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Investing in rural people

Results-based work programme and budget for 2017 and indicative plan for 2018-2019 of the Independent Office of Evaluation of IFAD

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For: Review

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Abbreviations and acronyms

ARRI	Annual Report on Results and Impact of IFAD Operations
CGIAR	Consultative Group on International Agricultural Research
CLE	corporate-level evaluation
CLEAR	Centers for Learning on Evaluation and Results
COSOP	Country Strategic Opportunities Programme
CPE	country programme evaluation
CSPE	country strategy and programme evaluation
DMR	divisional management result
ECD	Evaluation Capacity Development
ECG	Evaluation Cooperation Group
ESR	Evaluation Synthesis Report
FAO	Food and Agriculture Organization of the United Nations
IOE	Independent Office of Evaluation of IFAD
PBAS	performance-based allocation system
PCR	project completion report
PCRv	project completion report validation
PoLG	programme of loans and grants
PPA	project performance assessment
PPE	project performance evaluation
PRISMA	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions
RBA	Rome-based agency
RIDE	Report on IFAD's Development Effectiveness
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SO	strategic objective
UNEG	United Nations Evaluation Group
WFP	World Food Programme

Results-based work programme and budget for 2017 and indicative plan for 2018-2019 of the Independent Office of Evaluation of IFAD

I. Introduction

1. This document contains the results-based work programme and budget for 2017 and indicative plan for 2018-2019 of the Independent Office of Evaluation of IFAD (IOE). This document has been developed in consultation with IFAD Management and takes into account the priorities expressed by IFAD governing bodies in 2015 and feedback from the Evaluation Committee, Audit Committee and Executive Board in their respective September sessions.
2. Context. IFAD plans to deliver US\$3.2 billion in loans and grants during the Tenth Replenishment of IFAD's Resources (IFAD10) period (2016-2018). IFAD10 set several operational priorities for achieving IFAD's overarching goal of rural transformation. They include the development of sustainable and inclusive smallholder agriculture, nutrition, adaptation to climate change, scaling up, gender equality and women's empowerment. These priority areas are reflected in the IFAD Strategic Framework 2016-2025. In addition, organizational decentralization and financial sustainability are major areas of attention to further enhance IFAD's development and institutional effectiveness.
3. These plans and priorities provide the backdrop for IFAD's independent evaluation work programme. The IOE results-based work programme and budget has been developed based on the application of the IOE selectivity framework after careful examination of the priorities set for IFAD10¹ and the medium-term plan for 2016-2018. Also important is IOE's medium-term strategic vision for 2016-2018, which is anchored to IFAD's strategic vision 2016-2025 and provides the wider framework for IOE activities in the next two years (see Box 1).

Box 1

IOE mission and vision statements

Mission

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

Vision

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

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

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

with IFAD Management to align the methodologies used in IFAD's independent and self-evaluation systems. The aim of the agreement is to ensure that both systems contribute to achieving IFAD's goals and objectives through complementarity and mutual reinforcement.

6. The IOE results-based work programme and budget document is based on a critical assessment of needs rather than simply using the current budget as a baseline.² It illustrates the links between the work programme and expenditures, and details the breakdown of budgeted costs, especially non-staff costs such as those for consultants. In addition, the document provides details of actual expenditures for 2015, budget utilization up to mid-September 2016 and a current estimate of the expected 2016 year-end utilization. Updated information will be provided in future versions of the document as it becomes available until its final submission to the Executive Board in December 2016.
7. This document will be further developed following the incorporation of comments by the Evaluation Committee at its ninety-fourth session in October 2016. The final document will be considered by the Executive Board in December 2016. Prior to this, the budget proposal will be discussed by the Audit Committee in November 2016 together with IFAD's 2017 administrative budget. It will then be submitted, upon recommendation of the Board in December 2016, to the Governing Council for approval in February 2017.
8. In line with the IFAD Evaluation Policy,³ the IOE budget is developed independently of IFAD's administrative budget.⁴ However, the proposed budget is based on the same budgeting principles and parameters (e.g. exchange rate, standard costs for staff positions and inflation factor) used by IFAD Management in preparing its own administrative budget for 2017.
9. This document has been organized into five sections. Section II highlights: achievements of the 2016 evaluation work programme so far; the overall 2015 budget utilization; the 2016 budget utilization as of mid-September 2016 and the projected utilization for 2016; and the use of the 3 per cent carried forward from the 2015 IOE budget. Section III provides a brief description of IOE's strategic objectives (SOs) while section IV focuses on proposed evaluation activities for 2017. Section V outlines the initial proposal for the 2017 budget and the human resources IOE requires to implement its work programme and achieve its main objectives effectively and on time.

II. Current perspective

A. Highlights of 2016

10. By the end of this year, IOE expects to implement all planned activities in its 2016 work programme. Selected achievements to date include the following:
 - Completion of the CLE of IFAD's performance-based allocation system (PBAS).⁵ The CLE was finalized on time and presented to the Evaluation Committee in March and the Board in April 2016. Its findings and recommendations are expected to inform the revised PBAS design, which will be presented to the Board by Management in December 2016.
 - Finalization of the formative CLE on IFAD's decentralization experience. The paper on the CLE approach⁶ was presented to the Evaluation Committee in March 2016 and incorporated comments by

² See document EB 107/Rev-1, Minutes of the 107th session of the Executive Board, paragraph 29.

³ The revised IFAD Evaluation Policy is available at: <https://webapps.ifad.org/members/eb/102/docs/EB-2011-102-R-7-Rev-3.pdf>.

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

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

⁶ Available at: <https://webapps.ifad.org/members/ec/91/docs/EC-2016-91-W-P-3-Rev-1.pdf>.

Committee members. The draft evaluation report has been shared with IFAD Management, to be discussed at the ninety-fifth session of the Evaluation Committee in November, and will be presented to the Board in December 2016. The findings of this evaluation will inform the preparation of the corporate decentralization plan, which Management aims to present to the Board in December 2016.

