IFAD

Investing in rural people

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

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Contents

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
CSPE	country strategy and programme evaluation
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
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
WFP	World Food Programme
WPB	workplan and budget
PPA	project performance assessment
PPE	project performance evaluation
PRISMA	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions
RBA	Rome-based agency
SOs	strategic objectives
SWP	strategic workforce planning
RIDE	Report on IFAD's Development Effectiveness
RMF	Results Measurement Framework
SDC	Swiss Agency for Development and Cooperation
UNEG	United Nations Evaluation Group

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 work programme and budget for 2016 and indicative plan for 2017-2018 of the Independent Office of Evaluation of IFAD (IOE). In line with the IFAD Evaluation Policy,[1] the IOE budget is developed independently of IFAD's administrative budget.[2] This document has been developed building on consultations with IFAD Management and after careful examination of IFAD priorities for the period of the Tenth Replenishment of IFAD's Resources (IFAD10), 2016-2018.[3]

2. The present version of the IOE results-based work programme and budget for 2016 also takes into account the feedback and priorities expressed by IFAD's governing bodies in 2014 as well as the comments of the Evaluation Committee during its eighty-eighth session on 26 June 2015 and of the Audit Committee and the Executive Board during their September 2015 sessions.

3. The first year of the IFAD10 period – 2016 – will see the introduction of IFAD's strategic vision for 2025 together with a new corporate Strategic Framework for 2016-2025, and the adoption of the United Nations Sustainable Development Goals and the post-2015 development agenda. These important milestones provide the backdrop for IFAD's independent evaluation programme in the coming years.

4. To this end, in 2015, IOE developed its mission and vision as the overarching reference for: (i) articulating the division's strategic objectives (SOs); (ii) formulating its results measurement framework (RMF); and (iii) determining independent evaluation activities for 2016 and the indicative plan for 2017-2018. IOE's mission and vision are carefully anchored in the Fund's strategic vision for 2016-2025 and the broader provisions of the IFAD Evaluation Policy.

5. The IOE work programme and budget are "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 quantified the gender sensitivity of its budget for 2016. The document provides details of actual expenditures for 2014, budget utilization up to mid-September 2015 and a current estimate of the 2015 year-end utilization. In this regard, updated information will be provided in future versions of the document until its final submission to the Executive Board in December 2015.

6. In line with the Evaluation Policy, the final version of the document will reflect the outcome of discussions with the Evaluation Committee on 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 reviewed by the Audit Committee in November 2015, together with IFAD's 2016 administrative budget. Finally, the budget will be submitted, upon the recommendation of the Board in December 2015, to the Governing Council in 2016 for approval. On a process-related issue, the IOE budget proposal is based on the same principles and

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[1] The IFAD Evaluation Policy is available at http://www.ifad.org/gbdocs/eb/102/e/EB-2011-102-R-7-Rev-1.pdf .
[2] See IFAD Evaluation Policy, p. 11, para. 38: "The levels of the IOE component and IFAD's administrative budgets will be determined independently of each other."
[3] Report of the Consultation on the Tenth Replenishment of IFAD's Resources (https://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, p. 4, para. 29: (https://webapps.ifad.org/members/eb/107/docs/EB-107-Rev-1.pdf).

parameters (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.

7.   This document has five sections. Section II highlights achievements thus far of the 2015 evaluation work programme, overall 2014 budget utilization, 2015 budget utilization as of mid-September 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 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

8.   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 paper[5] for the CLE was presented to the Evaluation Committee in March 2015 and finalized incorporating the Committee members' comments. 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] and its presentation in draft format to an informal seminar of the Evaluation Committee on 24 June. The final version of the manual will be shared with the Committee later this year. The manual is a far-reaching and critical undertaking of corporate importance, as it contains the key methods and processes for the diverse types of evaluations conducted by IOE. It also provides the basis for the preparation of the revised harmonization agreement between IOE and IFAD Management on the organization's independent and self-evaluative functions. The preparation of the harmonization agreement is ongoing and will be discussed with the Evaluation Committee before its finalization. Both the second edition of the manual and the harmonization agreement will be implemented in January 2016.

- Finalization of two evaluation synthesis reports (ESRs). One of these was the result of a joint undertaking by IOE – the first of its kind – with the Office of Evaluation of the Food and Agriculture Organization of the United Nations (FAO) and dealt with pastoral development; the second ESR dealt with IFAD's work in supporting indigenous peoples. As agreed with the Executive Board, preparation of three further ESRs is ongoing, 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). The ARRI will be discussed at the Evaluation Committee session in November and the Board session in December 2015. An in-house

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5   Available at https://webapps.ifad.org/members/ec/87/docs/EC-2015-87-W-P-4-Rev-1.pdf.
6   The first Evaluation Manual was developed in 2008 and issued in 2009.

learning workshop was held on 6 October 2015 to discuss the ARRI's main findings and recommendations with IFAD Management, staff and consultants.

- Finalization of two country programme evaluations (CPEs). The CPE for the United Republic of Tanzania was discussed with the Evaluation Committee at its eighty-eighth session in June and the Bangladesh CPE at the eighty-ninth session of the Committee in October 2015. Other CPEs are ongoing, in accordance with the IOE work programme.

- IOE completed its second impact evaluation (IE) in India and, as agreed with the Board, began the IE of the Sofala Bank Artisanal Fisheries Project in Mozambique. The India IE was discussed by the Evaluation Committee in June 2015. Before that, it was discussed at two learning events: (i) with IFAD Management and staff in Rome; and (ii) with the Government and other in-country partners in Delhi.

- Piloting evaluation capacity development (ECD) efforts in China and Ethiopia. In both countries, IOE conducted a mapping exercise to determine evaluation capacity at the country level and to assess what evaluation initiatives by other organizations are in place in the agriculture sector. The outcomes of these pilots will be assessed at the beginning of next year to determine the nature, focus and level of effort of IOE's future engagement in ECD.

