



**DAC Tokyo workshop on
Evaluation Feedback for
Effective Learning and Accountability**

DAC WORKING PARTY ON AID EVALUATION

**Learning from Evaluation
The World Bank's Experience**

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LEARNING FROM EVALUATION

THE WORLD BANK'S EXPERIENCE

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World Bank

Workshop on

Evaluation Feedback for Effective Learning and Accountability

DAC Working Party on Aid Evaluation

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*Operations Evaluation Department
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1. To promote the development of low- and middle-income countries, the World Bank carries out a wide variety of activities. These include making non-concessional and concessional loans, giving grants, funding research, providing technical assistance, promoting international cooperation among aid agencies, and evaluating the results of its programs and policies. These activities contribute to the Bank's role as a repository of knowledge and a learning organization. Indeed, in the past few years the World Bank has emphasized its role as a "knowledge bank," developed its capabilities to learn systematically from its experience, and expanded its investment in knowledge management. In particular, the Bank is compiling development data and information resources on a development gateway website that will be a major node for development information. This paper addresses learning as one component of the Bank's knowledge management activities, and it encompasses learning by the Bank (internal learning) and others (external learning), particularly as it relates to evaluation.

2. Institutional learning takes place through three major activities, which use a variety of instruments to convey findings and lessons to staff—for internal learning—and to those outside—for external learning (exhibit 1). First, learning-by-doing is a type of learning emphasized by economists. It is a byproduct of doing, improving productivity as a result of practice.¹ Learning curves relate productivity growth to experience and typically differ by activity and by learner. Second, research is dedicated to increasing information and learning about the world. The World Bank supports a large internal research program on development and contributes to external research programs including the Consultative Group for International Agricultural Research and several research programs on tropical diseases. Finally, evaluation produces systematic learning from institutional activities in addition to promoting accountability.

Exhibit 1. Learning comes from varied activities and is conveyed by varied instruments at the World Bank

Activity	Instrument	
	Internal Learning	External learning
Learn by doing	Supervision reports	Good practice notes
	Implementation reports	Newsletters
	Portfolio reviews	Website material
Learn by research	Seminars	Working papers
	Workshops	Journal articles
	Literature reviews	Books, PRRs
Learn by evaluation	Project audits	<i>Precis, Reach</i>
	Sector reviews	Reports, books
	Country reviews	<i>ARDE</i>

¹ Robert M. Solow, *Learning from 'Learning by Doing': Lessons for Economic Growth* (Stanford: Stanford University Press, 1997), offers an updated and succinct presentation of the economist's approach to learning-by-doing.

3. In addition to stemming from different activities, learning is based on information that arises from sources in varying locations (exhibit 2). It is critical that organizations have mechanisms in place that allow effective learning from sources outside the institution as well as from internal sources. This is a challenge that grows with organization size, because large organizations tend to become insular and resistant to outside information. As a cooperative organization, the World Bank must learn from both inside and outside sources and enable learning by its own staff, as well as by outside clients and members of the development community.

Exhibit 2. Sources of material and location of learning need attention

Source of information	Location of learning	
	Internal	External
Inside	Knowledge management <i>(Internal learning from inside material)</i>	Knowledge sharing, dissemination <i>(External learning from inside material)</i>
Outside	Knowledge scanning <i>(Internal learning from outside material)</i>	Public links to others' knowledge <i>(External learning from outside material)</i>

4. Learning through evaluation is the particular focus of this paper. Such learning does not occur by doing or implementing what is evaluated (for example, a policy, program, or project), but by evaluating it to establish what works and what does not. The degree to which evaluation leads to learning depends on the evaluation processes, products, and services that are used and delivered, as well as on their timing. The following sections consider the recent experiences of the World Bank's Operations Evaluation Department (OED) in this context.²

OED's major evaluation activities

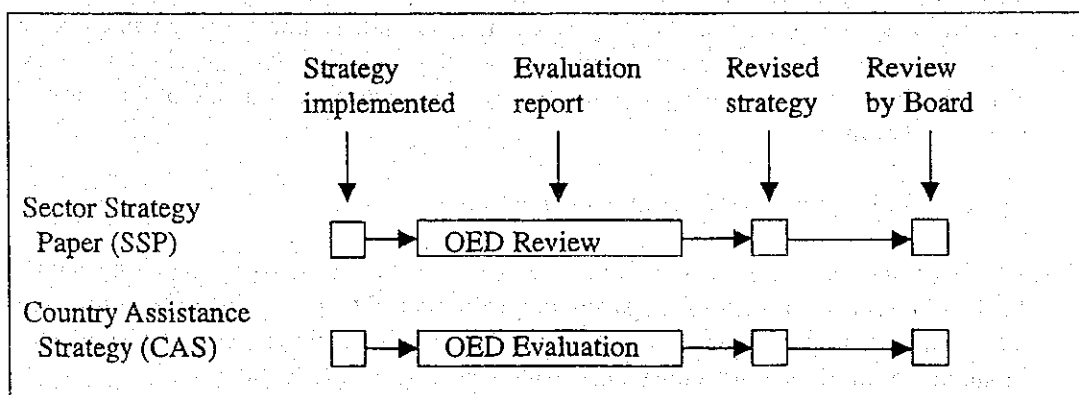
5. OED carries out four main types of evaluations: sector and thematic reviews, Country Assistance Evaluations, project reviews, and process reviews. Sector and thematic reviews, about six each year, examine Bank performance and experience in a lending sector (such as agriculture, transport, and the like) or thematic area (poverty, gender, and so forth) over five to ten years and report on their conformity to Bank policy and good practice, as well as on the development effectiveness of the Bank's activities. Country evaluations, approximately ten each year, examine Bank performance in a particular country, usually over the past four to five years, and report on its conformity

² Evaluation at the World Bank is also carried out by the Quality Assurance Group (QAG), which assesses the quality of appraisal, supervision, and portfolio management, and by the evaluation unit of the World Bank Institute. This paper focuses on OED's evaluation experience.

with the relevant Bank Country Assistance Strategy (CAS) and on the overall effectiveness of the specific CAS. Completed projects (about 70 each year) are evaluated through Project Audit Reports (PARs), which rate projects in terms of their outcome (taking into account relevance, efficacy, and efficiency), sustainability of results, and institutional development impact. Process reviews (two or three per year) examine ongoing activities such as aid coordination or development grant-making and report on their overall efficiency, consistency with stated objectives, and effectiveness.

6. To maximize the impact of the sector and thematic as well as the country evaluations, their delivery is scheduled upstream of the revision of either a Sector Strategy Paper (SSP) or a CAS (exhibit 3). The flow of revised SSPs is scheduled up to three years in advance, and CASs, up to two years in advance. OED sector and thematic reviews are produced from six months to a year before the SSP is finalized, so that the revised SSP can incorporate lessons or recommendations from the OED review, which in turn is discussed by the Board's Committee on Development Effectiveness (CODE) when the review is complete. For example, CODE discussed OED's Forest Review in July, 2000, and the new Forest Sector Strategy Paper should be available in the first quarter of 2001. Work is now under way by OED on water resources, environment, and energy in anticipation of upcoming SSPs. The same scheduling process is applied to Country Assistance Evaluations, which become inputs into the CASs. The demands of the scheduled SSPs and CASs thereby determine the scheduling of OED's related evaluations.

Exhibit 3. Evaluations are demand-driven



7. Project Audit Reports (PARs), carried out after Bank funds have been fully disbursed to a project, are similar to the completion evaluations carried out by many agencies. PARs are the main project-level evaluations conducted by OED itself. They are products in themselves but are also intermediate inputs—building blocks—for the other three kinds of evaluations. One of four completed projects is subject to a project audit, which takes about six staff-weeks to produce and normally includes a field mission. Projects are selected for PARs based on a variety of criteria. First, operational staff prepare a self-evaluation (known as an Implementation Completion Report, or ICR) for

every completed project and rate project performance. OED staff review every ICR, validate the self-rating, and identify projects that offer good potential for further learning (because of particularly good or bad performance) as candidates for a PAR. Second, projects in sectors, thematic areas, or countries that are soon to be evaluated are attractive candidates for PARs because they can be inputs for those evaluations. Third, projects selected for PARs are clustered in order to reduce their cost and increase their impact.

8. Process evaluations are produced in response to a Board request or as an answer to other demands. OED's recent review of aid coordination grew out of discussions at the Development Assistance Committee about harmonization of donor procedures. A recent OED review of Poverty Assessments was a follow-on to an earlier OED evaluation of Poverty Assessments, and Board members requested that the follow-up study pay special attention to the views of policymakers in developing countries. In addition, OED prepares the *Annual Review of Operations Evaluation (AROE)*, which reviews the state of evaluation processes at the Bank. And it has produced the *Annual Review of Development Effectiveness (ARDE)*,³ a meta-evaluation that provides a comprehensive assessment of the Bank's development effectiveness, since 1997. The ARDE draws on the evaluation work done during the year to ascertain trends in the Bank's operational performance and to review experience gained in special topical areas.

9. OED's evaluation process includes interaction with Bank staff not only in planning evaluations, so as to ensure that their delivery will be timely in the context of the decision-making process, but also during the evaluation. Such interactions with staff are important—they provide Bank staff with the opportunity to discuss OED interpretations of documents they prepared. Although OED is independent, it is not isolated, and it does engage in an active dialogue with Bank management and staff. The evaluation process also includes—to an increasing extent—interactions with those outside of the Bank, as discussed below.

Evaluation as a means for internal learning

10. Evaluations can serve a learning function for the staff of an organization such as the Bank. Consistent with exhibit 2, evaluation can contribute to learning both within and outside the organization, and it can draw on both internal and external knowledge to promote learning. We first consider internal learning, then external.

11. **Internal learning from internal sources and material.** At the project level, the Bank carries out both *ex ante* reviews when projects are initiated (which influence the management of the reviewed project) and *ex post* reviews (which influence future and some ongoing operations). *Ex ante* reviews are conducted by the Bank's Quality Assurance Group (QAG) shortly after projects are approved by the Board, but often before implementation begins. QAG uses panels of two to four experts who review project documents and interview operational staff over a period of a few days. These panels then issue a report that rates the preparation and likely success of the project.

³ The ARDE has replaced the former *Annual Review of Evaluation Results* and is OED's flagship report.

Projects that are poorly rated for preparation, design, or feasibility are reviewed by regional management and staff to remedy problems and weaknesses.

12. All completed projects are also subject to self-evaluation carried out by operational staff and documented in ICRs (mentioned above), which include performance ratings and document lessons of experience from the project. OED staff review each ICR and validate the staff ratings. Disagreements often lead to discussion, and OED staff have the final word on the ratings, which are entered into OED's evaluation database. A quarter of completed projects are then subject to independent evaluation by OED staff, who review project documents, normally make a field visit, and prepare a Project Audit Report. These are done from one to five years after the project has closed, so it is possible to learn how many projects are faring over time. Findings are discussed with sector/country teams and the reports are posted in OED's internal website. In addition, audits and ICR reviews contribute significantly to the production of OED products that synthesize the findings of many evaluations to provide insights and guidance on specific development issues, as discussed below.

13. The Bank has organized staff into networks that group staff with common expertise into sector and thematic families. Each of these families is headed by a sector board, which is responsible for knowledge management activities, preparing Sector Strategy Papers, and setting and applying substantive professional standards within its subject area. OED staff frequently are members of sector boards, where they have an opportunity to ensure that lessons from recent evaluation activities are reflected in newsletters and other knowledge management materials distributed to sector families. This also gives OED staff an opportunity to ensure that operational staff are knowledgeable about OED's evaluation criteria and ratings. For example, there has been an ongoing dialog between OED staff and the urban family about OED rating methods.

14. OED's knowledge management program also plays an important role in facilitating internal learning. This is done through a series of services, including the Evaluation Help Desk, which provides guidance in using and accessing OED's information resources and databases, and responds to requests from internal and external sources. The knowledge management team also promotes the development of an evaluation, monitoring, and quality enhancement community of practice within the World Bank to foster learning about evaluation methods and the findings of substantive evaluations. In addition, the team sponsors a series of training courses, informal seminars, and workshops to aid OED staff in learning about both evaluation methods and substantive issues of interest in OED evaluation work.

15. In order to track the use of OED's information by the Bank's staff, OED carried out a random sample survey in 1999 with questions concerning different types of OED products. For *Implementation Completion Reviews*, it was found that 14 percent of Bank staff had used OED databases in the past 6 months, and 90 percent of this group found information pertinent to their work; 44 percent of staff were unaware of OED's databases. For *Performance Audit Reports*, 45 percent of respondents read the audit and 33 percent said that it improved their knowledge. In the case of *Country Assistance Evaluations*, 75

percent of respondents said findings were used and 31 percent said that CAEs changed their minds.

16. With respect to *Sector and Thematic Evaluations*, 74 percent of respondents said that studies had or were likely to significantly influence Bank strategic policy. More generally, 66 percent of staff are aware of OED publications and 42 percent have read at least one during the past six months; 86 percent of the latter group found the messages clear and 96 percent found the reports easy to read.

17. **Internal learning from external sources and material.** Internal learning from evaluations also includes drawing on outside sources, particularly through an active consultation process. For example, the OED Help Desk cooperates with development partners to make external knowledge, particularly from evaluations by other development agencies, accessible to OED evaluators. Outside sources also contribute to specific evaluation reviews. The recently completed forest strategy review illustrates consultation practice in OED for a major evaluation. When the project commenced, two workshops were held in the winter of 1998-99 to discuss the review's design paper, which laid out the project tasks and method. These workshops were attended by forest experts, donor representatives, NGO members, and borrower country representatives. A four-member external advisory committee was appointed, and it met several times to comment on intermediate outputs and drafts of the final report. The draft country reports for Brazil, China, India, and Indonesia were discussed with country experts at workshops in each country. A draft of the final report was discussed by the Bank Board's Committee on Development Effectiveness in December, 1999.

