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Resilient nations.*

evaluation

2016 Annual Report

Independent Evaluation Office

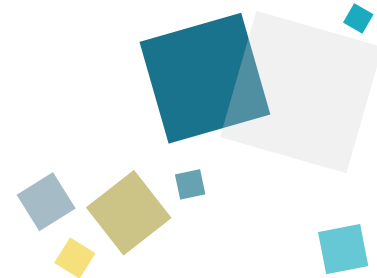
United Nations Development Programme



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2016 Annual Report



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Acronyms

ADR	Assessment of development results
CIS	Commonwealth of Independent States
GEF	Global Environment Facility
IEO	Independent Evaluation Office of UNDP
ICPE	Independent country programme evaluations (previously known as ADRs)
M&E	Monitoring and evaluation
SDGs	Sustainable Development Goals
UNCDF	United Nations Capital Development Fund
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNICEF	United Nations Children's Fund
UNV	United Nations Volunteers



Foreword

As President of the Executive Board of the United Nations Development Programme (UNDP), I am pleased to introduce the 2016 Annual Report on Evaluation, directly submitted to the Executive Board under the Evaluation Policy provisions on independence. The report summarizes the work of UNDP's Independent Evaluation Office (IEO) in 2016.

The IEO plays an essential role in advancing evaluation within the United Nations System. During the past year, it has engaged with key stakeholders, governments, donors, partners and the evaluation community across the globe to share expertise, findings and recommendations. All activities are geared towards ensuring the highest standards of oversight, transparency, learning and accountability.

I am pleased to note the weight accorded to independent evaluations at UNDP, the high-quality management responses, and the productive discussions taking place both at the Executive Board and at the country level. This attests to the strong importance given to learning from experience, and using findings from evaluations to adjust programmes and improve prospects for organizational success. The explicit endorsement of independent evaluation by United Nations Member States, as embodied in the adoption of the new Evaluation Policy in September 2016, indicates how seriously we take this function.

This report reflects some milestones in evaluation policy and practice. The newly established Audit and Evaluation Advisory Committee will bring together, under one umbrella, the UNDP oversight offices of Ethics, Audit and Investigations, and Independent Evaluation, fostering greater synergies. This mechanism will further complement the IEO's Evaluation Advisory Panel, which has helped the IEO become one of the lead international evaluation offices. I envision the IEO will continue supporting the growth of evaluation capacity across UNDP, and look forward to it engaging in a more comprehensive quality assessment of decentralized evaluations.

In 2017, UNDP will adopt a new Strategic Plan, creating a platform for the organization to assist Member States in implementing the 2030 Agenda. I am confident that evaluation will be instrumental in shaping UNDP's many contributions to realizing the high aspirations of the Sustainable Development Goals (SDGs).

Ib Petersen

Permanent Representative

Permanent Mission of Denmark to the United Nations

President of the UNDP Executive Board



Preface

It gives me great pleasure to present the 2016 Annual Report on Evaluation to the President of the UNDP Executive Board, His Excellency Ambassador Ib Peterson. This report reflects on some fundamental changes made since 2012, summarizes 2016 outputs and activities, and tables a programme of work for 2017.

Developing an independent and credible evaluation function in UNDP has been a long journey. A major milestone in 2016 was the adoption of a new Evaluation Policy. For the first time, it sets a financial resource target for the evaluation function, which is critical to upholding the IEO's independence. Independence is the foundation of the IEO's credibility and impartiality in conducting assessments to inform UNDP policy and operations.

Another major achievement, which offered stewardship for the global evaluation community and the IEO, was the adoption of the revised United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation. This will help to ensure that the diverse approaches and capacities of evaluation offices within the United Nations move towards a standard like that of UNDP, as the basis for a robust, transparent and accountable oversight system. It is time for the principles of independence, credibility and utility to be applied evenly across the UNEG.

The new UNDP Evaluation Policy goes further in operationalizing the principle of the IEO's independence with the establishment of the Audit and Evaluation Advisory Committee. It oversees the work of the IEO and its Director, and advises the Executive Board and UNDP Administrator. Also, embedded in the new Evaluation Policy is the Evaluation Advisory Panel, now in its fourth year of operation, which brings in practical expertise and guidance for all IEO work.

