all sessions of Evaluation Committee, according to revised terms of reference and rules of procedure of EC | Jan-14 | Dec-14 | | X | X | X | |
| | IOE comments on COSOPs when related CPEs are available | Jan-14 | Dec-14 | | X | X | X | |
| | IOE engagement in IFAD10 (activities to be determined) | Jan-14 | Dec-14 | X | X | X | X | |

| Type of work | Proposed activities for 2014 | Start date | Expected finish | Expected delivery time ^a | | | | |
|--|---|------------|-----------------|-------------------------------------|--------------|--------------|--------------|------|
| | | | | Jan-Mar 2014 | Apr-Jun 2014 | Jul-Sep 2014 | Oct-Dec 2014 | 2015 |
| 7. Communication and knowledge management activities | Evaluation synthesis on IFAD's engagement in middle-income countries | Jan-14 | Jun-14 | | X | | | |
| | Evaluation synthesis on pastoral development | Jun-14 | Dec-14 | | | | X | |
| | Evaluation reports, Profiles, Insights, website, etc. | Jan-14 | Dec-14 | X | X | X | X | |
| | Organization of in-country CPE learning workshops, as well as learning events in IFAD | Jan-14 | Dec-14 | X | X | X | X | |
| | Participate and share knowledge in selected external platforms such as learning events or meetings of evaluation groups | Jan-14 | Dec-14 | X | X | X | X | |
| | IOE-OPV quarterly meetings | Jan-14 | Dec-14 | X | X | X | X | |
| | Attend all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attend OMCs, IMTs and selected CPMTs | Jan-14 | Dec-14 | X | X | X | X | |
| 8. Partnership | ECG, UNEG, NONIE and SDC partnerships | Jan-14 | Dec-14 | X | X | X | X | |
| | Contribute as external peer reviewer to key evaluations by other multilateral/bilateral organizations as requested | Jan-14 | Dec-14 | | | | | |
| | Implement Joint Statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation | Jan-14 | Dec-14 | X | X | X | X | |
| 9. Methodology | Second edition of Evaluation Manual | Jan-14 | Dec-14 | | | | X | |
| | Contribute to in-house and external debate on impact evaluations | Jan-14 | Dec-14 | X | X | X | X | |
| | Implement revised harmonization agreement between IOE and IFAD Management on independent and self-evaluation methodology and processes | Jan-14 | Dec-14 | X | X | X | X | |
| 10. ECD | Engage in ECD in context of regular evaluation process | Jan-14 | Dec-14 | X | X | X | X | |
| | Organization of workshops in partner countries (as per request) on evaluation methodology and processes | Jan-14 | Dec-14 | X | X | X | X | |

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

Table 2
IOE indicative plan for 2015-2016 by type of activity

| <i>Type of work</i> | <i>Indicative plan for 2015-2016</i> | <i>Year</i> |
|---|--|-------------|
| 1. Corporate-level evaluation | Joint evaluation with FAO and WFP of Reformed Committee on World Food Security | 2015-2016 |
| | IFAD's approach and results in policy dialogue | 2015-2016 |
| | IFAD's efforts in conducting impact evaluations | 2015-2016 |
| | Targeting | 2016-2017 |
| 2. Country programme evaluation | Brazil | 2015-2016 |
| | Burkina Faso | 2015 |
| | Burundi | 2015 |
| | Cameroon | 2016 |
| | India | 2016 |
| | Malawi | 2015 |
| | Pakistan | 2015 |
| | Indian Ocean small island developing states | 2015 |
| | Subregional evaluation in English-speaking Caribbean island countries | 2015-2016 |
| 3. Project completion report validation | Validate all PCRs available in year | 2015-2016 |
| 4. Project performance assessment | About 8 PPAs/year | 2015-2016 |
| 5. Impact evaluation | 1 per year (project to be determined) | |
| 6. Engagement with governing bodies | Review of implementation of results-based work programme for 2015 and indicative plan for 2016-2017, and preparation of results-based work programme and budget for 2016 and indicative plan for 2017-2018 | 2015 |
| | Review of implementation of results-based work programme for 2016 and indicative plan for 2017-2018, and preparation of results-based work programme and budget for 2017 and indicative plan for 2018-2019 | 2016 |
| | 13 th and 14 th ARRIIs | 2015-2016 |
| | IOE comments on PRISMA | 2015-2016 |
| | IOE comments on RIDE | 2015-2016 |
| | IOE comments on selected IFAD operational policies prepared by IFAD Management for consideration by Evaluation Committee | 2015-2016 |
| | Participation in all sessions of Evaluation Committee, according to revised terms of reference and rules of procedure of Evaluation Committee | 2015-2016 |
| | IOE comments on COSOPs when related CPEs are available | 2015-2016 |