18. The draft report was then put on the Bank's external web for comment in January, 2000. Also in January, 2000, a two-day global workshop involving about 45 outside participants (comprised of academics; representatives of borrowers, donors, and NGOs; and forest experts) was held in Washington, D.C., to discuss the draft report and its associated background papers. In addition, the draft report was discussed at eight regional workshops sponsored by the team that is revising the forest sector strategy paper. All of these inputs and comments were taken into account in the revised forest report, which was reviewed by the Committee on Development Effectiveness in July, 2000. External consultations and advisory committees are becoming common elements of large OED reviews. In the case of Country Assistance Evaluations, discussions are held with country government representatives and others. For example, the recent Country Assistance Evaluation of India was discussed in India in a three-day workshop that reviewed the draft report and the background papers.

Incentives to use evaluation findings

19. Incentives to use evaluation findings are fairly strong. Staff are required to include in new operations the lessons learned from previous efforts. Board members frequently ask staff about their use of OED findings, thus creating additional pressure to put them into use. Furthermore, as indicated earlier, the timing of OED evaluations is designed to ensure that they are available before important decisions have to be made about new

operations, so that staff (and Board members) receive just-in-time information concerning past operations that can feed forward into new initiatives.

20. Each evaluation report includes OED recommendations that receive a response from management, either when the project is discussed by the Committee on Development Effectiveness or in the targeted SSP or CAS. OED evaluation reports (other than PARs) have a special annex listing the main recommendations in abbreviated form. This annex also includes a written management response. When the OED report is discussed by the Committee on Development Effectiveness, management representatives attend the meeting and discuss their response to the recommendations. Summaries of the discussion are prepared and included as an annex in the final evaluation report. When evaluation reports are discussed shortly before the related SSP or CAS, the management response can be incorporated in these reports, usually in a boxed summary. In many cases, the Committee on Development Effectiveness has found it useful to discuss the Country Assistance Evaluation and the related CAS at the same meeting.

21. In addition to discussing OED recommendations in the context of the relevant SSP or CAS, once a year the status of outstanding recommendations is reviewed in a Management Action Review. This document reviews the status of each recommendation and the actions that have been taken to make the recommendation effective. The Management Action Review (MAR) was a separate report through 1999. This year it will be incorporated into the *Annual Review of Operations Evaluation*. Board members are very interested in the status of compliance with OED recommendations. In addition to discussing OED recommendations extensively when they are made and following up with the MAR, they frequently ask staff about their use of OED findings in discussions of CASs and SSPs.

Evaluation as a means of external learning

22. **External learning from internal sources and material.** OED utilizes a number of instruments to communicate its evaluation results to external audiences in order to promote learning from World Bank experience. Publications are still a main instrument, and have been redesigned to be more reader-friendly. There are several published series, including books and studies, conference and workshop proceedings, and working papers. The key messages of these publications are distilled in brief notes, *Précis*, which are generally published in English, French and Spanish. The Executive Summary of OED's flagship, the ARDE (see para. 8) is translated into nine languages.

23. OED is giving increasing importance to electronic dissemination of its evaluations, and its website (with approximately 120,000 hits per month) offers most publications online. It is also worthwhile to note that 60 percent of the approximately 1,000 annual queries the OED Help Desk receives are external. For large sector studies, OED has posted progress reports on the website and sent electronic newsletters summarizing progress to external analysts who have added their e-mail address to data-banks that are developed for each study and used for list-serve distribution of updates.

24. Syntheses of lessons learned from World Bank operations are an important contributor to external learning. For example, following the devastation of Central America by Hurricane Hugo, OED's knowledge management team, at the request of the Executive Director for the Region, conducted a quick search of the Bank's experience in dealing with disasters. The result, within about 48 hours, was a brief paper summarizing the main lessons learned. It was made available to the Presidents of six republics when they visited the Bank to discuss assistance in rebuilding. This paper was subsequently published as a *Precis* and widely distributed, both by OED and the Bank thematic group that deals with disaster assistance.
25. Seminars, workshops, and the biennial Conference on Evaluation and Development are additional means to promote external and internal learning. For example, the Conference on Evaluation and Poverty Reduction, held in June, 1999, drew on OED's experience to contribute to the discussion of poverty reduction strategies, policies, and programs. The conference also drew on external evaluation expertise. The theme of that conference was chosen taking into account not only its importance for the development community, but also because the Bank's *World Development Report* on poverty was then at the inception stage.
26. Evaluation Capacity Development (ECD) is also an instrument for promoting external learning. It involves the development of capacity at the country level for performance measurement and assessment, in the context of public sector reform. This capacity should allow governments and civil society not only to carry out evaluations but also to learn from them. Given that strengths and weaknesses differ from country to country, we proceed in this capacity building area mainly through systematic diagnoses and action plans (including training and technical assistance needs), identifying key constraints and possible institutional "champions" that can lead the way.
27. Regional seminars on ECD, similar to the one for Africa, held in Abidjan in October, 1998,⁴ have been instrumental in raising awareness of the importance of evaluation capacity development. They also facilitate the networking of practitioners in developing countries with donors and in identifying countries where further work is worthwhile. OED has been involved in evaluation capacity development initiatives (though with different degrees of intensity) in Benin, Ghana, Honduras, Poland, and Uganda. This is a field in which partnerships among bilateral and multilateral donors are particularly important in order to pool resources and expertise.
28. **External learning from external sources and materials.** OED also participates actively in the Development Gateway, a web portal with extraordinary potential to facilitate both internal and external learning from evaluation. The goal of the Development Gateway is to provide a single node on the web with comprehensive information on development. For evaluation, this means providing links to the websites of other development evaluation agencies. The OED website also hosts the home page

⁴ The proceedings of the Abidjan seminar have been published. See African Development Bank & World Bank Operations Evaluation Departments, *Monitoring and Evaluation Capacity Development in Africa* (Washington DC: OED, 1999).

and related material for the Evaluation Cooperation Group (ECG).⁵ The ECG is an apex organization of evaluation groups from the main international financial institutions. The ECG website contains information on each ECG member's work program, information from ECG working groups that are developing harmonized approaches for evaluation, and links to each member's website.

Three major challenges

29. **Measuring the impact of evaluation.** One key challenge is to develop appropriate indicators of the use of evaluations and suitable instruments to determine their impact. In addition to the counts of website hits, we need to develop other indicators, such as counts of references in the media, citations, publications distributed, and revenue from publication sales. The individual validity of each of these indicators is limited, but in combination they can produce more reliable measures of the impact of evaluation. In addition, tracer studies have a potential that should be explored more often, complementing the traditional surveys of internal and external users.

30. **Training in development evaluation.** A second challenge is to increase the number of professionals appropriately trained in development evaluation, so that they will be able to produce better evaluations with greater value added in terms of knowledge—thus increasing their potential contribution to learning. At the same time, these professionals would also be better positioned to learn from evaluations. An inventory of training opportunities in development evaluation showed their scarcity and, as a response, OED has started to work on the design of an International Program of Training in Development Evaluation (IPDET), to be fully developed in partnership with several organizations.

31. **Developing a community of development evaluators.** A third challenge, which is of particular importance for knowledge sharing and for learning from each other, is the networking of development evaluators from the North and the South. An International Development Evaluation Association (IDEAS) could be a response to this challenge, and UNDP's Evaluation Office and OED are jointly seeking support from other development partners to launch such an association. IDEAS would be a new, independent organization dedicated to providing opportunities for professional networking, spreading evaluation experience and good practice, organizing conferences and workshops, facilitating the development of evaluation training programs, raising evaluation standards, and promoting the exchange of development evaluation skills across countries and cultures. The aims and role of this organization would combine the activities of a traditional professional association with a strong developmental role aimed at expanding evaluation capacity, both quantitatively and qualitatively.

⁵ The development gateway can be accessed at the World Bank's external website, <http://www.worldbank.org/gateway/>; the URL for the ECG is <http://www.worldbank.org/html/oed/ecg>

Conclusion

32. Evaluation at the World Bank is an important source of learning, in addition to "learning by doing" and learning by research. Learning from evaluation is promoted at the Bank through different means, including reports, websites, an active consultation process inside and outside the Bank, and an evaluation Help Desk. Furthermore, evaluations are scheduled so they can be delivered upstream of the formulation or revision of sector or country strategies. This connection between evaluation and business processes ensures the relevance of the evaluation outputs, providing timely inputs into the learning process of Bank staff charged with designing new strategies and/or operations. Thus, evaluation is no longer an activity producing reports, but one of the key sources of organizational learning, adding value by contributing to the process of improving future operations on the basis of experience.

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The World Bank

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Learning and Doing

LEARNING by DOING

LEARNING *without* DOING

DOING *without* LEARNING

EVALUATING *without* LEARNING

LEARNING by EVALUATING

The World Bank as a Learning Organization

Internal Learning External learning

Learn by doing

Learn by evaluation

Learn by research

Supervision reports Implementation reports Portfolio reviews	Best practice notes Newsletters Website material
Project audits Sector and thematic reviews Country reviews	<i>Precis, Reach</i> Reports, books ARDE
Seminars Workshops Literature reviews	Working papers Journal articles Books, PRRs

Types of Learning

Source of information	Learning	
	Internal	External
Inside	Internal learning from inside material	External learning from inside material
Outside	Internal learning from outside material	External learning from outside material

Focus on learning from Evaluation

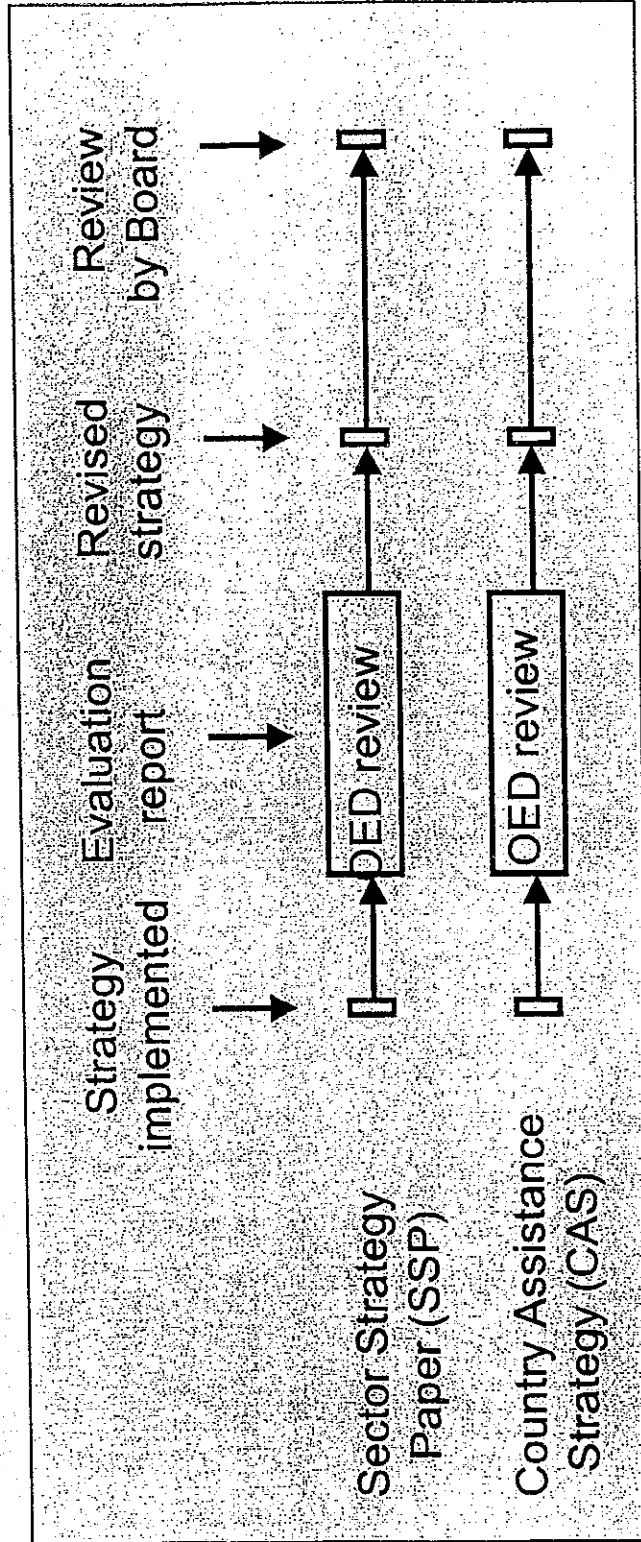
Internal learning

- Sector and thematic reviews
- Country reviews
- Process reviews
- **Annual Review of Operations Evaluation, MAR**
- Project audits
- Implementation Report reviews
- Workshops, conferences
- Consultations
- Method development, training
- **Fast Track Briefs**

External learning

- **Precis**
- Reports on sector, thematic, country reviews
- **Annual Review of Development Effectiveness**
- Country studies
- Working papers, books
- Conferences
- Evaluation capacity development
- Training courses
- Evaluation networks
- **Reach**

Internal impact-- evaluations are demand driven



Internal learning from outside

Example: Forest strategy review

- Winter, 1999 Two workshops on Design Paper
- 1999-2000 Meetings with external advisory committee
- Dec., 1999 *Draft report presented to Board*
- Jan.-May, 2000 Draft report on Web for comment
- Jan., 2000 Global workshop on draft report
- Feb.-May, 2000 Present draft report at 8 regional workshops
- May-June, 2000 *Prepare final report*
- July, 2000 *Final report presented to Board*

Internal learning from project reviews

Ex ante review:

Quality Assurance Group

Reviews sample of project quality at entry

Offers Quality enhancement review

Ex post review:

Operations staff

Implementation Completion Reports (ICRs)

OED

Reviews ICRs (all projects)

Project audit reports (1 out of 4 projects)

Internal learning via Dissemination

Knowledge Management Program

- Internal publications
- Intranet, Help Desk
- Workshops
- Evaluation staff on network and sector boards
- Training courses
- Cross support (embodied dissemination)
- Thematic Groups
- Interaction among evaluators, designers and implementators

Surveys of internal use of evaluation findings

Project Evaluations

ICR Reviews

- 14% of staff used OED databases in past 6 months
- 90% of these found information pertinent to their work
- 44% of staff not aware of OED's databases

Performance Audits

- 45% of respondents read the audit
- 33% said that it improved their knowledge

Country Assistance Evaluations

- 75% of respondents said findings were used
- 31% said that CAEs changed their minds

Surveys of internal use of evaluation findings (cont'd.)