An innovative exercise in 2016 was the joint audit and evaluation of UNDP's institutional effectiveness, a first on many levels. It provides a timely and comprehensive assessment of how effective and efficient UNDP was in achieving results. The positive reaction to this exercise bodes well for further collaboration between UNDP's audit and evaluation offices to produce synergistic assessments of work at the global and country levels. The IEO also presented two important thematic evaluations: the assessment of UNDP's work on disability-inclusive development and on anti-corruption, both of which spurred internal and global stakeholder debate.

After a period of reflection, the IEO restarted its quality assessment work for decentralized evaluations with more comprehensive instruments and collaboration with UNDP to help build learning and accountability. Either completed or in progress are 12 independent country programme evaluation. Looking ahead, we intend a further, comprehensive revision of the country level evaluation system to ensure full coverage.

I wish to thank the IEO team for its dedication, recognizing that the professional evaluation model, while rewarding and enriching, is an exacting one. I also wish to thank UNDP management and staff for facilitating evaluations, members of the Executive Board for their guidance and support, and stakeholders for maintaining the demand for independent evaluation to inform their constituencies. I wish to thank members of both the AEAC and the EAP for their constructive engagements with the IEO.

Indran A. Naidoo
Director
Independent Evaluation Office, UNDP



table of contents

Acronyms
Foreword
Preface

1
2
3

chapter one: A Strengthened Foundation for Evaluation

6

A new Evaluation Policy at UNDP
The Audit and Evaluation Advisory Committee
The International Evaluation Advisory Panel
The IEO Charter
Evaluation architecture

chapter two: Highlights in 2016

10

UNDP contribution to anti-corruption
and addressing the drivers of corruption
Disability-inclusive development at UNDP
A joint assessment of UNDP's
institutional effectiveness
Ongoing evaluation of the UNDP Strategic Plan
2014-2017, global and regional programmes
Independent country programme evaluations
in 2016 and beyond

chapter three: Advancing Evaluation Practices and Awareness

18

The United Nations Evaluation Group
Global platforms to share evaluation expertise
Communications and outreach

chapter four: Decentralized Evaluations

22

Building decentralized
evaluation capacities

Decentralized evaluation planning
and budgeting

Assessing the quality of
decentralized evaluations

Decentralized Evaluation Implementation

The Evaluation Resource Centre

chapter five: Finances and Staffing

29

chapter six: Engagement with the UNCDF and UNV

31

chapter seven: Looking Forward: Plans for 2017

33

Thematic evaluations

Status of implementation of
IEO recommendations

Future independent country
programme evaluations

Decentralized evaluation assessment
and support

National evaluation capacity

Costed programme of work in 2017

annexes

37

Annex 1. Snapshot of implementation,
budgets and quality, 2013 to 2016

Annex 2. Global monitoring and
evaluation capacity, 2013 to 2016

Annex 3. Regional monitoring and
evaluation capacity, 2013 to 2016

Annex 4. 2016 average budgets for evaluations
(country offices)

Annex 5. Members and key activities of
the Evaluation Advisory Panel in 2016

Endnotes

47

chapter 1



A Strengthened Foundation for Evaluation

■ This Annual Report on Evaluation highlights key initiatives of the Independent Evaluation Office of UNDP in 2016. It summarizes progress in deepening evaluation expertise and the application of core evaluation principles such as independence, credibility and utility.

Providing a forward-looking view, the report notes that reform of the United Nations, UNDP and the IEO is ongoing. Newly appointed United Nations Secretary-General Antonio Guterres in 2016 stressed a renewed focus on evaluation as a tool of accountability requiring “effective and independent evaluation mechanisms” throughout the UN system.¹

As the custodian of the UNDP Evaluation Policy, and in line with its obligations to the UNDP Executive Board, the IEO reports annually on its work. It also assesses decentralized evaluations carried out by UNDP programme and policy units.

A new Evaluation Policy at UNDP

In September 2016, after two years of review, UNDP’s Executive Board adopted a new Evaluation Policy to advance evaluation at UNDP.

The policy establishes core principles, clarifies roles and responsibilities, and makes clear links to the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation. Its foundational commitment is to the preeminence of independent evaluation as an input to corporate decision-making, including through the operational independence of the IEO within UNDP.