- Implementation of the second edition of the IFAD Evaluation Manual⁷ and development of the harmonization agreement between IFAD's independent and self-evaluation systems. IOE is implementing its 2016 evaluation activities according to the provisions of the second edition of the Evaluation Manual. The IOE results-based work programme and budget adopts the terminology used in the new manual, project performance assessments (PPAs) are now referred to as project performance evaluations (PPEs) and country programme evaluations (CPEs) as country strategy and programme evaluations (CSPEs).
- Finalization of the 2016 Annual Report on Results and Impact of IFAD Operations (ARRI). As decided by the Executive Board in September 2015, both the ARRI and the Report on IFAD's Development Effectiveness (RIDE) were presented at the respective September 2016 sessions of the Executive Committee and Executive Board. This year's ARRI learning theme was knowledge management, with an emphasis on learning to improve performance in IFAD operations. This is the second edition of the ARRI in which data-collection, analysis and report writing have been entirely undertaken by IOE staff. It is a reflection of IOE's intention to increasingly insource its evaluation work in order to achieve cost savings and improve quality.
- Finalization of two evaluation synthesis reports. ESRs on non-lending activities in the context of South-South and triangular cooperation, and on environment and natural resource management were completed in 2016. The ESR on non-lending activities was presented to the Evaluation Committee in June 2016 while the ESR on the environment and natural resource management will be presented to the Committee in October 2016. As agreed with the Executive Board, three additional ESRs are being prepared in 2016 on: (i) IFAD's support to scaling up results; (ii) country-level policy dialogue; and (iii) achieving gender equality and women's empowerment – a review of practices and results.
- Presentation of the CPEs for Brazil, Ethiopia, Nigeria and Turkey to the Evaluation Committee. The CSPE for India will be presented to the 94th session of the Committee on 13 October. The national round-table workshops for the CSPEs for the Democratic Republic of the Congo and the Philippines will be organized end-October and end-November respectively, in accordance with the IOE workplan.
- IOE has completed its third impact evaluation, which was conducted in Mozambique. Its fourth impact evaluation has begun and the project selected is the Agricultural Support Programme in Georgia.
- IED-IOE joint evaluation in the Lao People's Democratic Republic. The Independent Evaluation Department (IED) of the Asian Development Bank and IOE are conducting a joint project performance evaluation of the Northern Region Sustainable Livelihoods through Livestock Development Project in the Lao People's Democratic Republic. The approach paper for this evaluation is in preparation.

⁷ The first Evaluation Manual was developed in 2008 and published in 2009. Both editions of the Evaluation Manual are available at www.ifad.org/evaluation/policy_and_methodology/overview.

11. Reporting. IOE has implemented balanced score cards – a tool used by many non-profit organizations – to ensure better monitoring, assessing and reporting on implementation of its workplan and budget during the year. Balanced score cards serve as a valuable management tool in making necessary adjustments to the work programme to achieve IOE's overall strategic objectives in a timely manner. Based on these score cards, IOE has further developed its 2016-2018 Results Measurement Framework (annex I) and relevant monitoring and reporting framework, including key performance indicators (annex II).
12. Progress in implementing planned evaluation activities for 2016 is summarized in table 1 of annex II. The present document also includes a summary of progress made through mid-September 2016 in meeting the targets for each key performance indicator included in the 2016-2018 Results Measurement Framework (table 2 in annex II). The data reveal that most activities are on track. Updated achievements (both in planned evaluation activities and against IOE's key performance indicators) will be reported to the Board in December 2016.

B. 2015 budget utilization

13. Table 1 provides information on IOE's budget utilization in 2015, from January until mid-September 2016, and that expected by year-end.

Table 1

IOE budget utilization in 2015 and projected utilization in 2016

(United States dollars)

<i>Evaluation work</i>	<i>Approved budget 2015</i>	<i>Budget utilization 2015</i>	<i>Approved budget 2016</i>	<i>Commitment as of mid-Sept 2016</i>	<i>Expected utilization as at year-end 2016</i>
Staff travel	355 000	432 277	376 000	276 899	376 000
Consultant fees	1 485 000	1 638 956	1 495 000	1 373 826	1 495 000
Consultant travel and allowances	410 000	445 724	440 000	291 752	440 000
In-country CPE/CSPE learning events	40 000	1 864	45 000	14 996	45 000
Evaluation outreach, staff training and other costs	165 892	249 700	185 520	74 029	185 520
Non-staff costs	2 455 892	2 768 521	2 541 520	2 031 502	2 541 520
Staff costs	3 614 041	3 199 558	3 127 899	2 890 540	3 003 172
Total	6 069 933	5 968 079	5 669 419	4 922 042	5 544 692
Utilization (percentage)		98.3%		86.8%	97.8%

Based on committed staff costs adjusted for exchange rate to mid-September 2016.

14. Actual total expenses against IOE's 2015 budget amounted to US\$5.97 million, equal to a utilization of 98.3 per cent. The slightly reduced utilization largely resulted from savings in staff costs derived from the strengthening of the United States dollar against the euro in the latter part of the year, and from vacant positions. Staff cost savings were partly offset by an increase in consultancy requirements to accomplish tasks related to vacant positions. Some of the staff costs savings were also used to undertake training and additional outreach in order to ensure wider dissemination of evaluation lessons during the year.
15. Against an approved budget for 2016 of US\$5.67 million, utilization (in terms of commitments) as of mid-September 2016 is US\$4.92 million, or 86.8 per cent. Utilization at this time of year is based on the full year commitment of staff costs, with the exception of two professional positions filled during the first quarter of 2016 and the Deputy Directory position, which was filled only in September 2016.

16. The expected overall utilization in 2016 of the total IOE budget as of the year-end is projected at US\$5.54 million, corresponding to 97.8 per cent of the approved budget. The anticipated lower utilization is in staff costs as a result of the vacant positions mentioned.