- Within the overall context of 2015 being the International Year of Evaluation, IOE is organizing – jointly with the evaluation offices of the Rome-based agencies (RBAs) – 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.

9. **IOE mission and vision.** As mentioned in the introduction, IOE has developed its mission and vision statements. The aim of these statements is to capture succinctly the main purpose of IFAD's independent evaluation function and to articulate its contribution to furthering IFAD's mandate. At the same time, IOE is strengthening its internal performance management and monitoring systems. Box 1 below summarizes the mission and vision statements.

Box 1
IOE Mission and Vision statements

Mission

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

Vision

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

10. 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 (DMRs) and key performance indicators (KPIs). The revised RMF for 2016-2018 is contained in annex I. The RMF includes, inter alia, indicators to assess the efficiency of IOE.

11. **Reporting.** The 2015 RMF, which is IOE's monitoring and reporting framework for 2015, is contained in annex II. Annex III contains a summary of progress in implementing planned evaluation activities for 2015 (in table 1), along with an update on progress towards the targets for each KPI in the 2015 RMF (in table 2).

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. Budget utilization

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

Table 1
IOE budget utilization in 2014 and utilization in 2015
(United States dollars)

Evaluation work	Approved budget 2014	Budget utilization 2014	Approved budget 2015	2015 commitment as of mid-September*	Expected utilization as of year-end 2015
Staff travel	345 000	280 099	355 000	251 811	355 000
Consultant fees	1 465 000	1 979 611	1 485 000	1 608 653	1 650 000
Consultant travel and allowances	395 000	379 948	410 000	428 318	410 000
Country strategy and programme evaluation (CSPE) in-country learning events	35 000	30 853	40 000	15 198	40 000
Evaluation outreach, staff training and other costs	155 992	202 351	165 892	188 380	165 892
Non-staff costs	**2 395 992**	**2 872 862**	**2 455 892**	**2 492 360**	**2 620 892**
Staff costs	**3 586 690**	**2 815 138**	**3 614 041**	**3 440 072**	**3 357 992**
Total	**5 982 682**	**5 688 000**	**6 069 933**	**5 932 432**	**5 978 884**
Utilization (percentage)		95.1		97.7	98.5

* Based on committed staff costs adjusted for exchange rate up to mid-September 2015.

13. 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 attributable to savings in staff costs, primarily from vacant positions and nominally by the strengthening of the United States dollar against 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 related to vacant positions. A portion of staff cost savings was also used to contribute to knowledge management, including the sharing of lessons learned. In this regard, for example, IOE prepared a third unplanned ESR in 2014 on IFAD's work with indigenous peoples.

14. In 2015, against an approved budget of US$6.07 million, utilization (in terms of commitments) as of mid-September 2015 is US$5.93 million, or 97.7 per cent. The utilization at this time of year is based on the full-year commitment of staff costs, which is in line with the IFAD-wide established practice, as well as necessary commitments for consultancy fees and staff/consultants' travel costs to ensure timely implementation of all activities agreed with the Board for 2015.

15. Table 1 also shows an increase in consultant fees and travel as compared to the allocation at the beginning of the year. This is mainly attributable to the full implementation of the Brazil CPE in 2015; this evaluation was originally planned for finalization in March 2016 using additional financial commitments foreseen next year. Funds have also been used to hire consultants to provide essential training to IOE staff on innovative evaluation methodologies (e.g. on qualitative comparative

analysis and theory of change development), with the aim of further enhancing the quality of IOE evaluations.

16. The expected overall utilization in 2015 of the total IOE budget as of year-end is currently projected at US$5.97 million, corresponding to 98.5 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) and is also linked to the impact of the exchange rate during the year. With regard to staffing, IOE is currently in the process of hiring a Professional staff member with experience and expertise in statistical analysis. Recruitment has also begun for another senior evaluation officer position, which became vacant at the end of June 2015.

C. Utilization of the 2014 carry-forward

17. The 3 per cent carry-forward rule, in place since 2004, states that unobligated appropriations at the close of the financial year may be carried forward into the following financial year up to an amount not exceeding 3 per cent of the approved annual budget of the previous year.

18. The 3 per cent carry-forward from the 2014 IOE budget amounted to US$179,480. These funds have been allocated towards the India CPE. This evaluation was not fully budgeted in 2015, as IOE had initially planned to start the India CPE in October 2015 and complete it in the second half of 2016. However, following further consultations and agreement with the Asia and the Pacific 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

19. As agreed with the Executive Board in December 2013, IOE plans to align its SOs with IFAD replenishment periods to ensure a more coherent link between IOE SOs and IFAD's corporate priorities. Thus, the two SOs below, which are fundamental to fulfil IOE's mission and vision, 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.

20. These two objectives should allow IOE to achieve the overarching goal set for independent evaluation: to promote accountability and foster learning to improve IFAD's institutional performance and the performance of IFAD-supported operations.

IV. 2016 work programme

21. The IOE evaluation activities proposed for 2016 are listed in table 1, annex IV, and the indicative plan for 2016-2017 is presented in table 2 of the same annex. The proposed work programme for 2016 remains at about the same level as that of 2015, with enhanced quality to be driven by the methodology and process streamlining brought about by the second edition of the evaluation manual. It is 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 institutional and development effectiveness.

22. Selection and prioritization of independent evaluations are facilitated by the use of a selectivity framework first introduced by IOE in 2013. The selectivity framework is also an instrument to increase 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 is shown in annex VII. The main evaluation activities for 2016 are summarized in table 2 below and an overview is provided in the following paragraphs.