Sector and Thematic Evaluations

74% of respondents said that studies had or was likely to significantly influence Bank strategic policy

Publications

66% of staff are aware of OED publications
42% have read at least one during the past six months
86% of these found the messages clear
96% found the reports easy to read

Source: Random sample surveys, 1999.

Incentives to use evaluation findings

- Management response to evaluation recommendations
- Section in CAS or SSP on evaluation recommendations
- Annual Management Action Review
- Required use of lessons from previous operations
- Demand from the Board
- Awards

Main instruments for external dissemination

Knowledge Management Program

Publications

- Newsletter
- Working papers
- Country studies
- Evaluation reviews
- Annual report (ARDE)
- Conference and workshop volumes
- Books and studies

Website

- Offers most external publications on line
- Progress reports for ongoing studies

Main instruments for external dissemination (cont'd)

Knowledge Management Program

Website

(approximately 120,000 hits per month)

- Offers most external publications on line
- Progress reports for ongoing studies

Help Desk

(60% of the approximately 1,000 queries are external)

Recent workshops and conferences

Workshop on Global Public Goods

Held in July, 2000 to explore work being done, inter alia, on evaluation of global public good and service provision.

Workshop on Gender

Held in July, 2000 to review work program for ongoing evaluation of gender issues.

Conference on Evaluation and Poverty

Held in June, 1999, to contribute to the evaluation of poverty reduction strategies, policies and programs.

Evaluation Capacity Development

- Development of evaluation capacity and of the capacity to learn from evaluations
- Diagnosis and action plans
- Identification of "champions"
- Involvement of civil society
- Training in evaluation
- Regional Seminars (Abidjan 1998)
- ECD in Ghana, Uganda, Benin, Honduras, Poland
- Partnerships with donors, bilateral and multilaterals

Challenge: Indicators of evaluation use

Measures of use:

- Sales of publications, dissemination of reports
- Counts of citations to reports
- Counts of references in media
- Counts of website hits
- Surveys of external users
- Surveys of external users

Challenge: Networking development evaluators

- Evaluators of development have begun to share methods and harmonize procedures through the DAC working group.
- This involves the IFIs and bilateral donors.
- There is also a need to foster a network of individual evaluators as part of capacity building.
- The International Development Evaluation Association (IDEAS) is a response to this need.

Challenge: Training for development evaluators

The need:

- training in development evaluation
- inventory showed scarcity of training opportunities in development evaluation

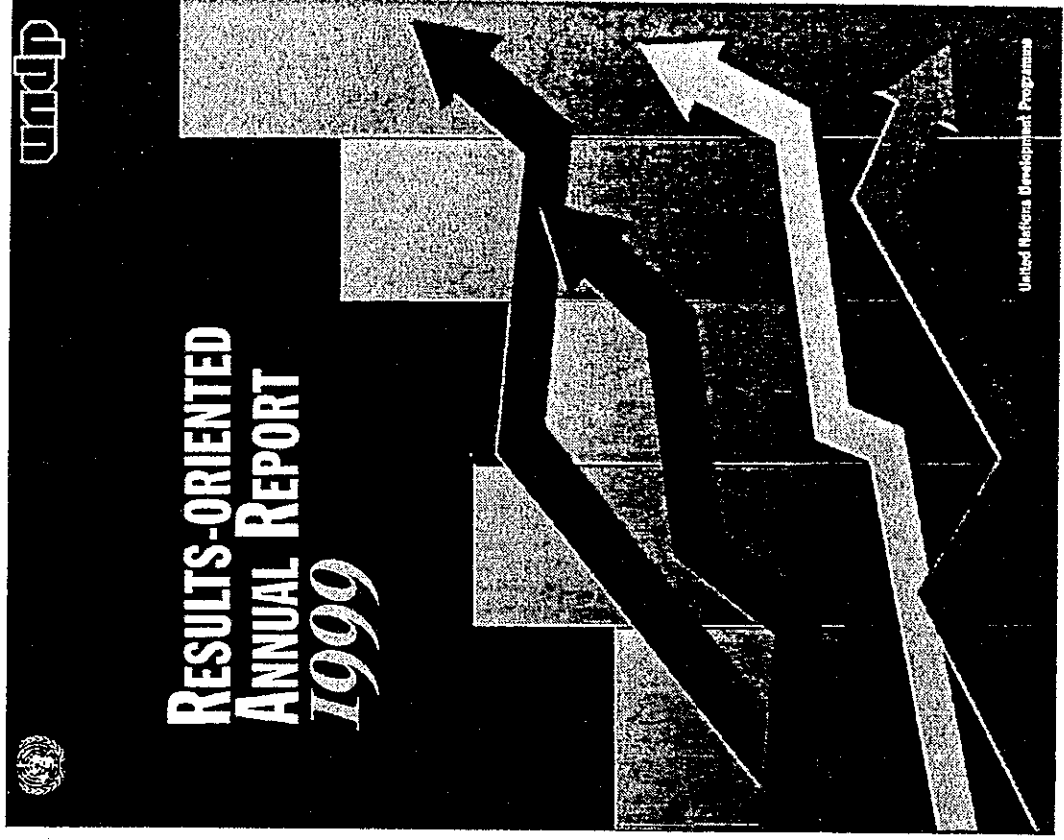
A response:

An International Program of Training in Development Evaluation (IPDE) to be developed in partnership by several institutions. The World Bank already started to work on it.