C. Utilization of the 2015 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. IOE's 3 per cent carry-forward from 2015 amounted to US\$182,098. These funds have been allocated to the following evaluation activities:
 - (i) ESR on gender. The evaluation synthesis report was partially costed in the 2016 budget since it was planned to be conducted jointly with the Food and Agriculture Organization of the United Nations (FAO) and the World Food Programme (WFP). This cost must now be fully absorbed by IOE.
 - (ii) CLE on decentralization. This evaluation is being undertaken in an extremely short time period. The resource implications of this could only be fully estimated when the evaluation design was finalized in early 2016. The 3 per cent carry-forward was used to enhance the evidence base and quality of the evaluation by conducting regional consultations to capture the views of in-country partners and beneficiaries. These data will be triangulated with the other data collected through such as surveys, interviews and case studies;
 - (iii) CLE on IFAD's financial architecture. Part of the 3 per cent carry-forward is being used to prepare the approach paper for the 2017 CLE on IFAD's financial architecture. This will allow the evaluation to be in full swing in the first trimester of 2017 and will ensure the timeliness of preliminary findings to inform the replenishment consultations, as requested by the Executive Board.

III. IOE strategic objectives

19. As agreed with the Executive Board in December 2013, IOE aligns its SOs with IFAD replenishment periods. The purpose is to ensure a more coherent link between IOE SOs and corporate priorities. The following SOs were proposed for 2016-2018 (IFAD10) and approved by the Board in December 2015:
 - (i) SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability; and
 - (ii) SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness.
20. These two objectives should allow IOE to achieve the overarching goal set for independent evaluation: to promote accountability and learning through independent, credible and useful evaluations of IFAD's work.

IV. 2017 work programme

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

also enhances transparency in developing the divisional work programme. The following paragraphs provide an overview of IOE's main evaluation activities for 2017.

23. Next year, IOE proposes to undertake a new CLE on IFAD's financial architecture, which will be completed by year-end and presented to the Executive Board in 2018. However, as requested by the Board, IOE will ensure that the preliminary findings of this CLE inform the replenishment consultations in a timely manner. It is appropriate that IOE look at the adequacy and sustainability of the financial instruments used by IFAD to fund its programme of loans and grants (PoLG), and that it contribute to the identification of innovative sources of financing other than traditional replenishment sources.
24. Given the significant reduction in official development assistance, which is affecting the level of funding mobilized through the replenishment cycles, IFAD cannot only rely on donor contributions through periodic replenishments in the future. In 2015, the Board allowed IFAD to begin borrowing funds from sovereign sources to augment its resource availability. In light of this, the evaluation will look at IFAD's capacity to leverage additional financial resources for rural poverty reduction.
25. The CLE on IFAD's financial architecture constitutes a major evaluation on a critical topic and will be a ground-breaking exercise; only the International Finance Corporation of the World Bank has conducted a similar evaluation in the past. Other CLEs provisionally planned beyond 2017 are shown in the indicative plan for 2017-2018 (annex III, table 2).
26. With regard to CSPEs, the principal aims are to: assess the results and impact of the partnership between IFAD and governments in reducing rural poverty; and provide building blocks for the preparation of IFAD country strategies in each country following completion of the CSPE. In 2017, IOE will complete the CSPEs begun in 2016 in Egypt and Mozambique. In addition, IOE plans to initiate five new CSPEs – one in each of IFAD's five regional divisions. The 2017 CSPEs will be undertaken in Angola, Cambodia, Cameroon, Georgia and Peru. It is worth noting that no CSPE has been conducted in any of these countries in the past. Therefore, the 2017 CSPEs will further strengthen IFAD's learning and accountability by expanding the coverage of IFAD-financed operations under evaluation.
27. Building on its experience conducting impact evaluations,⁸ next year IOE will launch another impact evaluation on a project to be determined based on the selectivity framework. It is important to underline that IOE's impact evaluations are not the same as those undertaken by Management in the IFAD9 and IFAD10 periods. In fact, IOE's main aim in conducting impact evaluations is to test innovative methodologies and processes for assessing the results of IFAD operations more rigorously. They also allow IOE to gain important first-hand experience in implementing impact evaluations, thus contributing to ongoing internal and external debate on the subject.
28. In addition, IOE will prepare two ESRs in 2017. These reports are largely based on existing evaluation evidence and serve to document and share lessons and good practices on topics that can inform IFAD's policies, strategies and operations. The proposed topics for the two ESRs in 2017 are: (i) fishery, aquaculture and coastal area development; and (ii) partnership-building at the country level, including with the private sector.
29. The ESR on fisheries and aquaculture was requested by the Evaluation Committee. However, it is important to note that IFAD has little existing evaluative evidence from past evaluations on this topic. Therefore, IOE proposes to incorporate evidence from evaluations on the topic performed by evaluation functions in other multilateral and bilateral development organizations. With regard to the ESR on

⁸ IOE has conducted three impact evaluations in Sri Lanka, India and Mozambique.

partnerships, IOE has past evaluative evidence on the topic since all CSPEs assess and rate partnership-building at the country level. Moreover, IOE conducted a CLE on IFAD's private-sector development and partnership strategy, which was presented to the Executive Board in May 2011.