Table 2
Evaluation activities planned by IOE for 2016

Strategic objectives (SOs)	Divisional management results (DMRs)	Outputs
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	**ARRI** **CLE** on IFAD's decentralization experience **Comments** on Report on IFAD's Development Effectiveness (RIDE), President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA), selected COSOPs and the new IFAD corporate strategy on fragile situations
	DMR 2: Country strategies/COSOPs are enhanced through country level evaluations	**CPEs** in India, Nigeria and Turkey to be completed; New **CSPEs** in the Democratic Republic of the Congo, Egypt, Mozambique, Nicaragua and the Philippines.
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	**ESRs** – Gender, country-level policy dialogue, and country-led scaling up
	DMR 4: IFAD-supported operations are improved through independent project evaluations	*Project performance evaluations (PPEs)* **All project completion reports (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** in Mozambique completed and a new one started Contribution to in-house and external debate on **IEs** **Implementation and training** of IFAD and IOE staff and consultants on the second edition of the evaluation manual and implementation of the new harmonization agreement
	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 CSPEs 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 RBAs
	DMR 7 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 CSPEs 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 SO2[*]	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, Operations Management Committees, IFAD Management Teams, Country Programme Management Teams, etc.)

[*] There are a number of outputs that contribute to DMR 8 that cut across both SOs.

23.   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 in the future, as needed.

24. Next year, IOE will undertake a formative CLE on IFAD's decentralization experience, which is a major evaluation on a critical topic for the organization. In this regard, 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.

25. The CLE on IFAD's decentralization is a timely undertaking in 2016. 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 that although the Country Presence Policy and Strategy dates from 2011, IFAD's decentralization process formally started with the Field Presence Pilot Programme approved by the Executive Board in December 2003. And even before that, in the early 2000s, several arrangements for country presence were in place. These have been assessed as part of various CPEs and other evaluations (e.g. the CLE on efficiency) undertaken by IOE since then. Thus, there is adequate evaluative evidence and time frame to assess results and generate lessons for the future.

26. In addition, IOE plans to start five new CSPEs,[7] 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, Nigeria and Turkey. Further to the introduction of the second edition of the evaluation manual, and in order to capture the overall objectives and methodological approach followed, IOE has decided to rename "country programme evaluations" as "country strategy and programme evaluations" (CSPEs). The main aim of CSPEs 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 a COSOP for each country.

27. Building on its experience in conducting IEs [8], next year IOE will launch a further impact evaluation of a project, to be identified through the selectivity framework. It should be underlined that the IEs conducted by IOE are separate from those being undertaken by Management in the IFAD9 and IFAD10 periods. IOE's main aim in conducting IEs is to test innovative methodologies and processes for assessing the results of IFAD operations more rigorously, with emphasis on quantitative analysis and attribution of impact. They also allow IOE to gain important first-hand experience in implementing IEs, thus enhancing its contribution to ongoing internal and external debates on the subject.

28. Moreover, as decided by the Board during its September session, IOE will prepare three ESRs next year. 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.

29. The proposed topics for next year's ESRs are: (i) IFAD's country-level policy dialogue, which is an agreed priority area for Member States in the IFAD10 period; (ii) country-led scaling-up processes which are fundamental for wider impact on

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[7] Further to the introduction of the second edition of the evaluation manual, and in order to capture the overall objectives and methodological approach followed, IOE decided to change the name of CPEs to CSPEs, and of project performance assessments (PPAs) to project performance evaluations (PPEs).

[8] IOE has completed two IEs thus far in Sri Lanka and India, respectively. A third one in Mozambique is currently ongoing.

rural poverty and also a priority in the IFAD10 period; and (iii) gender equality. IOE is exploring the possibility of preparing the gender synthesis jointly with the Office of Evaluation of FAO and/or WFP, within the broader context of enhanced collaboration among the United Nations RBAs. IOE has ample evaluative evidence on all three topics selected for the 2016 ESRs. For example, IOE has previously conducted CLEs on gender and on innovation and scaling up. Moreover, each IOE project evaluation and CPE is required to assess and rate IFAD's efforts and results in promoting innovation and scaling up, and gender, and all CPEs assess and rate IFAD's work in country-level policy dialogue.

30. It is important to note that the fisheries/aquaculture synthesis, requested by the Evaluation Committee in 2014, has been included in the forward plan for 2017 as IOE does not currently have adequate evaluative evidence to prepare such a synthesis next year. Thus, IOE plans to strengthen its evaluative evidence on the topic in 2016, and conduct the ESR the following year. For example, it is conducting an IE in 2015/2016 of the Mozambique Sofala Bank Artisanal Fisheries Project, which will add to the evidence base for the ESR. Moreover, some of the PPEs planned next year will cover IFAD-supported projects focusing on fisheries and aquaculture development.

31. Following ongoing practice, IOE will validate all project completion reports (PCRs) and undertake PPEs in selected cases. As per the second edition of the evaluation manual, PPAs will now be referred to as project performance evaluations (PPEs). IOE plans to increase the number of PPEs from eight per year to 10 starting in 2016. The aim is to enhance the availability of independent evaluative evidence on IFAD's operational performance and increase critical input for ARRI, CLEs, CSPEs and ESRs. 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 most of IFAD's development resources are channelled through investment projects and programmes to developing Member States.

32. The projects to undergo a performance assessment will be selected more strategically than in the past. For example, priority will be given to those capable of providing more immediate input for planned CSPEs or ESRs (see paragraph 30 above). Moreover, IOE plans to strengthen the overall approach to and robustness of PPEs, especially by increasing interactions with beneficiaries and other in-country stakeholders and will ensure that evaluation teams have the opportunity to conduct more structured participatory rural appraisals and a wider range of site visits in remote rural areas. On a case-by-case basis, as needed, more structured data collection activities will be commissioned by IOE (e.g. through mini-surveys carried out before PPE missions) to enhance the evidence base and analytic rigour of PPEs.

33. As specified in the Evaluation Policy, IOE 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. Finally, as decided at the 115th session of the Board, from 2015 onwards the ARRI will be presented to the September session of the Board (rather than December).