Results-based Management and Feedback for Partnership Development

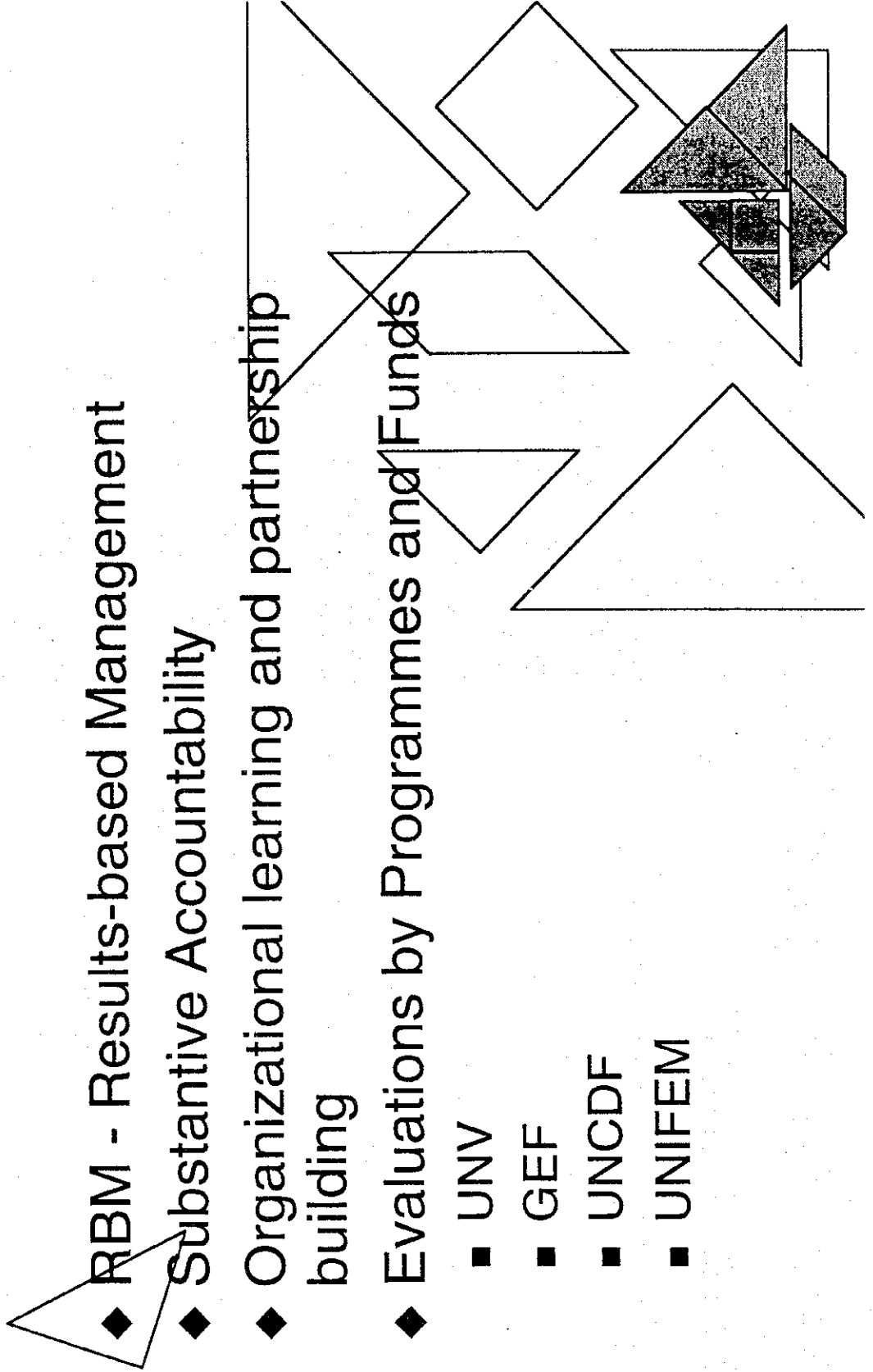
- ◆ Publication of
ROAR 1999

- ◆ Feedback to Donor
and Programme
Countries

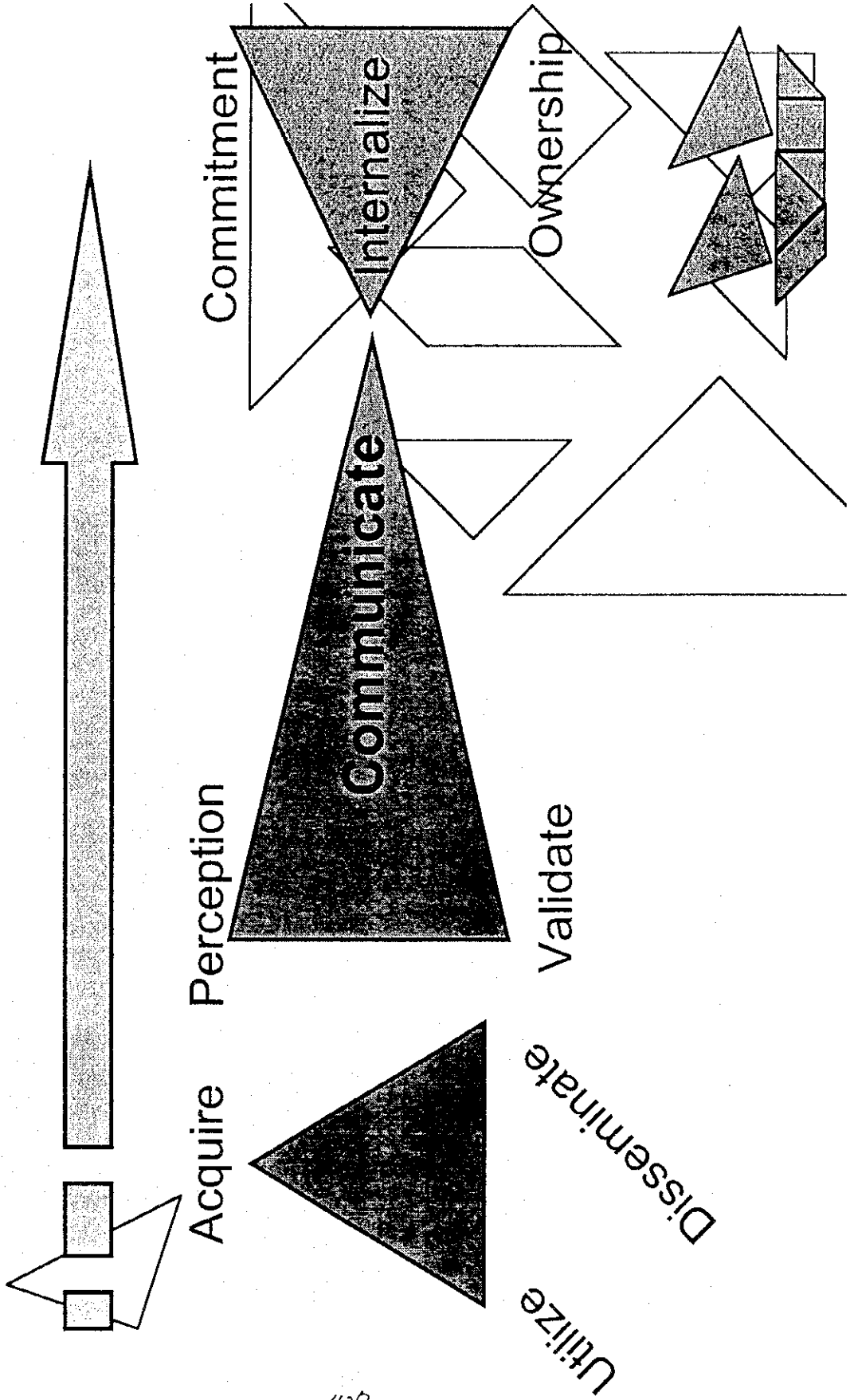


4 Main Themes

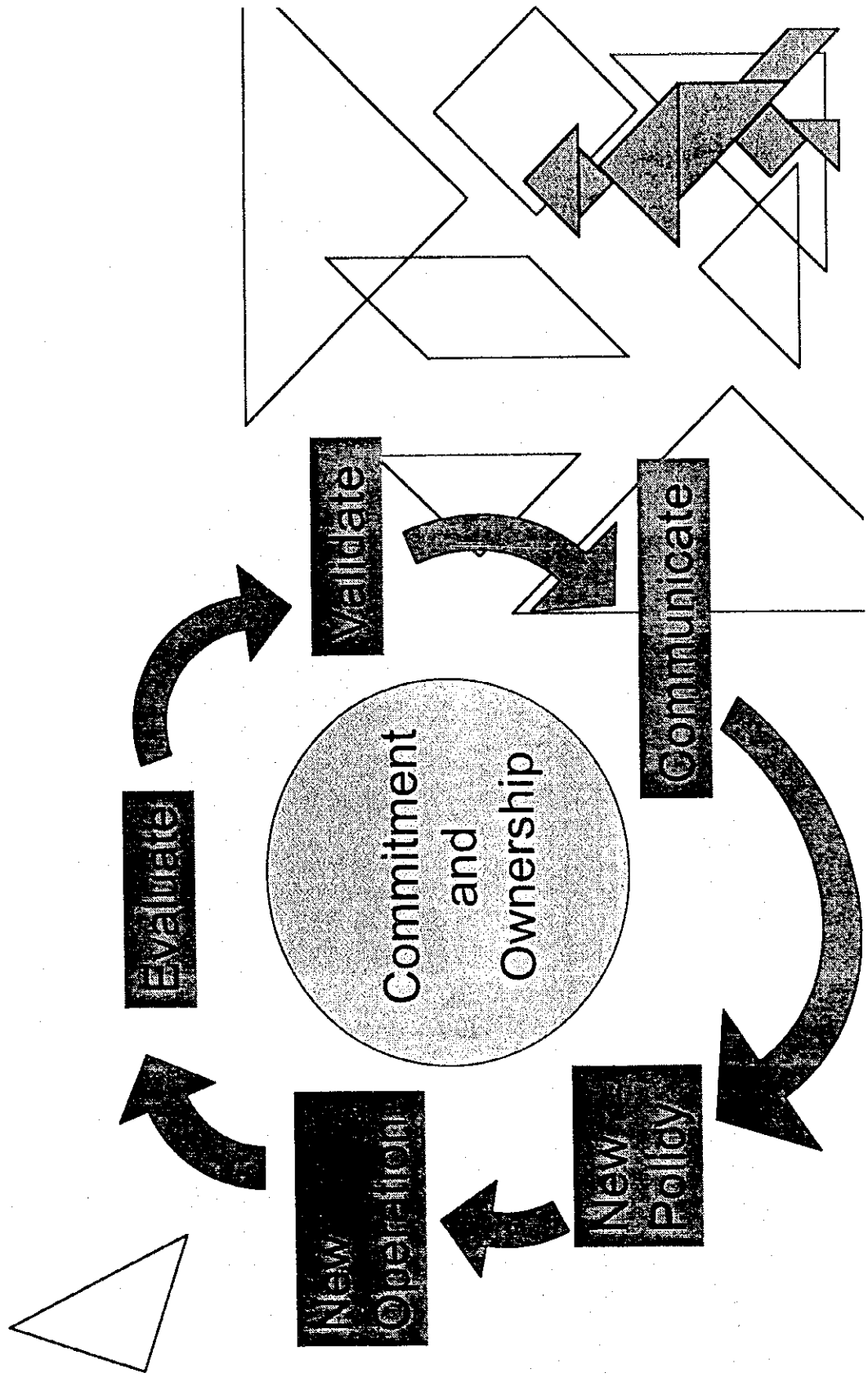
- ◆ RBM - Results-based Management
- ◆ Substantive Accountability
- ◆ Organizational learning and partnership building
- ◆ Evaluations by Programmes and Funds
 - UNV
 - GEF
 - UNCDF
 - UNIFEM



The UNDP Path



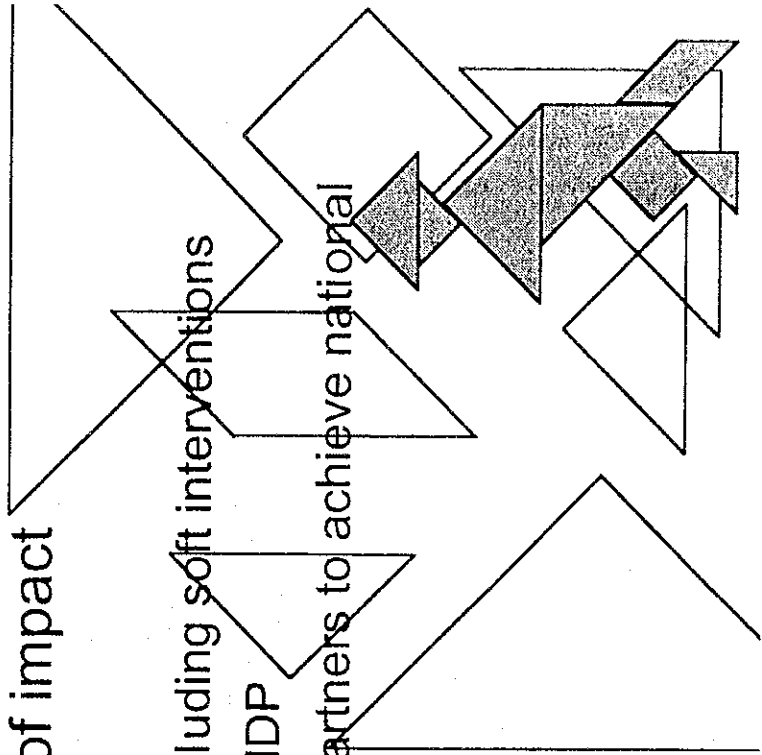
From Evaluation to Evaluation



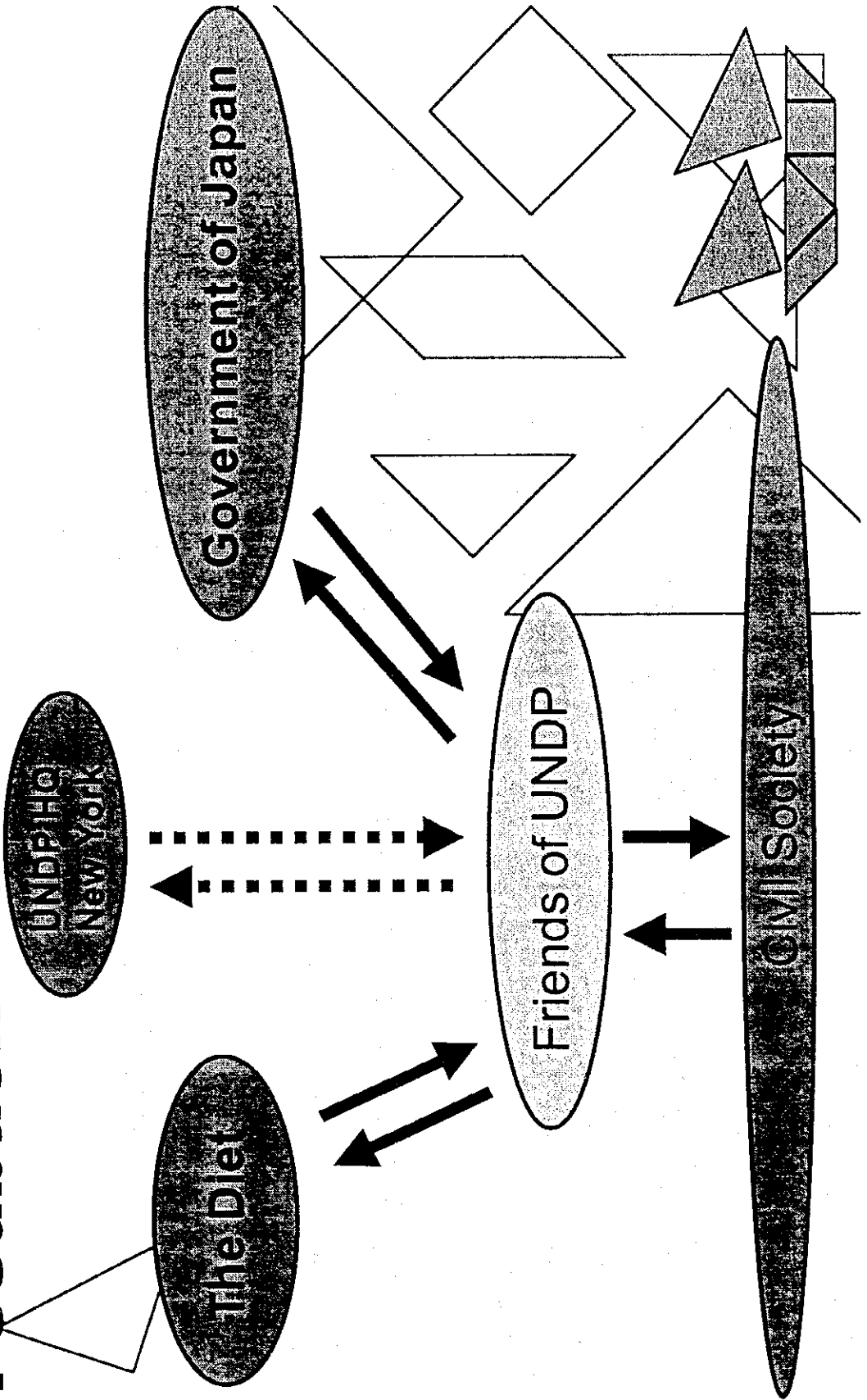
Feedback from Developing Countries

◆ CLIA (Country Level Impact Assessment)

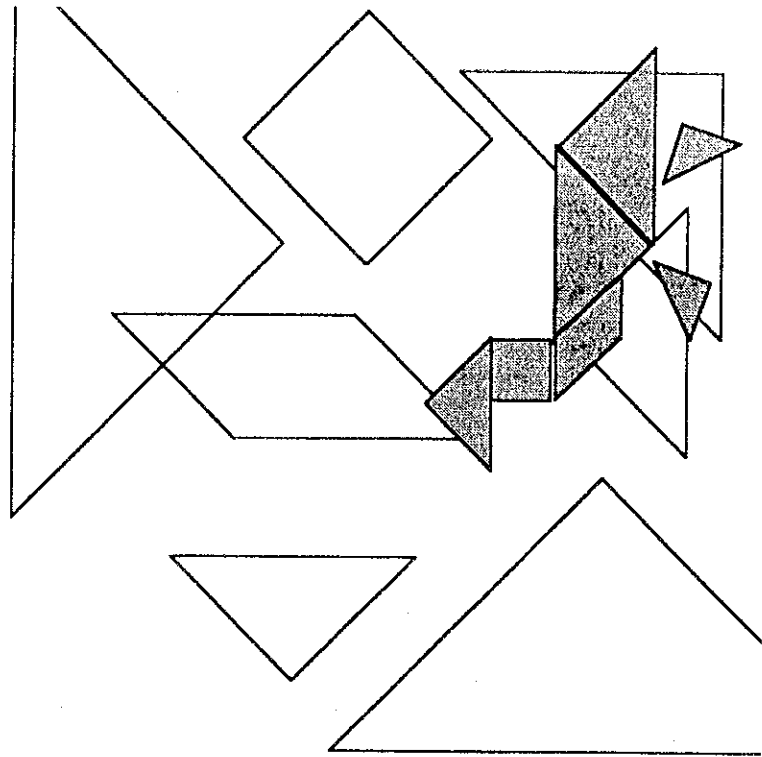
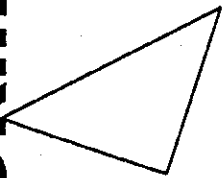
- Provides tangible evidence of impact
- Should cover:
 - ◆ UNDP's entire contribution, including soft interventions
 - ◆ All end-results produced by UNDP
 - ◆ Interaction with development partners to achieve national development goals