| <i>Type of work</i> | <i>Indicative plan for 2015-2016</i> | <i>Year</i> |
|--|---|-------------|
| 7. Communication and knowledge management activities | Evaluation reports, Profiles, Insights, website, etc. | 2015-2016 |
| | Evaluation synthesis (on indigenous peoples) | 2015 |
| | Activities related to International Year of Evaluation (2015) | 2015 |
| | Attend all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attend OMC, IMT and selected CPMTs | 2015-2016 |
| 8. Partnership | ECG, UNEG, NONIE and SDC partnerships | 2015-2016 |
| | Implement Joint Statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation | 2015-2016 |
| 9. Methodology | Contribute to in-house and external debate on impact evaluation | 2015-2016 |
| | Training of IOE staff and consultants on 2 nd edition of Evaluation Manual | 2015 |
| | Implement revised harmonization agreement between IOE and IFAD Management on independent and self-evaluation methodology and processes | 2015-2016 |
| 10. ECD | Implementation of activities in partner countries related to ECD | 2015-2016 |

IOE staff levels for 2014

| 2010 level | 2011 level | 2012 level | 2013 level | 2014 | | |
|------------|------------|------------|------------|--------------------|-----------------------|-------|
| | | | | Professional staff | General Service staff | Total |
| 19.5 | 19.5 | 19.5 | 18.5 | 12.5 | 6 | 18.5 |

Human resource category

| Category | 2013 | 2014 |
|--|-------------|-------------|
| Director | 1 | 1 |
| Deputy Director | 1 | 1 |
| Senior evaluation officers | 4 | 2* |
| Evaluation officers | 5 | 7 |
| Evaluation research analyst | 1 | 1 |
| Evaluation knowledge and communication officer | 0.5 | 0.5 |
| Total Professional staff | 12.5 | 12.5 |
| Administrative assistant | 1 | 1 |
| Assistant to Director | 1 | 1 |
| Assistant to Deputy Director | 1 | 1 |
| Evaluation assistants | 3 | 3 |
| Total General Service staff | 6 | 6 |
| Grand total | 18.5 | 18.5 |

* Discussions are under way for the secondment of one senior evaluation officer from SDC to IOE, with no impact on IOE staff costs.

IOE General Service staff levels

| 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 (proposed) |
|------|------|------|------|------|------|------|------|-----------------|
| 9.5 | 9.5 | 8.5 | 8.5 | 8 | 8 | 8 | 6 | 6 |

Proposed IOE budget for 2014

Table 1
IOE proposed budget 2014
 (United States dollars)

| <i>Evaluation work</i> | <i>2010 budget^a</i> | <i>2011 budget^a</i> | <i>2012 budget^a</i> | <i>2013 budget^a</i> <i>(1)</i> | <i>Proposed 2014 budget</i> | | | |
|------------------------|--------------------------------|--------------------------------|--------------------------------|--|---|---|--|--|
| | | | | | <i>Real increase/decrease</i> <i>(2)</i> | <i>Price increase^b</i> <i>(3)</i> | <i>Exchange rate increase/decrease^c</i> <i>(4)</i> | <i>Total 2014 budget at US\$1 = EUR 0.72</i> <i>(5)=(1)+(2)+(3)+/-(4)</i> |
| Non-staff costs | 2 600 000 | 2 238 000 | 2 289 474 | 2 346 711 | 0 | 49 281 | 0 | 2 395 992 |
| Staff costs | 3 620 204 | 3 645 576 | 3 734 530 | 3 667 268 | -80 578 | 0 | 0 | 3 586 690 |
| Total | 6 220 204 | 5 883 576 | 6 024 004 | 6 013 979 | -80 578 | 49 281 | 0 | 5 982 682 |

^a As approved by the Governing Council (at the exchange rate of US\$1 = EUR 0.722 in 2010, 2011, 2012 and 2013).

