

Document: EC 2015/88/W.P.3
Agenda: 4
Date: 27 May 2015
Distribution: Public
Original: English

E



Preview of the results-based work programme and budget for 2016 and indicative plan for 2017-2018 of the Independent Office of Evaluation of IFAD

Note to Evaluation Committee members

Focal points:

Technical questions:

Oscar A. Garcia
Director
Independent Office of Evaluation of IFAD
Tel.: + 39 06 5459 2274
e-mail: o.garcia@ifad.org

Ashwani Muthoo
Deputy Director
Tel.: +39 06 5459 2053
e-mail: a.muthoo@ifad.org

Simona Somma
Evaluation Specialist
Tel.: +39 06 5459 2124
e-mail: s.somma@ifad.org

Dispatch of documentation:

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

Evaluation Committee — Eighty-eighth Session
Rome, 26 June 2015

For: Review

Contents

Abbreviations and acronyms	ii
I. Introduction	1
II. Current perspective	2
A. Highlights of 2015	2
B. 2015 budget utilization	4
C. Utilization of the 2014 carry-forward	4
III. IOE strategic objectives	5
IV. 2016 work programme	5
V. 2016 resource envelope	9
A. Staff resources	9
B. Budget proposal	9
 Annexes	
I. IOE Results Measurement Framework for 2016-2018	14
II. IOE Results Measurement Framework for 2015	16
III. IOE reporting on achievements (as of end-May 2015)	18
IV. IOE proposed evaluation activities for 2016 and indicative plan for 2017-2018	24
V. IOE staff levels for 2016	28
VI. IOE proposed budget for 2016	29
VII. IOE selectivity framework	32

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
CPMT	country programme management team
DMR	divisional management results
ECD	evaluation capacity development
ECG	Evaluation Cooperation Group (of the multilateral development banks)
ESR	evaluation synthesis report
FAO	Food and Agriculture Organization of the United Nations
IE	impact evaluation
IMT	IFAD Management Team
IOE	Independent Office of Evaluation of IFAD
KPI	key performance indicator
OMC	Operations Management Committee
OSC	Operational Strategy and Policy Guidance Committee
PBAS	performance-based allocation system
PCR	project completion report
PCRV	project completion report validation
PPA	project performance assessment
PPE	project performance evaluation
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 planning
UNEG	United Nations Evaluation Group
WFP	World Food Programme
WPB	workplan and budget

Preview of the results-based work programme and budget for 2016 and indicative plan for 2017-2018 of the Independent Office of Evaluation of IFAD

I. Introduction

1. This document contains the preview of the Independent Office of Evaluation of IFAD (IOE) work programme and budget for 2016 and indicative plan for 2017-2018. In line with the IFAD Evaluation Policy,¹ the IOE budget is developed independently of IFAD's administrative budget.² This preview takes into account the feedback and priorities expressed by IFAD governing bodies in 2014, and has been developed building on consultations with IFAD Management. In particular, the preview has been developed after careful examination of IFAD priorities for the period of the Tenth Replenishment of IFAD's Resources (IFAD10, 2016-2018).³
2. The beginning of the IFAD10 period in 2016, the introduction of IFAD's strategic vision for 2025, the development of a new corporate strategic framework for 2016-2025, the forthcoming adoption of the United Nations Sustainable Development Goals, and the post-2015 development agenda provide the backdrop for IFAD's independent evaluation programme in the coming years.
3. To this end, in 2015, IOE is developing its medium-term strategic vision for 2016-2018, which will serve as the overarching reference for: (i) articulating the division's strategic objectives (SOs); (ii) its Results Measurement Framework (RMF); and (iii) determining independent evaluation activities for 2016 and the indicative plan for 2017-2018.
4. The preview document is "based on a critical assessment of needs, rather than simply using the current budget as a baseline".⁴ It illustrates the linkages between the work programme and expenditures, and details the breakdown of budgeted costs, particularly non-staff costs, including those for consultants. Moreover, for the first time, as requested last year by the Evaluation Committee, IOE is making an attempt to quantify the gender sensitivity of its budget for 2016. In this regard, the results should be considered a work in progress. In addition, the document provides details of actual expenditures for 2014, budget utilization up to 30 April 2015 and a current estimate of expected 2015 year-end utilization. In this regard, updated information, as available, will be provided in future versions of the document until its final submission to the Executive Board in December 2015.
5. This preview version of the work programme and budget document will be developed further, following incorporation of comments by the Evaluation Committee at its 88th session in June 2015, and based on feedback from the Audit Committee and the Executive Board during their September 2015 meeting and session. In line with the Evaluation Policy, the revised document will be discussed with the Evaluation Committee at its session planned for 9 October 2015. Subsequently, the final document will be considered by the Executive Board in December 2015. Prior to this, the budget proposal will be considered by the Audit Committee in November 2015, together with IFAD's 2016 administrative budget. Finally, it will be submitted, upon recommendation of the Board in December 2015, to the Governing Council in 2016 for approval. On a process-related issue, this proposal is based on the same key budgeting principles and parameters

¹ The IFAD Evaluation Policy is available at www.ifad.org/gbdocs/eb/102/e/EB-2011-102-R-7-Rev-2.pdf.

² See IFAD Evaluation Policy, page 13: "The levels of the IOE component and IFAD's administrative budgets will be determined independently of each other."

³ The final IFAD10 report is available at www.webapps.ifad.org/members/gc/38/docs/GC-38-L-4-Rev-1.pdf.

⁴ See the minutes of the 107th session of the Executive Board, paragraph 29.

(e.g. exchange rate, standard costs for staff positions and inflation factor) used by IFAD Management in preparing its own administrative budget for next year.

6. The preview document has been organized in five sections. Section II highlights achievements thus far of the 2015 evaluation work programme, overall 2014 budget utilization, 2015 budget utilization as of end-April 2015 and projected utilization for 2015, as well as the use of the 3 per cent carry-forward from the 2014 IOE budget. Section III provides a brief description of IOE's SOs, while section IV focuses on proposed evaluation activities for 2016. Lastly, section V outlines the initial proposal for the 2016 budget and human resources required by IOE to implement its work programme and achieve its main objectives effectively and punctually.

II. Current perspective

A. Highlights of 2015

7. By the end of the year, IOE expects to implement all activities planned in the 2015 work programme. Selected key achievements to date include:
 - Completion of the corporate-level evaluation (CLE) on IFAD's engagement in fragile and conflict-affected states and situations. The CLE was presented to the Evaluation Committee in March and to the Board in April. Its findings and recommendations are expected to inform IFAD's first corporate policy and strategy on that subject – to be developed and presented by Management to the Board in April 2016.
 - Undertaking of the CLE on IFAD's performance-based allocation system (PBAS). The approach paper⁵ for the CLE was presented to the Evaluation Committee in March 2015 and finalized incorporating comments by Committee members. The evaluation is now in full swing, and will be completed by end-2015, for presentation to the Board in April 2016.
 - Development of the second edition of the IFAD Evaluation Manual,⁶ which will be presented in draft format to an informal seminar of the Evaluation Committee in June. The final version will be considered by the Committee in its 89th session in October 2015. The manual is a far-reaching and critical undertaking of divisional importance, as it contains the key methods and processes for the diverse types of evaluations conducted by IOE. It will also provide the basis for the preparation of a revised harmonization agreement, in the second part of 2015, between IOE and IFAD Management on the organization's independent and self-evaluation functions. The new edition will be implemented beginning in January 2016.
 - Finalization of two evaluation synthesis reports (ESRs). This includes the first joint ESR on pastoral development by IOE and the Office of Evaluation of the Food and Agriculture Organization of the United Nations (FAO), and the second on IFAD's work in supporting indigenous peoples. As agreed with the Executive Board, preparation of three further ESRs has been launched, respectively, on South-South and Triangular Cooperation, access to markets, and natural resource and environmental management.
 - Preparation of the 2015 Annual Report on Results and Impact of IFAD Operations (ARRI) is ongoing, including the necessary data and statistical analysis. Moreover, as agreed with the Board, this year's ARRI learning theme is sustainability of benefits, which aims to identify cross-cutting and systemic issues and lessons that can be used to further strengthen the design and implementation of IFAD-funded projects. IOE is working in partnership with

⁵ Available at <https://webapps.ifad.org/members/ec/87/docs/EC-2015-87-W-P-4.pdf>.

