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Enabling poor rural people
to overcome poverty

Results Measurement Framework 2013-2015

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Consultation on the Ninth Replenishment of IFAD's Resources —
Third Session
Rome, 24-25 October 2011

For: **Review**

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Abbreviations and acronyms

ARRI	Annual Report on the Results and Impact of IFAD Operations
CPIS	country programme issues sheet
ENRM	Environment and Natural Resource Management
IFI	international financial institution
MDG	Millennium Development Goal
M&E	monitoring and evaluation
MOPAN	Multilateral Organisation Performance Assessment Network
PCR	project completion report
PPMS	Project Portfolio Management System
PSR	project status report
QA	quality assurance
RB-COSOP	results-based country strategic opportunities programme
RIMS	Results and Impact Management System
RMF	Results Measurement Framework

Results Measurement Framework 2013-2015

Action requested:

IFAD Management requests members participating in the third session of the Consultation on the Ninth Replenishment of IFAD's Resources IFAD9 Consultation to provide comments and suggestions on the proposed Results Measurement Framework 2013-2015 presented in this paper. These comments and suggestions will be incorporated into the Report of the Consultation on the Ninth Replenishment of IFAD's Resources that will be submitted for further review by the IFAD9 Consultation in December 2011, and for final approval by the Governing Council in February 2012.

I. Introduction

1. The Results Measurement Framework (RMF) is a pillar of IFAD's results management system: it focuses attention on key development outcomes; stimulates proactive performance improvement; fosters organization-wide learning; mainstreams a "results culture" at all levels of the institution; and serves as the key mechanism for internal and external transparency and accountability. In line with best practice in other international financial institutions (IFIs), the RMF sets targets for and measures IFAD's contribution to global objectives (such as Millennium Development Goal 1) through the results delivered by the country programmes and projects that it supports. The RMF also sets targets and indicators for the quality of internal processes and management, which lead to good results on the ground.
2. This paper proposes further development of the RMF to reinforce IFAD's capacity to track and report on achievement of its strategic vision, objectives and priorities for 2015. It concentrates on the development and operational effectiveness dimensions of the RMF, the factors that both reflect and shape IFAD's impact on rural poverty and food insecurity (levels 1-4). The organizational effectiveness and efficiency component of the RMF – the part that addresses the institutional platform for development operations (level 5) – is discussed in detail in a separate paper,¹ and also presented here in paragraphs 29 to 31.
3. The improvements proposed to the RMF reflect: the guidance provided by IFAD9 Consultation members; the recently approved IFAD Strategic Framework 2011-2015 and the IFAD Strategic Vision for 2015 discussed at the second session of the IFAD9 Consultation; recommendations made in the Peer Review of IFAD's Office of Evaluation and Evaluation Function;² current levels of programme and project performance relative to the Fund's impact objectives; lessons from the implementation of IFAD RMFs in the IFAD7 and IFAD8 periods; and recent developments in the results measurement frameworks of other multilateral development banks and the ongoing efforts to harmonize these on the basis of best practices.
4. The RMF for IFAD9 will retain many elements of the current framework, including the five-tier results chain structure encompassing both development effectiveness and institutional effectiveness and efficiency. As with previous RMFs, results will be reported annually to the Executive Board and Evaluation Committee via the Report on IFAD's Development Effectiveness (RIDE), as well as through the mid-term review of IFAD9.
5. With regard to development and operational effectiveness, proposed improvements to the RMF principally consist of additional measures and indicators to:

¹ Managing for efficiency in IFAD: Progress under IFAD8 and proposals for IFAD9 to be presented to the third session of Consultation on the Ninth Replenishment of IFAD's Resources in October 2011 (REPL.IX/3/R.2).

² EB 2010/99/R.6, <http://www.ifad.org/gbdocs/eb/99/e/EB-2010-99-R-6.pdf>

- Provide both broader and more in-depth assessment of development impact;
 - Better monitor performance on environment and natural resource management, partnerships, project-level monitoring and evaluation (M&E), and operations in fragile states; and
 - Sharpen the focus on IFAD's scaling-up objectives.
6. Also proposed is greater emphasis by the RMF on the planning and reporting of IFAD's performance in raising value for money, as described in REPL.IX/3/R.2.
 7. The strength of the RMF is determined by two factors: what it measures and how the measurements are made. IFAD proposes a response to the second question, enriched by recent international experience of improved impact assessment, which focuses on what works, and what does not. The response will entail increasing the production of baseline data for eventual impact analysis; strengthening the project-level M&E systems that collect data and monitor performance; conducting sample in-depth impact studies in collaboration with international centres of technical excellence; and collaborating with the Independent Office of Evaluation of IFAD (IOE) to strengthen the process that reports on the impact of every single IFAD project: the project completion review.

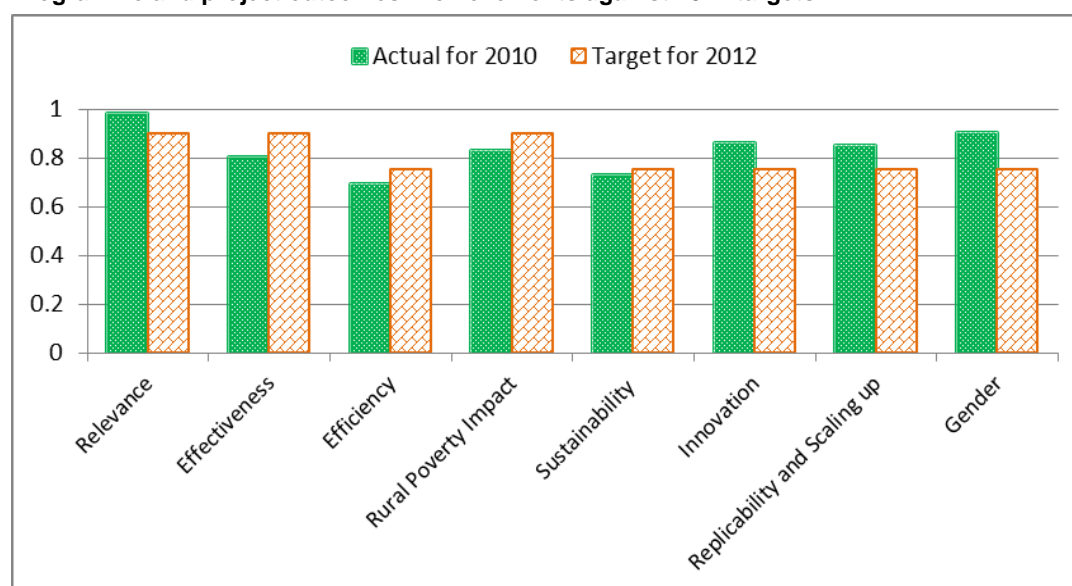
II. Evolution of IFAD's Results Measurement Framework

8. In 2005, IFAD became the first United Nations institution to undergo an independent external evaluation. In the IFAD7 period, in response to the evaluation's findings, IFAD put in place what third-party assessments have cited as one of the most comprehensive and effective systems of managing for development results, of which the RMF is a key component. In the IFAD8 period, the system was strengthened to include: a more ambitious and comprehensive RMF encompassing both development results and institutional performance; and a range of third-party mechanisms to regularly assess IFAD's effectiveness in complementarity with IFAD's own self-evaluation system. These include, in addition to the evaluations performed by IOE, establishment of an arms-length review of project quality at entry and the introduction of annual client/partner surveys. As a consequence of these improvements, IFAD's results management system has received very positive reviews by the United Kingdom's Department for International Development (DFID), the Multilateral Organisation Performance Assessment Network (MOPAN), the Brookings Institution and the Center for Global Development.³
9. The RMF sets targets for the Fund's development operations and measures performance against them. Chart 1 provides project outcome results for operations that closed in the 2009-2010 period against targets for 2012. The results already exceed the targets set for relevance, innovation, replicability and scaling up, and gender equality.⁴ In these areas of strong performance, further improvement will be hardest to achieve: performance on project sustainability and impact on rural poverty is in the 80 per cent-plus zone and likely to meet 2012 targets. Nonetheless, given the criticality of these measurements, actions to improve performance in these areas will be intensified. Notwithstanding steady progress and the strong likelihood of achieving the 2012 target, project efficiency is the poorest performing area, necessitating an in-depth examination of the underlying causes and solutions required to accelerate progress. This will be addressed by the ongoing corporate-level evaluation of the Fund's efficiency.

³ See DFID, *Multilateral Aid Review*, 2011; Nancy Birdsall and Homi Kharas, *Quality of Official Development Assistance Assessment*. Brookings Institution and Center for Global Development, Washington, D.C. 2010; *MOPAN Common Approach: IFAD 2010*.

⁴ Although "scaling up" is considered in ex-post project evaluations, it is reported as part of innovation and knowledge management. It will be separately reported on in future.

Chart 1

Programme and project outcomes: Achievements against 2012 targets**III. Results Measurement Framework 2013-2015**

10. The RMF 2013-2015 will be the apex of IFAD's performance measurement system, comprising a cross-section of the most vital high-level indicators – across key results areas – for performance monitoring and accountability by IFAD Management and the Fund's governing bodies. The decision to add new indicators and exclude existing ones was guided by the objective of maintaining a concise, focused and balanced reporting product for members. The number of indicators in the RMF 2013-2015 remains similar to that of the previous framework. Indicators proposed for exclusion from RMF 2013-2015 and many other detailed indicators will continue to be monitored and analysed regularly through the internal performance review process that underpins everyday management for results and from which the RMF reports are generated.