30. Following the methodological streamlining introduced by the second edition of the Evaluation Manual, IOE has adopted a more rigorous approach to preparing ESRs – for example by applying a more systematic analysis of qualitative and quantitative secondary data. This will enhance the analytic rigour and credibility of the products.
31. Following accepted practice, IOE aims to validate all project completion reports (PCRs) and undertake 10 PPEs of selected projects each year.⁹ The number of PPEs has increased from eight per year to ten per year in order to enhance the availability of independent and field-based evaluation evidence on IFAD's operational performance. These data will also: serve as critical inputs for the ARRI, CLEs and CSPEs; allow IOE to cover more IFAD operations across all regions; and further strengthen IFAD's accountability framework. This is fundamental given that the majority of IFAD's development resources are channelled through investment projects and programmes to developing member countries.
32. Furthermore, IOE is strengthening the evidence base and analytic rigour of PPEs by: increasing collaboration with beneficiaries and other in-country stakeholders; and ensuring that evaluation teams have the opportunity to conduct more structured participatory rural appraisals and a wider range of site visits in remote rural areas.
33. As stated in the IFAD Evaluation Policy, IOE will prepare the 2017 edition of the ARRI, its annual flagship report. As in previous years, the ARRI will include a detailed analysis and a dedicated chapter on one major learning theme. IOE proposed the topic of financial management and fiduciary responsibilities as the 2017 learning theme to the Board in consultation with IFAD Management.
34. IOE will support selected recipient countries in evaluation capacity development (ECD) activities linked to the CLEAR Initiative. IFAD is planning to conduct this initiative with the Centers for Learning on Evaluation and Results (CLEAR), with the aim of strengthening the capacity of staff at the project level and others in-country and sharpening data collection systems and instruments. ECD activities by IOE will complement these efforts by concentrating on ECD at the institutional level, thus supporting institutions through greater capacity for the evaluation of public policies and programmes dedicated to rural poverty reduction.
35. There will be an increased focus on strengthening partnerships with the other Rome-based agencies (RBAs), especially in joint evaluations. In this regard, the Director, IOE, has reached out to the directors of the other RBA evaluation offices to explore opportunities for collaboration in countries in which IOE is undertaking evaluations in 2017.
36. Greater attention will be devoted to the sharing of knowledge of innovative evaluation practices. In particular, IOE is planning to organize a conference on the use of IT in the conduct of evaluations in order to share experiences and learn from other organizations and practitioners on how technological advances can improve the design, conduct and quality of evaluations.
37. Finally, the Director, IOE, has been elected chairperson of the Evaluation Cooperation Group (ECG) of the multilateral development banks, as well as vice-chair of the United Nations Evaluation Group (UNEG) responsible for strategic objective 2, "use of evaluations". These functions will give IFAD an opportunity to

⁹ Such evaluations were previously called project performance assessments (PPAs). The name was changed by IOE to project performance evaluations (PPEs) since the latter term more appropriately captures the objectives and methodological approach followed.

highlight to partners its critical role in international development cooperation – especially the important work of IOE in enhancing the development effectiveness of the organization.

38. IOE will present all CLEs, the ARRI and selected CSPEs to both the Evaluation Committee and the Executive Board. It will present impact evaluations and ESRs to the Evaluation Committee, and to the Executive Board upon request. IOE will prepare written comments on new country strategic opportunities programmes (COSOPs) that have been preceded by CSPEs for consideration by the Executive Board. In line with the IFAD Evaluation Policy, it will provide written comments on new corporate policies and strategies that have been informed by major CLEs. IOE will also ensure timely, customized dissemination and outreach of results and lessons to key audiences. Table 2 summarizes the evaluation activities planned by IOE in 2017.

Table 2
Evaluation activities planned by IOE for 2017

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

<i>Strategic objectives (SOs)</i>	<i>Divisional management results (DMRs)</i>	<i>Outputs</i>
SO1 and SO2*	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	<ul style="list-style-type: none"> Preparation of the IOE work programme and budget; participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, as well as selected Audit Committee meetings; participation in internal platforms (Operational Strategy and Policy Guidance Committee, Operations Management Committee, IFAD Management teams, country programme management teams, selected learning events, etc.)

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

V. 2016 resource envelope

A. Staff resources

39. IOE's staff requirements are based on a comprehensive annual strategic workforce planning exercise. As anticipated in the preview document, in 2017 IOE will require an additional P-4 senior evaluation officer position. The rationale for the additional officer is provided in the paragraphs below.
40. From May 2014 to May 2016, IOE benefited from the secondment at no cost of a P-5 SDC staff member, who undertook CSPEs and PPEs. The secondment was crucial for the timely delivery of the work programme given that the streamlining of evaluation processes in line with the new Evaluation Manual shortened the duration of major evaluations (especially CPEs and CLEs) from 18 to 12 months. As mentioned in paragraph 31, the number of PPEs also increased from eight per year to ten per year and was accompanied by the increased insourcing of evaluation work. These changes are in line with the new Evaluation Manual's focus on improving quality, enhancing learning and reducing unit costs. The increased insourcing is reflected in reduced consultancy fees, allowances and travel as discussed in section V(B) (below), which contains the budget proposal.
41. Increased insourcing of both high-level evaluations such as CLEs and the ARRI, and project-level evaluations including PPEs and project completion report validations (PCRVs) entails a greater level of effort for IOE staff than in previous years. Therefore, the recruitment of a senior-level staff member will be critical to support the undertaking of major evaluations (e.g. CSPEs) and to ensure that an increasing number of PPEs and PCRVs can be produced internally from 2017 onwards. A P-4-level staff member will also provide appropriate guidance to junior staff at the P-2 and P-3 levels.
42. In addition, since 2009 IOE has not requested any new positions in either the professional and General Service staff categories. It is worth underlining that the IOE Professional to General Service staff ratio remains at approximately 1 to 0.46, which is among the best for any division in IFAD. The modified staffing levels for 2017 can be seen in annex IV.

B. Budget proposal

43. This section outlines IOE budget requirements. IOE's budget requirements are detailed below by type of activity, category of expenditure and SO. Tables 3-6 include both the 2016 approved budget and the proposed budget for 2017 to facilitate a comparison between the two years. Table 7 contains the IOE gender-sensitive budget for 2017, which identifies the distribution of the budget for gender-related activities.
44. 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) there is no increase in the salaries of Professional and General Service staff anticipated for 2017, and therefore the same

2016 standard costs adjusted for the euro/dollar exchange rate have been used; (ii) inflation will be absorbed to the greatest extent possible; and (iii) an exchange rate of US\$1 = EUR 0.897 will be used.