^b As for the rest of IFAD and conveyed by the Budget Unit. Price increase for non-staff costs is 2.1 per cent, and there is no price increase for staff costs.

^c As conveyed by the Budget Unit, the exchange rate to be applied at this stage is the same exchange rate as applied for the 2013 budget, i.e. US\$1 = EUR 0.72 to facilitate comparison.

Table 2
2014 IOE budget proposal breakdown for non-staff costs

| Type of activity | Absolute number | Relative number in terms of % of work done ^a | Standard unit costs ^b (US\$) | Proposed non-staff costs in 2014 (US\$) |
|--|-----------------|---|---|---|
| ARRI | 1 | 1 | 150 000 | 150 000 |
| Corporate-level evaluation | 2 | 1 | Differentiated cost based on scope and nature of issues to be assessed: 200 000-450 000 | 410 000 |
| Country programme evaluation | 7 | 3.3 | Differentiated cost based on size of portfolio, size of country, travel costs and availability of evaluative evidence: 225 000-305 000 | 760 000 |
| PCR validation | About 30 | About 30 | - | 50 000 |
| PPA | About 8 | About 8 | 25 000-30 000 | 230 000 |
| Impact evaluation | 1 | 1 | 200 000-300 000 | 210 000 |
| Evaluation synthesis | 2 | 2 | 50 000-65 000 | 120 000 |
| Revision of IOE Evaluation Manual | 1 | 1 | - | 150 000 |
| Communication, evaluation outreach, knowledge-sharing and partnership activities | - | - | - | 198 000 |
| ECD, training and other costs | - | - | - | 117 992 |
| Total | | | | 2 395 992 |

^a Often evaluations are begun one year and completed the following year. This figure represents percentage of work done for those evaluations in 2014.

^b Standard unit costs also include staff travel when necessary.

Table 3

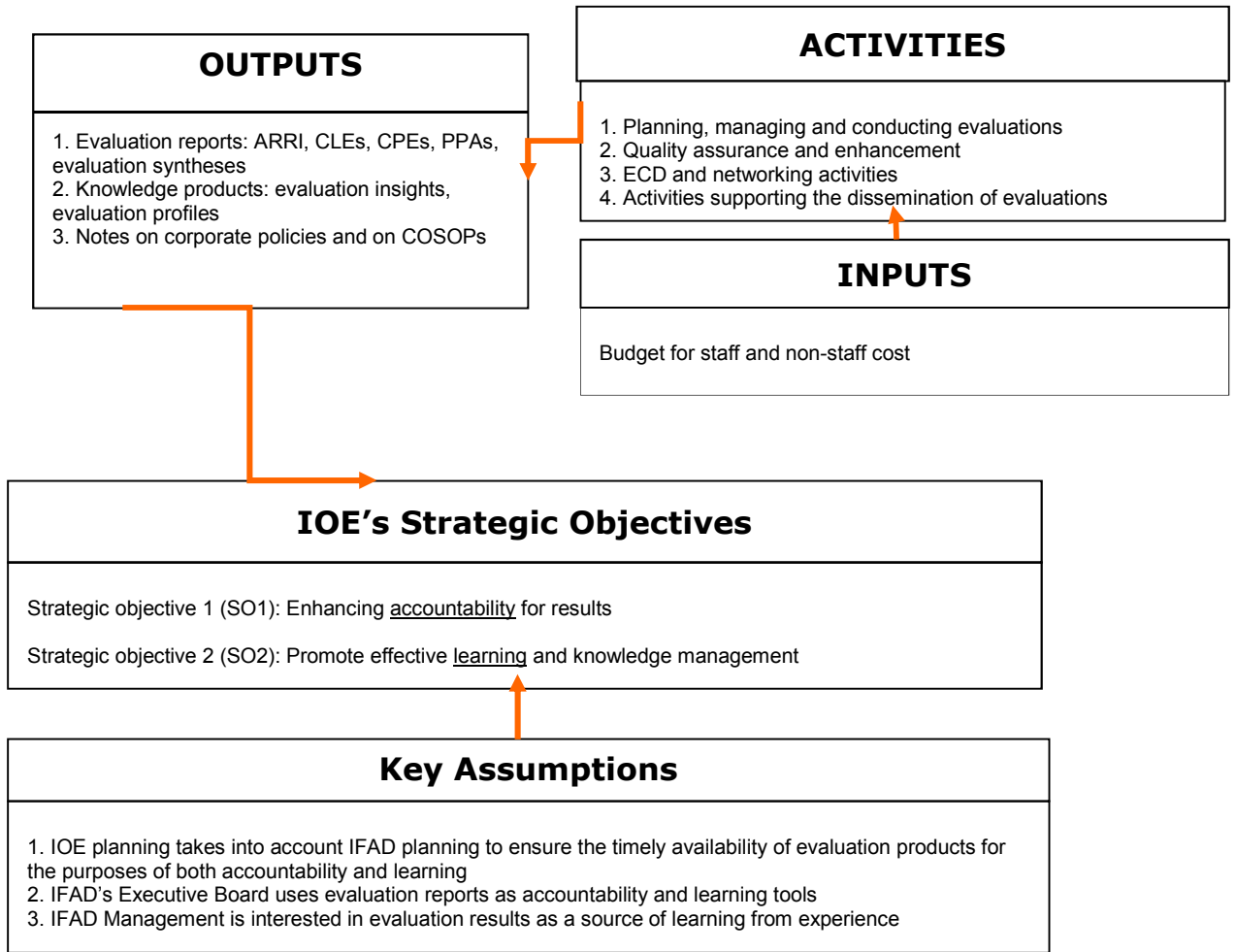
IOE proposed budget allocation (staff and non-staff costs) by objective and divisional management result