⁶ The first Evaluation Manual was developed in 2008 and issued in 2009.

the FAO Investment Centre to prepare an issues paper on the 2015 ARRI learning theme.

- Finalization of two country programme evaluations (CPEs) in the United Republic of Tanzania and Bangladesh, which will be presented to the Evaluation Committee in June and October 2015, respectively. Other CPEs are ongoing, in accordance with the IOE plan.
 - IOE has completed its second impact evaluation (IE) (in India), and will begin a further IE of an IFAD-funded operation in Mozambique in the second half of the year. The India IE will be discussed in the Evaluation Committee in June 2015.
 - Piloting evaluation capacity development (ECD) efforts in China and Ethiopia. In both countries, IOE is conducting a mapping exercise to determine evaluation capacity at the country level and is assessing what evaluation initiatives by other organizations are in place in the agriculture sector. This will help inform IOE's approach and activities in support of countries – enhancing their understanding of evaluation methods and processes, and enabling them to undertake evaluations of development policies and programmes themselves.
 - Within the overall context of the 2015 International Year of Evaluation, IOE is organizing – jointly with the evaluation offices of the Rome-based agencies – a technical seminar on "Enhancing the evaluability of sustainable development goal 2 (SDG2) – End hunger, achieve food security and improved nutrition, and promote sustainable agriculture". The broader aim of this initiative is to contribute to strengthening the evaluation dimension of the SDGs.
8. IOE strategic vision and RMF. Work is under way towards the development of IOE's strategic vision, which will be finalized in the second part of the year. The aim of the strategic vision is to capture, in a short statement, the main purpose of IFAD's independent evaluation function and to articulate its contribution to furthering IFAD's mandate. Together with the strategic vision, IOE is planning to strengthen its internal performance management and monitoring systems. Information on the strategic vision and IOE's internal performance management and monitoring system will be included in the revised 2016 work programme and budget document, to be presented to the October session of the Committee.
9. In parallel, as agreed with the Executive Board and building on IOE's existing results chain, IOE has revised its RMF for the IFAD10 period and fine-tuned the divisional management results and key performance indicators (KPIs). The revised RMF for 2016-2018 can be seen in annex I. The RMF includes, inter alia, indicators to assess the efficiency of IOE. It will be further developed in the coming months and finalized by end-2015.
10. Reporting. The 2015 RMF, which is IOE's monitoring and reporting framework for 2015, is contained in annex II. Progress in implementing planned evaluation activities for 2015 is summarized in table 1 of annex III. Moreover, the preview includes a summary of progress made in meeting the targets for each key performance indicator included in the 2015 RMF (see table 2 in annex III). The data reveal that most activities are on track. Updated achievements (both in planned evaluation activities and against IOE's KPIs) will be reported to the Board in December 2015.

B. 2015 budget utilization

11. Table 1 provides information on budget utilization by IOE in 2014, as well as budget utilization as of April 2015 and that expected by year-end.

Table 1

IOE budget utilization in 2014 and projected utilization in 2015

(United States dollars)

<i>Evaluation work</i>	<i>Approved budget 2014</i>	<i>Budget utilization 2014</i>	<i>Approved budget 2015</i>	<i>2015 commitment as of end-April</i>	<i>Expected utilization as of year-end 2015</i>
Staff travel	345 000	280 099	355 000	107 404	355 000
Consultant fees	1 465 000	1 979 611	1 485 000	893 758	1 485 000
Consultant travel and allowances	395 000	379 948	410 000	187 229	410 000
In-country CPE learning events	35 000	30 853	40 000	1 864	40 000
Evaluation outreach, staff training and other costs	155 992	202 351	165 892	102 008	165 892
Non-staff costs	2 395 992	2 872 862	2 455 892	1 292 263	2 455 892
Staff costs	3 586 690	2 815 138	3 614 041	3 350 965	3 393 342
Total	5 982 682	5 688 000	6 069 933	4 643 228	5 849 234
Utilization (percentage)		95.1		76.5	96.4

Based on committed staff costs adjusted for exchange rate up to 30 April 2015.

12. Actual total expenses against IOE's 2014 budget amounted to US\$5.69 million, equal to a utilization of 95.1 per cent. Lower utilization is largely due to savings in staff costs, primarily from vacant positions and nominally by the strengthening of the United States dollar vis-à-vis the euro towards the latter part of the year. Staff cost savings were partly offset by an increase in consultancy requirements to accomplish some of the tasks required related to vacant positions. A portion of staff cost savings was also used to contribute to knowledge management and lessons learned. In this regard, for example, IOE prepared a third unplanned ESR in 2014 on IFAD's work related to indigenous peoples.
13. In 2015, against an approved budget of US\$6.07 million, utilization (in terms of commitments) as of end-April 2015 is US\$4.64 million, or 76.5 per cent. High utilization at this time of year is mainly due to the full-year commitment of staff costs, which is in line with the IFAD-wide established practice, as well as higher utilization in consultancy fees and staff/consultants travel costs in the first part of the year, in line with the normal business cycle.
14. The expected overall utilization in 2015 of the total IOE budget as of year-end is currently projected at US\$5.85 million, corresponding to 96.4 per cent of the approved budget. The anticipated lower utilization is in staff costs as a result of vacant positions, which are currently being filled, as well as in the exchange rate impact during January to April. With regard to staffing, IOE is currently in the process of hiring a professional staff member with experience and expertise in statistical analysis, to further enhance the quantitative character of independent evaluations, including the analysis contained in the ARRI.

C. Utilization of the 2014 carry-forward

15. 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.

16. The IOE 3 per cent carry-forward from 2014 amounted to US\$179,480. These funds have been allocated towards the India CPE. This evaluation was not fully budgeted in 2015, as IOE initially planned to start the India CPE in October 2015 and complete it in 2016. However, following further consultations and agreement with the Asia and the Pacific regional division and the Government of India, IOE decided to advance implementation of this evaluation. The revised time frames will allow CPE results to feed into the development of the new India country strategic opportunities programme (COSOP) more punctually, thus enhancing the usefulness of the CPE.

III. IOE strategic objectives

17. As agreed with the Executive Board in December 2013, IOE plans to align its SOs with IFAD replenishment periods. The purpose is to ensure a more coherent link between IOE SOs and corporate priorities. Thus the following are proposed for the period 2016-2018 (i.e. IFAD10):
 - (i) SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability; and
 - (ii) SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness.
18. These two objectives should allow IOE to achieve the overarching goal set for independent evaluation: to promote accountability and foster learning to improve the performance of IFAD-supported operations.

IV. 2016 work programme

19. The proposed list of IOE evaluation activities for 2016 may be seen in table 1 of annex IV, and the indicative plan for 2016-2017 is presented in table 2 of this annex. It may be noted that the proposed work programme for 2016 remains at about the same level as that of 2015, with enhancement in terms of quality, driven by methodology and process streamlining during development of the second edition of the evaluation manual. It is also important to underline that the mix of evaluation products that IOE proposes in 2016 provides the necessary basis for strengthening IFAD's broader accountability and learning for better development effectiveness.
20. Selection and prioritization of independent evaluations is facilitated by the use of a selectivity framework, which IOE first introduced in 2013. The selectivity framework is an instrument that also helps enhance transparency in developing the divisional work programme. IOE's selectivity framework has been further enhanced this year, and the current version of the revised framework may be seen in annex VII. Further sharpening is ongoing and the final proposal will be included in the 2016 work programme and budget document presented to the Evaluation Committee in October 2015. The following paragraphs provide an overview of the main evaluation activities for 2016 (see also table 2).
21. First, IOE proposes to complete the CLE on the PBAS and present its results to the Executive Board in April 2016. IFAD Management's written response will also be considered by the Board, together with the final CLE report. Before that, in accordance with established practice, the evaluation will be presented to the Evaluation Committee. This evaluation is expected to generate findings and recommendations to support IFAD Management and the Board in further developing the PBAS, as needed, in the future.
22. Next year, IOE will undertake a new formative CLE on IFAD's decentralization experience. This is a major evaluation on a very critical topic for the organization, and it will be based on the IFAD country presence policy and strategy (May 2011). IOE will assess the contributions of IFAD country offices (ICOs) and subregional and

regional offices as a central component of IFAD's operating model in achieving results in reducing rural poverty on the ground.