34. Moreover, IOE will support recipient countries (selectively) in ECD activities. Increased attention will be devoted to strengthening partnership with the RBAs, especially in the conduct of joint evaluations. IOE will also ensure timely, customized dissemination and outreach of results and lessons to key audiences.

35. Among other documents, IOE will present all CLEs, the ARRI and selected CSPEs to both the Evaluation Committee and the Executive Board. It will present the IEs and ESRs to the Evaluation Committee, and also to the Board on a selective basis.

36.   IOE will prepare written comments on new COSOPs that have been preceded by CSPEs for consideration by the Executive Board. In line with the IFAD Evaluation Policy, IOE will provide written comments on new corporate policies and strategies that have been informed by major CLEs. In particular, IOE will review and prepare written comments on the forthcoming corporate policy and strategy on fragile situations.

37.   In line with established practice,[9] IOE will prepare written comments for consideration by the Evaluation Committee and the Executive Board on the synthesis report by IFAD Management on the IFAD9 impact evaluation initiative. IOE's comments will focus on the methodology and overall approach taken and the robustness of the results reported. The comments will be discussed along with the final synthesis report by the Evaluation Committee in March and the Board in April 2016.[10]

38.   Finally, IOE will collaborate with the evaluation offices of the RBAs to provide quality assurance of the evaluation on the reformed Committee on World Food Security (CFS).

V.   2016 resource envelope

A.   Staff resources

39.   IOE's staff requirements are based on comprehensive annual strategic workforce planning. The overarching results of this planning are presented in annex V, and demonstrate that IOE's staff complement for 2016 is the same as in 2015. It is worth noting 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.

40.   IOE should be in a position to deliver all planned 2016 activities in a timely manner with its current level of staff resources, in spite of the slightly higher level of effort required for CSPEs and PPEs (see table 3 below). This will be made possible by significant methodological strengthening of IOE evaluations and process streamlining brought about by the development of the second edition of the evaluation manual.

B.   Budget proposal

41.   This section outlines IOE's budget requirements. The proposed budget is presented by type of activity, category of expenditure and strategic objective in tables 3 to 5 respectively. Each table includes both the 2015 approved budget and the proposed budget for 2016, facilitating a comparison between the two years. Moreover, IOE has further developed a gender-sensitive budget to track distribution in terms of gender-related activities (see table 6).

42.   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 the administrative budget for the same year. The assumptions used in making this final budget proposal are: (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 0.87 as of 1 September based on the methodology agreed in 2015.

43.   Budget by type of activity. As shown in table 3, US$410,000 of the total non-staff costs of US$2.541 million, or 16 per cent of non-staff costs, is 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

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[9] For example, in line with the IFAD Evaluation Policy and the Terms of Reference of the Evaluation Committee, IOE prepares written comments annually on the RIDE.
[10] Discussion of the synthesis report in the Evaluation Committee and the Executive Board was shifted by Management from December 2015 to April 2016.

the CSPE budget line is explained by the higher level of effort in conducting CSPEs (4.5 units in 2015, as compared to 5.6 in 2016). This also includes allocations for the organization of final national round-table workshops at the country level for three CPEs started in 2015, which will be completed in early 2016. In this regard, next year IOE plans to reassess the unit costs of CSPEs based on initial experience in implementing the enhanced methodology prescribed by the second edition of the evaluation manual. However, it is anticipated that process streamlining is likely to generate efficiency gains that may lower unit costs per CSPE in 2017.

44. Finally, in line with the explanations provided in paragraphs 31 and 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 28.

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

Type of activity	Approved 2015 budget (US$)	Absolute number 2015	Level of effort 2015	Proposed 2016 budget (US$)	Absolute number 2016	Level of effort 2016
ARRI	100 000	1	1	100 000	1	1
CLEs	370 000	2	1	310 000	2	1
CSPEs	1 035 000	8	4.5	1 090 000	7	5.6
ESRs	120 000	3	3	140 000	3	3
PPEs	230 000	8	8	315 000	10	10
PCR validations (PCRVs)	50 000	30	30	50 000	30	30
IE	200 000	2	1	200 000	2	1
Second edition 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**			**2 541 520**		
Staff costs	3 614 041			3 127 899		
Total	**6 069 933**			**5 669 419**		

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

45. As mentioned in paragraph 28, IOE will adopt a more rigorous and methodical approach to preparing synthesis reports. Thus it proposes to allocate US$55,000 for each ESR conducted entirely by IOE in 2016, as compared with US$40,000 in the past. Given that the synthesis on gender will be conducted jointly with WFP and/or FAO, the concerned budget is lower as compared to the unit cost of an evaluation synthesis done by IOE alone.

46. Accumulated experience in preparing ESRs over the past five years has shown that their analytic 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. The ESR will also include recommendations, as requested by the Evaluation Committee.

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[11] Based on accumulated experience and historical figures, 160 staff days are allocated for conducting a CLE, 155 days for a CSPE, 70 days for an ESR, 80 days for an IE, 40 days for a PPE and 11 days for a PCRV. These figures are used to estimate the level of effort by type of activity shown in table 3.

47. 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 RBAs and evaluation offices in other development organizations (e.g. in the context of the UNEG and the ECG of the multilateral development banks).

48. **Non-staff budget by category of expenditure.** In table 4, the proposed non-staff budget is allocated by category of expenditure. Fifty-nine 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 CSPEs, as well as for country visits that might be undertaken in the context of CLEs and ESRs. As with all other consultants, the national consultants hired must adhere to IOE's conflict of interest policy, to ensure objectivity in their contributions to IOE evaluations.