Friends of UNDP as Inter-active Feedback Mechanism

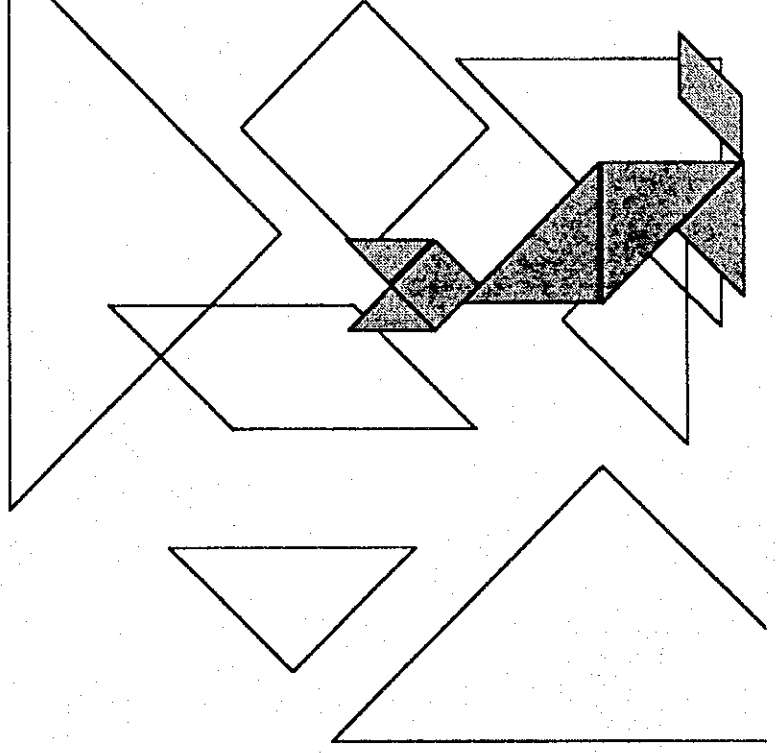


IT Conference and G-8 Okinawa Summit

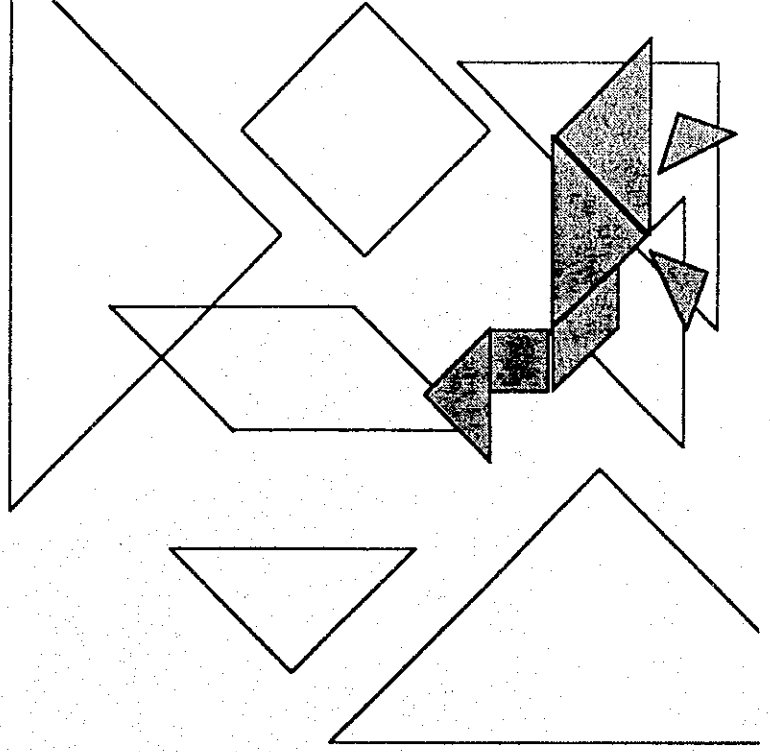


Launching of Human Development Report on Human Rights and Human Development

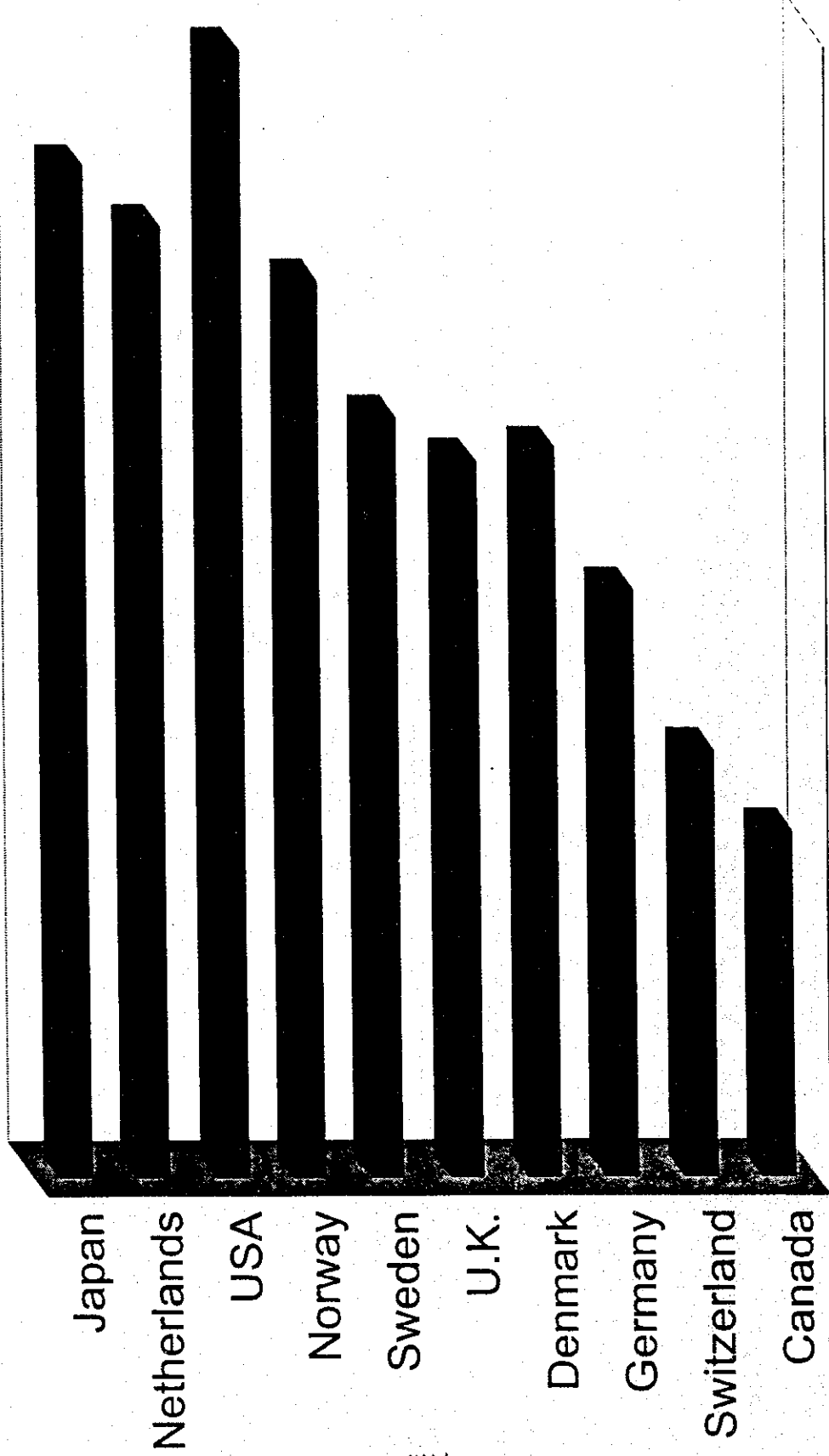
(UN-University, Tokyo)



Goodwill Ambassador Actress Misako Konno s Visit to Cambodia and Palestine



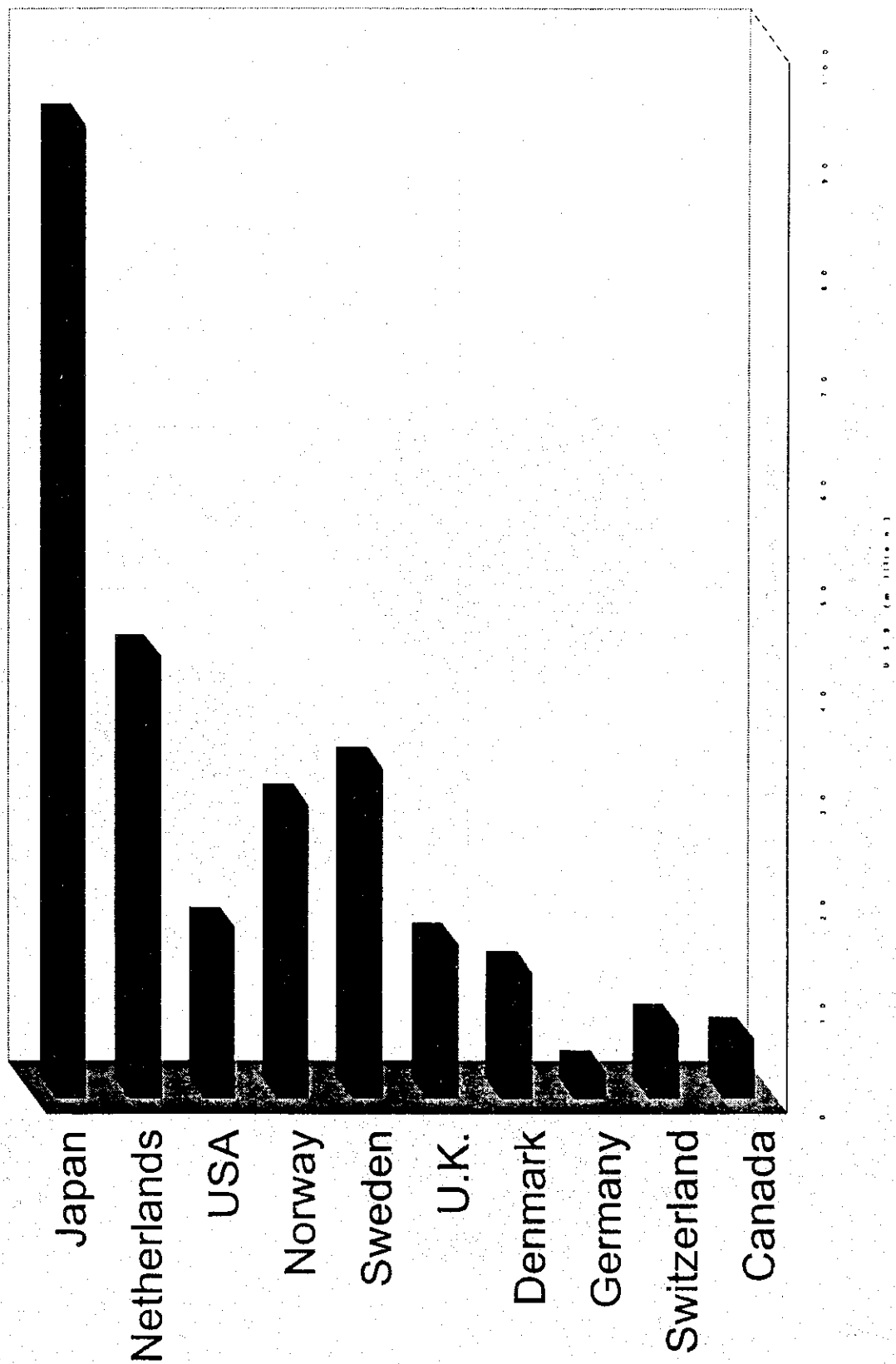
Net Income Received by UNDP for Core Resources (1999 US\$)



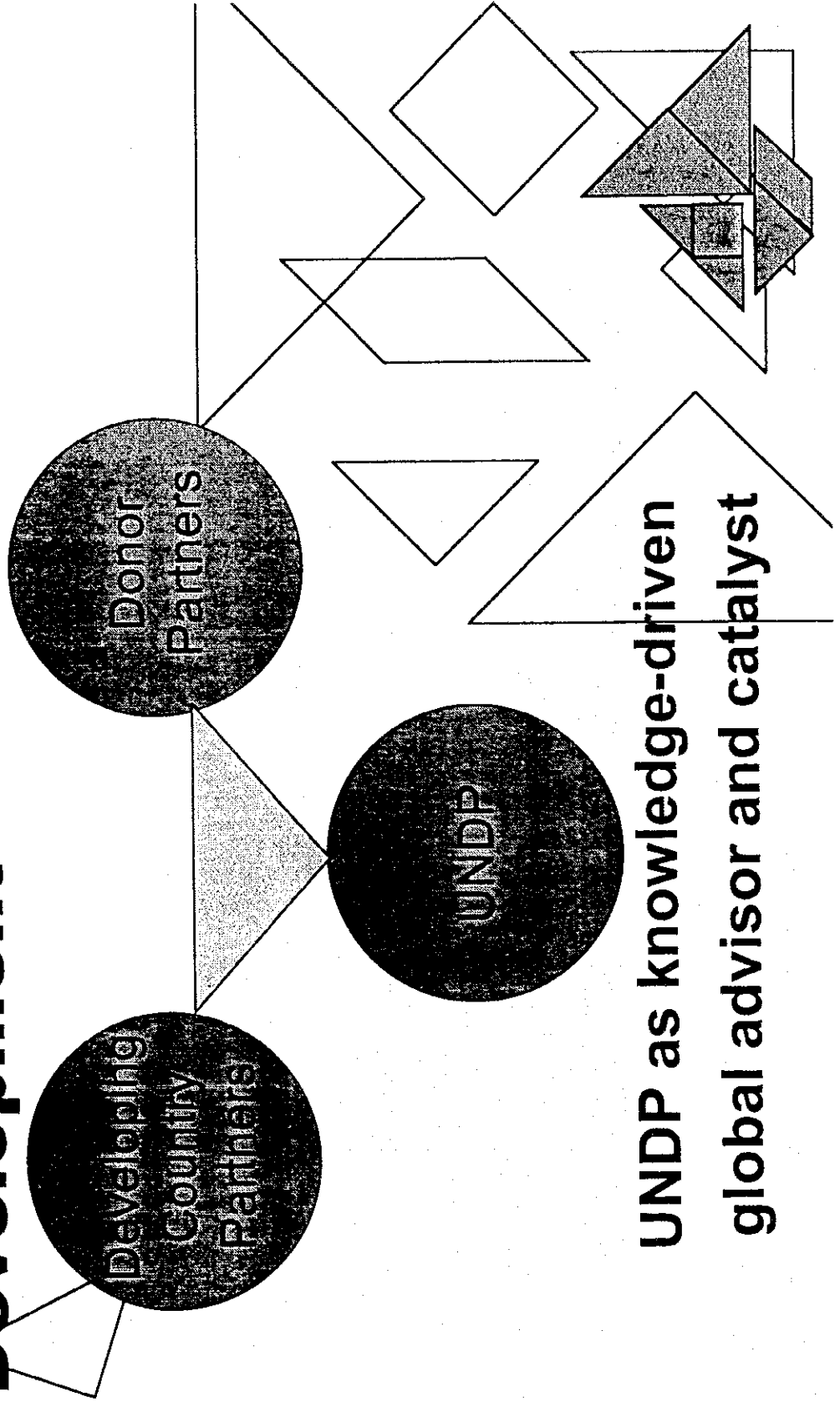
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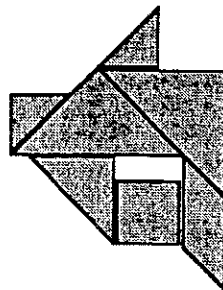
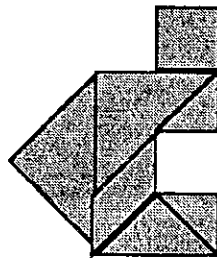
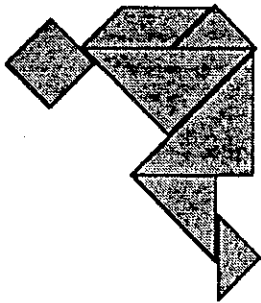
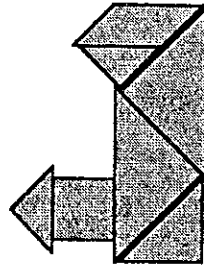
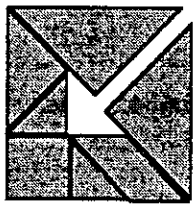
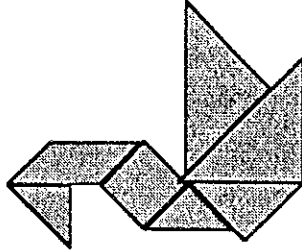
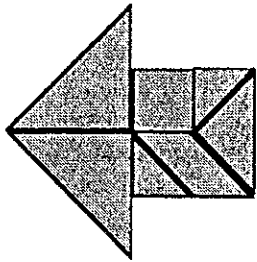
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Net Income Received by UNDP for Non-Core Resources (1999 US\$)



The Challenge of Inter-active Feedback for Partnership Development





Impact Assessments of UNDP Country Interventions

Methodology for CLIA Phase 1

Version 2.1

A. Concept¹

1. Rationale for a Country-Level Impact Assessment (CLIA)

In the context of Results Based Management, UNDP is expecting to demonstrate its contribution to outcomes achieved through development partnerships. The organisation also needs to provide strong evidence of its impact at the country level. However the current evaluation tools are inadequate to assess the end-results of UNDP interventions in a given country. Consequently UNDP is trying to develop a new evaluation tool more responsive to its current concerns: the Country-Level Impact Assessment.