45. With regard to the latter, the weakening of the euro against the United States dollar from US\$1 = EUR 0.877 to US\$1 = EUR 0.897 resulted in a slight reduction in staff costs.
46. Between now and year-end, IOE will liaise with IFAD's Office of Budget and Organizational Development to ensure that the division continues to use the same budget parameters followed by Management in developing its administrative budget for next year. Should there be any changes to the IFAD budget parameters for 2017, IOE will also apply them and present a revised budget to the Audit Committee and the Executive Board before the end of 2016.
47. Budget by type of activity. As shown in table 3, US\$465,000 of the total non-staff costs of US\$2.490 million – or 18.7 per cent of non-staff costs – is allocated to higher-level evaluations (i.e. the ARRI and CLEs). These evaluations have the potential to result in far-reaching and systemic changes at the institutional level. The increase in the CLE budget compared to the 2016 budget is a result of the unique nature of the CLE on IFAD's financial architecture. IOE will need to mobilize high-level technical experts in finance and resource mobilization, who normally command significantly higher market rates than the consultants that IOE mobilizes for other types of CLEs.

Table 3
Proposed budget for 2017 (by type of activity)*

<i>Type of activity</i>	<i>Approved 2016 budget (US\$)</i>	<i>Absolute number 2016</i>	<i>Level of effort 2016</i>	<i>Proposed 2017 budget (US\$)</i>	<i>Absolute number 2017</i>	<i>Level of effort 2017</i>
Non-staff costs						
ARRI	100 000	1	1	80 000	1	1
CLEs	310 000	2	1	385 000	2	1
CSPEs	1 090 000	7	5.6	1 000 000	7	5.2
Evaluation syntheses	140 000	3	3	110 000	2	2
PPEs	315 000	10	10	315 000	10	10
PCRVs	50 000	30	30	30 000	30	30
Impact evaluations	200 000	2	1	200 000	2	1
Knowledge-sharing, communication, evaluation outreach and partnership activities	195 000	-	-	225 000		
ECD, training and other costs	141 520	-	-	145 861		
Subtotal non-staff costs	2 541 520			2 490 861		
Staff costs	3 127 899			3 235 056		
Total	5 669 419			5 725 917		

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

* Based on experience and historical data: 140 person (staff) days are allocated for conducting a CLE, 130 days for a CSPE, 40 days for ESRs, 80 days for impact evaluations, 40 days for PPEs and 11 days for PCRVs. These figures are used to estimate the level of effort by type of activity shown in table 3.

48. The decrease in the unit cost of the ARRI, CSPEs and PCRVs can be attributed to the increased insourcing of these evaluations – to which the recruitment of a P-4 staff member strongly contributes. Table 3 shows that in 2017, the absolute number of CSPEs will remain the same as in 2016 while the total cost will be reduced by US\$90,000. The level of effort is slightly lower than in 2016 because

the national round-table workshops for two of the five CSPEs planned for 2017 will be organized in early 2018.

49. Finally, slight increases in partnership, communication, dissemination and outreach activities aim to strengthen the evaluation learning and feedback loop, build evaluation capacity at the national level and foster joint activities with other RBAs and development organizations (such as UNEG and the ECG of the multilateral development banks). In 2017, these costs will also be driven by the Director of IOE's position as chairperson of the ECG. This will entail participation in meetings, seminars and high-level events.
50. Table 4 shows the effect on budget allocations of IOE's increased insourcing for each evaluation activity. It also shows the level of effort of IOE staff and consultants, travel, fees and allowances before (2014-2015) and after the introduction of the second edition of the Evaluation Manual (2016-2017).

Table 4
Insourcing of evaluation activities

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

51. Budget by category of expenditure. In table 5, the proposed non-staff budget is allocated by category of expenditure. Of the non-staff budget, 56 per cent is allocated to consultancy fees to support evaluation work; this is lower than the 60 per cent of non-staff costs allocated in 2016. With regard to consultants, IOE is continuing its efforts to ensure gender balance and regional diversity across all evaluation types. Preference is given to hiring consultants from the same country or region in which an evaluation is planned, especially for PPEs, CSPEs and country visits undertaken in the context of CLEs and ESRs.

Table 5
Proposed budget for 2017 (by category of expenditure)
 (United States dollars)

<i>Category of expenditure</i>	<i>Approved 2016 budget</i>	<i>Proposed 2017 budget</i>
Staff travel	376 000	440 000
Consultant fees	1 495 000	1 400 000
Consultant travel and allowances	440 000	380 000
In-country CSPE learning events	45 000	45 000
Evaluation outreach, staff training and other costs	185 520	225 861
Total non-staff costs	2 541 520	2 490 861
Staff costs	3 127 889	3 235 056
Total	5 669 419	5 725 917

52. The increase in staff travel reflects: (i) the cost of travel for the new staff member; (ii) the effect of the insourcing evaluation activities, for which IOE staff will spend more time in the field; and (iii) the cost of travel for activities undertaken by the chairperson of the ECG. There is a substantial reduction in consultant fees, allowances and travel. As in the past, a small allocation is proposed for staff training, which is essential for continuous professional development. Higher total staff costs are a result of the recruitment of a P-4 staff member.
53. Budget by strategic objective. Table 6 shows the proposed IOE budget allocation for 2017, including both staff and non-staff costs, against IOE's SOs. Further detail, including the allocation to each divisional management result (DMR), can be found in annex V, table 3.
54. SO1 receives a much greater allocation than the other SO2 since a larger part of IOE's consultancy resources are allocated to activities that contribute to this objective (such as CLEs, CSPEs and PPEs). However, many of the activities undertaken in line with this objective also contribute to SO2. This includes SO1 activities that promote evaluation-based learning and an enhanced institutional-results culture. For example, in-country workshops at the end of CSPEs – which are budgeted under SO1 – provide a unique opportunity to exchange views on lessons learned and good practices with policy and decision makers, IFAD operations staff and other stakeholders.