49. It is also worth noting that in 2015 IFAD further clarified its policy on the hiring of consultants. For instance, it underlined that consultants may not claim an exemption from taxes imposed by the country of their nationality 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 consultant 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)

Category of expenditure	Approved 2015 budget	Proposed 2016 budget
Staff travel	355 000	376 000
Consultant fees	1 485 000	1 495 000
Consultant travel and allowances	410 000	440 000
In-country CSPE learning events	40 000	45 000
Evaluation outreach, staff training and other costs	165 892	185 520
Total non-staff costs	**2 455 892**	**2 541 520**
Staff costs	3 614 041	3 127 899
Total	**6 069 933**	**5 669 419**

50. The rise in staff and consultant travel reflects the effect of cost increases in travel and accommodation, 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 for 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 within-grade step increases.

51. **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 table 3, annex VI.

52. 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, CSPEs, PPEs and ESRs). Many of the activities undertaken within this objective also contribute to SO2. That is, several activities under SO1 promote evaluation-based learning and an enhanced institutional results culture. For example, in-country workshops at the end of CSPEs – which are budgeted

under SO1 – provide a unique opportunity to exchange views on the main lessons learned and good practices with policy and decision makers, IFAD operations staff and other stakeholders.

Table 5
Proposed budget allocation (staff and non-staff costs) by strategic objective

	Approved 2015 budget		Proposed 2016 budget	
Strategic objective	Amount (US$)	%	Amount (US$)	%
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	4 394 220	72	4 057 049	71
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	1 675 713	28	1 322 250	24
SO1 and SO2			290 120	5
Total	**6 069 933**	**100**	**5 669 419**	**100**

53. Gender budget. For the first time, IOE has sought to illustrate the gender sensitivity of its budget (table 6). This was a challenging exercise, especially because IOE was not yet able to find examples of gender budgets from evaluation functions in other agencies to be used as a basis. IOE is, in fact, the only evaluation office developing its own gender-sensitive budget among multilateral organizations. 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.

54. 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, CSPEs, PPEs, PCRVs and IEs. Additional attention is also being devoted to gender issues in other evaluation products, such as CLEs and ESRs. As mentioned earlier, in 2016 IOE will conduct a joint ESR on gender.

55. 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 RBAs to strengthen the evaluation of gender issues, or the development of the second edition of the evaluation manual.

Table 6
IOE 2016 gender-sensitive budget

Type of activity	Proposed 2016 budget	Gender component (percentage)	US$
Non-staff costs			
ARRI	100 000	10	10 000
CLEs	310 000	5	15 500
CSPEs	1 070 000	10	107 000
PCRVs	50 000	5	2 500
PPEs	310 000	7	22 050
IEs	200 000	7	14 000
ESRs	140 000	15	21 000
Communication, evaluation outreach, knowledge-sharing, partnership activities	200 000		
ECD, training and other costs	141 520	5	7 076
Total non-staff costs	**2 541 520**	**7.8**	**199 126**
Staff costs			
Gender focal point	165 579	20	33 115
Alternate gender focal point	106 320	10	10 632
All evaluation officers	2 856 000	5	89 054
Total staff costs	**3 127 899**	**4.2**	**131 059**
Total	**5 669 419**	**5.8**	**330 185**

56. Budget proposal. The proposed 2016 budget is US$5.67 million. The real increase in the 2016 budget as compared to the 2015 budget is of 1.4 per cent in non-staff costs, which is due to increased activities and application of more robust methodologies. However, the 2016 budget also reflects a 6.6 per cent nominal decrease as compared to 2015. 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. 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.

57. It is important to underline that the proposed 2016 IOE budget is 0.6 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 provided in table 1, annex VI.

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[12] IFAD plans to commit US$900 million in new loans and grants in 2016, as reported by Management to the Board in September 2015 in the context of the high-level preview of the 2016 programme of loans and grants.
[13] This decision was made by the Executive Board in December 2008.

IOE Results Measurement Framework for 2016-2018
(to be further refined by the end of 2015)

Strategic objectives (SOs)	Divisional management results (DMRs)	Key performance indicators	Baseline 2011	Target (per year)	Means of verification
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	1. Adoption rate of recommendations from	n.a	90%	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA), and IOE work programme and budget document
	DMR 2: Country strategies/ country strategic opportunities programmes (COSOPs) are enhanced through country-level evaluations	Corporate-level evaluations (CLEs), country strategy and programme evaluation (CSPEs), evaluation synthesis reports (ESRs) and project performance evaluations (PPEs) 2. Execution rate of key evaluations	n.a	95%	
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed				
	DMR 4: IFAD-supported operations are improved through independent project evaluations				
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: 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	n.a.	80	
		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	7	
		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, *Profiles*, *Insights*	n.a.	200	
		10. Number of people receiving IOE newsletters	n.a.	600	
	DMR 7: Evaluation capacity development (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 Professional (P) to General Service (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 strategic objectives	Divisional management results	Key performance indicators	Baseline (2011)	Target (2015)	Means of verification
SO1: Contribute, through independent evaluation work, to enhancing accountability for results	DMR 1 DMR 2 DMR 3	1. Adoption rate of recommendations from CLEs, country programme evaluations (CPEs) and project performance assessments (PPAs)	n.a.	90%	Annual Report on Results and Impact of IFAD Operations (ARRI), CLEs, evaluation reports, PRISMA, RIDE, workplan and budget (WPB) document, senior independent adviser report (for CLEs)
	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, *Profiles*, *insights* 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%	

IOE strategic objectives	Divisional management results	Key performance indicators	Baseline (2011)	Target (2015)	Means of verification
	DMR 8	10. Number of ECD workshops organized in partner countries to share knowledge on IOE evaluation methodology and processes	n.a.	1	IOE records
		11. Number of events attended by IOE staff related to self-evaluation and ECD	2	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 project completion report validations (PCRVs), evaluation syntheses and impact evaluations (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 mid-September 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). Tables 1 and 2 will continue to be updated until final submission of the work programme and budget document to the Executive Board in December 2015.