(United States dollars)

| <i>IOE objectives</i> | <i>IOE DMRs</i> | <i>Proposed budget (staff and non-staff cost)</i> | <i>Percentage overall total proposed budget</i> |
|---|--|---|---|
| Strategic objective 1: Contribute, through independent evaluation work, to enhancing accountability for results | DMR 1: ARRI and CLEs that provide concrete building blocks for development and implementation of better corporate policies and processes | 951 788 | 16 |
| | DMR 2: CPEs that serve as concrete building blocks for better results-based COSOPs | 1 591 068 | 26 |
| | DMR 3: Project evaluations that contribute to better IFAD-supported operations | 1 117 678 | 19 |
| | DMR 4: Methodology development | 464 702 | 8 |
| | DMR 5: Work related to IFAD governing bodies | 233 289 | 4 |
| Total for strategic objective 1 | | 4 358 525 | 73 |
| Strategic objective 2: Promote effective learning and knowledge management to further strengthen the performance of IFAD operations | DMR 6: Production of evaluation syntheses and ARRI learning themes | 508 941 | 8 |
| | DMR 7: Systematic communication and outreach of IOE's work | 811 567 | 14 |
| | DMR 8: ECD in partner countries | 303 649 | 5 |
| Total for strategic objective 2 | | 1 624 157 | 27 |
| GRAND TOTAL | | 5 982 682 | 100 |

IOE Results Framework

IOE's Theory of Change



IOE Results Framework

Key Performance Indicators

This is work in progress. IOE will further develop its key performance indicators.