The policy sets explicit benchmarks for financial resources for evaluation, earmarking 1 percent of combined UNDP core and non-core funds, with a minimum of 0.2 percent set aside for the work of the IEO. In 2016, IEO expenditure was US \$8.49 million, falling short of the 0.2 percent minimum by \$600,000.

The purpose and scope of the policy

The 2016 Evaluation Policy applies to independent evaluation at all levels, helping to ensure it is accountable and learning oriented. Independent evaluations by the IEO, decentralized evaluations and evaluations by the United Nations Volunteers (UNV) and the United Nations Capital Development Fund (UNCDF) are all guided by the policy, which also covers UNDP and IEO support to increased national evaluation capacity.

The evaluation policy is aligned with the overall mandates of UNDP and its associated programmes and funds, and with the Charter of the United Nations and its objectives. Its core principles stem from United Nations General Assembly resolutions, UNDP Executive Board decisions, and the UNEG Norms and Standards for Evaluation.

The Audit and Evaluation Advisory Committee

Under the new Evaluation Policy, the UNDP Audit Advisory Committee has expanded to include evaluation oversight functions and is now constituted as the Audit and Evaluation Advisory Committee. This reformulation has helped to harmonize the evaluation, audit and investigations, and ethics functions, promoting synergies among all UNDP oversight offices.

The committee oversees adherence to the Evaluation Policy, and advises the UNDP Administrator and Director of the IEO on their responsibilities under it. Members are also charged with the appointment of the Director, and the approval and implementation of the IEO's multiyear work plan and budgets.

Committee meetings in 2016 were highly productive, giving strong direction to the IEO. At a first meeting in November 2016, the committee appointed two expert members who are globally recognized for their evaluation expertise. They provide guidance on specific aspects of evaluation policy and practice, bring an evaluation perspective to their review of the IEO and contribute to other oversight issues.

The International Evaluation Advisory Panel

The new Evaluation Policy further cements the role and structure of the International Evaluation Advisory Panel. It now has 12 members who come from all regions, ensuring global coverage, knowledge and perspectives.

Panel members provide methodological guidance and expert reviews of individual evaluation reports and other products. In 2016, the panel supported and gave advice to newly established IEO committees oriented around independent country programme evaluations, headquarters and corporate evaluations, and evaluation capacity development, including quality assurance. The panel also contributed to IEO strategizing through 35 advisory sessions with IEO staff. It supported the development of national evaluation capacities in the new era of the SDGs, the reestablishment of the quality assessment process, and reviews of thematic and independent country programme evaluations.

The IEO Charter

Further to the adoption of the new Evaluation Policy in 2016, and planned changes to the IEO's evaluation approach and reporting to

the UNDP Executive Board, the office is formulating a charter defining clear principles and practices for engaging with UNDP business units subject to independent evaluations. This initiative builds from experience in 2016 where the IEO shared an aide memoire with country offices when launching the evaluation process. The charter is intended to be comprehensive in setting the framework for collaborative, efficient and useful independent evaluations, in full accordance with the revised Evaluation Policy.

Evaluation architecture

The continued evolution of the IEO and of evaluation as a core function at UNDP has required strategic changes at multiple levels. These include the establishment of the International Evaluation Advisory Panel in 2014, the creation of the Audit and Evaluation Advisory Committee in 2016, the incorporation of the revised UNEG Norms and Standards for Evaluation in 2016 and a dedicated budget for evaluation. The IEO has expanded engagement with all partners and stakeholders throughout the evaluation process, which now aligns closely with the new emphasis in the Evaluation Policy on learning, transparency and accountability.

Contributing to accountability and learning

UNDP Executive Board

The UNDP Executive Board is the custodian of the Evaluation Policy. It approves the policy and considers annual reports on implementation; ensures the independence of the evaluation function; uses and draws on evaluation findings for oversight of corporate policies, strategies and programmes; requires management responses to all evaluations, and reviews and approves those for independent evaluations; and periodically requests the IEO to commission independent reviews of the Evaluation Policy.