A. Principal thrusts for results management and measurement in IFAD9

11. During IFAD9, particular attention will be paid to strengthening **programmatic outcomes and impact** on:
- Efficiency, in part through increased focus on economic efficiency of projects, and in part through an expanded scaling-up agenda in order to achieve economies of scale (more output per unit input);
 - Effectiveness in achieving development objectives, by designing projects with more realistic objectives;
 - Rural poverty, by increased attention to underperforming impact domains such as natural resource management and markets;
 - Sustainability, mainly by enhancing country ownership through better-quality exit and phasing-out strategies, and improved approaches to mainstreaming newly created institutions within government programmes; and
 - Scaling up, by replicating and expanding on the activities and policies supported by the projects.
12. Principal new thrusts with respect to **operational effectiveness of country programmes and projects** include:

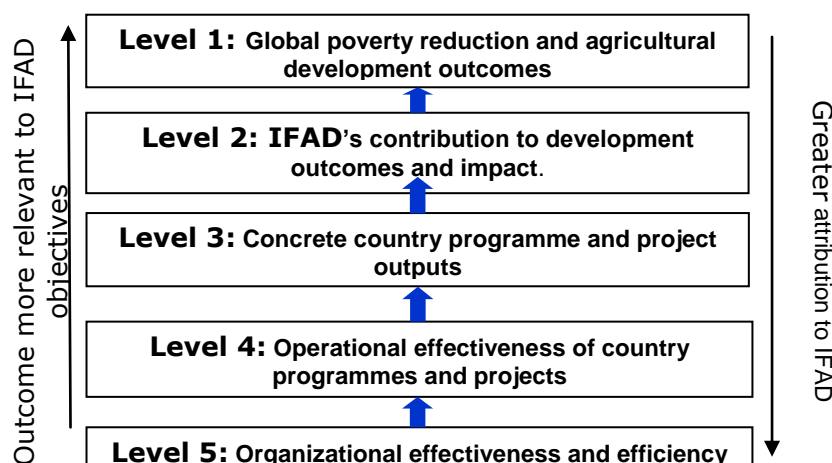
- Improved integration of lending and non-lending (i.e. grants, partnership building, knowledge management and policy dialogue) activities within country strategies and programmes;
 - Enhanced project design, with stronger emphasis on innovation, scaling up and implementation readiness;
 - Greater attention to special conditions and requirements prevailing in fragile states; and
 - More proactive management of the ongoing project portfolio, towards reducing disbursement lags, time overruns and loan/grant cancellations.
13. As elaborated in document REPL.IX/3/R.2, the above actions will in turn be underpinned by measures to enhance **organizational effectiveness and efficiency**, with a high premium on:
- Increasing institutional cost-effectiveness;
 - Raising the share of resources dedicated to programme development and support;
 - Expanding country-level decentralization; and
 - Improving human resources management.

B. Proposed Results Measurement Framework 2013-2015

14. The proposed RMF 2013-2015 retains the structure of a five-level results chain, capturing the continuum of inputs, activities and outputs that lead to outcomes and impact; a chain that IFAD either manages or supports as necessary. The revised RMF structure is summarized below, and depicted in figure 1.
- Level 1 indicators represent development outcomes to which IFAD contributes, but that are not attributable to IFAD alone as they result from collective action of countries and development partners. Tracking these global outcomes is important, because they reflect the development goals that IFAD operations aim to contribute to, and provide an important picture of the context within which IFAD works.
 - Level 2 indicators measure country-level development outcomes (representing IFAD's contribution to level 1 development outcomes) that are delivered by IFAD-supported programmes.
 - Level 3 indicators track outputs delivered by IFAD-supported programmes that materialize into level 2 country-level outcomes.
 - Level 4 indicators monitor IFAD's operational effectiveness, focusing on the quality of country programme and project design, and implementation support. Improvements here lead to better delivery and quality of outputs, and in turn, to better development outcomes measured at levels 2 and 3 of the RMF.
 - Level 5 indicators aim to capture progress on internal reforms, with a strong emphasis on institutional efficiency.
15. IFAD has most immediate and direct control over level 4 and 5 indicators; its influence diminishes progressively moving up the hierarchy to the macro-level indicators, which are predominantly influenced by non-IFAD-related factors. However, IFAD's new focus on scaling up will help augment the influence of these lower-level indicators over the outcomes.⁵

⁵ See Managing for efficiency in IFAD: Progress under IFAD8 and proposals for IFAD9 to be presented to the third session of Consultation on the Ninth Replenishment of IFAD's Resources in October 2011 (REPL.IX/3/R.2).

Figure 1
Proposed Results Measurement Framework 2013-2015: The results chain



Level 1: Global poverty and agricultural development outcomes

16. In light of the reaffirmation of IFAD's focus on poverty reduction and food and nutrition security through agricultural and rural development, the level 1 indicators of RMF 2010-2012 remain relevant for the IFAD9 period; therefore, level 1 indicators will remain unchanged for 2013-2015 (see table 1).

Table 1
Global poverty and agricultural development outcomes (level 1)

	Indicators	Source	Baseline year	Baseline value	Target for 2015
1.1.	Global poverty and nutrition outcomes				
1.1.1	MDG 1: Population living on less than US\$1.25 a day (per cent) ^a	World Bank	1990	42	21
1.1.2	MDG 1: Prevalence of undernourishment in population (per cent) ^a	World Bank	2005-2007	16	10
1.1.3	MDG 1: Children under 5, per cent underweight	World Bank	2008	26	17
1.2.	Global agricultural development and investments outcomes				
1.2.1	Crop production index (1999-2001 = 100) ^b	World Bank	2007	117	Tracked
1.2.2	Agricultural value added (annual percentage growth) ^b	World Bank	2007	4	Tracked
1.2.3	Level of official development assistance to agriculture	World Bank	2008	US\$4.9 billion	Tracked
1.2.4	Share of budget allocated to agriculture and rural development	World Bank	2008	19%	Tracked

Sources:^a United Nations, Millennium Development Goals Report (New York, 2010).

^b World Bank, World Development Indicators 2011 (Washington, D.C., 2011).

Level 2: Development outcomes and impact delivered by IFAD-supported programmes

17. Level 2 indicators measure the outcomes and impact achieved by the projects that IFAD supports. IFAD uses three internationally accepted performance criteria: relevance – the extent to which project objectives are consistent with the priorities of poor rural people and other stakeholders; effectiveness – how well projects perform in delivering against their objectives; and efficiency – how economically resources are converted into results. Further IFAD-specific dimensions measured are: rural poverty impact; sustainability; innovation, scaling up; and gender equality and women's empowerment.

18. Results against these criteria are measured at the point of project completion by IFAD for all projects and by IOE on a sample basis. Project completion reports (PCRs) are used for self-assessment of "at completion" performance. While the quality and submission rate of PCRs have improved considerably in recent years, IFAD plans to enhance performance in 2012 (as discussed in section IV and described in full in the Action plan for strengthening the self-evaluation system, annexed hereto).
19. While continuing to report on all RMF 2010-2012 level 2 indicators, additional indicators will be included in RMF 2013-2015 to introduce a stronger focus on impact measurement, as well as on scaling up, environment and natural resource management (ENRM), and gender, given their importance in broadening the impact of IFAD's operations and strengthening the productivity and resilience of rural livelihoods and ecosystems.
20. With specific regard to impact measurement, it is proposed that two additional indicators, captured through the Results and Impact Management System (RIMS) surveys,⁶ be monitored and reported:
 - Income and assets of target households, by applying a proxy indicator, namely, the household asset ownership index; and
 - Food and nutrition security of target household and individuals, by applying the following indicators:
 - length of hungry season; and
 - level of child malnutrition, disaggregated into acute, chronic and underweight, and further disaggregated by gender.
21. In the absence of significant baseline data for these indicators at this point, they will be tracked during IFAD9, with the intention of assigning targets for them in IFAD10.
22. Proposals to strengthen performance in monitoring *scaling up* and *ENRM* include:
 - Splitting the current composite indicator on innovation, learning and/or scaling up into two – an indicator for innovation and learning and a separate indicator for replication and scaling up; and
 - Addition of an indicator for impact on ENRM.
23. The scaling-up indicators will be refined in early 2012 as part of joint work to be undertaken by IFAD and the Brookings Institution on this subject.
24. The current RMF 2010-2012 level 3 indicator "people receiving services from IFAD-supported projects" (an access/output indicator) will be amended to "people moved out of poverty" (an outcome/impact indicator), reinforcing the focus on measurement of IFAD's contribution to poverty alleviation.
25. Table 2 presents the proposed list of indicators for level 2, including indicators carried forward without modification, modified indicators and new indicators. All performance targets are raised relative to the IFAD8 RMF targets.

⁶ Planned improvements to the RIMS in 2012 are described in full in the annex.

Table 2
IFAD's contribution to development outcomes and impact (level 2)

<i>Indicators</i>	<i>Source</i>	<i>Baseline year</i>	<i>Baseline value^a (%)^b</i>	<i>Target for 2015 (%)^b</i>
2.1. Outcome indicators, (percentage of projects rated moderately satisfactory or better) at completion				
2.1.1 Relevance	PCR	2010	98	100
2.1.2 Effectiveness	PCR	2010	80	90
2.1.3 Efficiency	PCR	2010	69	75
2.1.4 Rural poverty impact	PCR	2010	81	90
2.1.5 Gender equality	PCR	2010	90	90
2.1.6 Sustainability of benefits	PCR	2010	73	75
2.1.7 Innovation and learning (modified)	PCR	2010	86	90
2.1.8 Replication and scaling up (modified)	PCR	2010	85	90
2.1.9 Environment and natural resource management (new)	PCR	2010	-	
2.1.10 Government performance (new)	PCR	2010	73	80
2.2. Impact Indicators (new)				
2.2.1 Household asset ownership index (new)	RIMS	-	-	Tracked
2.2.2 Level of child malnutrition (3 sub-indicators - acute, chronic and underweight), disaggregated for girls and boys (new)	RIMS	-	-	Tracked
2.2.3 Length of hungry season (new)	RIMS	-	-	Tracked
2.3. People moved out of poverty				
2.3.1 People moved out of poverty (new)	RIMS/ sample impact surveys	2010	36 million	90 million

Note: RIMS: IFAD's project M&E indicators.