| <i>IOE objectives</i> | <i>Key performance indicators</i> | <i>IOE DMRs^a</i> | <i>Means of verification</i> | <i>2011 baseline</i> | <i>2014 target</i> |
|---|--|-----------------------------|------------------------------|----------------------|----------------------|
| Strategic objective 1: Contribute, through independent evaluation work, to enhancing accountability for results | 1. Number of notes with comments on COSOPs and policy documents | DMRs 1, 2, 5 | IOE records | | |
| | 2. Number of IOE staff members sent on evaluation training each year, on a rotational basis | DMR 4 | IOE records | 3 staff | 3 staff |
| | 3. Number of planned Evaluation Committee sessions held in accordance with Committee's terms of reference | DMR 5 | IOE records | 4 regular sessions | According to 2014 WP |
| | 4. IOE participation as required in sessions of Audit Committee, Executive Board, Governing Council and Evaluation Committee annual country visit | DMR 5 | IOE records | 100% | 100% |
| Strategic objective 2: Promote effective learning and knowledge management to further strengthen the performance of IFAD operations | 5. Number of key learning events organized by IOE within IFAD | DMRs 6 and 7 | IOE records | 2 events | 4 events |
| | 6. Number of in-country learning events co-organized by IOE with governments | DMR 7 | IOE records | 4 events | 5 events |
| | 7. Number of in-house learning events attended by IOE staff for knowledge-sharing | DMR 7 | IOE records | 2 events | 4 events |
| | 8. Number of external knowledge events with IOE staff participation to share lessons from evaluation | DMR 7 | IOE records | 3 events | 5 events |
| | 9. Number of knowledge management products (i.e. Profiles and Insights) of CLEs and CPEs published within three months of established completion date and disseminated to internal and external audiences (once ACP is signed) | DMRs 6 and 7 | IOE record | 80% | 100% |
| | 10. Number of evaluation syntheses and ARRI learning themes | DMR 6 | IOE records | | According to 2014 WP |
| | 11. Number of ECD workshops organized in partner countries to share knowledge on IOE evaluation methodology and processes | DMR 8 | IOE records | NA | |

| <i>IOE objectives</i> | <i>Key performance indicators</i> | <i>IOE DMRs^a</i> | <i>Means of verification</i> | <i>2011 baseline</i> | <i>2014 target</i> |
|---|--|-----------------------------|------------------------------|----------------------|----------------------|
| | 12. Number of events attended by IOE staff, related to self-evaluation and ECD | DMR 8 | IOE records | 1 event | 3 events |
| Joint SOE 1 and SOE 2 (combining the learning and accountability functions of independent evaluation) | 13. ARRI, and number of CLEs, PPAs and PCRVs and impact Evaluations | DMR 1,2 and 3, | IOE records | | According to 2014 WP |

^aDMR 1: ARRIs and CLEs that provide concrete building blocks for the development and implementation of better corporate policies and processes; DMR 2: CPEs that serve as concrete building blocks for better results-based COSOPs; DMR 3: Project evaluations that contribute to better IFAD-supported operations; DMR 4: Methodology development; DMR 5: Work related to IFAD governing bodies; DMR 6: Production of evaluation syntheses and ARRI learning themes; DMR 7: Systematic communication and outreach of IOE's work; DMR 8: ECD in partner countries.

Selectivity framework

Table 1
Guiding questions for selection and prioritization of evaluations for inclusion in IOE's work programme

| <i>Corporate-level evaluations/evaluation syntheses</i> | <i>Country programme evaluations</i> | <i>Project performance assessments</i> |
|---|---|---|
| 1. Is this an area of interest/priority for IFAD stakeholders? | 1. Is this a country of interest/priority to regional division? | 1. Are there major information gaps, inconsistencies and analytical weaknesses in PCR found by IOE during validation process? |
| 2. Is this in line with IFAD's strategic priorities and replenishment commitments? | 2. How does this evaluation fit within geographical balance of IOE evaluation portfolio? | 2. Does project have successful innovative approaches that can be scaled up elsewhere? |
| 3. Will this address a knowledge gap in IFAD? | 3. Is there a critical decision point in IFAD that would drive timing of this evaluation? | 3. Is there high disconnect between ratings contained in PCR and those generated by IOE during validation process? |
| 4. What is evaluation expected to impact? | 4. How does this evaluation fit within IOE's objective? | 4. How does this evaluation fit within geographical balance of IOE evaluation portfolio? |
| 5. Is there a critical decision point in IFAD that would drive timing of this evaluation? | 5. What other IOE deliverables would this evaluation draw on and/or contribute to? | 5. What other IOE deliverables would this evaluation draw on and/or contribute to? |
| 6. How does this evaluation fit within IOE's objectives? | 6. Does IOE have resources (financial and human) to conduct this evaluation? | 6. Does IOE have resources (financial and human) to conduct this evaluation? |
| 7. What other IOE deliverables would this evaluation draw on and/or contribute to? | | |
| 8. Does IOE have resources (financial and human) to conduct this evaluation? | | |