23. It is timely for IOE to conduct the CLE on IFAD's decentralization in 2016. The organization's decentralization is an important "area of reform" in the IFAD10 period for enhancing institutional and operational effectiveness and efficiency. Moreover, it is useful to note – although the country presence policy and strategy dates to 2011 – that IFAD started establishing ICOs in 2007, after the completion of the CLE on the Field Presence Pilot Programme. This provides an adequate time frame to assess results and generate lessons for the future.
24. In addition, IOE plans to start five new country programme evaluations (CPEs), one in each of the five regional divisions of IFAD. These include the Democratic Republic of the Congo, Egypt, Mozambique, Nicaragua and the Philippines. Moreover, IOE will complete the CPEs started in 2015 in India and Nigeria. The main aim of CPEs is to assess the results and impact of the partnership between IFAD and governments in reducing rural poverty, as well as to provide building blocks for preparation of IFAD country strategies/COSOPs in each country following completion of the CPE.
25. Building on its experience conducting IEs,⁷ next year IOE will launch a further evaluation (project to be determined based on the selectivity framework). It is important to underline that IEs by IOE are not part of those being undertaken by Management in the IFAD9 and IFAD10 periods. In fact, the main aim for IOE in conducting IEs is to test innovative methodologies and processes for assessing the results of IFAD operations more rigorously. They also allow IOE to gain important first-hand experience in implementing IEs, thus contributing better to ongoing internal and external debate on the subject.
26. Moreover, in 2016, IOE will prepare two ESRs. Such reports are largely based on existing evaluative evidence, and serve to extract and package lessons and good practices on specific topics that can inform development and implementation of IFAD policies, strategies and operations. IOE will adopt a more rigorous methodical approach to preparing synthesis reports, for example by using innovative methods such as systematic reviews, meta-analysis or qualitative comparative analysis, as appropriate. This will enhance the analytic rigour and credibility of such products.
27. The proposed topics for the two evaluation syntheses (ESs) next year are, respectively: (i) fisheries and aquaculture; and (ii) country-led scaling up processes, which are fundamental to a wider impact on rural poverty. It is worth noting that IOE has not done an evaluation or any major work on fisheries and aquaculture in the past, and the last evaluation on scaling up was presented to the Board in April 2010.⁸
28. While the fisheries/aquaculture synthesis was requested by the Evaluation Committee, it is important to note that IOE does not have ample existing evaluative evidence from past evaluations on the topic. However, if the Committee decides that IOE should proceed with such a synthesis, the Office will need to incorporate evidence from evaluations on the topic done by evaluation functions in other multilateral and bilateral development organizations.
29. As an alternative to the fisheries/aquaculture synthesis in 2016, IOE could instead prepare an evaluation synthesis on IFAD's country-level policy engagement, which was an agreed priority area for Member States in the IFAD10 period – and a topic on which IOE has the required evaluation evidence.
30. As in 2015, IOE could possibly undertake a third evaluation synthesis, subject to the guidance of the Evaluation Committee at its 88th session in June. The proposed topic for the third synthesis is gender equality and women's empowerment, which is

⁷ IOE has conducted two IEs in Sri Lanka and India, respectively.

⁸ See EB 2010/99/R.7

another area of priority in the IFAD10 period. For the time being, this preview document does not include provisions in the 2016 IOE work programme nor a budget for the undertaking of the gender synthesis. It would be timely to prepare such a synthesis, as the last IOE evaluation on gender was in 2010. Such a synthesis would be done jointly with the evaluation functions of FAO and the World Food Programme (WFP), within the broader context of enhanced collaboration among the Rome-based United Nations agencies. Given that this exercise would be conducted jointly, the budget for the third synthesis is expected to be lower compared with the unit cost of an evaluation synthesis prepared solely by IOE.

31. Following ongoing practice, IOE will validate all project completion reports and undertake project performance evaluations (PPEs) in selected projects.⁹ IOE plans to increase the number of PPEs from 8 per year to some 10 in 2016 and onwards. The increase aims to enhance the availability of independent evaluation evidence on IFAD's operational performance, which will also serve as critical input for the ARRI, CLEs and CPEs. Increasing the number of PPEs will allow IOE to have wider coverage of IFAD operations in all regions, which will further contribute to strengthening IFAD's broader accountability framework. This is considered fundamental, given that the majority of IFAD's development resources are channelled through investment projects and programmes to developing member countries.
32. PPEs will be selected more strategically than in the past. For example, priority will be given to those with a more immediate input into planned CPEs or ESRs. Moreover, IOE plans to strengthen the overall approach to and robustness of PPEs, especially by increasing interactions with beneficiaries and other in-country stakeholders, as well as to ensure that evaluation teams have the opportunity to conduct more structured participatory rural appraisals and a wider range of site visits to project activities in remote rural areas. On a case-by-case basis – and as and where needed – more structured data collection activities would be commissioned by IOE (e.g. through mini-surveys done before PPE missions) to enhance the evidence-base and analytic rigour of PPEs.
33. As specified in the Evaluation Policy, the division will prepare the 2016 edition of the ARRI, its flagship annual report. As in previous years, the ARRI will include a detailed analysis and a dedicated chapter on one major learning theme. IOE will propose the topic of the 2016 learning theme to the Board, in consultation with IFAD Management, for approval in December 2015.
34. Moreover, IOE will support recipient countries (selectively) in ECD activities. Increased focus will be devoted to strengthening partnership with the Rome-based agencies, especially in the conduct of joint evaluations. IOE will also ensure timely, customized dissemination and outreach of results and lessons to key audiences.
35. IOE will present all CLEs, the ARRI and selected CPEs to both the Evaluation Committee and the Executive Board, among other documents. It will present the IEs and ESRs to the Evaluation Committee, and, if requested, also to the Board.
36. IOE will prepare written comments on new COSOPs that have been preceded by CPEs for consideration by the Executive Board. In line with the IFAD Evaluation Policy, IOE will provide written comments on new corporate policies and strategies that have been informed by major CLEs. For instance, IOE will review and prepare written comments on the forthcoming corporate policy and strategy on fragile situations.

⁹ Such evaluations were previously called project performance assessments (PPAs). IOE decided to change their name to project performance evaluations, as the latter more appropriately captures the overall objectives and methodological approach followed.

Table 2
Evaluation activities planned by IOE for 2016

<i>Strategic objectives (SOs)</i>	<i>Divisional management results (DMRs)</i>	<i>Outputs</i>
SO1: Generate evidence through independent evaluations on IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	ARRI CLE on IFAD's decentralization experience Comments on RIDE and PRISMA and selected COSOPs and corporate policies/strategies, including comments on the new IFAD corporate strategy on fragile situations
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	CPEs (India and Nigeria - completed; Democratic Republic of the Congo, Egypt, Mozambique, Nicaragua, and the Philippines - started)
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	Evaluation syntheses - Fisheries and aquaculture, and scaling up, and a possible third synthesis on gender
	DMR 4: IFAD-supported operations are improved through independent project evaluations	PPEs All PCRs available in the year validated
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: Evaluation manual is implemented and new evaluation methods and products are piloted	Project IE completed and a new one started Contribution to in-house and external debate on IEs Training of IOE staff and consultants on second edition of evaluation manual
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	One learning theme in the context of the 2016 ARRI (topic to be decided) In-country learning workshops on the main results from CPEs to provide building blocks for the preparation of new COSOPs; learning events in IFAD from other evaluations (e.g. CLEs, syntheses, ARRI) to share lessons and good practices Partnerships (Evaluation Cooperation Group [ECG], United Nations Evaluation Group (UNEG), Swiss Agency for Development and Cooperation (SDC) and Rome-based agencies)
	DMR 7: Evaluation capacity development (ECD) in partner countries	ECD engaged in thorough seminars and workshops on evaluation methodology and processes in the context of: (i) regular evaluations (e.g. ongoing CPEs or PPEs); and (ii) upon request, in countries where IOE is not undertaking evaluations Implementation of statement of intent with China on ECD
SO1 and SO2¹⁰	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	Preparation of the IOE work programme and budget; participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, as well as selected Audit Committee meetings; participation in internal platforms (Operational Strategy and Policy Guidance Committee (OSCs), Operations Management Committees (OMCs), IFAD Management Teams (IMTs), country programme management teams (CPMTs), selected learning events, etc.)