^a The PCR and RIMS figures are provisional estimates for 2010, to be reported in RIDE 2011, and are subject to change.

^b The percentages refer to IFAD projects rated moderately satisfactory or better at completion.

Level 3: Country programme and project outputs

26. RMF 2010-2012 level 3 consists of 12 indicators spanning six sectors reflecting the content of IFAD's operations. Data, sourced from RIMS, refer to ongoing projects and are for the most part gender-disaggregated. In view of the demand-driven nature of IFAD projects, results for these indicators are tracked without specific targets. Since these indicators have provided meaningful information on results, they will be retained. In light of the strong emphasis on rural financial services within IFAD-supported programmes – involving savings close to US\$495 million and a gross value of loan portfolio of over US\$338 million – two indicators, namely, the amount saved by project beneficiaries and the amount of loans provided to these beneficiaries, net of repayments (loans outstanding) will be added.

Table 3
IFAD's contribution to country programme and project outputs (level 3)

<i>Indicators</i>	<i>Source</i>	<i>Baseline year^a</i>	<i>Baseline value</i>	<i>Target for 2015</i>
Natural resource management				
3.1 Common-property-resource land under improved management practices (ha)	RIMS	2010	5.5 million	Tracked
3.2 Area under constructed/rehabilitated irrigation schemes (ha)	RIMS	2010	373 thousand	Tracked
Agricultural technologies				
3.3 People trained in crop production practices/technologies Male:female ratio	RIMS	2010	4.51 million	Tracked
	RIMS		65:35	Tracked
3.4 People trained in livestock production practices/technologies Male:female ratio (percentage)	RIMS	2010	1.2 million	Tracked
	RIMS	2010	44:56	Tracked
Rural financial services				
3.5 Voluntary savers (with male:female ratio) Male:female ratio	RIMS	2010	7.86 million	Tracked
	RIMS		47:53	Tracked
3.6 Active borrowers (along with male : female ratio) Male:female ratio	RIMS	2010	2.70 million	Tracked
	RIMS		43:57	Tracked
3.7 Value of loans and savings mobilized - US\$ million (new)	RIMS	2009	US\$495.0	Tracked
3.8 Value of gross loan portfolio (new)	RIMS	2009	US\$338.0	Tracked
Marketing				
3.9 Roads constructed/rehabilitated (km)	RIMS	2009	18 thousand	Tracked
3.10 Marketing groups formed/strengthened	RIMS	2009	13 thousand	Tracked
Microenterprise				
3.11 People trained in business and entrepreneurship Male:female ratio (percentage)	RIMS		716 thousand	Tracked
	RIMS	2010	39:61	Tracked
3.12 Enterprises accessing facilitated non-financial services	RIMS	2010	57 thousand	Tracked
Policies and institutions				
3.13 People trained in community management topics (with male:female ratio) Male:female ratio (percentage)	RIMS	2010	2.13 million	Tracked
	RIMS	2010	33:67	Tracked
3.14 Village/community action plans prepared	RIMS	2010	28 thousand	Tracked

^a The RIMS figures are provisional estimates for 2010, to be reported in RIDE 2011

Level 4: Operational effectiveness of country programmes and projects

27. While many external factors affect IFAD's contribution to and control over results at country level, internal performance management also has a large role to play. Poor development outcomes reported by evaluation studies are often attributed to weak project design, ineffective supervision, cumbersome management processes, etc. These internal processes have to be managed well to generate external impact. Level 4 indicators thus focus on the quality of programme design and implementation support. These are processes over which IFAD has immediate and direct control, and indicators at this level provide vital information for real-time performance management. Many of the indicators at this level spring from the Common Performance Assessment System (COMPAS) initiative established by the Multilateral Development Bank Working Group on Managing for Development Results (MfDR), of which IFAD is a member.

Table 4
Operational effectiveness of country programmes and projects (level 4)

Indicators	Source	Baseline year	Baseline value (%)	Target for 2015 (%)
4.1 Country programme quality at entry				
4.1.1 Percentage of RB-COSOPs rated 4 or better ^a	COSOP QA ^b	2010	100	100
4.2 Percentage of country programmes rated 4 or better during implementation for:				
4.2.1 Contribution to increased incomes, improved food security, and empowerment of poor rural women and men	Client survey	2011	78	90
4.2.2 Adherence to the aid effectiveness agenda	CPIS	2011	93	100
4.2.3 Engagement in national policy dialogue (new)	Client survey	2011	55	70
4.2.4 Partnership-building (new)	Client survey	2012	TBD	TBD
4.3 Percentage of projects rated 4 or better at entry				
4.3.1 Overall average (new)	QA	2010/2011	n/a	TBD
4.3.2 Overall average for projects in fragile states only (new)	QA	2010/11	n/a	TBD
4.3.3 Gender	QA	2010/11	n/a	TBD
4.3.4 Monitoring and evaluation (new)	QA	2010/2011	n/a	n/a
4.3.5 Percentage of projects receiving positive ratings on scaling up (modified)	QA	2010/2011	73	80
4.4 Portfolio management				
4.4.1 Time from project approval to first disbursement (months)	PPMS ^d	2010/2011	17	14
4.4.2 Proactivity index ^e	PPMS	2010/2011	50	75
4.4.3 Projects at risk	PPMS	2010/2011	18	15
4.4.4 Project time overrun (percentage)	PPMS	2010/2011	22	18
4.4.5 Time for withdrawal application processing (days)	PPMS	2009/2010	28	20
4.4.6 Percentage disbursement ratio (new)	PPMS	mid-2011	15.7	18
4.4.7 Percentage of projects for which IFAD performance is rated moderately satisfactory or better	ARRI	2010/2011	71	80
4.5 Project monitoring and evaluation				
4.5.1 Percentage of projects with RIMS or equivalent baseline surveys (cumulative percentage) (new)	office records	Mid-2011	23	40
4.5.2 Percentage of projects submitting RIMS impact survey (new)	office records	Mid-2011	70	95
4.5.3 PCR quality (percentage rated 4 or better) (new)	PCR review	2010-2011	80	90

^a Earlier score of 4 or better, converted into percentage;; a cut-off score of 4 or above indicates a positive rating.

^b Quality assurance (QA) ratings provided for each project prior to submission for approval by the Executive Board.

^c Country programme issue sheet.

^d Generated by the Project Portfolio Management System (PPMS). ^e Percentage of problem projects for which corrective actions are taken.

28. Proposed improvements to level 4 indicators respond to the need both to pay closer attention to performance in areas of heightened importance in IFAD9 and to incorporate best practices from other IFIs. With respect to emerging priorities, improvements are proposed as follows:
- Scaling up – the RMF 2010-2012 indicator “innovation, learning and/or scaling up” will be modified to focus exclusively on scaling up;
 - The scaling-up indicators will be refined as part of the IFAD-Brookings Institution work on this subject in early 2012.
 - Partnership-building and engagement in policy dialogue – two new indicators are proposed under the country programme assessment during implementation cluster, to be measured through annual client surveys; and
 - Fragile states and M&E systems – new indicators will be included under the project quality-at-entry assessment cluster.

29. With respect to alignment with other IFIs, the “disbursement ratio” indicator is proposed under the portfolio management cluster (level 4.4), whereas indicators to assess the quality of RIMS baseline and impact surveys and PCRs are proposed under a newly created cluster entitled “project monitoring and evaluation” (level 4.5).

Level 5: IFAD’s organizational effectiveness and efficiency

30. Level 5 indicators focus on IFAD’s institutional efficiency in such areas as managing financial resources, human resources and risks. Most of the existing RMF indicators used for IFAD8 have proved to be useful and, in order to ensure continuity and comparability over time, these indicators are proposed for retention in IFAD9. A detailed discussion of the measures IFAD will take to improve its efficiency is provided in a separate paper (REPL.IX/3/R.2).
31. The revised set of indicators for institutional efficiency, along with baseline values and targets for 2015, is presented below (table 5). Changes have been proposed in measuring administrative efficiency, by adding indicators that assess efficiency in managing the total portfolio, the ratio of annual administrative costs to disbursements and the ratio of General Service staff costs to total staff costs.
32. In addition, the existing indicator that currently measures new approvals has been refined by including funds that IFAD manages for other agencies, thus making the measure more comprehensive and robust. The Fund’s administrative costs will be more accurately assessed to increase comparability with other IFIs. The new indicators contain baseline data reflecting latest available information and estimates, as well as the proposed direction of change in the values. Where appropriate, a three-year moving average has been used to calculate baseline values. Updated baseline data for the end of the IFAD8 period, and precise numerical targets for IFAD9 will be agreed with the Executive Board in the context of its discussion of IFAD’s medium-term budget projections for 2013-2015 at the 107th session of the Board in December 2012.