IEO

The IEO is an independent unit that each year reports directly to the Executive Board on evaluation functions, compliance, coverage, quality, findings and follow-up. It conducts evaluations on themes and programmes at the country, regional and global levels.

UNDP Administrator

The UNDP Administrator is accountable for corporate results, and safeguards the integrity and independence of the evaluation function. His/her role also includes ensuring that senior management responds to and applies evaluation findings, and that relevant units follow up on recommendations.

UNDP Programme and Policy Units

UNDP programme and policy units conduct monitoring, evaluate programme performance and manage findings. The results feed into independent evaluations.

Evaluation Units of UNCDF and UNV

The evaluation units of UNCDF and UNV conduct evaluations in their organizations, and contribute to the IEO's development of common evaluation quality standards and guidelines.



chapter 2



Highlights in 2016

■ Since 2012, the IEO has implemented 14 thematic evaluations derived from the UNDP Strategic Framework, bringing a crucial perspective to understanding organizational performance at a policy and strategy level. Debates that accompany these evaluations at the UNDP Executive Board and other forums indicate interest in their focus and confidence in the organization to deliver on its plans. The IEO has significantly refined its methodologies for thematic evaluations to include more engagement with UNDP business units and stakeholders, increased sample sizes and dedicated attention to making reports more accessible. Illustrated summaries and videos that accompany the main reports have proven successful in communicating major findings and recommendations to a range of audiences, strengthening adoption and overall impact.

In 2016, the IEO carried out three thematic evaluations and has one underway, all of which were presented to the Executive Board in 2016 and 2017 for discussion and decisions. The three concluded thematic evaluations comprise an evaluation of UNDP's contribution to anti-corruption efforts and addressing the drivers of corruption, an





evaluation of disability-inclusive development at UNDP and a joint evaluation with the UNDP Audit Office of UNDP's institutional effectiveness. Papers outlining findings, conclusions and recommendations have been submitted to the Executive Board, and each evaluation has received a detailed management response.

Thematic evaluations continued the use of robust methodologies and consultative processes, while retaining an independent approach. Conducting them entailed engagements with 131 country offices, regional bureau consultations, desk reviews, a meta-synthesis of over 180 evaluations (including IEO independent country programme evaluations), an analysis of 10 UNDP corporate surveys and implementation of five IEO surveys, and over 900 interviews. Findings, conclusions and recommendations were welcomed by UNDP with detailed management responses and planned key actions to improve support in each thematic area.



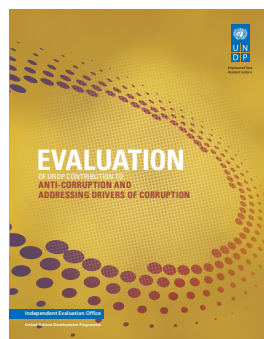
Thematic evaluations in 2016 were built on engagements with 131 country offices, regional bureau consultations, desk reviews, a meta-synthesis of over 180 evaluations and over 900 interviews.

Summary of interviews/desk reviews for thematic evaluations

	 Country/regional consultations and desk reviews	 Interviews and focus groups	 Meta-synthesis of evaluations	 Analysis of surveys
Anti-corruption	65	350	110	0
Disability-inclusive development	11	335	0	1
Institutional effectiveness	55	231	73	9
Total	131	916	183	10

meta-synthesis of 110 evaluations and 65 country programmes. A robust methodological approach also included 350 interviews with development actors.

The evaluation found that UNDP corporate programme frameworks recognize anti-corruption as key to accelerating sustainable development. While it supports specific anti-corruption initiatives, UNDP has focused more on addressing the drivers of corruption, particularly demand-side accountability. It has developed a unique niche in assisting efforts to address corruption drivers and to strengthen national anti-corruption capacities. Simultaneously pursuing anti-corruption and accountability initiatives has allowed UNDP to work at multiple levels.



UNDP contribution to anti-corruption and addressing the drivers of corruption

Addressing links among governance, corruption and development is critical for development progress. Given the negative impacts of corruption in many nations, and the important need for UNDP to

incorporate anti-corruption, accountability and transparency in its governance and overall development work, the IEO undertook an evaluation of UNDP anti-corruption assistance and efforts to address drivers of corruption. The evaluation assessed UNDP contributions from 2008 to 2015, covering the last Strategic Plan 2008-2013 and the current Strategic Plan 2014- 2017.