2. Coverage of CLIA

The new methodology for impact assessment should cover:

- (a) UNDP's entire contribution within a country, including soft interventions;
- (b) UNDP's contribution that has produced recent end-results, irrespective of a given programme cycle; and
- (c) UNDP's interaction with development partners to achieve national goals.

3. Objectives of the CLIA

The objectives of CLIA are threefold:

1. To document where any combination of projects, programmes and soft interventions supported by UNDP and other development partners has had a significant impact – positive or negative, intended or not – in a given country and to qualify and quantify this impact with a fair degree of plausibility;
2. To identify the combination of external factors, capacities and management decisions (or lack thereof) that led to this significant impact (or absence thereof) in order to try to draw lessons applicable in a broader context and to advise UNDP on ways to improve its impact;
3. To promote result-orientation by focusing the attention of UNDP on the impact of its interventions and by building in-house capacities to evaluate impact.

¹ See the concept paper for more details on this section.

4. A step by step approach

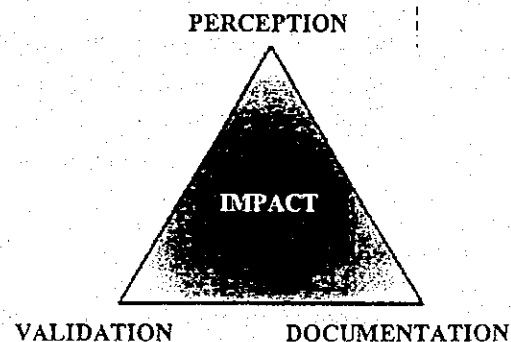
It is proposed that the CLIA be divided into two phases:

- (a) the first phase in which rapid, qualitative and participatory methods are applied across a large array of interventions, as a way to provide a first cut in determining impact at the country level. EO staff, EVALNET members and external consultants conduct this phase. It extends over about five weeks and involves a review of relevant documentation and extensive consultations with government; CO and programme staff; donors and partners such as NGOs/CBOs; key informants; and small beneficiaries groups; and
- (b) the second phase, zooming on a few, very specific areas identified in phase one as promising in terms of impact. This phase extends over a longer period. It involves both qualitative and quantitative studies designed and conducted by international and national experts or firms specialising in client surveys. It aims at backing up (or challenging) the conclusions of phase one with hard quantitative and qualitative data.

The present methodology is chiefly concerned with phase 1. Methodologies for phase 2 surveys will have to be designed in a case-by-case manner. In each concerned country, phase 2 would be undertaken only if phase 1 has gathered convincing evidence of significant impact.

5. Triangulation

Triangulation is a useful conceptualization of what CLIA is about. It is also a quick, didactic way of introducing the methodology to interviewees and stakeholders. The triangulation principle is that CLIA is based on three major sources of information: 1) stakeholders' perceptions; 2) programme documentation, evaluation reports and other relevant written material; and 3) scientific surveys commissioned during phase 2 to validate (or invalidate) the conclusions of phase 1.



Perceptions refers to the collection of "impact perceptions" emanating from stakeholders. An impact perception could be defined as a causality statement made by one or several stakeholders and describing a causality link between outputs and outcomes or between outcomes and impact (see Annex 1).

Documentation is a very important source of data during the first phase. Experience shows that there is a vast body of documents describing UNDP's interventions and results, such as evaluation reports, TPR reports and status reports. Reviewing this large documentation is crucial to the soundness of the methodology. First because programme main outputs and management factors have to be recorded, second to compare the clearly subjective views of stakeholders with the

findings and conclusions of programme evaluators, and third to take stock of any impact evaluation that may have already been done.

Validation conveys the idea that the more thorough impact studies performed during a second phase CLIA in a given country will help corroborate the somewhat "impressionistic" results of phase one. A CLIA relying upon phase 1 qualitative analysis alone would probably lack credibility. On the other hand a qualitative analysis of the situation at hand is a prerequisite for any meaningful measurement. What the term "validation" fails to convey however is that the second phase is intended to go beyond a mere validation of the first phase. It should also deepen the impact analysis of a few, very specific areas found promising at the end of phase one.

Obviously, triangulation does not always yield consensus. There are discrepancies in opinions held by stakeholders, between documents and evaluators views, etc. Discrepancies can and should be analysed in terms of the constituency, agenda, interests and possible biases of each stakeholder.

B. Methodology

1. Issues covered

CLIA looks primarily at outcomes and impact, but also at a number of internal factors, i.e. management issues, that are expected to strongly influence impact: e.g. demand and result orientation, timeliness of output production, participatory mechanisms, ownership, coordination and responsiveness.

Beside project and programmes, CLIA includes an analysis of "soft interventions". CLIAs are also expected to cover trust funds, UNDP-administered funds and possibly MSAs.

2. Time span

CLIAs are not conceived as yet another periodic exercise linked to a specific cycle. Impact takes time to materialize and some interventions bear fruits later than others do. Any impact assessment looking to a short time-span would therefore take the risk of missing important impact areas. And no specific time-span could be equally relevant for all countries. One could use a rule of thumb such as: look at what impact has been achieved in approximately the last 5 years, unless (a) UNDP has been active in the country for lesser time; or (b) there is a compelling tale to be recalled from earlier times (long-term impact).

3. The trial phase

EO staff will start conducting a trial of three Phase I CLIAs at the end of 1999. Based on the experienced gained in these three countries and on comments received, a refined methodology will be developed and used in five other countries in 2000.

4. Countries selection

The following selection criteria should be considered for the group of test countries:

- Size of portfolios: the trial period should preferably start with a small portfolio before moving to larger ones.
- Geographic distribution: It will be important to test the methodology against different cultural settings.

At a latter stage, the following criteria should be taken into consideration:

- Demand from UNDP at large: on the long run, selection could be based on demand from Governments, COs, RBs, OSG, PMOC, EO and the Office of the Administrator, based on their own areas of interest.
- Capacity of EO to carry out CLIAs: If demand exceed EO's capacity to offer CLIA services, the EO will have to narrow down the selection based on its own needs and interests. The EO will probably not be able to conduct more than 5 CLIAs per year. On the long run, a training effort in the organization should result in CO's conducting their own impact assessments with limited backstopping from the EO.
- Readiness of CO: CLIAs should not be carried out in a country the same year than a triennial CCF review.

5. Desk review and programme mapping

It is believed that Country-level impact assessments can be conducted without comparing too closely what was achieved and what planned, in order not to limit one's point of view to intended impact and allow for unintended impact to come under focus. However, it is deemed useful, prior to any CLIA phase 1, to produce a summary of UNDP's portfolio in order to triangulate impact perceptions gathered during CLIA with hard data on projects implemented and resource flows, if only for the purpose of comparing resource allocation with results achieved. This process exploits data available in headquarters financial databases, CPs and CCFs, and Resident Representatives' annual reports to the SG.

6. Gathering Impact Perceptions

Based on the assumption that there is valuable untapped knowledge about impact in country, the CLIA methodology calls for a participatory process where a wide range of stakeholders – e.g. the Country Office, the Government, programme personnel, programme partners and beneficiaries – can interact among themselves and with the evaluators. From this point of view it is not very different from any other evaluation, except that discussions focus mainly on outputs, outcomes and impacts and devote relatively less attention to planning, inputs, staffing or activities.

This process is facilitated through a number of group meetings or individual interviews, each starting with a brief presentation of the CLIA's goals, methodology and timeframe. Participants are

then asked a simple "triggering" question: "what are, from your point of view, the main impacts, positive or negative, achieved by UNDP's cooperation in the country during the last 5 years?"

Each "impact perception", i.e. area or intervention where, from the informant's point of view, a positive or negative impact has been reached during the past five years, is then described and debated in detail. In a meeting with a large group of people sharing approximately the same values and level of information (e.g. during the first meeting with the UNDP CO), participants can be asked to score the magnitude of impact for each impact perception along a simple scale (e.g.: null, weak, medium, strong, unsure). The aim is to generate a debate among the group about the usefulness of each intervention. It also allows the team to proceed with a first, rough ranking of impact perceptions and to better focus on a limited number of promising interventions. This initial ranking will be further refined during discussions with the government, UN agencies and other donors.

Once the evaluators have a clear, summarized description of the main UNDP areas of impact as seen by the principal programme owners (government, CO, other donors), they will be in a position to produce a shortlist of promising impact areas or interventions. Based on the ranking(s) and opinions obtained so far, they should select for further analysis a shortlist of all interventions with strongly perceived positive and negative impact. In order to account for a significant part of UNDP's resources, it is also recommended to include in the shortlist the largest recent programmes as plotted in the programme map, even those gathering weak impact perceptions.

Evaluators will then narrow their focus on the short-list of interventions for which they will collect further information from other stakeholder groups: programme staff, beneficiaries, and persons adversely affected (see below). The impact perceptions by these groups will be recorded as well.

Annex 2 presents a number of techniques to facilitate group sessions. Holding separate meetings for each group of stakeholders helps the groups express their views more freely and provides a way to validate each group's assessment of UNDP-supported interventions.

These discussions with stakeholders should devote time and attention to capacity development and policy dialogue activities that tend to be less visible and to received less attention than physical, grass-root activities. Annex 3 proposes methods and criteria that could improve CLIA ability to document impact achieved in these areas. A serious attempt should also be made at identifying areas of potential negative impact and groups adversely affected by each intervention when applicable, because there is a risk that programme stakeholders focus only on success stories.

At the end of the Phase One process, based on the secondary data they have gathered and on information obtained from stakeholders, evaluators should be able to endorse a set of suggested areas of impact, reject others as unfounded and propose their own, thus summarizing their sincere opinion about what impact has been achieved in the country. They will then present their preliminary conclusions and recommendations to a debriefing meeting gathering representatives from all consulted stakeholder groups. This last meeting will provide an opportunity to compare and reconcile the views of various stakeholders on the most significant interventions and impact areas. It could help forge a consensus among stakeholders on how to improve impact of UNDP-funded interventions in the country.

What is important is not to arrive at an unanimous account of the situation at hand, but to help the various groups reflect upon the very meaning of their cooperation, share their views about the results of their common enterprise and how to improve them, and sometime build a consensus around a given issue. Even if disagreements remain about a given impact claim, Phase One is not the end of a CLIA process. A controversial programme would be an ideal candidate for in-depth quantitative study in Phase Two.

7. Stakeholder Groups

Stakeholder groups include government representatives in counterpart agencies, country office staff, donors, programme staff, other programme partners/subcontractors such as NGOs/CBOs, and beneficiaries or client. Groups of people adversely affected should also be interviewed. Key independent observers form another group of potential informants, although they are not *stricto sensu* programme stakeholders. Each stakeholder contributes to the final assessment through its own perception of UNDP's contribution.

Country office staff

Country office staffs play a crucial role in selecting areas for UNDP support and designing programmes. It is thus very important that all programme managers be involved in the CLIA process, together with the CO senior management. Evaluators have to hold one or two meetings with the whole staff to review the entire UNDP programme and discuss areas of potential impact and management factors. Interviews of international staff re-assigned to other duty stations should be conducted through telephone calls and questionnaires preferably prior to the field visit. These are particularly useful to document soft interventions carried out in the recent past.

Obviously, such meetings do not preclude individual exchanges when need arises. The team needs to meet with the Resident Representative in several occasions. She/he will clearly represent a privileged source of information regarding the UNDP programme and particularly its soft interventions, which are usually undertaken and financed by her/his office.

It is useful to involve one or two programme managers as resource persons in the evaluation team for the duration of the entire exercise. This would help the team secure in-depth background knowledge about UNDP-supported interventions, build ownership in the CLIA results in the Country Office and facilitate the dissemination of recommendations.

It should be noted that national programme managers tend to stay on the same position longer than do their international colleagues. This puts them in a unique position as depositaries of institutional memory. Since CLIAs will have to look at mature interventions, evaluators are expected to make a special effort collecting the knowledge of national programme managers.

Counterpart agencies in Government

The Government is the prime owner and client of most UNDP-supported programmes. The ministry in charge of coordinating external aid or responsible for the UNDP programme is likely to provide important insight into: (a) the impacts achieved so far as they relate to Government priorities

and development policies; (b) partnerships issues, coordination, generic management problems encountered by UNDP-supported programmes and attention to client satisfaction; (c) the roles played by each programme partner (leading, crucial, important, marginal, detrimental and so on) in the apparently most successful interventions; and (d) background information about other government or donor-supported interventions and approaches that could favorably or unfavorably be compared with UNDP-supported ones.

Staff rotation can be a slight problem for the CLIA team since some key informants might have moved to new positions and might not be readily available. However such key national informants are often easily located in another administration, donor or project.

Other donors

A distinction needs to be made between two types of donors: those closely coordinating certain activities with UNDP (e.g. through co-financing agreements), and those having nothing to see with UNDP-supported programmes. The formers are true programme stakeholders and their point of view must be recorded. The latter are part of the independent observers group described later on.

With funding partners the team may concentrate upon: (a) their appreciation of management factors (quality control, partnerships, client orientation and so on) for the programme at hand; (b) their views upon the roles played by each programme partner (leading, crucial, important, marginal, detrimental and so on); and (c) their assessment of what impact was reached.

Programme/project staff

Once they have secured CO's and Government counterpart agency's impact perceptions, the evaluators select and study in greater depth a shortlist of programmes that are believed by the CO and the Government to have reached significant impact. In doing so they have to work with programme/project staff.

Programme staff include executing and implementing agencies staff of various types: civil servants, NGO staff, and sub-contractors from the private sector. It is recommended to hold at least one participatory meeting per programme, involving a broad range of programme staff belonging to implementation agencies, including sub-contracting NGOs and private enterprises, rather than focussing too narrowly on the executing agency or programme management unit alone.