Table 5
Organizational effectiveness and efficiency (level 5)

<i>Indicators</i>	<i>Source</i>	<i>Baseline year</i>	<i>Baseline value</i>	<i>Target for 2015</i>
5.1 Improved resource mobilization and management				
5.1.1 Percentage achieved of replenishment pledges	Office records	Mid-2011	NA	100
5.2 Improved human resources management				
5.2.1 Staff engagement index: percentage of staff positively engaged in IFAD objectives	Staff survey	2010	69.4	75
5.2.2 Percentage of workforce from Lists B and C Member States	Office records	2011	40	Tracked
5.2.3 Percentage of women in P5 posts and above	Office records	2011	28	35
5.2.4 Time to fill professional vacancies (days)	Office records	2011	144	100
5.3 Improved risk management				
5.3.1 Number of actions overdue on high-priority internal audit recommendations	Office records	2010	21	15
5.4 Improved administrative efficiency				
New or revised (ex ante) indicators				
5.4.1. Share of budget allocations to (baseline 2011)				
o Cluster 1			62	65
o Cluster 2			7	9
o Cluster 3			23	20
o Cluster 4			8	6
5.4.2. Ratio of budgeted staff positions to total budgeted positions in: (baseline 2011)				
o Cluster 1			57	61
o Cluster 2			7	9
o Cluster 3			25	22
o Cluster 4			11	8
5.4.3. Ratio of budgeted staff positions in ICOs to budgeted staff in regional divisions (baseline 2011) (new)			38	45
New or revised (ex post) indicators				
5.4.4. Ratio of actual administrative expenditures (including expenditures financed by management fees) to the IFAD-funded annual POLG augmented by the value of the programmes and projects managed by IFAD but funded by other agencies	Office records	3-year average	14.7	12.5
5.4.5. Ratio of actual administrative expenditures (including expenditures financed by management fees) less actual expenditures on "technical support" to developing Member States to the integrated POW	Office records	3-year average, 2008-2010	12.5	10.6
5.4.6. Ratio of the administrative budget expenditures plus management fees to the total ongoing portfolio	Office records	3-year average, 2008-2010	2.16	1.8
5.4.7. Ratio of actual administrative expenditures (including expenditure financed by management fees) to annual disbursements)	Office records	3-year average, 2008-2010	22.1	18.8
5.4.8. Ratio of actual costs of GS staff to total staff costs	Office records	2010	30.4	25
5.4.9. Ratio of resources mobilized by IFAD from external sources (international and national) to finance or cofinance IFAD-supported projects	Office records	3-year average, 2008-2010	1.3	1.8

33. In addition to the above, the Fund will use divisional/business process indicators, primarily as internal management tools for departments and divisions. These will be developed and reported only in the quarterly performance reports. Progress on these indicators will, however, be reported in the RIDE. Taken together, the indicators are expected to provide a comprehensive picture of the Fund's progress in meeting efficiency targets.

IV. Strengthening IFAD's self-evaluation system

34. The value of the RMF data for results management depends on the robustness of the underlying measurement system. IFAD has a comprehensive self-evaluation system to measure progress on all RMF indicators (a description of the system and plans to improve it can be found in the annex); a system to solicit the views of development partners on the Fund's country programmes; and an arms-length QA process for assessing project and programme designs. Results for indicators that measure the development outcomes and impact of closed operations generated from PCRs are compared with and validated by evaluations conducted by IOE, which among other things, enriches and contextualizes the assessment of outcomes and impacts and promotes rigour in the review and learning process.
35. The quality of PCRs – one of the critical components of the self-evaluation system – has improved significantly, as has the submission rate, which has now reached almost 100 per cent. There has been considerable improvement in the quality and coverage of the RIMS established in 2003 to monitor and report on the results and impact of IFAD-supported operations. In 2010, 85 per cent of ongoing projects reported on "first-level" indicators (measuring outputs), around 90 projects provided "second-level" ratings (measuring outcomes), 68 projects completed baseline surveys, and six projects conducted completion impact surveys.
36. According to the final report of the Peer Review of IFAD's Office of Evaluation and its Evaluation Function presented to the Executive Board in April 2010 "most components of the self-evaluation system have been put in place or significantly strengthened since 2006, a development that represents a major accomplishment." The peer review emphasized that improvements in the self-evaluation function should focus on fine-tuning the existing system. To address the recommendations made by the peer review, IFAD Management prepared the Action plan for strengthening the self-evaluation system (see annex). The action plan was presented to the Evaluation Committee in July 2011, providing details of costs and time frames for implementing a broad range of improvement measures, including with respect to project-level M&E systems, the RIMS and PCRs. An overview of the main actions is provided below.

Project-level M&E

37. Towards improving project M&E systems, IFAD's efforts will focus on strengthening training and capacity-building of project management staff and implementing partners, particularly at start-up and early project implementation through the systematic engagement of M&E experts during design and supervision missions. Increased attention will be paid to ensuring that project plans clearly describe the role of M&E and provide the requisite adequate resources.

Results and impact arrangement system

38. As reflected in the proposals to improve level 4 indicators, more rigorous follow-up will be exercised with the governments of borrowing Member States and project management teams to increase the share of projects carrying out impact surveys at completion; projects will also receive capacity-building support to ensure surveys meet relevant quality standards and requirements. IFAD will strengthen its own capacity in impact evaluation by reviewing its ongoing experience⁷ and by

⁷ For example, through the IFAD-funded Oasis Sustainable Development Programme (PDDO) and Abdul Latif Jameel Poverty Action Lab (J-PAL). The Ministry of Rural Development of Mauritania, J-PAL Europe and the Paris School of Economics have signed a partnership agreement for undertaking a randomized study of the impact of the PDDO's

learning from and partnering with other centres of excellence – such as the International Initiative for Impact Evaluation – in conducting in-depth impact studies.

Project completion reports

39. Although the quality and submission rate of PCRs have improved, there is still scope to enhance their quality and rigour. This would be achieved primarily by: using more impact data; better understanding and articulating the causal relationships underlying observed outcomes and impact; and distilling lessons that can be used for future design – all in turn to be reinforced by the improvements to the RIMS referred to in paragraph 32 above. For this, PCR budgets will be increased and new methods explored to promote deeper and broader lesson sharing across IFAD.

V. Data sources

40. Information for RMF reporting will be available through existing IFAD data collection instruments (RIMS, PCRs, project status reports, client surveys, quality-at-entry data from QA reviews, and the ARRI). For level 1 indicators, data will be obtained from publicly disclosed external sources such as the United Nations' *Millennium Development Goals Report*, the World Bank's *World Development Report*, the United Nations Development Programme's *Human Development Report* and statistics gathered by the International Monetary Fund and the Food and Agriculture Organization of the United Nations (FAO).
41. Of the level 2 indicators, outcome indicators at project completion will be obtained mainly from the PCRs⁸ and the ARRI, produced respectively by IFAD Management and IOE annually. Similarly, newly proposed impact indicators will be derived by synthesising the survey reports prepared using the RIMS. In order to estimate the number of people moved out of poverty, data derived from the RIMS will be verified further by rigorous impact surveys undertaken on a sample basis (see paragraph 32).
42. For level 4 indicators, IFAD uses a variety of sources. To assess the quality of country strategic opportunities programmes, it uses the QA process, while country programme quality during implementation is measured through the client survey; for project quality at entry, the arms-length quality at entry assessment is used, with project quality during implementation measured by means of the PPMS.

VI. Reporting on RMF 2013-2015 results

43. As per current practice, it is proposed that the RMF 2013-2015 results be reported annually to the Executive Board and Evaluation Committee through the RIDE. This will be complemented with respect to key areas of outcome level results (level 2) by the ARRI, prepared by IOE. Both reports will be underpinned by an in-depth annual portfolio review to assess project performance using a larger set of indicators and on a disaggregated basis, by region, country and project. IFAD Management will also continue to monitor performance on all RMF 2013-2015 indicators on a quarterly basis, through the corporate performance conversation process, and take corrective action as necessary.

literacy training component on the empowerment and economic emancipation of women. This study will be made possible by a grant from the International Initiative for Impact Evaluation (<http://www.3ieimpact.org/>), financial support from IFAD and full logistical support from the PDDO and the Government of Mauritania.

⁸ Because of the relatively small number of projects completed per year (25-30), there is an element of random variability. Taking this into consideration, results for completed projects will be presented on a two-year moving average basis.

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Enabling poor rural people
to overcome poverty

Action plan for strengthening the self-evaluation system

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Annex

Evolution of the self-evaluation system

Abbreviations and acronyms

ACP	agreement at completion point
AWP/B	annual workplan and budget
ARPP	Annual Review of Portfolio Performance
ARRI	Annual Report on Results and Impact of IFAD Operations
CPM	country programme manager
CPMT	Country Programme Management Team
IOE	Independent Office of Evaluation of IFAD
M&E	monitoring and evaluation
PCR	project completion report
PMD	Programme Management Department
PMD/FO	Programme Management Department front office
PRISMA	President's Report on the Implementation Status of Evaluation Recommendations and Management Actions
PSR	project status report
QA	quality assurance
QE	quality enhancement
RIDE	Report on IFAD's Development Effectiveness
RIMS	Results and Impact Management System
RMF	Results Measurement Framework

Action plan for strengthening the self-evaluation system

I. Introduction and background

1. At the request of the Executive Board, a peer review was conducted of the Independent Office of Evaluation of IFAD (IOE) and its evaluation function, and a final report submitted to the Board in April 2010.⁹ After a thorough review, the peer review panel made a number of recommendations, including the preparation and submission of a costed action plan to strengthen the self-evaluation system.¹⁰ This plan would establish priorities and make the case for additional funding and more staff time, within a feasible resource envelope, to strengthen the self-evaluation system so that it is increasingly used to help achieve development results. This recommendation was made in the context of the finding that "... most components of the self-evaluation system have been put in place or significantly strengthened since 2006, a development that represents a major accomplishment". The peer review thus emphasized that the proposed improvement in the self-evaluation system should focus on consolidating, improving and fine-tuning the existing system, rather than introducing more major changes (paragraph 109).
2. In its response IFAD Management agreed that it would prepare a costed action plan to allocate additional funding and more staff time to strengthen the self-evaluation systems, mainly to improve knowledge management and the quality and use of the project completion report (PCR) process.¹¹ This paper has been prepared in response to the panel recommendation and agreed to by IFAD Management. In presenting the costed action plan, this paper provides an overview of the existing self-evaluation systems in IFAD (section II), an analysis of the areas that need improvement and fine-tuning (section III), estimated costs (section IV), and a matrix summarizing the actions proposed and their associated costs (section V).