Table 6
Proposed budget allocation (by SO)

<i>Strategic objective</i>	<i>Approved 2016 budget</i>		<i>Proposed 2017 budget</i>	
	<i>Amount (US\$)</i>	<i>%</i>	<i>Amount (US\$)</i>	<i>%</i>
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	4 057 049	71	4 208 638	70
SO2: Promote evaluation-based learning and enhanced results culture for better development effectiveness	1 322 250	24	1 464 013	25
SO1 and SO2	290 120	5	308 748	5
Total	5 669 419	100	5 725 917	100

55. Gender budget. The methodology followed by IOE in constructing its gender budget entails determining the proportion of staff and non-staff costs devoted to analysing and reporting on gender issues in IOE evaluations. In this regard, it is important to recall that IOE has a dedicated criterion on gender equality and women's empowerment that is applied in all ARRIs, CSPEs, PPEs, PCRVs and impact evaluations. Additional attention is being devoted to gender issues in other

evaluation products such as CLEs and ESRs. Table 7 shows that 6.3 per cent of the total proposed IOE budget for 2017 is directly allocated to examining gender issues, which is higher than the 5.8 per cent calculated in the 2016 budget.

Table 7
IOE 2017 gender-sensitive budget

<i>Type of activity</i>	<i>Proposed 2017 budget (US\$)</i>	<i>Gender component (percentage)</i>	<i>US\$</i>
Non-staff costs			
ARRI	80 000	10	8 000
CLEs	385 000	5	15 500
CSPEs	1 000 000	10	100 000
PCRVs	30 000	5	1 500
PPEs	315 000	7	22 050
Impact evaluations	200 000	7	14 000
Evaluation syntheses	110 000	5	5 500
Communication, evaluation outreach, knowledge-sharing and partnership activities	225 340		
ECD, training and other costs	145 521	5	7 276
Subtotal non-staff costs	2 490 861	7	173 827
Staff costs			
Gender focal point	165 279	20	33 055
Alternate gender focal point	105 552	10	10 555
All evaluation officers	2 934 225	5	146 711
Subtotal staff costs	3 235 056	5.8	190 391
Total	5 725 917	6.3	364 218

56. Budget proposal. The proposed 2017 budget is US\$5.73 million, or a nominal 0.9 per cent increase against the 2016 approved budget of US\$5.67 million. The 0.9 per cent nominal increase comprises a 0.3 per cent real increase, which can be attributed to higher staff costs, and a 0.6 per cent price increase.
57. It is important to underline that the proposed 2016 IOE budget is 0.39 per cent of IFAD's expected programme of loans and grants for next year,¹⁰ which is below the 0.6 per cent in 2015 and well below the IOE budget cap of 0.9 per cent adopted by the Executive Board.¹¹ An overview of IOE's proposed budget, including historical trends since 2013, is shown in annex V, table 1.

¹⁰ It is anticipated that IFAD will plan to commit US\$1.1 billion in new loans and grants in 2017 in line with IFAD10 commitments.

¹¹ This decision was made by the Executive Board in December 2008.

IOE Results Measurement Framework 2016-2018

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

IOE reporting on achievements (as of 15 September 2016)

In 2016, IOE is reporting against both: (i) planned activities (table 1); and (ii) its key performance indicators (table 2 on page 19).

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

Type of work	Evaluation activities	Planned implementation status	Present status
1. CLEs	IFAD's decentralization experience	To be completed in December 2016	Ongoing. The approach paper was discussed at the ninety-first session of the Evaluation Committee in March 2016 and finalized thereafter. Consultations were held with Board representatives and the Programme Management Department (PMD). Three regional in-country workshops with recipient country representatives were held: (i) in May in Peru; (ii) in June in Kenya; and (iii) in Viet Nam in July. The final draft report was shared with Management in early September 2016. The final report will be ready by the end of September for presentation to the Evaluation Committee in November 2016 and subsequently to the Board in December 2016.
	Democratic Republic of the Congo	To be completed in December 2016	Ongoing. Main mission held in April 2016. Final report in preparation and national round-table workshop planned for 20 October 2016.
	Egypt	To be completed in December 2017	Ongoing. Preparatory mission held in May-June 2016. Main mission planned for October 2016.
	India	Completed as planned in May 2016	Completed. National round-table workshop held on 12 May 2016. Agreement at completion point signed. CPE to be discussed in the 2016 October session of the Evaluation Committee.
	Mozambique	To be completed in December 2017	Ongoing. Preparatory mission held in July 2016. Main mission held in early September 2016.
2. CSPEs	Nigeria	Completed as planned in April 2016	Completed. National round-table workshop held on 7 April 2016. Agreement at completion point signed. CPE to be discussed in the 2016 October session of the Evaluation Committee.
	Nicaragua	To be completed in December 2017	Ongoing. Preparatory mission held in April 2016 and main mission held in May-June 2016.
	Philippines	To be completed in December 2016	Ongoing. Preparatory mission held in January and main mission conducted in April. Final Report in preparation and national round-table workshop planned for 17 November 2016.
	Turkey	Completed in January 2016	Completed. National round-table workshop held in January 2016. Discussed at the ninety-first session of the Evaluation Committee in March 2016. Agreement at completion point signed. CPE report presented to the Board in September 2016.
3. PCRVs	Validate all project completion reports (PCRs) available within the year	To be completed in December 2016	Progressing as planned.
4. PPEs	Ten PPEs	To be completed by December 2016	All PPEs completed or ongoing according to planned schedule.