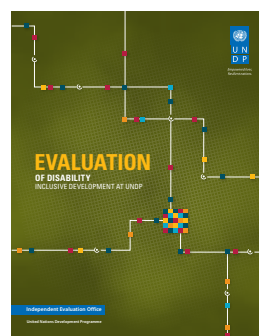
The evaluation gathered data from 65 country offices, regional bureau consultations and case studies as well as from a

Standalone anti-corruption work targeted solely at anti-corruption agencies was found to have a limited impact. While UNDP contributions have been important for enhancing anti-corruption policies and capacities, actual outcomes have been dependent on broader governance capacities. Evolving governance systems and processes and inadequate judicial capacities have reduced impacts in some cases. Without core accountability processes and capacities in public administration, even strong anti-corruption enforcement institutions may make little headway.

The evaluation reaffirmed governance, corruption and development links. Countries and international development agencies have made efforts to improve governance through various reforms, and to reduce the abuse of public positions and resources meant for development. Such efforts had varying levels of success in reducing corruption and enhancing accountability and transparency, however. At UNDP, a lack of synergies between governance programmes and other development and anti-corruption initiatives reduced overall outcomes.

The evaluation recommended that to enhance its abilities to help address the links between development and corruption, UNDP should develop an anti-corruption strategy that explicitly connects these efforts to its governance and development programmes, and its support to countries in attaining the SDGs. Greater efforts should be made to use development programme areas as entry points to further promote sectoral anti-corruption and accountability measures, including in current programmes. The evaluation emphasized that all anti-corruption support efforts at the global, regional and country levels should address gender-related aspects, as this continues to be a weak area of UNDP support.

Given the significant contributions UNDP makes to advancing national and local demand-side accountability, the evaluation suggested that the organization should increase support for local initiatives, particularly concerning access to information and social accountability. It recommended as well that UNDP prioritize support to anti-corruption and governance risk assessments and measurements.



UNDP support for disability-inclusive development

The passage in 2006 of the Convention

on the Rights of Persons with Disabilities enshrined a global commitment to promote the rights and advancement of persons with disabilities. This commitment places an onus on organizations like UNDP to coherently, adequately and systematically include persons with disabilities in their work. An IEO evaluation reviewed UNDP support for disability-inclusive development between 2008 and 2016, including under the current Strategic Plan and since the Convention has been in force. As part of the evaluation, a survey of all 132 UNDP country programmes helped in

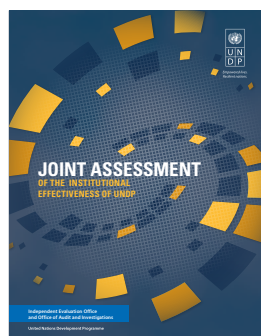
preparing a global portfolio of disability-inclusive programmes and projects. Eleven country office visits and 335 interviews supported the assessment.

The evaluation found a clear strategic fit for UNDP in supporting government efforts to promote the rights of persons with disabilities. UNDP has effectively supported disability work where there was national ownership and leadership on the issue, but is not widely regarded as a major advocate of or provider of technical assistance for disability-inclusive development. It has not fully leveraged its role as a trusted convener, knowledge broker, technical adviser and facilitator of dialogue among government, civil society and national human rights institutions in support of the Convention, thus limiting its potential impact.

In considering UNDP's internal culture and procedures, the evaluation found that UNDP should be a more welcoming organization for persons with disabilities. While it has taken some positive steps, such as formulating a diversity and inclusiveness strategy, attention to implementing this strategy has been sporadic and ineffectual. Conditions of recruitment, hiring and employment present barriers for persons with disabilities. UNDP has not taken the necessary steps to ensure that its facilities are accessible.

UNDP still needs to find the right balance between compliance for reporting and learning for improved results.

The evaluation recommended giving greater prominence to disability-inclusive development in the upcoming UNDP Strategic Plan in line with the SDGs. A well-conceived and executed UN partnership on the rights of persons with disabilities should be strengthened and additional resources mobilized. Revision of the UNDP diversity and inclusiveness strategy should make clear that the organization will adequately support staff with disabilities in all phases of employment and through sufficient financial resources for workplace accommodation. An accessibility audit of UNDP premises and work could identify existing barriers to inclusion and practical steps that can be taken to eliminate them, with timelines and a date by which all premises are to be accessible.