II. Instruments of self-evaluation

3. IFAD's self-evaluation system has developed over time (see annex for details). Instruments such as the project status report (PSR) and the portfolio review process were put in place in the late 1990s. The Results and Impact Management System (RIMS) for IFAD-financed interventions was developed in 2004. These systems, however, have undergone major improvements over the years, particularly following adoption of the IFAD Evaluation Policy and the independence of the Office of Evaluation in 2003. The improvements involved strengthening the portfolio review process, a new process following up on implementation of evaluation recommendations agreed to by IFAD Management (2004), and the review and use of PCRs. Following the Independent External Evaluation, a new Strategic Framework and a Results Measurement Framework (RMF) were developed in 2007. Subsequently, in 2008, quality enhancement and quality-at-entry processes were introduced. The RMF was expanded and improved significantly in 2009 by incorporating the results obtained from the quality-at-entry process, PSRs, project outputs reported through the RIMS, and project outcomes/impact reported through PCRs.
4. IFAD's self-evaluation system is an integral part of its RMF, through which a results focus is incorporated into all aspects of IFAD's work. It also links operational, administrative and support activities to IFAD's higher-level strategic development

⁹ EB 2010/99/R.6, Peer Review of IFAD's Office of Evaluation and Evaluation Function.

¹⁰ Recommendations were made with respect to the reaffirmation of the independence of the evaluation function in IFAD, strengthening of the oversight and accountability of the Independent Office of Evaluation, improvement in the functioning of the independent evaluation system through harmonization of IFAD's evaluation methodology with that of the Evaluation Cooperation Group of the multilateral development banks, strengthening of the learning and feedback loop, use of a broader range of evaluation approaches and methodologies, and improving the efficiency of IOE and further strengthening of the self-evaluation system.

¹¹ EB 2010/99/R.6/Add.2, paragraph 16.

goals. Two key aspects of the RMF are that (i) all aspects of the project cycle are measured, not just end-of-cycle activities; and (ii) operations management and support services are linked to development objectives. Much of the information relative to IFAD projects and country programmes comes from the self-evaluation system. Where possible, findings are compared with those of IOE.

5. The advent of direct supervision in 2007 and the initiation and expansion of IFAD's country presence since 2004 have played important roles in strengthening the self-evaluation system. Both instruments have provided IFAD with more first-hand information about the projects it finances, which in turn serves to strengthen the self-evaluation system. Self-evaluation processes, in particular PCRs, have been governed by the harmonization agreement between the Programme Management Department (PMD) and IOE¹² – first signed in April 2006 and updated in 2011 – following the peer review recommendation that IOE rely more on validated PCRs for reporting evaluation findings.
6. Under the self-evaluation framework, the principal instruments for assessing performance can be classified into three phases:
 - (i) Design: quality enhancement (QE) and quality assurance (QA) processes prior to approval;
 - (ii) Implementation: monitoring and evaluation (M&E), supervision, RIMS and portfolio reviews; and
 - (iii) Completion: PCRs and the review of the uptake of evaluation recommendations agreed to by government and IFAD Management
7. A short description of various instruments is presented below.

A. Quality enhancement and quality assurance

8. The main instruments for self-evaluation during the **design and approval process** are:¹³ the quality enhancement review, managed by the Policy and Technical Advisory Division, and the QA process, coordinated by the Office of the Vice-President. The processes aim to improve the design of a project, taking into account the experiences of similar projects and lessons learned during implementation. These instruments were introduced more recently and as such would not require any significant improvement. Thus they are not included in the costed action plan. Remaining within the limit of existing resources, IFAD management, however, may consider the possibility of further aligning the QA ratings indicators with other parts of self and independent evaluation systems.

B. Project monitoring and evaluation system

9. As in any other international financial institution (IFI), the monitoring and evaluation of projects funded constitute the foundation of IFAD's own systems of results monitoring and reporting. While the quality of M&E at the project level has shown some improvement over time, the performance of IFAD-supported projects is not uniformly satisfactory – as is the case with projects supported by other IFIs. The monitoring function is often seen as a "donor" requirement, with little relevance to project implementation. It is often viewed as external to implementation processes, and often as the responsibility of one person or a small group of people. Even when information is available, it is not always used to improve project planning or performance. Some of the recurring problems associated with M&E include:
 - (i) Low priority accorded to the M&E function, with the resulting inadequate budget for its processes.

¹² Agreement between PMD and OE on the Harmonization of Self-Evaluation and Independent Evaluation Systems of IFAD, April 2006.

¹³ The Country Programme Management Team review, a form of peer review, is also undertaken during design.

- (ii) Lack of qualified staff – many with only a limited understanding of M&E and results frameworks.
 - (iii) Little integration of M&E into management processes, including annual work planning.
 - (iv) Isolation and/or high turnover of M&E staff; and
 - (v) Emphasis on data collection – little or no analysis undertaken.
10. IFAD continues to use the comprehensive guidelines that IOE issued in 2002 to assist project-level M&E. The Guidelines for Project Monitoring and Evaluation cover all aspects of M&E, from design to completion. They also deal with various methods of data collection and analysis. IFAD Management is committed to assisting borrowing governments in improving M&E systems, particularly at the project level. To this end, IFAD financing for projects almost always includes estimated costs associated with M&E system development and implementation. In addition, regional divisions are assisting projects with specialized grants, technical advice and technical support for M&E.

C. Results and Impact Management System

11. The framework for the Results and Impact Management System (RIMS)¹⁴ was approved by the Executive Board in December 2003. The system was developed to allow IFAD to better monitor and report on (in aggregate) the results and impact of IFAD-supported projects and programmes.¹⁵ RIMS indicators encompass three levels of the results chain, broadly corresponding to outputs, outcomes and impact. This facilitates the integration of RIMS data into project M&E systems. However, RIMS indicators form only a part of M&E systems and thus do not cover all results achieved by projects.
12. **First-level results (outputs)** are quantitative measures of physical progress (e.g. hectares of irrigation schemes constructed/rehabilitated, kilometres of roads/tracks constructed/rehabilitated). Indicators measuring numbers of people (e.g. people trained in crop/livestock production techniques) are reported disaggregated by sex. Ongoing projects that have been under implementation for at least one year are required to report first-level results. Reporting on the RIMS first level has been consistent in the last few years, with some 85 per cent of the required projects reporting on first-level indicators in 2010 (for the calendar year 2009).
13. **Second-level results (outcomes)** measure improved functionality or behavioural change. These results look at the extent to which project initiatives were successful in reaching specific outcomes (assessment of effectiveness, e.g. effectiveness of improved financial services) and the extent to which benefits are likely to continue after the end of project support (assessment of sustainability, e.g. likelihood of sustainability of infrastructure). They represent informed judgements of a qualitative nature, using a scale of from 1 to 6. The basis of the ratings is left to the projects, although they are requested to provide quantitative “evidence” for the ratings. Reporting on second-level results is required following the mid-term review or after projects have been under implementation for at least three years. In 2010, slightly more than 90 projects provided second-level ratings.
14. **Third-level results (impact)** measure the combined effects of project interventions on child malnutrition (against three sub-indicators: acute, chronic and underweight),¹⁶ in itself, and as a proxy measure of income and household assets. Other indicators include: literacy (male/female), length of the “hungry season” access to safe drinking water and to toilet facilities. As of February 2011, about

¹⁴ EB 2003/80/R.6/Rev.1.

¹⁵ Only projects initiated by IFAD are required to report under the RIMS.

¹⁶ Child malnutrition is not reported for projects in which the incidence is under 10 per cent.

68 projects had conducted benchmark impact surveys and six had conducted completion surveys. In addition, nine had conducted mid-term surveys. The mid-term survey has been made optional based on a recommendation of the peer review.

15. Indicators applicable to the project at the first and second levels are selected from the universe of RIMS indicators provided in a handbook developed by IFAD. Many of these indicators are reflected in logical frameworks developed during project design. During start-up, indicators to be reported under the RIMS are agreed between the project and IFAD. Appraisal targets for these indicators are identified and recorded at that time. Projects report annually (at the end of March, covering the previous 12 months), including both targets of the annual workplan and budget (AWP/B) and actual progress achieved. Linking physical progress to the AWP/B helps reinforce a results orientation in defining the AWP/B and in implementing the project.