Table 1
Reporting on IOE planned activities (January to mid-September 2015)

Type of work	Evaluation activities	Planned implementation status	Present status
1. Corporate-level evaluations	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. The recommendations from this evaluation will inform the corporate strategy of IFAD's engagement in fragile situations that Management will present to the Board in April 2016.
	IFAD's performance-based allocation system (PBAS)	To start in January 2015	Ongoing. The approach paper was discussed at the eighty-seventh session of the Evaluation Committee in March 2015 and finalized thereafter. Interactions held with the Board's working group on the PBAS in end-September. Therefore the evaluation is in full swing, and a workshop with recipients' countries representatives will be held on 12-13 October 2015. The final report will be ready by the end of December 2015, for presentation to the Board in April 2016.
2. Country programme evaluations	Bangladesh	To be completed in July 2015	Report finalized. National round-table workshop held in June in Dhaka. The final report was presented to the Evaluation Committee in October 2015. The Agreement at Completion Point will inform the new COSOP to be presented to the Board in 2016.
	Brazil	To start in January 2015	Ongoing. Draft CPE report finalized and shared with IFAD Management and the Government for comments. Main mission held in July 2015 and final national round-table workshop is planned on 22 October 2015. Evaluation will be completed in record time of around 8 months and well ahead of planned deadline.
	Ethiopia	To start in January 2015	Ongoing. Draft CPE report shared with IFAD Management for comments and national round-table workshop planned in November 2015.
	Gambia (The)	To be completed in December 2015	Ongoing. Draft CPE report prepared and national round-table workshop to be held in the first week of December 2015 and evaluation finalized by end 2015.
	India	To start in September 2015	Started ahead of schedule and currently ongoing. Preparatory mission done in June 2015 and main mission scheduled in October 2015.
	Nigeria	To start in March 2015	Ongoing. Preparatory mission held in June, and main mission held in September. Report under preparation.
	Turkey	To start in June 2015	Ongoing. Preparatory mission conducted in May and main mission conducted in July. Report under preparation.
	United Republic of Tanzania	To be completed in March 2015	Completed. Discussed at the eighty-eighth session of the Evaluation Committee in June 2015. The Agreement at Completion Point will inform the new COSOP, which is likely to be presented to the Board in December or April 2016.

3. Project completion report validation	Validate all project completion reports (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	All PPAs completed within agreed deadlines.
5. Impact evaluation	Jharkhand-Chhattisgarh Tribal Development Programme (JCTDP), India	To be completed in June 2015	Report finalized and discussed at the eighty-eighth session of the Evaluation Committee in June. In addition, two learning events on the JCTDP IE were held on 11 June in New Delhi and on 19 June at IFAD headquarters. The evaluation was based on, inter alia, a very large amount of primary data collected from 8804 treatment and comparison group members and adopted state of the art methods for impact attribution.
	Sofala Bank Artisanal Fisheries Project, Mozambique	To start in July 2015	Evaluation launched and desk work being undertaken. Preparatory mission planned in the middle of October.
6. Engagement with governing bodies	Thirteenth Annual Report on Results and Impact of IFAD Operations (ARRI)	To be completed in December 2015	Draft report finalized and shared with IFAD Management for comments. Internal learning workshop held on 6 October 2015. Final report to be presented to the Evaluation Committee and Executive Board in end-2015. This year's ARRI includes several new features, in particular more sophisticated statistical analysis of independent evaluation ratings. It also includes a detailed treatment of sustainability of benefits.
	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. The Evaluation and Audit Committee and Executive Board endorsed the 2016 high level preview of the IOE work programme and budget.
	IOE comments on PRISMA	To be completed in September 2015	Completed. PRISMA, with IOE comments, was discussed with the Evaluation Committee in June 2015 and with the Board in September 2015. The Board underscored the importance of the PRISMA together with IOE comments thereon, as a key instrument to promote accountability and learning for better development effectiveness.
	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 were presented to the Evaluation Committee in March and to the Board in April. Discussion of the synthesis report on IEs prepared by IFAD has been deferred by Management to the April 2016 sessions of the Evaluation Committee and Executive Board.
	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	Evaluation Committee: two formal sessions held (March and June 2015). An additional informal seminar was organized on 24 June to discuss the draft of the second edition of the evaluation manual. Executive Board: two formal sessions held (April and September 2015). Director, IOE, took part in the Executive Board visit to Morocco in May 2015. Audit Committee: one formal meeting held in September 2015.

	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 prepared. Evaluation ongoing.
	Evaluation synthesis on natural resources and environmental management	To be completed in December 2015	Approach paper prepared. Evaluation ongoing.
	Evaluation synthesis on non-lending activities in the context of South-South Cooperation	To be completed in December 2015	Approach paper prepared. Evaluation ongoing.
	Evaluation reports, *Profiles*, *Insights*, IOE website, etc.	January-December 2015	In progress as planned. A full account of the reports, profiles etc. will be provided in December 2015.
	Organization of in-country CPE learning workshops, as well as learning events in IFAD	January-December 2015	CPE learning workshops held in the United Republic of Tanzania in January and in Bangladesh in June. Brazil CPE national round-table workshop (NRTW) planned for 22 October 2015, Ethiopia CPE NRTW planned the first week of November 2015, The Gambia NRTW planned for 2 December 2015. In addition, two learning events on the JCTDP IE were held on 11 June in Delhi and on 19 June at IFAD headquarters. Special efforts are being made in each workshop to also invite representatives of beneficiaries, civil society and NGOs.
	Activities related to the International Year of Evaluation	January-December 2015	In progress as planned. Organization of a joint event with the evaluation offices of the Rome-based Agencies (RBAs) on the evaluability of Enhancing the evaluability of sustainable development goal 2 (SDG2) in November 2015. Launch of Rome Evaluation Network (ROMEN) on 3 September 2015. Preparation of a brochure documenting the evolution of IFAD's evaluation function since the 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 Operational Strategy and Policy Guidance Committee(OSC) meetings that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attendance at Operations Management Committee (OMC) meetings, quality assurance learning sessions, IFAD Management Team (IMT) meetings and selected country programme management team (CPMT) meetings	January-December 2015	In progress as planned. These forums provide IOE a further opportunity to share evaluation lessons with IFAD management and staff to strengthen the design of new policies, strategies and operations.
8. Partnerships	Evaluation Cooperation Group (ECG), United Nations Evaluation Group (UNEG) and Swiss Agency for Development and Cooperation (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. IOE also participated in the ECG meeting held in June. IOE- SDC Partnership annual meeting to be held on 29 October 2015. In addition, IOE was represented in a major conference on "Think Sustainable, Act Responsible" in September organized by the Asian Development Bank (ADB).
	Contribution as external peer reviewer to key	January-December 2015	Peer review of the evaluations of: (i) the general capital increase; and (ii) African Development Fund commitments, for the Independent Development Evaluation