A joint assessment of UNDP's institutional effectiveness

In 2016, the IEO took an important step in strengthening its joint evaluation work through its first evaluation partnership with the UNDP Office of Audit and Investigations. The joint evaluation assessed the extent to which UNDP policy and organizational measures, including the recent restructuring process, have enhanced or have the potential to enhance the organization's ability to deliver higher quality programmes and improve institutional effectiveness. The assessment covered relevant activities undertaken by UNDP from 2010 to 2015, emphasizing initiatives supporting the Strategic Plan 2014-2017.

Built on consultations with over 50 country offices and regional hubs, 73 meta-syntheses of evaluations, and 231 focus group and individual interviews, the assessment considered the early stage of some reforms. It recognized that it may be too soon to fully identify all potential results, and therefore aimed to enhance organizational learning by identifying opportunities for improvement.

Key findings indicated that UNDP programmes show improved alignment with the priorities of the Strategic Plan and an uptake of the SDGs, but for the most part fail to reflect the strategic comparative advantage of UNDP. Restructuring changes aimed at strengthening the regional presence and consolidating policy functions contributed to a clearer division of roles, responsibilities and accountabilities, but to varying degrees across the different regions. The sustainability of these changes is uncertain, given the lack of resources to staff regional hubs and for country offices to pay for regional services.

Results-based management continues to be associated more with compliance-driven practices to satisfy reporting requirements, with a limited focus on learning from evidence to enhance decision-making and performance. UNDP still needs to find the right balance between compliance for reporting and learning for improved results.

The assessment concluded that there are signs of improvement in the quality of programmes and that organizational measures such as the structural review have clarified some roles and responsibilities between the regional level and headquarters. It is not possible to conclude that new measures have significant and sustainable effects on the quality of programmes, however, or carry the

potential for success. UNDP is in the midst of change, and the sustainability of measures to increase institutional effectiveness through new organizational and programmatic measures might be at risk due to a lack of resources and sustainable funding models. Without additional efforts and targeted investments to strengthen capacities, programmatic and organizational measures will likely not be fully implemented, weakening their support for significantly enhancing the quality of programmes and improving institutional effectiveness in a sustainable manner.

The assessment recommended that UNDP country offices should adequately identify the comparative advantage and value added of the organization in programmes. The concept of a theory of change needs to be fully understood and practised. UNDP should assess the costs of implementing the new programme and project quality assurance system to determine whether resource requirements of the reformed system can be sustainably met, and if so, how. Based on the available budget, UNDP should prioritize quality elements that all country offices need to fully uphold, and should reassess the financial sustainability of the regional service centres/hubs model. Greater results-based management expertise should be developed, with improved focus on learning, shifting the focus from proving results to

improving results. Further, UNDP leadership should prioritize investment in knowledge management.

Ongoing evaluation of the UNDP Strategic Plan 2014-2017, global and regional programmes

An evaluation of the UNDP Strategic Plan 2014-2017 with a focus on global and regional programmes started in 2016 and is expected to conclude in 2017. It is part of the IEO medium-term plan (DP/2014/5) approved by the Executive Board in January 2014. The evaluation is designed to assess the contributions of regional and global programming to the intended development results of the Strategic Plan, and to consider institutional mechanisms used by UNDP to facilitate programming. It looks at cross-cutting aspects, including UNDP's contributions to South-South and triangular cooperation, and the promotion of gender equality and women's empowerment.

The IEO evaluated the previous UNDP Strategic Plan (2008-2013) in 2010, reviewing all regions, levels of South-South cooperation and overall implementation. The current evaluation has taken a more focused approach and will produce just one evaluation report.

The methodology remains robust and fully cooperative, with over 70 country offices, regional bureaux and global centres visited, a meta-synthesis of 100 reports and evaluations, and over 900 interviews. The evaluation will provide actionable recommendations to UNDP and the Executive Board for consideration and inclusion in the next Strategic Plan.