D. Project completion reviews

16. As stipulated in the General Conditions for Agricultural Development Financing, the borrower government prepares a PCR, usually submitted within six months of completion. In order to standardize the preparation of PCRs across the portfolio, IFAD issued the Conceptual Framework and Annotated Outline in 2000,¹⁷ and later the detailed Guidelines for Project Completion. The objective was to standardize the preparation of PCRs, ensure comparability of results with those generated through other self-evaluation systems, and guide the completion process as a whole. The need to allow all stakeholders to take stock of the achievements of a given project/programme was emphasized, as well as reporting focused on the effectiveness, efficiency and impact of IFAD operations, in line with the IFAD Methodological Framework for Evaluation.
17. Since 2006, PMD has conducted an annual review of PCRs submitted to IFAD Management during this period. While some delays have been noticed in receiving the reports, practically all completed projects submit a PCR. The review covers all completed projects and can thus be considered comprehensive in terms of its coverage of the IFAD portfolio. The projects are assessed in terms of:
 - (i) Performance (overall performance, quality of design, implementation, relevance, effectiveness, efficiency);
 - (ii) Performance of partners (IFAD, government, cooperating institution, cofinanciers, NGOs);
 - (iii) Impact on rural poverty alleviation (assessment of seven key impact indicators¹⁸); and
 - (iv) Effect on overarching aspects (innovation, replicability and scaling up, sustainability, targeting and gender).
18. To standardize the process and produce comparable ratings, a template is used to assess all PCRs against the same criteria. The assessment template has been revised to align the criteria and ratings with the latest evaluation manual. Detailed assessment guidelines help ensure that the evaluators have the same understanding of all criteria. Following the recommendation of the peer review panel, beginning in 2011 IOE will use the PCR as a primary basis for reporting outcomes and impact. As a result, PCRs have now assumed a critically important role – both for independent and self-evaluations.
19. Over time, the quality of PCRs has improved. Nevertheless, there are areas in which the PCR process needs further improvement. Overall, the PCR process continues to

¹⁷ EB 2000/69/R.14.

¹⁸ Household income and assets, food security, agricultural productivity, natural resources and environment, human and social capital and empowerment, institutions and policies, and markets.

remain under-resourced, relying largely on project level resources, complemented with a relatively limited support from IFAD. The areas that require improvement include:

- (i) Projects need a better understanding of evaluation criteria, so that PCRs reflect not just outputs achieved by the projects, but also outcomes and impacts.
- (ii) Impact claims are provided without sufficient data. There is very little focus on the issue of attribution. With regard to efficiency, an ex-post estimation of the economic internal rate of return is often not conducted.
- (iii) Causal relationships are not articulated in a number of PCRs; thus while results are listed, the causes or the complex of factors that led to their achievement (or non-achievement) is not as clearly laid out. As a result, reasons for performance or non-performance are difficult to discern.
- (iv) Arguments need to be substantiated through triangulation of different sources – including RIMS data at the outcome level and impact surveys. In general, M&E data are not sufficiently used in validating claims.

E. Performance review and reporting

20. The portfolio review process is the main management tool used by PMD and Senior Management to monitor and self-assess the performance of the portfolio. This includes measuring outputs; assessing efficiency, effectiveness and impact; identifying problems and appropriate solutions; mitigating deteriorating trends; and drawing lessons from experience. Updated guidelines are circulated annually, although in recent years, the changes have been limited.
21. The portfolio review process is underpinned by the project supervision and implementation process, which serves as an important instrument for validating results and taking corrective measures, as necessary, to ensure the achievement of the project's goals efficiently and effectively. The main output of supervision, from a corporate learning perspective, is the aide-memoire,¹⁹ accompanied by the PSR, which contains a snapshot of progress made and issues being faced in implementing the project. The portfolio review process is designed to integrate information from a variety of sources and provides for a systematic review at various levels – project, country programme, regional and corporate. The review culminates with a meeting between the division and the Associate Vice-President, PMD, in which good practices and issues relative to the regional portfolio are discussed. To facilitate this process, annual regional portfolio reports are prepared by the regional divisions. In terms of reporting, the portfolio review process contributes directly to the divisional and corporate portfolio review reports and to the Report on IFAD's Development Effectiveness (RIDE).

F. Follow-up and reporting on agreed evaluation recommendations

22. The IFAD Evaluation Policy, as amended in 2011,²⁰ retains the requirement that the President ensure the adoption of feasible evaluation recommendations agreed between government and IFAD Management following each evaluation, track the implementation of the recommendations, and report the results of follow-up actions to the Executive Board through the **President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA)**. The PRISMA report presents an analysis of the uptake of

¹⁹ Technical annexes can also be an important source of learning, but in the main are directed at implementation issues specific to the project.

²⁰ EB 2003/78/R.17/Rev.1, IFAD Evaluation Policy, and EB 2011/102/R.7/Rev.1, Revised IFAD Evaluation Policy.

recommendations contained in the agreement at completion point (ACP).²¹ The ACP reflects the stakeholders' understanding and agreement on the evaluation findings and recommendations, and their proposals and commitment to implement them.

III. Proposed future improvements

23. IFAD's self-evaluation function primarily serves two purposes: accountability and learning. In terms of accountability, performance assessments during the portfolio review process undergo various stages of quality control, and thus ensure rigour in the ratings. Moreover, the PRISMA process ensures that evaluation recommendations are followed up on a regular basis. It is considered that these aspects of the self-evaluation system (portfolio review and PRISMA) are robust, and do not require any additional resources in the immediate future to improve the quality of outputs. As stated, the QE/QA processes are relatively recently designed and thus are also not in need of any immediate, major improvements. Remaining within the existing staff resources and defined institutional processes, there would, however, be a need to enhance the quality of the assessment of country programme performance, in particular, in assessing the synergy among various projects within the country and the performance of the non-lending activities. Similarly, the portfolio review process will be used to internally monitor and consolidate reporting on critical thematic areas such as gender and private sector.
24. Some other elements of the self-evaluation system, however, require further strengthening, particularly in terms of better attribution of results and using the knowledge generated to improve future designs. This can be done mainly by strengthening project M&E and RIMS second- and third-level results measurements. In addition, the assessments in PCRs need to be complemented by greater evidence-based impact analyses.
25. In proposing the direction and magnitude of the changes, however, it is important to be cognizant of the peer review panel's overall observation that most components of the self-evaluation system are in place or have been significantly strengthened (paragraph 1). In accordance with the panel's recommendation, future changes will focus mainly on improving knowledge management and the quality and use of the PCR process. These actions will be complemented by:
 - (i) Providing further assistance to borrowing countries and IFAD-supported projects, and complementing their efforts to improve project-level M&E, while recognizing that this will be a long-term endeavour;
 - (ii) Reviewing the RIMS in order to harmonize it with other PMD and OE instruments, including the dropping of the mid-term impact assessment;
 - (iii) Continuing to take measures to improve the quality and use of PCRs;
 - (iv) Making lessons documented in PCRs available to country programme managers (CPMs), Country Programme Management Teams (CPMTs) and others involved in formulating new projects and COSOPs, and feeding these lessons into the QE and QA processes;
 - (v) Identifying ways to extract knowledge systematically to make the self-evaluation system more useful in supporting new strategies, policies, COSOPs and projects.

A. Project-level M&E

26. The quality of any self-evaluation system will ultimately depend on the quality of the project-level M&E system. At the project level, there is a greater need for training and capacity-building of project management staff and implementing

²¹ The two objectives of the ACP are to: (i) clarify and deepen the understanding of recommendations, document those that are found acceptable and feasible and eventually generate a response by stakeholders on follow-up action; and (ii) flag evaluation insights and learning hypotheses for future discussion and debate.

partners, along with greater understanding of their roles and responsibilities in designing and implementing M&E systems. Greater attention to the mechanics of M&E during project design (who, what, why), and emphasis on the link between M&E and achievement of results, is needed during the design phase. However, overly elaborate and ambitious M&E systems should be avoided.

27. Consideration should also be given to fielding M&E experts during supervision missions – most critically at start-up or in early implementation – in order to work with project staff to better integrate M&E into project implementation processes. The focus of field visits would be on ensuring that all project staff feel responsible for M&E and that an M&E plan is in place. The information required from service providers/implementing agencies, as well as its periodicity, needs to be defined and agreed on. In general, M&E staff must spend more time analysing data and using them in decision-making processes. In addition, analysis and reporting at the levels of outcomes and impact must be emphasized, not only at those of activities and outputs.
28. In terms of providing inputs to strengthen project-level M&E, IFAD will focus on:
 - (i) Systematically including an M&E expert in at least one design mission for each project, using the existing resource envelope tagged for project design;
 - (ii) Ensuring that the project plan outlines M&E-related tasks and provides an adequate budget to undertake these activities;
 - (iii) Allocating additional resources for fielding an M&E support mission at start-up or in the early stages of project implementation to help project management develop the M&E plan and undertake baseline studies/surveying; and
 - (iv) Facilitating inter-project staff field visits, with a focus on learning and sharing M&E experiences.

B. Results and Impact Management System

29. The start-up of the RIMS was gradual. In recent years, however, this has changed and about 85 per cent of projects submit first-level results. The quality of submissions has also gone up significantly. There are some remaining challenges with regard to impact reporting, however. To begin with, RIMS reporting needs to be better integrated with other self- and independent evaluation processes. In terms of impact monitoring, about 65 projects have completed baseline surveys. If these are appropriately followed up by impact surveys, IFAD will obtain a fairly good assessment of the impact created at the level of its project beneficiaries.
30. Second, the impact survey methodology could be further strengthened. One option that would help in establishing links in the results chain, at least in part, would be to focus on qualitative assessments of project interventions and their outcomes. This could be done through surveys in project areas. In fact, some annual mini-surveys have been conducted in the Asia and the Pacific region to: (i) measure more regularly the positive or negative changes/outcomes taking place at the household level; (ii) provide early evidence of project success or failure; and (iii) obtain timely performance information, so that corrective actions may be taken if required to assess targeting efficiency.²²
31. These surveys would be relatively less expensive and would help staff better understand the causal chain. They may also be useful in testing the use of a

²² The “annual outcome survey” is a simple household survey that will be undertaken annually by project staff and will cover a small sample of 200 households selected randomly. It will be conducted exclusively in villages targeted by the project or participating in project interventions, and will include both project beneficiaries and non-beneficiaries (the latter being used as a comparator group).

comparator group at project completion (a population in an environment similar to the project area, but not involved in project activities).