	evaluations by other multilateral/bilateral organizations as requested		department of the African Development Bank. Peer review of several Global Environment Facility terminal evaluation reports for the Environment and Climate Change Division of IFAD. IOE staff is also involved in quality assurance of the evaluation of the reformed Committee on Food Security.
	Implementation of joint statement by CGIAR, FAO, IFAD and World Food Programme (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 prepared and discussed in an informal seminar of the Evaluation Committee on 24 June 2015. The manual has been finalized and document being translated into all IFAD official languages. The manual is an instrument of corporate importance, which will serve as a basis for all IOE evaluations in 2016 and also for further strengthening IFAD's self-evaluation capabilities.
	Contribution to in-house and external debate on IEs	January-December 2015	In progress as planned. Authored an article published in June 2015 on evaluation matters titled "Impact Evaluations in Rural Development: Opportunities and Challenges. The Emerging Experience of IFAD's Independent Office of Evaluation".
	Development and implementation of the new harmonization agreement	January-December 2015	Ongoing.
	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 undertaken in China and Ethiopia, with a range of activities including a one day evaluation methodology workshop in Ethiopia planned for November.
	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	PPA on the Environment Conservation and Poverty-Reduction Programme in Ningxia and Shanxi completed. Presentation on evaluation methodology delivered during Shanghai International Program for Development Evaluation Training (SHIPDET).

Reporting on IOE key performance indicators (January to mid-September 2015)

Based on IOE's 2015 Results Measurement Framework, the following reporting matrix provides an overview of IOE achievements till mid-September 2015 against key performance indicators agreed with the Executive Board.

Table 2
Reporting on IOE key performance indicators (January to mid-September 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, CSPEs and PPAs	*120 of 128 recommendations*	Target surpassed, with 94% of IOE's recommendations adopted	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	3	Three formal sessions (March, June and October) and one informal held on 24 June. The fourth session is planned in November.	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)	6	• 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 • In-house learning event on impact evaluation of the JCTDP • In-house learning event on the evaluation synthesis report on pastoral development • In-house learning workshop on the 2015 ARRI and its learning theme on sustainability of benefits of IFAD operations	8
		6. Number of in-country learning events co-organized by IOE with governments	3	**CPE workshops held:** • January – United Republic of Tanzania • June – Bangladesh • June – Learning event covering launching of the India CPE and presentation of the JCTDP impact evaluation report	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	6	• The second global Indigenous Peoples Forum • Country-level policy dialogue • Self-evaluation system with portfolio advisers • IFAD's role in "Food for All: International Institutions and the Transformation of Agriculture" • Assessing the Impact of Policy Dialogue • IOE's performance on gender mainstreaming	5
		8. Number of external knowledge events with IOE staff participation to share lessons from evaluation	6	• Fourth Conference of the Red de Seguimiento, evaluación y sistematización de América Latina y el Caribe (ReLAC) • UNEG Annual General Meeting (March) • ECG spring meeting (June) • Training on Systematic Reviews organized by 3IE (International Initiative on Impact Evaluation) in Cairo • Shanghai International Program for Development Evaluation • ADB conference on Think Sustainable, Act Responsible	5
		9. Number of knowledge management products published within three months of established completion date and disseminated		IOE has published and disseminated to internal and external audiences a total of: 10 evaluation reports; 8 Profiles and Insights; 3 press releases; 1 overview of a CLE; 5 infographics; 3 quarterly newsletters; 9 videos; 4 video interviews to IOE staff (The Gambia, India and Bangladesh). Preparation of the booklet on the evolution of the independent evaluation function at IFAD is ongoing	100%
	DMR 8: ECD in partner countries	10. Number of countries with ECD	2	China, Ethiopia	1
		11. Number of events attended by IOE staff related to self-evaluation and ECD			

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 [*]				
				Jan-Mar 2016	Apr-Jun 2016	Jul-Sep 2016	Oct-Dec 2016	2017
1. Corporate-level evaluation	IFAD's decentralization experience	Jan-16	Dec-16					X
2. Country strategy and 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	
	Turkey	Jun-15	Mar-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; Gender; and national policy dialogue	Jan-16	Dec-16				X	
5. Project performance evaluation	10 PPEs	Jan-16	Dec-16			X	X	
6. Impact evaluation	2015 IE (Mozambique, Sofala Bank Artisanal Fisheries Development)	Jul-15	Nov-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	
	Fourteenth 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 the IFAD strategy on fragile situations and on the synthesis report by IFAD Management on the IFAD9 impact evaluation initiative	Jan-16	Dec-16		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 to Brazil	Jan-16	Dec-16	X	X	X	X	