¹⁰ There are a number of outputs that contribute to DMR 8, which cuts across both SOs.

V. 2016 resource envelope

A. Staff resources

37. IOE's staff requirements are based on a comprehensive annual strategic workforce planning (SWP) exercise. The 2016 SWP exercise will be finalized following presentation of this preview document to the Evaluation Committee in June. In undertaking this exercise, IOE will consult with the Budget and Organizational Development Unit to ensure that the methodology used by IOE is the same as that used throughout IFAD. Results of the SWP exercise for 2016 will be included in the final proposal for consideration by the Evaluation Committee in its planned session in October of this year. Pending completion of the SWP, it is anticipated that there will be no change in the staff complement for 2016 (see annex V). It is worth underlining that the IOE Professional to General Service staff ratio is about 1 to 0.46, which is among the best for any division in IFAD.
38. An initial assessment of the 2016 work programme indicates that the division should be in a position to deliver all planned activities punctually, including a third evaluation synthesis on gender, with its current level of staff resources, in spite of the slightly higher total level of effort for CPEs and PPEs (see table 3 on next page). This is made possible by the significant methodological strengthening of IOE evaluations and process streamlining undertaken within the context of the development of the second edition of the evaluation manual, which will be rolled out early in 2016, following consultation with the Evaluation Committee this year. In any case, in the coming months, IOE will further analyse the total level of effort required to implement its proposed 2016 work programme, and will make adjustments, as required, in the revised version of the document to be presented to the Evaluation Committee in October.

B. Budget proposal

39. This section outlines IOE budget requirements. The proposed budget is presented by type of activity, category of expenditure, and SOs (see tables 3-5). Each table includes both the 2015 approved budget and the proposed budget for 2016, facilitating a comparison between the two years. Moreover, IOE has developed a gender-sensitive budget to identify distribution of the budget for gender-related activities (see table 6). As mentioned earlier, this is work in progress. The proposed preview budget will be further reviewed based on developments in the second half of the year and will take into consideration inputs from the Evaluation Committee, Audit Committee and the Executive Board in September 2015 before finalizing the 2016 budget proposal.
40. Assumptions. As in the past, the parameters used in developing the proposed 2016 budget are the same as those used by IFAD Management in developing IFAD's administrative budget for 2016. As of the writing of the preview document, they are as follows: (i) no increase in salaries of Professional and General Service staff anticipated for 2016; (ii) a general inflation rate of 1.7 per cent for non-staff costs and/or specific price increases where available; and (iii) an exchange rate of US\$1 = EUR 0.86. The last two assumptions will be subject to review until presentation of the final budget proposal.
41. Budget by type of activity. As seen in table 3, US\$410,000 of the total non-staff costs of US\$2.491 million, or 16.4 per cent of non-staff costs, are allocated to higher-plane evaluations (ARRI and CLEs). These have the potential to induce far-reaching and systemic changes at the institutional level. The minor increase in the CPE budget line is explained by the higher total level of effort in conducting CPEs (4.5 units in 2015, as compared to 5.3 in 2016). In this regard, next year IOE plans to reassess the unit costs of CPEs based on initial experience in implementing the enhanced methodology of the evaluation manual's second edition. However, it is anticipated that process streaming is likely to generate efficiency gains that may lead to lower unit costs per CPE in 2017. Finally, in line with the explanations

provided in paragraphs 31-32, the slight cost increase in the PPE budget is due to the increased number of such evaluations and to greater efforts to enhance their overall robustness. The slight increase in unit cost per ESR is explained in paragraph 26.

Table 3
Proposed budget for 2016 (by type of activity)¹¹

<i>Type of activity</i>	<i>Approved 2015 budget (US\$)</i>	<i>Absolute number 2015</i>	<i>Level of effort 2015</i>	<i>Proposed 2016 budget (US\$)</i>	<i>Absolute number 2016</i>	<i>Level of effort 2016</i>
ARRI	100 000	1	1	100 000	1	1
CLEs	370 000	2	1	310 000	2	1
CPEs	1 035 000	8	4.5	1 070 000	7	5.3
Evaluation syntheses	120 000	3	3	110 000	2	2
PPEs	230 000	8	8	315 000	10	10
PCR validations	50 000	30	30	50 000	30	30
IE	200 000	2	1	200 000	2	1
2 nd ed. evaluation manual	40 000	1	0.3	0	0	0
Knowledge-sharing, communication, evaluation outreach, partnership activities	188 000	-	-	195 000	-	-
ECD, training	122 892	-	-	141 520	-	-
Total non-staff costs	2 455 892			2 491 520		
Staff costs	3 614 041			3 156 442		
Total	6 069 933			5 647 962		

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

42. As mentioned in paragraph 26, IOE will adopt a more rigorous and methodical approach to preparing syntheses reports. Thus, it proposes to allocate US\$55,000 per product in 2016, as compared with US\$40,000 in the past. Accumulated experience in preparing ESRs in the past five years has shown that their analytical depth has been constrained by limited resources. The additional allocations will allow IOE to expand the literature review component underpinning such products, as well as to use more rigorous methods in codifying, extracting and analysing existing evaluative evidence.
43. Finally, minor increases in ECD, partnerships, communication, dissemination and outreach aim to strengthen the evaluation learning and feedback loop, widen IOE's contribution to building evaluation capacity in selected recipient countries, and foster joint activities with Rome-based agencies and evaluation offices in other development organizations (e.g. in the context of the United Nations Evaluation Group and the ECG of the multilateral development banks).
44. Budget by category of expenditure. In table 4, the proposed non-staff budget is allocated by category of expenditure. Sixty per cent of the non-staff budget is allocated to consultancy fees to support evaluation work, which is similar to the proportion of total non-staff costs allocated in 2015. With regard to consultants, IOE is continuing its efforts to ensure adequate gender and regional diversity across all evaluation types. Moreover, preference is given to hiring consultants from the same country or region in which an evaluation is planned, especially for PPEs and CPEs, as well as for country visits that might be undertaken in the context of CLEs and preparation of ESRs.

¹¹ Based on accumulated experience and historical figures, 160 person (staff) days are allocated for conducting a CLE, 155 days for a CPE, 70 days for ESRs, 80 days for IEs, 40 days for PPEs and 11 days for PCRVs. These figures are used to estimate the level of effort by type of activity shown in table 3.

45. It is also worth noting that, in 2015, IFAD further clarified its policy on the hiring of consultants, noting that they may not claim an exemption from taxes imposed by the countries of their nationalities or residence based on the privileges and immunities supposedly acquired through their services to IFAD. Moreover, consultants will no longer be eligible to participate in the medical or life insurance schemes available to IFAD staff members. The implications of these policy clarifications to IOE's consultants fee structure and related effects will have to be carefully monitored in the course of next year.