32. In light of the above, IFAD Management will take the following actions to improve the availability and quality of impact data:
- (i) Ensure that impact surveys at completion are undertaken by most, if not all, projects that have already undertaken baseline surveys, and achieve this through vigorous follow-up with projects and borrowing governments and some capacity-building support to the projects;
 - (ii) Review the RIMS survey methodology for possible improvements, particularly by taking a more systematic approach to qualitative assessments or by testing the establishment of a comparator group at the end of the project period;
 - (iii) Selectively provide technical assistance in cases where survey resources are not readily available; and
 - (iv) Pilot the methodology adopted with a view to enhancing the rigour of the impact survey.
33. In terms of measuring impact, and to a lesser extent outcomes, IFAD could benefit from developing partnerships with other aid agencies and partners, either to ensure access to surveys conducted by them, or to partner with them in conducting such surveys. For example, the World Bank and UNICEF regularly conduct surveys related to livelihoods, income and child malnutrition. IFAD-supported projects could benefit from access to that data, particularly the raw, disaggregated data relevant to their area of operation. The partnership-based approach could also be useful in enhancing impact evaluation. For example, the West and Central Africa Division is now partnering with selected researchers in European and United States universities on two initial evaluations in Mauritania (for gender empowerment) and Sierra Leone (for warehouse receipts). While the actual research work is financed externally, project staff are making an in-kind contribution by allocating time to the evaluations. Likewise, Asia and Pacific Division has established a partnership with WFP's Vulnerability Assessment and Mapping Unit in India to share baseline surveys and where possible partner with one another in conducting surveys. Similar partnerships could be explored with the Bill & Melinda Gates Foundation.

C. Project completion reports and review

34. In recent years, the submission rate of PCRs has increased remarkably, and if allowance is made for some delay in submitting PCRs, it has now reached almost 100 per cent. While the quality of PCRs has also been improving, there is a clear need to further enhance the quality and rigour of this report. These improvements would have to be made primarily by using more impact data; articulating more forcefully, using reliable evidence dealing with the causal relationship (i.e. explaining 'why' the performance is what it is); and distilling lessons that can be used for future design. Over time, the structural content of PCRs has become increasingly aligned to the guidelines. Nevertheless, improvements are needed in this aspect as well, particularly in cofinancier-appraised and -supervised projects.
35. First, with respect to the quality of PCRs, it is noteworthy that most of the costs associated with the project completion process need to be borne by project management or borrowing governments.²³ As a result, IFAD has been allocating only a very limited amount of resources to assist project management and is restricted mainly to providing technical advice to help PCRs attain an acceptable standard.

²³ Section 7.16 of the General Conditions for Agricultural Development Financing requires that the borrower/recipient furnish the project completion report to the Fund.

36. Second, The PCR process is centrally managed by the PMD front office (PMD/FO) to ensure cross-comparability of results across the regional portfolios. In addition, ratings have been assigned independently by consultants, without the involvement of IFAD staff. As this process now has matured, the focus should be changed – emphasizing knowledge management and [making] the process more participatory, while retaining the overall co-ordination and quality control role of PMD/FO. In general, the regional divisions will also be involved in a more intensive review of the draft PCRs and assigning initial ratings of performance. In fact, some divisions have already introduced quality-control mechanisms that include a peer review or review by the CPMT.
37. Third, at the corporate level, recent changes in evaluation methodology and in the nature of the IFAD portfolio need to be captured in the PCR guidelines. This includes aligning the guidelines with the new evaluation manual.²⁴ In addition, there is a need to introduce recent changes with regard to the RMF and to further integrate RIMS results into the PCR process. This will also be accomplished by revising the PCR guidelines.
38. Fourth, with the decision that validated PCRs will be used by IOE, the PCR review in PMD has become a year-round, more intensive and costlier process.²⁵
39. In light of the above, the following changes have been proposed with respect to the project completion process:
 - (i) Increase the budget for PCRs for each project to US\$35,000, on average, given that the PCR process is under-resourced.²⁶ This would imply an incremental cost of about US\$15,000 per PCR. The increased budget may also be used to ensure that the lessons distilled through the PCR process are disseminated widely among in-country stakeholders.
 - (ii) Enhance the quality and sharing of knowledge, using methods such as peer review of PCRs, by deepening and broadening the process to the rest of PMD.
 - (iii) Assign responsibility for initial ratings to CPMs, who would work closely with in-country stakeholders. These ratings would be finalized later, keeping in view the need to maintain cross-comparability of the ratings.
 - (iv) Allocate limited incremental resources to support the year-round review of PCRs as part of the desk and field verification process instituted by IOE.
 - (v) Update the PCR guidelines and issue the revised version by March 2012, using existing resources available to PMD, also laying emphasis on preparing annual divisional plan preparing PCRs to ensure timely completion and sharing.

Knowledge management

40. The self-evaluation function has taken many steps to ensure consistency and rigour in its processes – and thus play a crucial role in obtaining pertinent information for decision-making and generally enhancing accountability for results. However, its contribution to learning, while significant, could be further improved. The recommendation of the peer review panel is thus highly relevant: identify ways to extract knowledge systematically to make the self-evaluation system more useful in supporting new strategies, policies, COSOPs and projects.
41. The following processes to encourage knowledge-sharing across divisions have been

²⁴ IFAD. *Evaluation manual: Methodology and processes* (Rome: Office of Evaluation, 2009).

²⁵ This includes resources provided for independent consultants to enable them to review not just the PCR but other supporting documents, including the latest supervision report, PSR, mid-term review, etc., so that the review process becomes robust by internalizing the project results spanning the entire life of the project.

²⁶ The expenditure borne by IFAD varies significantly. The average amount was slightly less than US\$20,000 for PCRs completed in the last two years. This amount is spent to assist the project/government to ensure quality and share knowledge. The preparatory cost of PCRs is mostly charged to the project budget otherwise.

put in place:

- (i) In terms of a knowledge infrastructure, a number of PMD online tools have been developed in recent years, including PSR Online, RIMS Online, the Operations Library and Operations Dashboard. These tools allow all IFAD users to access updated information on various aspects of the portfolio.
 - (ii) Divisional portfolio review meetings often feature participants from relevant divisions outside PMD, so that interdepartmental issues can be explored.
 - (iii) The Annual Review of Portfolio Performance (ARPP) includes extensive information on completed projects, as well as a wealth of data on the performance of the currently active project portfolio. The 2009 report was presented to the staff of the entire organization. For the 2010 review, a half-day workshop and knowledge fair were organized, including stands on various tools, emerging issues from the field and experiences (i.e. sharing of success stories).
42. In terms of the regional divisions, all divisions have organized regional implementation workshops, bringing together project staff from all ongoing programmes. These workshops are excellent opportunities for knowledge-sharing and learning, as they allow both project and IFAD staff to benefit from each other's learning and knowledge and the challenges faced.
43. However, as stated, there needs to be more emphasis on knowledge management as an integral part of the self-evaluation process. It should focus on extracting knowledge more effectively from existing systems in order to support future action and design. Knowledge from PCRs, in particular, could be used more effectively in future project design, in presenting results of the IFAD portfolio and in further strengthening evaluation processes. To this end, PMD will put available PCRs, their summaries and the rating database in easily accessible format by December 2011. In addition, it will share the data and information more widely to allow for more horizontal comparisons across organizational units.
44. With regard to the portfolio review process, there is a need to exchange learning and information across PMD divisions, in terms of both best practices and lessons learned. Overall, the learning loop will be strengthened significantly through a variety of tools, focusing on two levels:
- (i) **Internal stakeholders.** Lessons from annual RIMS reporting, new issues emerging from PRISMA, and new features and problems of the portfolio emerging from the portfolio review process should be disseminated more effectively to CPMs, CPMTs, consultants regularly involved in critical processes, and the technical advisory division, so that lessons can be internalized in future design.
 - (ii) **External stakeholders.** Lessons from self-evaluation processes would be fed back to project authorities, governments, civil society and partner institutions. In communicating results and stories from the field, the focus should be on dissemination between countries as much as at the corporate level.
45. Additionally, as part of the self-evaluation process, staff from PMD will visit one or two of the best- and worst-performing projects (as rated in PSRs) to identify best practices and issues related to performance and results management. These will be highly focused visits to synthesize lessons learned. The results will be summarized in the following year's portfolio review reports. Copies of the case studies will be made available in the relevant Operations Libraries.

D. Review of self-evaluation system components

46. Since the conclusion of the peer review process, IFAD Management has further strengthened the portfolio review guidelines in order to improve comparability of

the annual portfolio reviews across divisions, as suggested in the peer review report. Moreover, it reaffirms its commitment to assist and facilitate IOE in identifying priorities and sequencing requests to systematically evaluate the various components of the self-evaluation system, using focused real-time evaluations.