Table 2

Application of selectivity framework for CLEs and evaluation syntheses^a

| <i>Guiding questions for CLEs/evaluation syntheses</i> | <i>CLE on IFAD's engagement in fragile states</i> | <i>CLE on IFAD's approach and results in policy dialogue</i> | <i>Evaluation synthesis on IFAD's engagement in middle-income countries</i> | <i>Evaluation synthesis on pastoral development</i> |
|---|---|--|--|--|
| 1. Is this an area of interest/priority for IFAD stakeholders? | 5 | 4 | 5 | 3 |
| 2. Is this in line with IFAD's strategic priorities and replenishment commitments? | 5 | 4 | 5 | 4 |
| 3. Will this address a knowledge gap in IFAD? | Yes | Yes, to a lesser extent, as 2012 ARRI included a learning theme on policy dialogue | Yes | Yes |
| 4. What is evaluation expected to impact? | IFAD's approach to its engagement in fragile states | IFAD's approach to policy dialogue | IFAD's approach to its engagement in middle-income countries | IFAD's operations related to pastoral development |
| 5. Is there a critical decision point in IFAD that would drive timing of this evaluation? | Yes | To some extent | Yes | No |
| 6. How does this evaluation fit within IOE's objectives? | Contribute to strategic objectives 1 and 2 | Contribute to strategic objectives 1 and 2 | Contribute to strategic objective 2 | Contribute to strategic objective 2 |
| 7. What other IOE deliverables would this evaluation draw on and/or contribute to? | Draw on CPEs and project-level evaluations | Draw on CPEs and project-level evaluations, as well as 2012 ARRI learning theme on policy dialogue | Draw on CPEs and project-level evaluations undertaken in middle-income countries. Contribute to future CLE on this topic | Draw on CPEs and project-level evaluations where there are pastoral development activities |
| 8. Does IOE have resources (financial and human) to conduct this evaluation? | Yes | Only one new CLE can be carried out in a given year. | Yes | Yes |

^a In constructing the work programme, each proposed evaluation has been validated against the guiding questions, using a five-point score, where 5 represents the highest score and 1 the lowest.

Table 3
Application of selectivity framework for CPEs

| <i>Guiding questions for CPEs</i> | <i>Bangladesh</i> | <i>Sierra Leone</i> | <i>United Republic of Tanzania</i> | <i>English-speaking Caribbean island countries</i> |
|---|---|---|--|---|
| 1. Is this a country of interest/priority to regional division? | 5 | 5 | 5 | 3 |
| 2. How does this evaluation fit within geographical balance of IOE evaluation portfolio? | 5 | 5 | 5 | 5 |
| 3. Is there a critical decision point in IFAD that would drive timing of this evaluation? | Yes (current COSOP covers 2012-2018; CPE will contribute to COSOP mid-term review) | Yes (current COSOP covers 2010-2015; CPE will contribute to formulation of new COSOP) | Yes (current COSOP covers 2007-2013; CPE will contribute to formulation of new COSOP) | At present IFAD has no subregional strategy in region |
| 4. How does this evaluation fit within IOE's objectives? | Contribute to strategic objectives 1 and 2 | Contribute to strategic objectives 1 and 2 | Contribute to strategic objectives 1 and 2 | Contribute to strategic objectives 1 and 2 |
| 5. What other IOE deliverables would this evaluation draw on and/or contribute to? | Draw on project-level evaluations in Bangladesh and on previous CPE of 2005; contribute to CLE on policy dialogue | Contribute to CLEs on fragile states and policy dialogue | Draw on project-level evaluations in United Republic of Tanzania and on previous CPE of 2003; contribute to CLE on policy dialogue | Contribute to CLE on policy dialogue |
| 6. Does IOE have resources (financial and human) to conduct this evaluation? | Yes | Yes | Yes | No, thus it is proposed that this evaluation be included in indicative forward work programme 2015-2016 |