A lot of information usually comes from this group because it is directly involved in producing outputs. From them the team have to (a) collect additional and perhaps different impact perceptions about their programme; (b) solicit qualitative appreciation of the importance of achieved impact and its sustainability; (c) collect existing documentation and background information; and (d) get help in organizing meetings with beneficiaries representatives and/or people adversely affected.

Beneficiaries/Target groups

By definition, impact primarily affects a set of persons called beneficiaries. Beneficiaries are therefore the most important stakeholder group as far as impact assessment is concerned. The evaluators should spare no effort to meet directly with beneficiaries and target groups.

Given that the selection of beneficiaries/target groups met by the evaluators is usually done by programme staff, it is no surprise that they tend to support the programme and its impact claims. The facilitation techniques mentioned in Annex 3 could help mitigate this effect. The use of formal, already existing groups (community organizations, business councils, labor unions, civil service commissions...) rather than ad-hoc ones tends to increase the chances for panel legitimacy and capacity to articulate criticism.

People adversely affected:

One should probably not count too much on the main stakeholders of a given intervention when it comes to describing its negative impact. Yet there might be other groups that might lose something as a result of the intervention. For instance, an intervention providing a given commodity (fertilizer, food, micro-credit, advice...) at a price lower than current market price will benefit the commodity's consumers and disadvantage its current providers/vendors. The construction of a public infrastructure (road, canal, school...) will usually disadvantage the very people on whose land the construction is taking place.

For each intervention under review, a serious effort should be done to locate potential loser groups and interview a small panel in order to try and document the negative impact the intervention may have.

As for the beneficiaries group, the capacity of programme staff to locate loser groups and organize a meeting with some of them might be an indicator of how much the programme is geared toward achieving results. A good programme should be aware of its own negative consequences on certain social groups in order to mitigate them if feasible, diffuse opposition and allow itself to reach a better impact.

Key Independent Observers

This group includes qualified academics, journalists and donors not directly related with the intervention at hand, but having either studied it in some depth or been kept well informed about it. Their interviews might help check the position supported by programme stakeholders and support it with an independent qualified opinion, bearing in mind that independent observers might have their own biases.

A summary of the CLIA Phase 1 process of stakeholders meetings is presented in Annex 4.

8. Standard documents of Phase 1

CLIA team-members will collect data through a number of standard documents that will form part of the overall Phase One report. They include the following:

1. Programme maps
2. Impact profiles
3. Impact worksheets
4. Testimonials
5. Impact models
6. Annotated bibliographies

8.1. Programme Map

The programme map is a one-sheet document portraying about 70% of UNDP's entire resources allocated to a given country since the early 70's. The aim is to provide a fair summary of the entire UNDP portfolio in a given country. A simple and straightforward methodology for programme mapping has been developed. It relies mostly on UNDP central financial databases and starts with a list of all projects funded by UNDP and funds since 1970 in the country under review. Because of the sheer number of projects involved, the methodology applies the Pareto's 20:80 principle, which states that 80% of the effects in a given area are generally produced by 20% of the causes. Applied to resources allocation, this means that 80% of the resources should be allocated to 20% of the projects in a given portfolio. Experience so far shows that the real figures are actually closer to 30:80: in UNDP programme countries, 30% of projects channel 80% of resources.

Once the most significant projects have been extracted, they are clustered within larger, more or less homogenous sets called "interventions" or "programmes", that often span over one or two decades. Interventions / programmes are then plotted against the following variables: time, sectors or themes of interventions, and executing agency. Smaller projects are then reviewed to see whether they can be aggregated to interventions already plotted in the map. The map is finally confronted with CP/CCF documentation and Resident Representatives' annual reports to the SG. As an example the programme map drawn for Burkina Faso is presented in Annex 5.

8.2. Impact Profile

The "Impact Profile" is a summarized list of all impact perceptions produced by a given group. It is a useful tool when a stakeholder group has generated a large number of impact perceptions. So far it has been used mainly to summarize and rank the perceptions of the Country Office as an input into the shortlisting process. Displaying stakeholders' rankings of each perception side by side is theoretically possible but has proved quite difficult in practice since ranking takes valuable meeting time.

To help standardize the development of the country impact profile, an indicative checklist of impact areas has been prepared (see Annex 6). It captures the most typical UNDP work. The impact area checklist must remain open to additions.

8.3. Impact worksheet

A sample worksheet was prepared to document further each shortlisted impact area (see Annex 7). The worksheet recapitulates who proposed the impact area, which stakeholders were

interviewed, and what are the areas of agreement and disagreements. It also includes fields for internal and external factors that could help explain impact achievement.

In the process of studying and explaining each impact area, evaluators usually record a large range of external factors contributing to the success or failure of UNDP-supported interventions, from favorable climate to political instability to regional or global economic situation. By definition, nothing much can be done about external factors, except making a realistic assessment of risks and externalities at the planning phase and trying to mitigate them if they occur. Sometime evaluators might have to recommend abandoning an endeavor that has been plagued by too many adverse external factors.

But in order to make recommendations to improve impact, assessors should probably concentrate on internal factors that are under the control of programme staff and development partners. An indicative checklist of internal factors has been prepared (see Annex 8). Its aim is to help evaluators identify actual internal factors that either helped or hampered the achievement of sustainable impact in each shortlisted impact area, and do so in a more or less standardized way. More management factors will be added to the list in the future, as evaluators will identify in the field factors that were not envisaged at the present stage.

The checklist includes capacities and management factors often linked to result orientation in private sector management literature (quality control, client orientation), plus a set of factors more typical of UNDP and related to coordination and partnership issues. The use of UNDP's field presence is factored at two levels: partnership development and client orientation. A section describes bureaucratic constraints to result achievements.

During a Phase One CLIA, evaluators should be able to identify and document the management factors that were crucial to generate result (or not) in each shortlisted impact area and record them in the concerned impact worksheets. They might also be able to identify management factors and cultures that pertain to several impact areas, or even attempt to generalize their analysis at the level of the entire country programme. At this stage the analysis of management factors should probably remain qualitative.

8.4. Testimonials

A testimonial is a verbatim quote. It records a person's thoughts, feelings and experiences in the first person narrative style. It is a standard journalism tool. Testimonials provide a more personal insight into a project's achievements. They can be very telling to readers because they convey as faithfully as possible what people directly affected by a programme have to say, people often belonging to oral cultures and therefore quite proficient in this form of communication.

In the context of CLIAs, testimonials should mainly be used to document projects and programmes benefits and disadvantages at the grassroots level. They may also be used to narrate multi-partners coordination or decision-making processes.

When writing their final report, the evaluators will have to select, in the vast material of meetings records, a few testimonials that they deem the most interesting or powerful. They should

take care of not introducing a bias in their selection. As a rule, a published testimonial should represent more than the individual experience it relates; it should be a "common" story. And when tackling a controversial issue, the report should present "both sides of the story".

8.5. Impact Models

An "impact model" is a set of hypothesis pertaining to impact that one develops for further testing. It includes a description of the causality chain explaining how a given intervention resulted in a given impact and a specification of where the impact is to be looked for (macro, meso or micro levels, social groups, geographic areas, etc.). Having to lay down an impact model forces the evaluator to go to the bottom of his/her opinion about impact.

Impact models must be developed by CLIAs team-members only for impact areas deemed worthy of in-depth quantitative studies during Phase Two. They will form the basis on which to build detailed methodologies for quantitative impact assessments.

8.6. Annotated Bibliography

Prior to a phase 1 CLIA, a quick desk review is conducted at headquarters. In the field evaluators have to use additional secondary data, i.e. existing documentation: major project/programmes evaluations, CCF reviews, RC reports to the administrator (particularly for soft interventions, which are seldom documented), monitoring reports and database, press articles, research papers, etc. It is important that sources for secondary data be recorded in a clear, scholarly fashion for future reference. To this end, CLIAs should promote the use of annotated bibliographies to facilitate Phase Two studies.

C. Intended Outputs of Phase One

At the end of the exercise, a Phase One CLIA should produce the following outputs:

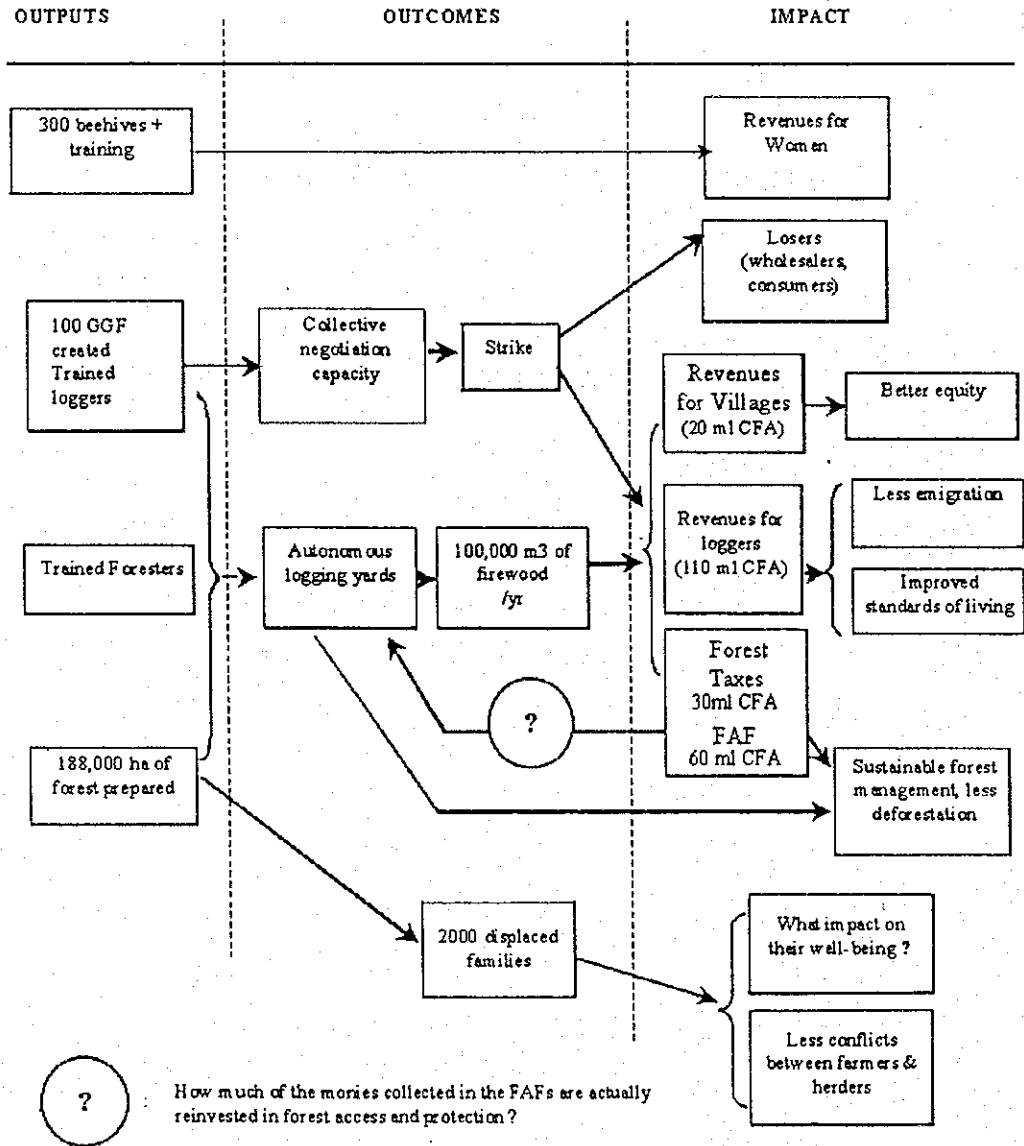
1. A set of tested impact assumptions supported by most stakeholders and secondary data, and describing the most significant impacts reached by UNDP's cooperation in country. These assumptions will not amount to definite impact statements. They should rather be seen as hypotheses that stood the test of in-depth critical review by a broad array of development partners and clients.
2. An analysis of the main external and management factors supporting or hindering impact achievement, including partnerships, client-orientation, quality control mechanisms and the way UNDP used its comparative advantages and field presence.
3. Recommendations on how to improve impact in interventions, based on the analysis above;
4. Increased attention to and information about impact-related issues among stakeholder groups;
5. A proposal for in-depth studies to be included in Phase Two, including impact models and basic methodologies; and

6. Recommendations on how to improve the CLIA - Phase One methodology.

ANNEXES

Annex 1: IMPACT MODEL & PERCEPTIONS

Case of the Programme d'Aménagement des Forêts Naturelles, Burkina Faso



Annex 2:

FACILITATION TECHNIQUES

The following techniques could help ease the initial surprise or nervousness of some stakeholders when they are asked for their impact perceptions:

1. Allow for some time to think;
2. If problem persists, ask about the intervention, the process, before coming back to impact;
3. Chose / interview people cognizant of UNDP interventions, not ambassadors;
4. Focus on what people know;
5. Explain that CLIA does not affect funding;
6. Play the devil's advocate with negative impact ideas;
7. Keep programme staff out of meetings with beneficiaries and people adversely affected.

The following facilitation techniques could help mitigate the tendency of some groups to indiscriminately support the claims made by their most vocal members, and thus help avoid premature consensus:

1. Provide participants with a clear description of the exercise goals and methodology, insist on the need for reliable data;
2. Remind the audience that large-scale quantitative surveys will be conducted in phase 2 to check and quantify the strongest impact perceptions;
3. Elicit claims from "lesser" participants before asking the boss;
4. Ask for participants' own impact perceptions before asking for their views on those collected in previous meetings;
5. When presenting previously collected impact perceptions, don't mention who proposed them;
6. Enforce a transparent process where every one is allowed to voice her/his opinion;
7. Use the scoring process to distinguish the impact perceptions strongly supported by the audience from the less supported ones;
8. Evaluators should not accept impact statements without asking questions and challenging them to check their veracity. They should be able to ear and clarify veiled criticisms.

Annex 3:

CAPTURING THE IMPACT OF NON PHYSICAL OUTCOMES

By relying on perceptions, the CLIA tends to link impact with visibility. Focussing on capacity development activities or soft interventions such as policy dialogue can be difficult because they are not as visible as physical achievements, at least for stakeholders not directly involved in the operation. This bias, identified during the Burkina Faso Phase 1, needs to be corrected. A set of criteria that could direct the attention of evaluators and ward capacity development and policy dialogue activities and outcomes is proposed to this end.