Independent country programme evaluations in 2016 and beyond

Independent country programme evaluations (ICPEs), previously known as assessments of development results (ADRs), continue to be the backbone of the IEO's work. ICPEs capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level, as well as the effectiveness of UNDP's strategies in facilitating and leveraging national efforts to advance development. The process supports the development of UNDP country programme documents, strengthens UNDP's accountability to national stakeholders and bolsters UNDP's accountability to its Executive Board. ICPEs also are vital to research and analysis for thematic evaluations.

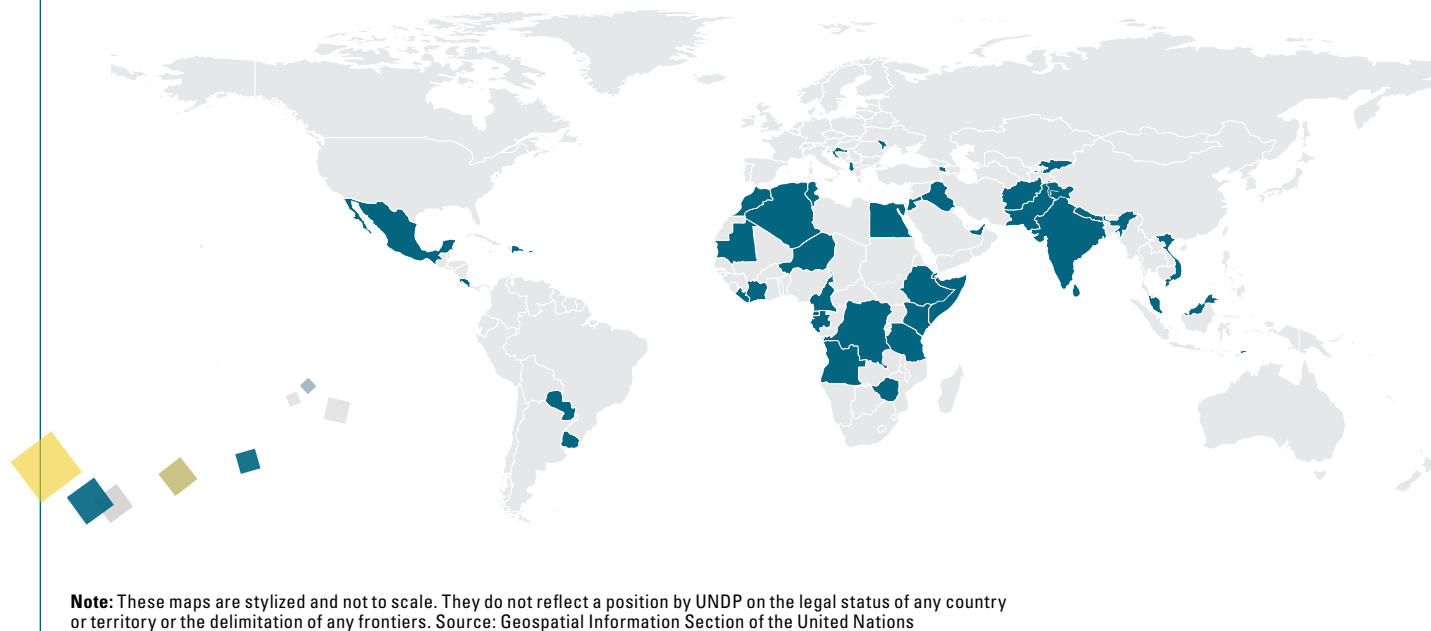


ICPE coverage 2012-2016

Since 2012, the IEO has carried out 42 ICPEs, evaluating \$8.2 billion in programme expenditure. In 2016, six country level assessments took place: in Cameroon, Equatorial Guinea, Jordan, Kyrgyzstan, Mexico and Pakistan, covering \$650 million of UNDP programme expenditures. The six evaluations provided over 40 recommendations to country offices to strengthen their development support. All have been addressed with detailed and comprehensive management responses, illustrating high regard for the ICPEs.

The ICPE process continues to evolve through changes and reforms to ensure relevance to UNDP, and to support learning and evaluative functions. Previous years have seen the updating of ICPE guidance, making the process more aligned to the global development agenda and UNDP's role at the country level, and more useful for UNDP country teams when developing strategic plans and country programme documents.