Table 4
Proposed budget for 2016 (by category of expenditure)

<i>Category of expenditure</i>	<i>Approved 2015 budget</i>	<i>Proposed 2016 budget</i>
Staff travel	355 000	366 000
Consultant fees	1 485 000	1 480 000
Consultant travel and allowances	410 000	435 000
In-country CPE learning events	40 000	40 000
Evaluation outreach, staff training and other costs	165 892	170 520
Total non-staff costs	2 455 892	2 491 520
Staff costs	3 614 041	3 156 442
Total	6 069 933	5 647 962

46. The increases in staff and consultant travel reflect the effect of price increases in travel and accommodation costs, as well a net increase for PPEs and ESRs to further strengthen their overall quality. As in 2015, a small allocation is proposed for staff training, which is essential to continuous professional development. Lower total staff costs are due to reductions in standard costs, in both Professional and General Service staff categories, caused by exchange rate adjustments – partly offset by the effect of the annual step-in-grade increases.
47. Budget by strategic objective. Table 5 shows allocation of the total IOE proposed budget for 2016, both staff and non-staff costs, against IOE's SOs. Further detail, including allocation to each DMR, can be found in annex VI, table 3.
48. SO1 receives a much greater allocation, as a larger part of the consultancy resources of IOE are allocated to the activities that contribute to achieving this objective (such as CLEs, CPEs, PPEs and evaluation syntheses). Many of the activities undertaken within this objective also contribute to SO2. That is, several activities under SO1 also promote evaluation-based learning and an enhanced institutional results culture. For example, in-country workshops at the end of CPEs – which are budgeted under SO1 – provide a unique opportunity to exchange views on the main lessons learned and good practices with policy and decision makers, IFAD operations staff and other stakeholders.

Table 5
Proposed budget allocation (by strategic objective)

Strategic objective	Approved 2015 budget		Proposed 2016 budget	
	Amount (US\$)	%	Amount (US\$)	%
SO1: Generate evidence through independent evaluation of IFAD's performance to promote accountability	4 394 220	72	4 020 876	71
SO2: Promote evaluation-based learning and enhanced results culture for better development effectiveness	1 675 713	28	1 322 063	24
SO1 and SO2			305 023	5
Total	6 069 933	100	5 647 962	100

49. Gender budget. For the first time, IOE has attempted to illustrate the gender sensitivity of its budget (table 6). This has been a challenging exercise, especially because IOE was not yet able to find examples of gender budgets from other evaluation functions to be used as a basis in developing its own gender budget. However, consultations were held with representatives of IFAD Management to learn from their recent experience in developing a gender-sensitive budget for the Fund's administrative budget.
50. The methodology followed by IOE entails determining the proportion of staff and non-staff costs devoted to analysing and reporting on gender issues in IOE evaluations. In this regard, it is important to recall that IOE has a dedicated criterion on gender equality and women's empowerment that is applied in all ARRIs, CPEs, PPEs, project completion report validations (PCRVs) and IEs. Additional attention is also being devoted to gender issues in other evaluation products, such as CLEs and ESRs.
51. All in all, the table shows that close to 6 per cent of the total proposed IOE budget for 2016 is directly allocated to examination of gender issues. This is a conservative estimate, which does not factor in several one-time gender-related activities pursued by IOE, such as dedicated staff training organized in 2014 with the evaluation functions of the Rome-based agencies to strengthen the evaluation of gender issues, or the development of the second edition of the evaluation manual. The division will further sharpen its methodology to enhance the accuracy of analysis in the coming months, in particular by consulting with the Evaluation Committee at its session in June and with representatives of evaluation offices in other development organizations such as UN Women and selected international financial institutions.

Table 6
IOE 2016 gender-sensitive budget

<i>Type of activity</i>	<i>Proposed 2016 budget</i>	<i>Gender component (percentage)</i>	<i>US\$</i>
<i>Non-staff costs</i>			
ARRI	100 000	10	10 000
CLEs	310 000	5	15 500
CPEs	1 070 000	10	107 000
PCR validations	50 000	5	2 500
PPEs	310 000	7	22 050
IEs	200 000	7	14 000
Evaluation syntheses	110 000	5	5 500
Communication, evaluation outreach, knowledge-sharing, partnership activities	200 000		
ECD, training and other costs	141 520	5	7 076
Total non-staff costs	2 491 520	7.4	186 076
<i>Staff costs</i>			
Gender focal point	165 534	20	33 106
Alternate gender focal point	106 451	10	10 645
All evaluation officers	1 871 250	5	93 562
Total staff costs	3 156 442	4.3	137 313
Total	5 647 962	5.8	323 389

52. Budget proposal. The proposed 2016 budget is US\$5.65 million, or a 7 per cent nominal decrease against the 2015 approved budget of US\$6.07 million. The decrease can be attributed to the reduction in staff costs as a result of the weakening of the euro against the United States dollar, partly offset by a very minimal real increase of 0.6 per cent in non-staff costs due to increased activity and application of more robust methodologies for PPEs and ESRs. Price increases in certain expense categories such as travel and consultant costs have been absorbed through cost control and the use of more efficient methodologies.
53. It is important to underline that the proposed 2016 IOE budget is 0.56 per cent of IFAD's expected programme of loans and grants (PLG) for next year,¹² which is well below the IOE budget cap of 0.9 per cent adopted by the Executive Board.¹³ An overview of IOE's proposed budget, including historical trends since 2012, is shown in annex VI, table 1.

¹² It is anticipated that IFAD will plan to commit US\$1 billion in new loans and grants in 2016, in line with IFAD10 commitments.

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

IOE Results Measurement Framework for 2016-2018

Strategic objectives (SOs)	Divisional management results (DMRs)	Key performance indicators (KPIs)	Baseline 2011	Target (per year)	Means of verification	
SO1: Generate evidence through independent evaluation of IFAD's performance, to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations		n.a.	90%		
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	1. Adoption rate of recommendations from CLEs, CPEs, ESRs and PPAs 2. Execution rate of key IEs			PRISMA, and IOE work programme and budget document	
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed		n.a.	95%		
	DMR 4: IFAD-supported operations are improved through independent project evaluations					
SO2: Promote evaluation-based learning and enhanced results culture for better development effectiveness	DMR 5: Evaluation manual is implemented and new evaluation methods and products are piloted	3. Range of new methods and designs applied	n.a.	2	IOE evaluations	
		4. Evaluations with quantitative analysis	n.a.	3 (in the whole period)	Impact evaluations	
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	5. Number of outreach products for all evaluations disseminated through social tools and the web			98	Issues paper, IOE records, reports, <i>Profiles, Insights</i> , newsletters
		6. Number of in-country learning events co-organized by IOE with governments		4	4	
		7. Number of in-house and external knowledge events organized by IOE		5	10	
		8. Feedback on quality of IOE products from client survey		n.a.	100 people (at least 60% positive feedback)	
		9. Number of downloads of publications, <i>Profiles, Insights</i>		n.a.	a)	
					2	

Strategic objectives (SOs)	Divisional management results (DMRs)	Key performance indicators (KPIs)	Baseline 2011	Target (per year)	Means of verification
				0 0 0 0 0	
		10. Number of people receiving IOE newsletters	n.a.	6 0 0	
	DMR 7: ECD in partner countries	11. Number of ECD seminars/workshops organized in partner countries	n.a.	1	IOE records
		12. Number of events attended by IOE staff related to self-evaluation and ECD	n.a.	3	
SO1 and SO2	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	13. Budget cap	< 0.9% of IFAD PLG	< 0.9% of IFAD PLG	
		14. Ratio of P to GS staff	n.a.	1/0.46	
		15. Budget execution rate at year-end	n.a.	At least 95%	

IOE Results Measurement Framework for 2015

IOE objectives	Divisional management results ^a	Key performance indicators	Baseline (2011)	Target (2015)	Means of verification
SO1: Contribute, through independent evaluation work, to enhancing accountability for results	DMR 1				ARRI, CLEs, evaluation reports, PRISMA, RIDE, workplan and budget (WPB) document, senior independent advisor report (for CLEs)
	DMR 2	1. Adoption rate of recommendations from CLEs, CPEs and PPAs	n.a.	90%	
	DMR 3				
	DMR 4	2. Execution rate of key evaluation activities	n.a.	As per WPB	Evaluation reports and IOE records
		3. Number of trained IOE staff members contributing to methodology development	3	4	
DMR 5	4. Number of planned Evaluation Committee sessions held in accordance with Committee's terms of reference	4 regular sessions	4 regular sessions		
SO2: 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 (including on syntheses and ARRI learning themes)	4	8	ESRs, issues paper, IOE records, reports, <i>Profiles, insights</i> and newsletters
	DMR 6	6. Number of in-country learning events co-organized by IOE with governments	4	5	
	DMR 7	7. Number of in-house learning events attended by IOE staff for knowledge-sharing	2	5	
		8. Number of external knowledge events having IOE staff participation to share lessons from evaluation	3	5	
		9. Number of knowledge management products of CLEs and CPEs published within three months of established completion date and disseminated	80%	100%	
		10. Number of ECD workshops organized in partner countries to share knowledge on IOE evaluation methodology and	n.a.	1	