Policy dialogue:

1. According to decision-makers and civil society groups, what has been the major policy changes during the past five years at the national level? What are the main perceptions about their success or lack thereof? In what way did UNDP contribute to these policy changes? (perception-based, focus on impact)
2. In 4 to 6 sectors/themes strongly related to SHD (e.g.: education, health, gender, agriculture, environment, micro-enterprises), describe the role and outcomes of UNDP's policy dialogue and formulation efforts in each of these areas. Were these policies adopted and promulgated? Were they enforced? Did they affect budgetary allocations and donors' spending? Did they affect other policies? In addition, describe any demonstration effect that a successful pilot project may have brought about. (programme evaluation, focus on outcome)
3. Once the major policies UNDP helped formulate or introduce are listed and their implementation status described, try and assess the effects on the national development situation of each of these new policies. Can these policy changes reasonably be said to have produced discernible improvements in SHD? For example, have they altered access to natural, capital, human or social resources? Have they improved food, health or job security? (programme evaluation, focus on impact)

Capacity development:

Enabling environment

1. Did UNDP intervention help produce a change in mandates, roles, coordination mechanisms among organizations in the area under focus? Is there evidence that this led to better services or decreased cost in the area under focus?
2. Describe changes in human resource management: salaries, incentive, career path, staff rotation and attrition in the public and/or private sector brought about by UNDP interventions.

3. Is an improvement in accountability procedures and practices perceptible? Have management cultures changed, bureaucracy decreased, gender balance and roles evolved, collaboration and trust improved? Have this led to a better resource management, higher productivity or greater equity?
4. Describe changes at the broader governance level that could led to better use of existing capacities: role and importance of civil society and the private sector, human and labor rights status, balance of powers between institutions, effective decentralization and delegation of authority.

Institution building

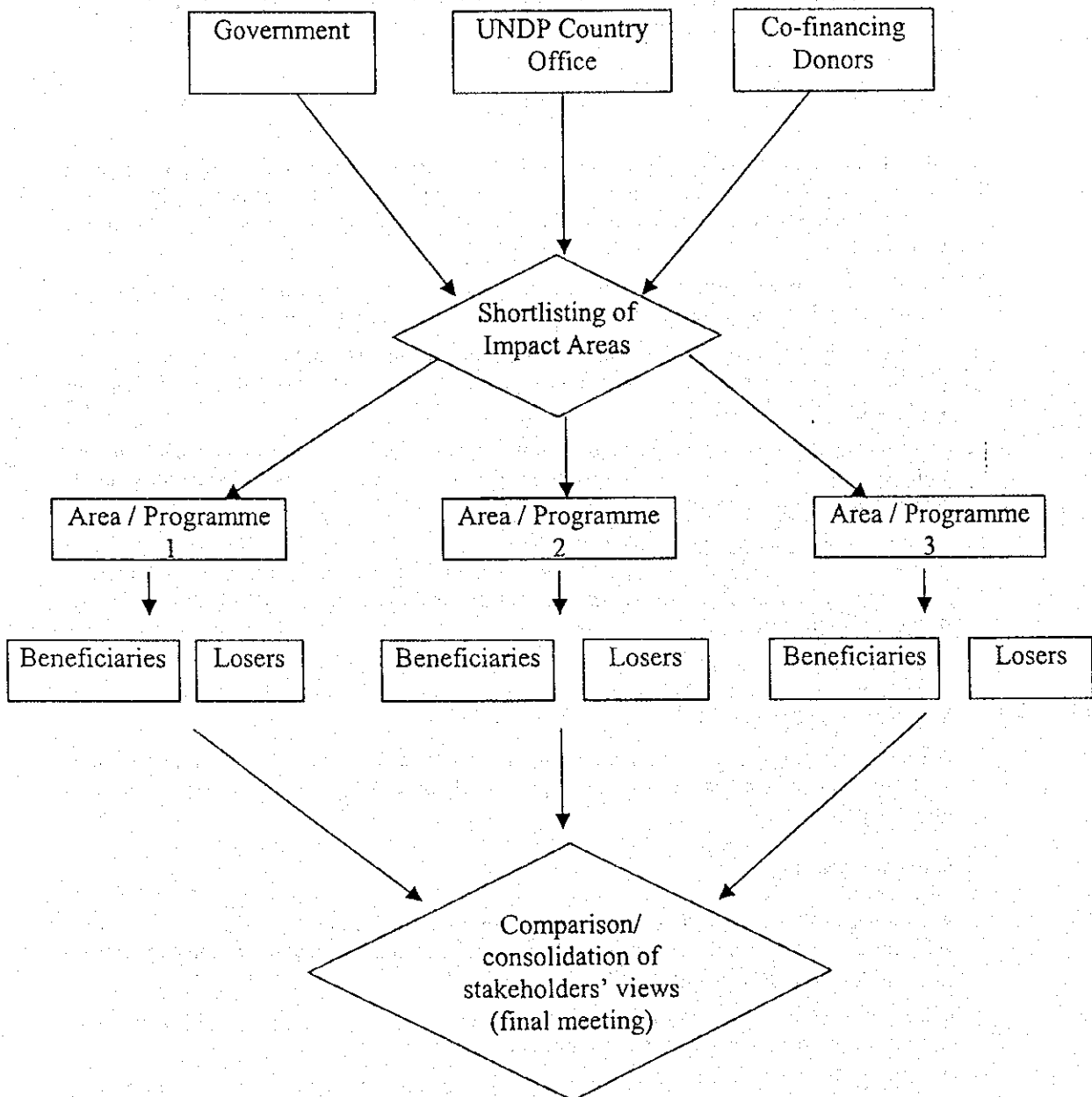
1. Identify products and services provided by the supported institution, organization or group of beneficiaries (types, quantity, quality). In what ways has UNDP helped improve these products and services? Are these products/services relevant for the development of the country?
2. Identify and meet with users of products and services concerned (types, quantity, satisfaction). Have they seen a difference before and after UNDP's intervention?
3. Assess credibility and visibility of institutions/organizations/beneficiaries and capacity to play a role in setting/implementing future national strategies. Has UNDP helped shore up credibility and visibility?
4. Describe power relations between benefiting organization/group and other players in the same field/market segment. In what ways has the intervention affected these relations? Look for evidence of empowerment.
5. Assess passive sustainability of supported institutions/organizations. Financial support, political support needed / granted by Government or other national partner; cost of services and cost-recovery mechanisms, dependency phenomena. Has the UNDP support made any difference on this front?
6. Assess active sustainability of supported institutions/organizations. Has the UNDP support made a difference in terms of the capacity to evolve and respond to change? How could the long-term growth potential of the organization be characterized?
7. Assess partnerships. Is the organization using communication channels to find and exploit synergies, to decrease cost or increase output, to help others? Has the UNDP support helped improve partnerships?

Individual learning

1. Are trainees followed up? How many found a job using their new competency, or are using what they learnt? Overall in the area under focus, has training and/or learning improved trainees' job prospects and incomes?
2. Did trainees fill a documented capacity gap in the country? Have enterprises, administrations or civil society benefited from trainees' newly acquired knowledge?
3. On a more psychological level, has training/learning improved trainees' capacity to play a role in development, self-esteem, attitudes, empowerment, capacity to change/anticipate, capacity to continue learning?

Annex 4:

PROCESS & STAKEHOLDERS

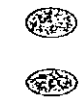
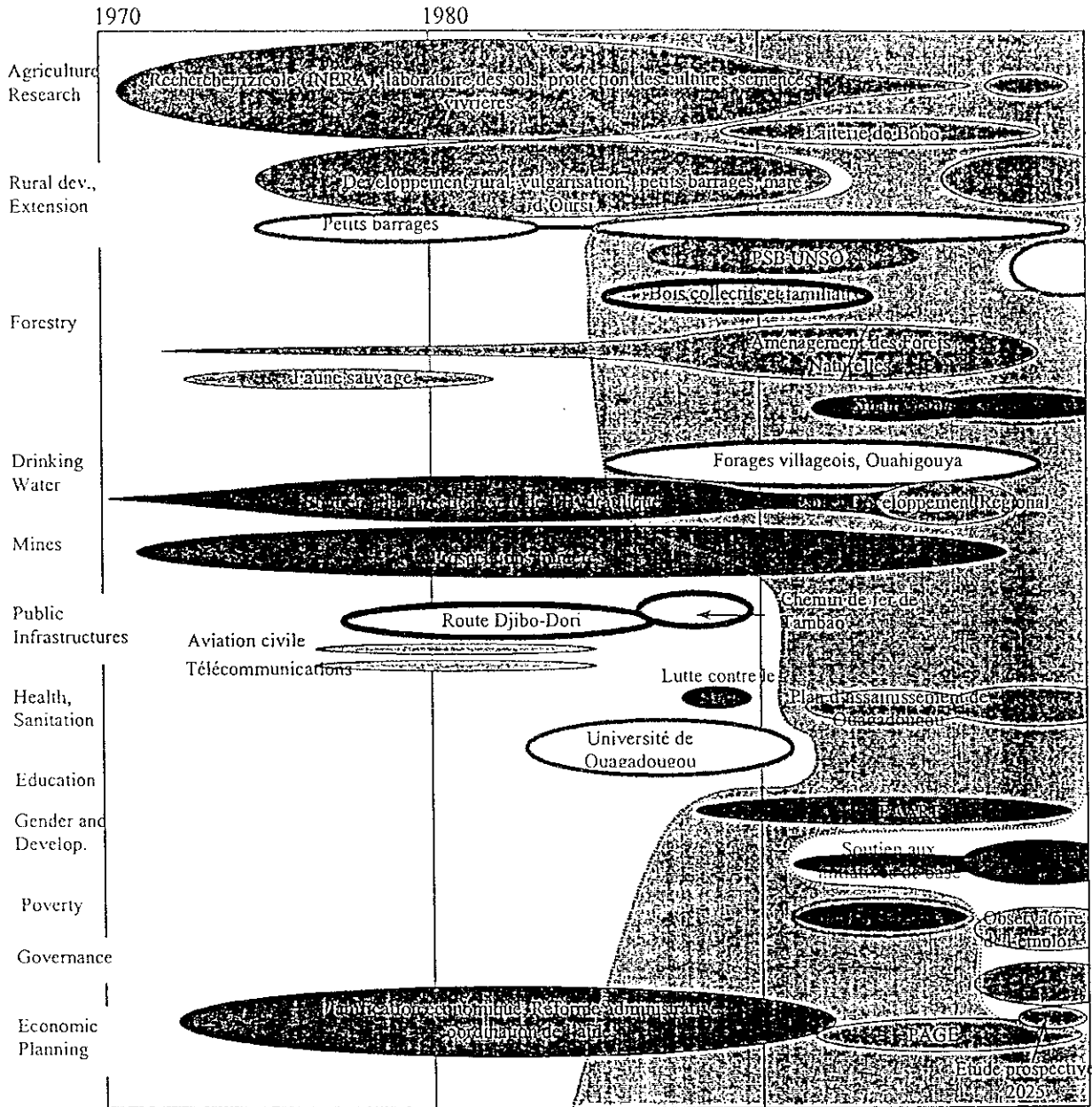


Annex 5: CHECKLIST OF TYPICAL IMPACT AREAS

The list is a mix of short-term and long-term impacts. Short-term impacts lead to long-term ones. Under each heading, impacts achieved and their sustainability will have to be described in details.

- 100: Governance and public resource management
 - 101: Efficiency and accountability of the public sector
 - 102: Public debt and deficit management, fiscal policies
 - 103: Public resource allocation (transparency, targeting deprived groups, etc)
 - 104: Dialogue between government and opposition
 - 105: Peace, increased social cohesion
 - 106: Local organizations and community empowerment
 - 107: Decentralization and participatory local governance
 - 108: Development of democratic institutions, free press, rule of law
 - 109: Human rights, women rights, children rights and rights of indigenous people
- 200: Economic planning and development
 - 201: Macro-economic stability, economic planning and information, decreased market uncertainty
 - 202: Contributions to transparent markets and the promotion of free enterprise
 - 203: Public goods, social, transport and telecommunication infrastructures
 - 204: Development of micro and small enterprises
 - 205: Economic growth, distribution of wealth, growth dividends
 - 206: Economic transition, privatization of state-owned enterprises
 - 207: Regional economic integration & cooperation
- 300: Enabling environment for SHD
 - 301: Use of SHD concepts in public debate, data collection, policy design and analysis
 - 302: Global and regional cooperation for SHD
 - 303: Contributions to higher SHD or HDI levels
- 400: Poverty and Sustainable Livelihoods
 - 401: Focus on poverty in national debate, policy formulation, and data collection
 - 402: Sustainable livelihoods, job creation
 - 403: Access/control over knowledge, productive and social assets by the poor (educ., health, land, capital, etc)
 - 404: Vulnerability of the poor, social protection
 - 405: Food security
 - 406: Protection against pandemics, mitigation of social consequences of AIDS
 - 407: Empowerment and mobilization
- 500: Gender in Development
 - 501: Gender mainstreaming, measuring improvement in the status of women
 - 502: Gender equality and advancement of the status of women
 - 503: Access to and control over knowledge and productive and social assets by women
 - 504: Access/use of family planning methods
- 600: Environment
 - 601: Integration of environmental management in national policies and programmes
 - 602: Sustainable use of natural resources
 - 603: Protection, regeneration and/or damage to the environment
 - 604: Follow-up to international agreements (Agenda 21, Montreal Protocol, ...)
 - 605: Global environmental goods: biodiversity, climate change, international waters
- 700: Emergencies/Special Circumstances
 - 701: Disaster reduction
 - 702: Reintegration/rehabilitation of affected communities
 - 703: Development linked to relief: long-term recovery of affected populations

Annex 6: BURKINA FASO PROGRAMME MAP



Ellipses represent programmes or groups of projects funded by UNDP and associated funds (UNCDF, UNSO, UNV and GEF). The colors code for executing agencies and/or associated funds. Approximately 30% of all projects and 70 % of all resources are depicted here. Missing are the ONUDI and UNESCO modest portfolio, as well as some labor-intensive projects executed by ILO.