IV. Cost estimates and implementation arrangement

47. In proposing activities to strengthen the self-evaluation system and in estimating costs, IFAD Management has taken two factors into consideration: (i) the strengthening process should focus on consolidating and fine-tuning, rather than on introducing major changes; and (ii) investing more in strengthening M&E at the project level would produce better results in the long run. An activity matrix applying these principles, including associated costs, is presented on the following pages.
48. As shown in the matrix, an additional expenditure of some US\$910,000 would be required on an annual basis, supplemented by a one-off cost of US\$65,000. The additional expenditure will mainly be used to strengthen: (i) project-level M&E systems, by providing technical assistance at an early stage of project implementation in setting up the system (US\$350,000);(ii) the project completion process (US\$450,000); (iii) sample test surveys (US\$60,000); and (iv) selective field validation (US\$40,000).
49. The self-evaluation system at IFAD headquarters will also benefit from the actions recently taken to convert consulting positions to staff positions. This will help in better document management and thus in supporting knowledge-sharing and reporting on project impact. Almost all the proposed budget will be spent on strengthening systems at the project level in borrowing member countries. When compared with the value of the current portfolio of US\$4.8 billion, this amount can be considered modest.

V. Summary of action plan for upgrading the IFAD self-assessment system (with cost estimate)

<i>Focal area/present instruments/processes</i>	<i>Improvements</i>	<i>Incremental cost implications</i>	<i>Timing</i>
A. Develop practical ways to improve project-level M&E (i) Managing for Impact in Rural Development – A Guide for Project M&E (ii) Regional M&E supports grant-funded projects	(i) Ensure adequate budget for M&E in project designs	(i) Nominal incremental cost during design	(i) Beginning in 2012
	(ii) M&E expertise included at start-up or in initial supervision missions	(ii) US\$350 000 ²⁷ to projects	(ii) For projects approved in 2012
	(iii) Facilitate inter-project field visits focusing on M&E	(iii) Met from project budget; nominal facilitation cost to IFAD	(iii) Beginning in 2012
B. Harmonize the RIMS with approaches used in the self-evaluation and independent evaluation systems RIMS reporting first- and second-level and impact surveys	(i) Ensure that projects undertake impact surveys at completion point; follow up with the projects and provide capacity-building support	(i) Staff time to follow up and assist impact survey	(i) 2011-2015
	(ii) Ensure that RIMS data are used throughout the project cycle, revise/upgrade design, portfolio review and project completion guidelines, enhance cross-referencing	(ii) Mainly staff time	(ii) By December 2012
	(iii) Strengthen outcome measurement, analyse various methodological choices	(iii) Staff time to identify possible options and consulting services US\$25 000	(iii) By June 2012
	(iv) Undertake pilot measures using quantitative or qualitative techniques, depending on the methodology agreed on	(iv) US\$40 000	(iv) 2012-2013
	(v) Support projects in surveying 'comparator' group at project completion stage for projects having baseline surveys	(v) US\$60 000/year (to be borne by projects) ²⁸	(v) 2012-2015
C. Continue applying measures to improve quality and use of PCRs Budget for PCR is contained in most projects Support for completion can be financed from IFAD implementation-support budget IOE validation of PCRs has begun Arms-length review conducted in PMD	(i) Ensure that a specific budget line for PCR is included in all project designs	(i) Some additional staff time	(i) For projects approved in 2012
	(ii) Allocate additional resources for the completion process from IFAD implementation-support budget	(ii) US\$450 000 ²⁹	(ii) For projects completed in 2012
	(iii) Update PCR guidelines to better reflect existing corporate processes	(iii) Additional staff time, financed through exiting budget line	(iii) March 2012
	(iv) Improve/establish regional quality control/peer review systems	(iv) Some additional staff time	(iv) Beginning January 2012
	(v) Strengthen arms-length review process in terms of both scope and content	(v) Some additional staff time Additional consultant time US\$10 000	(v) Being implemented/ strengthened further beginning in 2012

²⁷ 35 project start-ups/year x US\$10 000

²⁸ 5 test surveys/year x US\$12 000

²⁹ 30 PCRs x US\$15 000/PCR

D.	Identify ways to extract knowledge systematically to make the self-evaluation system more useful in supporting new strategies, policies, COSOPs and projects Electronic document repositories (Operations Libraries) of country- and project-related documents QE/QA processes	(i)	Improve search functionality and develop dynamic queries for selected thematic areas	(i)	Full-time staff recruited to support document management in PMD – remaining within total budget envelope	(i)	Mid-2011
		(ii)	Ensure ready availability of information in easily accessible format	(ii)	Temporary staff position (portfolio analyst) to be converted to fixed-term staff position with minimal additional cost	(ii) & (iii)	Recruitment completed by October 2011 and knowledge-sharing session regularized beginning 2012
		(iii)	Organize knowledge-sharing session, using mainly but not exclusively PCRs	(iii)	Mainly staff time	(iv)	Beginning 2012
		(iv)	Field validation visits undertaken by staff to identify lessons from best/worst performers	(iv)	US\$40 000 ³⁰	(v)	Beginning 2012
E.	Identify priorities and sequencing for systematic evaluations of the components of the self-assessment system, using focused, real-time evaluations	(i)	Self-review by PMD of RIMS and project completion methodologies	(i)	Mainly staff time	(i)	2011-2012
		(ii)	PMD to discuss and facilitate any review proposed by IOE	(ii)	Mainly staff time	(ii)	As and when requested by IOE

³⁰ 2 countries x 5 regions @ US\$4 000 = US\$40 000

Evolution of the self-evaluation system

A. Portfolio review system

<i>Year</i>	<i>Milestones</i>	<i>Main features</i>
1996	PA (now WCA) pilots PSR and portfolio review at divisional level	PSRs filed for all effective projects; portfolio review meetings held with CPMs; divisional portfolio review meeting held annually
1997	COSOPs introduced	Provided rationale for country engagement; focused on investment projects
1998	PA pilots country programme issues sheet (CPIS)	CPISs prepared for all active countries and discussed during portfolio review meetings
1998	Portfolio review system implemented across regional divisions; specific guidelines prepared for this purpose	PSRs filed for all effective projects; divisional report discussed with AP/PD
1998	First Progress Report on Project Implementation to EB	First attempt at analysing portfolio performance; review of implementation issues and selected features of the portfolio
1999	First Progress Report on the Project Portfolio to EB	Annual reporting on the health of the portfolio
2003	CPIS implemented across PMD	Review of country-level aspects added to process
2005	Portfolio Review Group established	Ensures ownership of process across PMD
2006	Harmonization agreement between PMD and OE, 6 April 2006	Establishes common standards for self-evaluation and independent evaluation functions
2006	First Portfolio Performance Report (PPR)	Reporting modus is analytical and uses empirical data; PMD departmental review process greatly strengthened
2008	PPR converted to Annual Report on Portfolio Performance (ARPP)	Last year of submission to EB, henceforth a management review document – ARPP
2008	Introduction of Report on IFAD's Development Effectiveness (RIDE)	Annual reporting to EB on portfolio performance through the RIDE report
2009	ARPP and RIDE strengthened	First-level RIMS results reported in both ARPP and RIDE

B. Results and Impact Management System (RIMS)

Year	Main features	Improvements
2003-2004	RIMS system initiated and Implementation Coordination Team established to support the RIMS and more-responsive M&E systems	RIMS system first presented (December 2003)
2005	Piloting of survey methodology in five countries in 2004-2005	Impact survey manual developed; questionnaire modified based on pilot experience
2006-2007	Second-level assessment framework finalized	First- and second-level results handbook developed
2008	Increased reporting from projects	First- and second-level results reported more consistently
2009	Increased reporting by projects; increased attention to quality and coherence of data; regional grants and workshops for strengthening M&E systems at project level	Improved survey analysis software developed; RIMS Online developed; accompanying manuals developed; first-level results presented in ARPP and RIDE

C. Project completion review

<i>Year</i>	<i>Instrument</i>	<i>Main features</i>
2000	Conceptual framework and annotated outline for project completion, EB 2000/69/R.14	First attempt to standardize preparation of PCRs
2006	Harmonization agreement between PMD and OE, 6 April 2006	Establishes common standards for self- evaluation and independent evaluation functions
2006	Guidelines for Project Completion, June 2006	Establishes a framework for standardized approach to project completion; PCR function strengthened; key output and main source of knowledge and information about a project aligned with Methodological Framework for Evaluation
Since 2006	Annual assessment and review of PCRs	PCR review becomes part of the self-evaluation system; results comparable to those of the Annual Report on Results and Impact of IFAD Operations (ARRI) and other IOE outputs
2011	Annual assessment and review of PCRs feeds into IOE PCR validation	PMD ratings shared with IOE on individual projects; supporting documents such as supervision report and mid-term review also covered

D. President's Report on the Implementation Status of Evaluation Recommendations and Management Actions (PRISMA)

<i>Year</i>	<i>Main features</i>	<i>Improvements</i>
2004	Cross-cutting themes, implementation highlights	First PRISMA presented
2005	Evaluation coverage, nature of recommendations, thematic review	Categorization of recommendations by entity, nature and theme introduced; report significantly strengthened
2006	Evaluation coverage and nature of recommendations, thematic review by blocks; status of follow-up tracked in four categories	Categorization of follow-up action introduced to enable better tracking; more-precise categorization of entity; thematic blocks used
2007	Evaluation coverage and nature of recommendations, thematic review; implementation status tracked in six categories	Improvement in follow-up categories to better reflect project realities; thematic review; source of responses listed for greater accountability
2008	Evaluation coverage and nature of recommendations, thematic review; implementation status tracked	Regional comparison introduced; streamlining of thematic categories; focus on learning themes covered in ARRI
2009	Evaluation coverage and nature of recommendations, implementation status for the current year, thematic review including learning themes; synthetic review section included	Synthetic review section introduced on recommendations and responses over four years, providing long-term perspective and allowing statistical analysis
2010	Response to ARRI recommendations included	PRISMA begins responding to ARRI recommendations
2011	PRISMA content broadened	Review of the performance in sub-Saharan Africa added