IOE objectives	Divisional management results ^a	Key performance indicators	Baseline (2011)	Target (2015)	Means of verification
		processes			
	DMR 8	11. Number of events attended by IOE staff related to self-evaluation and ECD	1	3	
Joint SO1 and SO2 (combining the learning and accountability functions of independent evaluation)		12. ARRI and learning themes, and number of CLEs, CPEs, PPAs and PCRVs, evaluation syntheses and IEs	According to 2011 workplan	1 ARRI, 2 CLEs, 5 CPEs, 8 PPAs, 25/30 PCRVs, 3 ESs 1 IE	IOE records
		13. Budget cap	< 0.9% of IFAD PLG	< 0.9% of IFAD PLG	
		14. Ratio of Professional to General Service staff	n.a.	1/0.46	
		15. Budget execution rate at year-end	n.a.	95%	

IOE reporting on achievements (as of end-May 2015)

In 2015, IOE is reporting against both: (i) planned activities (table 1); and (ii) its key performance indicators (KPIs) (table 2 on page 21). An updated progress report against planned activities and KPIs will be included in the revised document presented to the Evaluation Committee in October 2015. This matrix will continue to be updated until final submission of the work programme and budget document to the Evaluation Committee in November and the Executive Board in December 2015.

Table 1
Reporting on IOE planned activities (January-May 2015)

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
1. CLEs	IFAD's engagement in fragile and conflict-affected states and situations	To be completed in April 2015	Completed. The evaluation report was submitted for review to the Evaluation Committee in March 2015 and then to the Executive Board in April 2015
	IFAD's performance-based allocation system (PBAS)	To start in January 2015	Started. The approach paper was discussed at the 87 th session of the Evaluation Committee in March 2015 and finalized thereafter. Evaluation in full swing
2. Country programme evaluations	Bangladesh	To be completed in July 2015	Report finalized. National roundtable workshop to be held in June in Dhaka. The final report will be presented to the Evaluation Committee in October 2015
	Brazil	To start in January 2015	Started. Approach paper prepared and preparatory mission conducted. Main mission in end-June/July 2015
	Ethiopia	To start in January 2015	Started. Main mission completed
	Gambia	To be completed in December 2015	Progressing as planned. Main mission completed
	India	To start in September 2015	Started ahead of schedule. Approach paper under preparation and preparatory mission in June
	Nigeria	To start in March 2015	Started. Preparatory mission to be held in June
	Turkey	To start in March 2015	Started. Approach paper prepared and preparatory mission conducted. Main mission in to be held in June/July
	United Republic of Tanzania	To be completed in March 2015	Completed. Will be discussed at the 88 th session of the Evaluation Committee in June
3. Project completion report validation	Validate all PCRs available in year	To be completed in December 2015	Progressing as planned
4. Project performance assessment	About eight PPAs	To be completed in December 2015	Progressing as planned
5. Impact evaluation	Jharkhand-Chhattisgarh Tribal Development Programme, India	To be completed in June 2015	Report finalized. Will be discussed in the 88 th session of the Evaluation Committee in June
	Third IE	To start in June 2015	Project selected in Mozambique using the IE selectivity framework. Approach paper to be prepared in July

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
6. Engagement with governing bodies	13 th Annual Report on Results and Impact of IFAD Operations (ARRI)	To be completed in December 2015	Progressing as planned, including preparation of a dedicated issues paper on the sustainability of benefit. Final report to be presented to the Evaluation Committee and Executive Board in end-2015
	Review of the implementation of the results-based work programme for 2015 and indicative plan for 2016-2017, and preparation of the results-based work programme and budget for 2016 and indicative plan for 2017-2018	To be completed in December 2015	In progress as planned
	IOE comments on the President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA)	To be completed in September 2015	Completed. PRISMA, with IOE comments, will be discussed with the Evaluation Committee in June 2015 and thereafter by the Board in September 2015
	IOE comments on the Report on IFAD's Development Effectiveness (RIDE)	To be completed in December 2015	RIDE, with IOE comments, will be discussed with the Evaluation Committee end-November and thereafter by the Board in December 2015
	IOE comments on selected IFAD operational policies prepared by IFAD Management for consideration by the Evaluation Committee and Executive Board, including comments on the new IFAD corporate policy on grant financing, and on the synthesis report on IEs prepared by IFAD	To be completed in December 2015	IOE comments on the new grants policy, which was presented to the Evaluation Committee in March and the Board in April
	Participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, selected Audit Committee meetings, and the 2015 country visit of the Executive Board to Morocco	To be completed in December 2015	One formal Committee session held (March 2015). An additional informal seminar planned on 24 June to discuss the draft of the second edition of the evaluation manual
	IOE comments on COSOPs when related CPEs are available	To be completed in December 2015	Not applicable to date
7. Communication and knowledge management activities	Evaluation synthesis accessing markets: a subregional perspective	To be completed in June 2015	Approach paper in preparation
	Evaluation synthesis on natural resources and environmental management	To be completed in December 2015	Approach paper in preparation
	Evaluation synthesis on non-lending activities in the context of South-South cooperation	To be completed in December 2015	Approach paper in preparation
	Evaluation reports, <i>Profiles</i> , <i>Insights</i> , IOE website, etc.	January-December 2015	In progress as planned
	Organization of in-country CPE learning workshops, as well as learning events in IFAD	January-December 2015	CPE learning workshop held in the United Republic of Tanzania in January, and planned in Bangladesh in June. Several other such workshops are planned in the second part of 2015
	Activities related to the International Year of	January-December 2015	In progress as planned. Organization of a joint event with the evaluation offices of the RBAs on the evaluability of SDG2 in November 2015. Preparation of a

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
	Evaluation		brochure documenting the history of the evolution of IFAD's evaluation function since establishment of the Fund
	Participation and knowledge- sharing in selected external platforms such as learning events or meetings of evaluation groups	January-December 2015	In progress as planned
	Attendance at all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attendance at OMCs, quality assurance learning sessions, IMTs and selected CPMTs	January-December 2015	In progress as planned
8. Partnerships	ECG, UNEG and SDC partnership	January-December 2015	In progress as planned. Participated in the UNEG Annual General Meeting in March, where IOE made presentations on evaluating innovation and scaling up, and on communication and outreach activities. ECG meeting to be held in June
	Contribution as external peer reviewer to key evaluations by other multilateral/bilateral organizations as requested	January-December 2015	<ul style="list-style-type: none"> • Peer review of the evaluations of: (i) the general capital increase; and (ii) African Development Fund commitments, for the Independent Development Evaluation Department of AfDB • Peer review of several Global Environment Facility terminal evaluation reports for the Environment and Climate Change Division of IFAD
	Implementation of joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	January-December 2015	In progress as planned
9. Methodology	Second edition of the evaluation manual	To be completed in April 2015	Draft report is prepared and will be discussed in an informal seminar of the Evaluation Committee on 24 June. The final document will be discussed at the Committee session in October
	Contribution to in-house and external debate on IEs	January-December 2015	In progress as planned
	Development and implementation of the new harmonization agreement	January-December 2015	To be developed in the second half of 2015 following finalization of the second edition of the evaluation manual
	Training (second edition of evaluation manual) of IOE staff/consultants	January-December 2015	In progress as planned
10. Evaluation capacity development	Engagement in ECD in the context of regular evaluation process	January-December 2015	Pilots being undertaken in China and Ethiopia, with a range of activities
	Organization of workshops in partner countries (as requested) on evaluation methodology and processes	January-December 2015	See second page of table 2
	Implementation of statement of intent with the Government of China on ECD in the country	January-December 2015	<ul style="list-style-type: none"> • PPA on the project Environment Conservation and Poverty Reduction Programme in Ningxia and Shanxi. Main mission completed • Presentation on evaluation methodology delivered during Shanghai International Program for Development Evaluation Training (SHIPDET)

Reporting on IOE key performance indicators (January-May 2015)

Based on IOE's 2015 RMF, the following reporting matrix provides an overview of IOE achievements in the first semester of 2015 against KPIs agreed with the Executive Board.