Type of work	Proposed activities for 2016	Start date	Expected finish date	Expected delivery time[*]				
				Jan-Mar 2016	Apr-Jun 2016	Jul-Sep 2016	Oct-Dec 2016	2017
	IOE comments on COSOPs when related CSPEs are available	Jan-16	Dec-16		X	X	X	
8. Communication and knowledge management activities	Evaluation reports, *Profiles*, *Insights*, website, etc.	Jan-16	Dec-16	X	X	X	X	
	Organization of in-country CSPE 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	
	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 and SDC partnerships	Jan-16	Dec-16	X	X	X	X	
	QA of the external evaluation of the Controller's and Financial Services Division (CFS). 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 (second edition of evaluation manual)	Jan-16	Jun-16	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	

[*] 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 activity[14]

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 strategy and 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	Fifteenth and sixteenth ARRIs	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 CSPEs are available	2017-2018
7. Communication and knowledge management activities	Evaluation reports, *Profiles*, *Insights*, website, etc.	2017-2018
	Evaluation synthesis on fisheries and aquaculture	2017
	Evaluation synthesis on Remittances	2017
	Attend all OSCs that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attend OMC, IMT and selected CPMT meetings	2017-2018

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

Type of work	Indicative plan for 2017-2018	Year
8. Partnership	ECG, UNEG 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**

* 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)

Evaluation work	2012 budget	2013 budget	2014 budget	2015 budget (1)	Proposed 2016 budget		
					Real increase/decrease *(2)*	*Price increase/decrease* *(3)*	*Total 2016 budget* *(4)=(1)+(2)+(3)*
Non-staff costs	2 289 474	2 346 711	2 395 992	2 455 892	85 628	0	2 541 520
Staff costs	3 734 530	3 667 268	3 586 690	3 614 041	0	(486 142)	3 127 899
Total	**6 024 004**	**6 013 979**	**5 982 682**	**6 069 933**	**85 628**	**(486 142)**	**5 669 419**

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$)	Proposed non-staff costs in 2016 (US$)
ARRI	1	1	150 000	100 000
CLEs	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		
CSPEs	7	5.6	Differentiated cost based on size of portfolio, size of country, travel costs and availability of evaluative evidence: 200 000-250 000	1 090 000
PCRV	About 30	About 30		50 000
PPEs	About 10	About 10	30 000-40 000	315 000
IEs	1			
• 2015 carry-over		0.7	200 000-300 000	200 000
• 1 IEs (project TBD)		0.3		
Evaluation synthesis reports	3	3	40 000-55 000	140 000
Communication, evaluation outreach, knowledge-sharing and partnership activities	-	-		195 000
ECD, training (including training on the second edition of the evaluation manual) and other costs	-	-		141 520
Total				**2 541 520**

[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 2016 budget allocation (staff and non-staff costs) by objective and divisional management result
(United States dollars)

IOE objectives	IOE DMRs	Proposed budget (staff and non-staff cost)	Percentage of overall total proposed budget
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	675 503	12
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	2 004 797	36
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	536 080	10
	DMR 4: IFAD-supported operations are improved through independent project evaluations	840 669	13
Total for SO1		**4 057 049**	**71**
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	440 560	9
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	566 302	10
	DMR 7: ECD in partner countries	315 388	5
Total for SO2		**1 322 250**	**24**
Joint SO1 and SO2	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	290 120	5
Grand total		**5 669 419**	**100**

IOE selectivity framework

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

Corporate-level evaluations	*Country programme evaluations*	*Evaluation synthesis reports*	*Project performance evaluations*	*Impact evaluations*
1. **Strategic priority.** The evaluation contributes to IFAD's strategic priorities and replenishment commitments	1. **Link to COSOPs**. Results feed into the development of IFAD **country strategies/ COSOPs**	1. **Evaluative evidence.** Availability of adequate evaluative evidence by IOE and evaluation functions in other development organizations	1. **Availability of PCR.** PPEs will be done only when a **PCR** is available	1. **No duplication**. No IE conducted by IFAD Management of the same operation
2. **Accountability.** Topic selected contributes to strengthening IFAD's institutional accountability	2. **Coverage:**	2. **Knowledge gap.** ESRs contribute to filling a critical knowledge gap in IFAD	2. **Geographic coverage.** PPEs selected to ensure regional balance of the IOE evaluation programme	2. **Learning from IE.** Evidence needed on what works in a certain context
3. **Knowledge gap.** CLEs contribute to filling a critical knowledge gap in IFAD	a) Regional and country coverage of CSPEs	3. **Strategic priority.** The synthesis contributes to IFAD's strategic priorities and replenishment commitments	3. **Building block.** Priority given to PPEs that will provide an input into CSPEs, CLEs or synthesis reports	3. **Building block.** Priority for IEs that will provide an input into CSPEs, CLEs or synthesis reports
4. **Timeliness.** Evaluation results feed punctually into pertinent corporate policies, strategies and/or processes	b) Size of the portfolio in terms of total investments and number of operations	4. **Timeliness.** The synthesis feeds punctually into pertinent corporate policies, strategies and/or processes	4. **Information gaps.** PCR does not provide sufficient analysis of project performance and results	4. **Completion date.** IEs will be done within three years after completion date
5. **Corporate risks.** The evaluation serves to help minimize critical corporate risks	c) Debt Sustainability Framework classification (red, yellow, green)	5. **Building block.** The synthesis serves as an input for other IOE products	5. **Inconsistencies.** PCR ratings are inconsistent with narrative	5. **Baseline data.** The availability and usability of baselines is essential to determine the methodology to be applied in IEs
	d) Lending terms (highly concessional, blend or ordinary)		6. **Innovative approaches.** The project includes innovative approaches that merit deeper analysis and documentation	6. **Information gaps.** The PCR does not provide sufficient analysis of the effectiveness and impact of certain interventions
			7. **Learning from PPE**. Evidence needed on what worked and why	7. **Innovative approaches.** The project includes innovative approaches that merit deeper analysis and documentation