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
5. Impact evaluations	Mozambique, Sofala Bank Artisanal Fisheries Development Project	To be completed in July 2016	Report finalized and presented for discussion at the ninety-fourth session of the Evaluation Committee in October 2016.
	Georgia, Agricultural Support Project	To start in July 2016	Ongoing
6. Engagement with governing bodies	14th Annual Report on Results and Impact of IFAD Operations (ARRI)	To be completed in July 2016	Finalized. Report was presented to the Evaluation Committee and Executive Board in September 2016, including the learning theme on knowledge management.
	Review of the implementation of IOE's Results-based work programme for 2016 and indicative plan for 2017-2018 and preparation of the results-based work programme and budget for 2017 and indicative plan for 2018-2019	To be completed in December 2016	In progress as planned. The Evaluation and Audit Committees, and Executive Board reviewed the 2017 high-level preview of the IOE work programme and budget in September 2016 and will review the final document in November and December, respectively.
	IOE comments on PRISMA	Completed in September 2016	PRISMA, with IOE comments, were discussed with the Evaluation Committee and the Board in September 2016. The Board has underscored the importance of PRISMA, together with IOE comments on it, as an instrument for promoting accountability and learning.
	IOE comments on RIDE	Completed in September 2016	RIDE, with IOE comments, were discussed together with the ARRI at the Evaluation Committee and Executive Board sessions in September 2016.
	IOE comments on the update on IFAD's approach to a strategy for engagement in countries with fragile situations; and on the Synthesis of lessons learned from the IFAD9 Impact Assessment Initiative by IFAD Management	To be completed in December 2016	IOE comments on : (i) IFAD's approach to a strategy for engagement in countries with fragile situations; and (ii) Synthesis of lessons learned from the IFAD9 Impact Assessment Initiative were both presented to the Evaluation Committee in March and to the Board in April 2016. IOE comments on the IFAD strategy for engagement with countries with fragile situations to be presented to the Evaluation Committee in October and to the Executive Board in December 2016.
	Participation in all sessions of the Evaluation Committee, Executive Board and Governing Council, selected Audit Committee meetings, and the 2016 country visit of the Executive Board to Brazil	To be completed in December 2016	Evaluation Committee: three formal session held in March, June and September 2016. Executive Board: two formal sessions held in April and September 2016. Audit Committee: two formal sessions held in March and September 2016.
	IOE comments on COSOPs when related CPEs/CSPEs are available	To be completed in December 2016	IOE provided its written comments on the new COSOPs for Brazil and Tanzania for the Board's consideration in April 2016; and on the new COSOPs for China, Indonesia and Turkey for the Board's consideration in September 2016.
7. Communication and knowledge management activities	ESR on IFAD's support to scaling up results	To be completed in December 2016	Ongoing. Approach paper finalized. Draft report prepared.
	ESR on country-level policy dialogue	To be completed in December 2016	Ongoing. Approach paper finalized.
	ESR on achieving gender equality and women's empowerment – a review of	To be completed in December 2016	Ongoing. Approach paper finalized. Report under preparation.

Type of work	Evaluation activities	Planned implementation status	Present status
	practices and results		
	Evaluation reports, <i>Profiles, Insights</i> , IOE website, etc.	January-December 2016	In progress as planned. IOE has published and disseminated to internal and external audiences a total of: 12 evaluation reports, 16 <i>Profiles, Insights</i> and briefs, 5 press releases, 3 overviews, 1 booklet, 9 infographics, 2 quarterly newsletters and 3 videos.
	Organization of in-country CPE/CSPE learning workshops as well as learning events in IFAD	January-December 2016	CPE national round-table workshops held in (i) Turkey in January; (ii) Nigeria in April; and (iii) India in May. Special efforts are being made in each workshop to invite representatives of beneficiaries, civil society and NGOs. In-house events included: (i) an in-house learning event on the CLE on IFAD's PBAS; (ii) an event at the IFAD global staff meeting on IOE and the independent evaluation function; (iii) an in-house workshop on the CLE Decentralization to cover the NEN region; (iv) ARRI in-house learning event held on 12 July 2016; and (v) a learning event on Gender Transformative Pathways jointly organized with PMD on 9 September 2016; and (vi) a learning event on the CLE on IFAD's decentralization experience is planned for mid-October 2016..
	Participation and knowledge-sharing in selected external platforms such as learning events or meetings of evaluation groups	January-December 2016	In progress as planned. UNEG webinar – led by IOE – on Rooting evaluation independence in the context of multilateral development organizations. United Kingdom Evaluation Society 2016 Annual Conference; Asian Evaluation Week; UNEG Evaluation week/Evaluation Practice Exchange.
	Attendance at all Operational Strategy and Policy Guidance Committee meetings that discuss corporate policies and strategies, COSOPs and selected projects evaluated by IOE. Attendance at Operations Management Committee meetings, quality assurance learning sessions, IFAD Management team meetings and selected country programme management team meetings	January-December 2016	In progress as planned. These forums provide IOE with opportunities to share evaluation lessons with IFAD Management and staff to strengthen the design of new policies, strategies and operations. IOE has participated in a number of Operational Strategy and Policy Guidance Committee meetings where evaluations have been done and occasionally in others for comments on monitoring and evaluation. IOE's Director and Deputy Director have attended a number of weekly Operational Strategy and Policy Guidance Committee meetings. The Director of IOE participated in the IFAD Management team meeting in May 2016; a second meeting is planned for November 2016. IOE has also participated in selected country programme management team meetings.
8. Partnerships	ECG, UNEG and SDC partnership	January-December 2016	In progress as planned. IOE participated in two ECG meetings in January 2016 and June 2016. In the January meeting, the Director of IOE chaired a session on climate finance and multilateral development bank collaboration in measuring the impact of climate finance projects. IOE also participated in the UNEG Annual General Meeting held in April, making presentations on: (i) no one left behind – equity and equality; (ii) national ECD for evaluation of the sustainable development goals (SDGs) and partnerships – lessons and ways forward; and (iii) evaluability of the SDGs. IOE Director was elected UNEG vice-chair for Evaluation Use for a two-year term starting April 2016. In this role, IOE participates actively in the work of UNEG, including having contributed to the revision of the UNEG norms and standards finalized in June 2016.