Table 2
Reporting on IOE key performance indicators (January-June 2015)

Strategic objectives	Divisional management results	Key performance indicators	Achievements	Description	Targets
SO1: Contribute, through independent evaluation work, to enhancing accountability for results	DMR 1: ARRIs and CLEs that provide concrete building blocks for the development and implementation of better corporate policies and processes	1. Adoption rate of recommendations from CLEs, CPEs and PPAs		Achievements will be included in next version of document once the PRISMA has been issued	90%
	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	2. Execution rate of key evaluation activities	On track		As per 2015 WPB
		3. Number of trained IOE staff members contributing to methodology development	2	International Program for Development Evaluation Training (IPDET) and several others on gender and outcome harvesting	4 staff
DMR 5: Work related to IFAD governing bodies	4. Number of planned Evaluation Committee sessions held in accordance with the Committee's terms of reference	2	Two formal sessions (March and June)	4 regular sessions	

Strategic objectives	Divisional management results	Key performance indicators	Achievements	Description	Targets	
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	5. Number of key learning events organized by IOE within IFAD (including on syntheses and ARRI learning themes)	3	<ul style="list-style-type: none"> Knowledge-sharing event on Learning and Results in World Bank Operations: How the Bank Learns In-house workshop: CLE on IFAD's engagement in fragile and conflict-affected states and situations IOE emerging findings workshop: evaluation synthesis on IFAD's engagement with indigenous peoples 	8	
		6. Number of in-country learning events co-organized by IOE with governments	2	CPE workshops held: <ul style="list-style-type: none"> January – United Republic of Tanzania June – Bangladesh 	5	
	DMR 7: Systematic communication and outreach of IOE's work	7. Number of in-house learning events attended by IOE staff for knowledge-sharing	1	<ul style="list-style-type: none"> The second global Indigenous Peoples' Forum 	5	
		8. Number of external knowledge events with IOE staff participation to share lessons from evaluation	2	<ul style="list-style-type: none"> Fourth Conference of the Red de Seguimiento, evaluación y sistematización de América Latina y el Caribe (ReLAC) UNEG Annual General Meeting 	5	
		9. Number of knowledge management products of CLEs and CPEs published within three months of established completion date and disseminated		IOE has published and disseminated to internal and external audiences a total of: 9 evaluation reports, 6 <i>Profiles</i> and <i>Insights</i> , 3 press releases, 1 overview of a CLE, 5 infographics, 2 quarterly newsletters, 7 videos and one booklet on the evolution of the independent evaluation function at IFAD	100%	
	DMR 8: ECD in partner countries			2	China	1

Strategic objectives	Divisional management results	Key performance indicators	Achievements	Description	Targets
Joint SO1 and SO2 (combining the learning and accountability functions of independent evaluation)		10. ARRI and learning themes, and number of CLEs, CPEs, PPAs and PCRVs, evaluation syntheses and IEs		1 CLE (IFAD's engagement in fragile and conflict-affected states and situations) 2 CPEs (United Republic of Tanzania, Bangladesh)	1 ARRI, 2 CLEs, 5 CPEs, 8 PPAs, 25/30 PCRVs, 3 ESS, 1 IE
		11. Budget cap			<0.9% of IFAD PLG
		12. Ratio of Professional to General Service staff			1/0.46
		13. Budget execution rate at year-end			95%

IOE proposed evaluation activities for 2016 and indicative plan for 2017-2018

Table 1
Proposed IOE work programme for 2016 by type of activity

Type of work	Proposed activities for 2016	Start date	Expected finish date	Expected delivery time ^a				
				Jan-Mar 2016	Apr-Jun 2016	Jul-Sep 2016	Oct-Dec 2016	2017
1. Corporate-level evaluation	IFAD's decentralization	Jan-16	Dec-16					X
2. Country programme evaluation	Egypt	Jan-16	Dec-16				X	
	Democratic Republic of the Congo	Jan-16	Dec-16				X	
	India	Apr-15	Apr-16		X			
	Mozambique	Jan-16	Dec-16				X	
	Nigeria	Jan-15	Mar-16	X				
	Nicaragua	Jan-16	Dec-16				X	
	The Philippines	Jan-16	Dec-16				X	
	3. Project completion report validation	Validation of all PCRs available in year	Jan-16	Dec-16	X	X	X	X
4. Evaluation synthesis	Scaling up, aquaculture and fisheries	Jan-16	Dec-16				X	
5. Project performance evaluation	10 PPEs	Jan-16	Dec-16			X	X	
6. Impact evaluation (IE)	2015 IE (Mozambique)	Jul-15	Jun-16		X			
	One new IE (project to be determined)	Jul-16	Jun-17				X	
7. Engagement with governing bodies	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	Jan-16	Dec-16			X	X	
	15 th ARRI	Jan-16	Sep-16			X		
	IOE comments on the PRISMA	Jun-16	Sep-16			X		
	IOE comments on the RIDE	Oct-16	Dec-16			X		
	IOE comments on selected IFAD operational policies, strategies and processes prepared by IFAD Management for consideration by the Evaluation Committee and Executive Board, including the strategy on fragile situations	Jan-16	Dec-16	X	X	X	X	
	Participation in all sessions of governing body meetings (Evaluation Committee, Executive Board and Governing Council), selected Audit Committee meetings, and 2016 Board country visit	Jan-16	Dec-16	X	X	X	X	
	IOE comments on COSOPs when related CPEs are available	Jan-16	Dec-16		X	X	X	

Type of work	Proposed activities for 2016	Start date	Expected finish date	Expected delivery time ^a				
				Jan-Mar 2016	Apr-Jun 2016	Jul-Sep 2016	Oct-Dec 2016	2017
8. Communication and knowledge-management activities	Evaluation reports, <i>Profiles</i> , <i>Insights</i> , website, etc.	Jan-16	Dec-16	X		X	X	X
	Organization of in-country CPE learning workshops, as well as learning events in IFAD	Jan-16	Dec-16	X	X	X	X	
	Participation and knowledge-sharing in selected external platforms such as learning events or meetings of evaluation groups	Jan-16	Dec-16	X	X	X	X	
	IOE-OPV quarterly meetings	Jan-16	Dec-16	X	X	X	X	
	Attendance at all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attendance at OMCs, IMTs and selected CPMTs	Jan-16	Dec-16	X	X	X	X	
9. Partnership	ECG, UNEG, Network of Networks on Impact Evaluation (NONIE) and SDC partnerships	Jan-16	Dec-16	X	X	X	X	
	Contribution as external peer reviewer to key evaluations by other multilateral/bilateral organizations as requested	Jan-16	Dec-16	X	X	X	X	
	Implementation of joint statement by Consultative Group on International Agricultural Research (CGIAR), FAO, IFAD and WFP to strengthen collaboration in evaluation	Jan-16	Dec-16	X	X	X	X	
10. Methodology	Training (2 nd edition of evaluation manual) IOE staff/consultants	Jan-16	Jun-16	X	X	X	X	
	Contribution to in-house and external debate on IE	Jan-16	Dec-16	X	X	X	X	
11. ECD	Engagement in ECD in context of regular evaluation process	Jan-16	Dec-16	X	X	X	X	
	Organization of workshops in partner countries (as per request) on evaluation methodology and processes	Jan-16	Dec-16	X	X	X	X	
	Implementation of statement of intent with the Peoples' Republic of China on ECD in the country	Jan-16	Dec-16	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 2017-2018 by type of activity¹⁴