<i>Type of work</i>	<i>Evaluation activities</i>	<i>Planned implementation status</i>	<i>Present status</i>
			Collaboration with SDC is ongoing amid regular interactions with partners.
	Contribution as external peer reviewer to evaluations by other international organizations as requested	January-December 2016	In his capacity as chairperson of the UNEG sub-group of peer review, the Director, IOE, led the peer review of the evaluation unit of the International Trade Centre. Report finalized end-June 2016.
	Implementation of joint statement by CGIAR, FAO, IFAD and WFP to strengthen collaboration in evaluation	January-December 2016	In progress as planned. Presentation of the joint evaluation synthesis of FAO's and IFAD's Engagement in Pastoral Development to the Evaluation Committee in June 2016.
	Training on the second edition of the Evaluation Manual	January-December 2016	In progress as planned. Learning event on the Evaluation Manual held at IFAD's Global Staff Meeting to share the revised methodology used in the manual's second edition with IFAD staff.
9. Methodology	Contribution to in-house and external debate on impact evaluation and evaluation synthesis, including the SDGs	January-December 2016	In progress as planned. IOE was represented in a major conference in March on evaluating the SDGs with an equity-focused and gender-responsive lens, organized by UN Women, EvalPartners and other agencies. IOE also participated in: the Development Evaluation Week hosted by the African Development Bank's Independent Development Evaluation; the UK Evaluation Society's annual conference; the national conference of the Canadian Evaluation Society; the Asian Evaluation Week hosted by the Asian Development Bank; and the Australasian Evaluation Society (AES).
	Development of a new harmonization agreement	To be completed by June 2017	Ongoing. The new agreement was originally planned for presentation to the Evaluation Committee in its October 2016 session. However, Management suggested delaying the presentation until March 2017 in order to roll out the development effectiveness framework in the course of 2016.
	Engagement in ECD in the context of regular evaluation processes	January-December 2016	Ongoing. The second edition of the Evaluation Manual was presented in New Delhi following the India CPE national round-table workshop in May 2016.
10. Evaluation capacity development (ECD)	Organization of workshops in partner countries on evaluation methodology and processes (upon request)	January-December 2016	The second edition of the Evaluation Manual was presented in New Delhi following the India CPE national round-table workshop in May 2016.
	Implementation of statement of intent with the Government of China on ECD in the country	January-December 2016	IOE conducted training in China on evaluation and evaluation methodology at the Asia-Pacific Finance and Development Institute. A presentation on evaluation methodology was also delivered during the Shanghai International Program for Development Evaluation Training.

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

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

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

Strategic objectives (SOs)	Divisional management results (DMRs)	Key performance indicators	Achievements as of 15 June 2016	Target (2016)	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				
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	1. Adoption rate of recommendations from CLEs, CSPEs, ESRs and PPEs	n/a (PRISMA available in September)	90%	PRISMA and IOE work programme and budget document
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed				
	DMR 4: IFAD-supported operations are improved through independent project evaluations				
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	2. Range of new methods and designs applied	1	2	IOE evaluations
		3. Evaluations with quantitative analysis	1	1	Impact evaluations
		4. Number of outreach products for all evaluations disseminated through social tools and the internet	15 evaluation reports, 16 Profiles, Insights and briefs, 6 press releases, 3 overviews, 1 booklet, 9 infographics, 2 quarterly newsletters and 3 videos.	80	
		5. Number of in-country learning events co-organized by IOE with governments	6	5	
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	6. Number of in-house and external knowledge events organized by IOE	6	7	
		7. Feedback on quality of IOE products from client survey	119 respondents 94% positive feedback (71% Satisfied or Very satisfied 23% Moderately satisfied Neutral = 5% and negative = 1%)	100 people (at least 60% positive feedback)	
		8. Number of downloads of IOE publications	n/a	200	
		9. Number of people receiving IOE newsletters	600	600	

DMR 7: Evaluation capacity development (ECD) in partner countries	10. Number of ECD seminars/workshops organized in partner countries	1	1	IOE records
	11. Number of events attended by IOE staff related to self-evaluation and ECD	3	3	
SO1 and SO2	12. Budget cap	0.6% of IFAD PoLG	< 0.9% of IFAD PoLG	
	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured			
	13. Ratio of professional to general service staff	1/0.46	1/0.46	
	14. Budget execution rate at year-end	86.8%	97.8%	
	15. Execution rate of key evaluation activities	n/a	95%	

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

Table 1

Proposed IOE work programme for 2017 by type of activity

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

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

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

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

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

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

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

IOE staff levels

Table 1
IOE staff levels for 2017

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

Table 2
Human resource category

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

IOE proposed budget for 2017

Table 1
IOE proposed budget 2017
 (United States dollars)

<i>Evaluation work</i>	<i>2013 budget</i>	<i>2014 budget</i>	<i>2015 budget</i>	<i>(1) 2016 budget</i>	<i>Proposed 2017 budget</i>		
					<i>(2) Real increase/(decrease)</i>	<i>(3) Price increase/(decrease)</i>	<i>(4) Total 2017 budget (4)=(1)+(2)+(3)</i>
Non-staff costs	2 346 711	2 395 992	2 455 892	2 541 520	(125 000)	74 341	2 490 861
Staff costs	3 667 268	3 586 690	3 614 041	3 127 899	144 898	(37 741)	3 235 056
Total	6 013 979	5 982 682	6 069 933	5 669 419	19 898	36 600	5 725 917

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

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

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

^b Standard unit costs include staff travel when necessary.

Table 3

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

(United States dollars)

<i>IOE strategic objectives</i>	<i>IOE DMRs</i>	<i>Proposed budget (staff and non-staff costs)</i>	<i>Percentage of total proposed budget</i>
SO1: Generate evidence through independent evaluations of IFAD's performance and results to promote accountability	DMR 1: Corporate policies and processes are improved through independent evaluations	714 175	13
	DMR 2: Country strategies/COSOPs are enhanced through country-level evaluations	2 002 475	34
	DMR 3: Systemic issues and knowledge gaps in IFAD are addressed	450 162	7
	DMR 4: IFAD-supported operations are improved through independent project evaluations	813 521	15
Total for SO1		4 008 638	70
SO2: Promote evaluation-based learning and an enhanced results culture for better development effectiveness	DMR 5: The Evaluation Manual is implemented and new evaluation methods and products are piloted	495 180	8
	DMR 6: Awareness and knowledge of evaluation-based lessons and quality of products are enhanced and increased	604 042	13
	DMR 7: Evaluation capacity development (ECD) in partner countries	337 615	5
Total for SO2		1 446 272	25
Joint SO1 and SO2	DMR 8: Efficiency of the independent evaluation function and liaison with governing bodies are ensured	308 747	5
Grand total		5 725 917	100

IOE selectivity framework

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

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