Type of work	Indicative plan for 2017-2018	Year
1. Corporate-level evaluation	IFAD's approach and results in policy dialogue	2017-2018
	IFAD's efforts in conducting impact evaluations	2017-2018
	Joint evaluation with FAO and WFP of Reformed Committee on World Food Security	2017-2018
2. Country programme evaluation	NEN	2017-2018
	Cameroon	2017
	Pakistan	2017
	Guatemala	2017
	Indian Ocean small island developing states	2017-2018
3. Project completion report validation	Validate all PCRs available in year	2017-2018
4. Project performance evaluation	About 10 PPEs/year	2017-2018
5. Impact evaluation	1 per year (project to be determined)	2017-2018
6. Engagement with governing bodies	14 th and 15 th ARRIIs	2017-2018
	Review of implementation of results-based work programme for 2017 and indicative plan for 2018-2019	2017
	Preparation of results-based work programme and budget for 2018 and indicative plan for 2019-2020	2018
	IOE comments on the PRISMA	2017-2018
	IOE comments on the RIDE	2017-2018
	IOE comments on selected IFAD operational policies, strategies and processes prepared by IFAD Management for consideration by Evaluation Committee	2017-2018
	Participation in all sessions of Evaluation Committee, according to revised terms of reference and rules of procedure of Committee. Participation in Executive Board and Governing Council sessions. Participate in annual country visit of the Board.	2017-2018
	IOE comments on COSOPs when related CPEs are available	2017-2018
7. Communication and knowledge management activities	Evaluation reports, <i>Profiles</i> , <i>Insights</i> , website, etc.	2017-2018
	Evaluation synthesis on	2017
	Evaluation synthesis on Remittances	2017
	Evaluation synthesis on	2017
	Evaluation synthesis on	2017

¹⁴ The topics and number of CLEs, CPEs and ESRs are tentative and the actual priorities and numbers to be undertake in 2017 and 2018, respectively, will be determined in 2016.

<i>Type of work</i>	<i>Indicative plan for 2017-2018</i>	<i>Year</i>
	Attend all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attend OMC, IMT and selected CPMTs	2017-2018
8. Partnership	ECG, UNEG, NONIE and SDC partnerships	2017-2018
	Implement joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	2017-2018
9. Methodology	Contribute to in-house and external debate on impact evaluation	2017-2018
	Implement revised harmonization agreement between IOE and IFAD Management on independent and self-evaluation methodology and processes	2017-2018
10. ECD	Implementation of activities in partner countries related to ECD	2017-2018

IOE staff levels for 2016

2011 level	2012 level	2013 level	2014 level	2015 level	2016		
					Professional staff	General Service staff	Total
19.5	19.5	18.5	18.5	19	13	6	19

Human resource category

Category	2015	2016
Director	1	1
Deputy Director	1	1
Lead evaluation officers	2	3*
Evaluation officers	7	6
Evaluation research analyst	1	1
Evaluation knowledge and communication officer	1	1
Total Professional staff	13	13
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	19	19

In addition to the three P-5s, a lead evaluation officer has been seconded from SDC to IOE since May 2014 until May 2016, with no impact on IOE staff costs.

IOE General Service staff levels

2007	2008	2009	2010	2011	2012	2013	2014	2015	2016 (proposed)
9.5	8.5	8.5	8	8	8	6	6	6	6

IOE proposed budget for 2016

Table 1
IOE proposed budget 2016
 (United States dollars)

<i>Evaluation work</i>	<i>2012 budget</i>	<i>2013 budget</i>	<i>2014 budget</i>	<i>2015 budget (1)</i>	<i>Proposed 2016 budget</i>		
					<i>Real increase/decrease (2)</i>	<i>Price increase/decrease (3)</i>	<i>Total 2016 budget (4)=(1)+(2)-(3)</i>
Non-staff costs	2 289 474	2 346 711	2 395 992	2 455 892	35 628		2 491 520
Staff costs	3 734 530	3 667 268	3 586 690	3 614 041	0	(457 599)	3 156 442
Total	6 024 004	6 013 979	5 982 682	6 069 933	35 628	(457 599)	5 647 962

Table 2
2016 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 2015 (US\$)
ARRI	1	1	150 000	100 000
Corporate-level evaluations	2	1	Differentiated cost based on scope and nature of issues to be assessed: 200 000-450 000	310 000
• CLE PBAS		0.2		
• CLE decentralization		0.8		
Country programme evaluations	7	5.3	Differentiated cost based on size of portfolio, size of country, travel costs and availability of evaluative evidence: 225 000-305 000	1 070 000
PCR validation	About 30	About 30	-	50 000
PPEs	About 10	About 10	30 000-40 000	315 000
Impact evaluation	1		200 000-300 000	200 000
• 2015 carry-over		0.7		
• 1 impact evaluation (project TBD)		0.3		
Evaluation synthesis	2	2	40 000-65 000	110 000
Communication, evaluation outreach, knowledge-sharing and partnership activities	-	-		200 000
ECD, training (including training on the 2 nd edition of the evaluation manual) and other costs	-	-		141 520
Total				2 491 520

^a Evaluations often straddle two years. This figure represents percentage of work done for type of evaluation activity in 2016.

^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 of overall total proposed budget</i>
SO1: Generate evidence through independent evaluation on IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	670 917	12
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	2 018 549	36
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	495 207	10
	DMR 4: IFAD-supported operations are improved through independent project evaluations	836 203	13
Total for SO1		4 020 876	71
SO2: Promote evaluation-based learning and enhanced results culture for better development effectiveness	DMR 5: Evaluation manual is implemented and new evaluation methods and products are piloted	466 611	9
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	557 892	10
	DMR 7: ECD in partner countries	297 560	5
Total for SO2		1 322 063	24
Joint SO1 and SO2	DMR 8: Efficiency of the independent evaluation function is ensured	305 023	5
GRAND TOTAL		5 647 962	100

IOE selectivity framework

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

Corporate-level evaluations (CLEs)	Country programme evaluations (CPEs)	Evaluation synthesis reports (ESRs)	Project performance evaluations (PPEs)	Impact evaluations (IEs)
<ol style="list-style-type: none"> 1. Strategic priority. The evaluation contributes to IFAD's strategic priorities and replenishment commitments 2. Accountability. Topic selected contributes to strengthening IFAD's institutional accountability 3. Knowledge gap. CLEs contribute to filling a critical knowledge gap in IFAD 4. Timeliness. Evaluation results feed punctually into pertinent corporate policies, strategies and/or processes 5. Corporate risks. The evaluation serves to help minimize critical corporate risks 	<ol style="list-style-type: none"> 1. Link to COSOPs. Results feed into the development of IFAD country strategies/ COSOPs 2. Coverage: <ol style="list-style-type: none"> a) Regional and country coverage of CPEs b) Size of the portfolio in terms of total investments and number of operations c) DSF classification (red, yellow, green) d) Lending terms (highly concessional, blend or ordinary) 	<ol style="list-style-type: none"> 1. Evaluative evidence. Availability of adequate evaluative evidence by IOE and evaluation functions in other development organizations 2. Knowledge gap. ESRs contribute to filling a critical knowledge gap in IFAD 3. Strategic priority. The synthesis contributes to IFAD's strategic priorities and replenishment commitments 4. Timeliness. The synthesis feeds punctually into pertinent corporate policies, strategies and/or processes 5. Building block. The synthesis serves as an input for other IOE products 	<ol style="list-style-type: none"> 1. Availability of PCR. PPEs will be done only when a PCR is available 2. Geographic coverage. PPEs selected to ensure regional balance of the IOE evaluation programme 3. Building block. Priority given to PPEs that will provide an input into CPEs, CLEs or synthesis reports 4. Information gaps. PCR does not provide sufficient analysis of project performance and results 5. Inconsistencies. PCR ratings are inconsistent with narrative 6. Innovative approaches. The project includes innovative approaches that merit deeper analysis and documentation 7. Learning from PPE. Evidence needed on what worked and why 	<ol style="list-style-type: none"> 1. No duplication. No IE conducted by IFAD Management of the same operation 2. Learning from IE. Evidence needed on what works in a certain context 3. Building block. Priority for IEs that will provide an input into CPEs, CLEs or synthesis reports 4. Completion date. IEs will be done within three years after completion date 5. Baseline data. The availability and usability of baselines is essential to determine the methodology to be applied in IEs 6. Information gaps. The PCR does not provide sufficient analysis of the effectiveness and impact of certain interventions 7. Innovative approaches. The project includes innovative approaches that merit deeper analysis and documentation