■ ICPEs completed since 2012



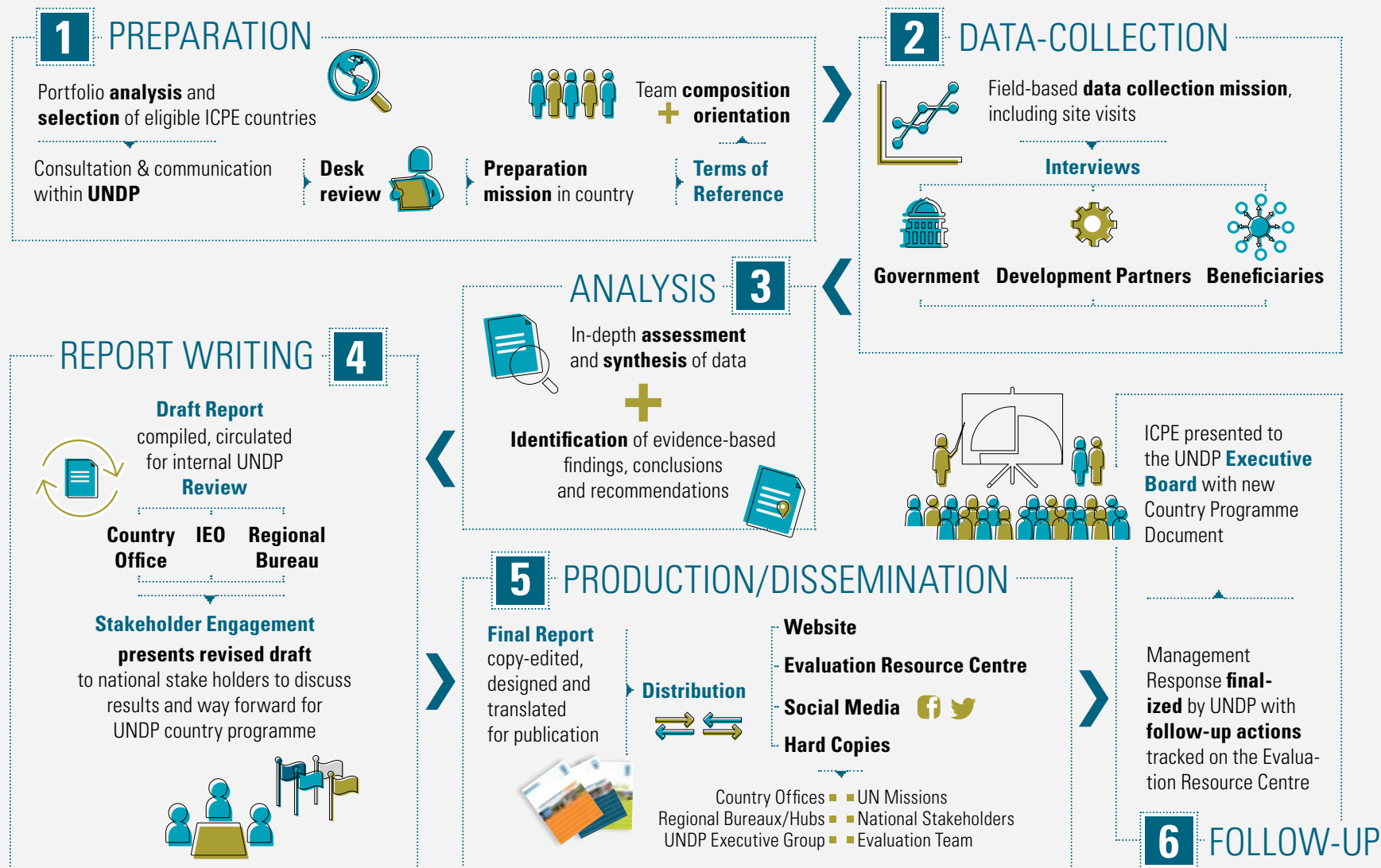
ICPE process

In 2016, the ICPEs were further transformed through a strategy to move from partial to 100 percent coverage of country offices due to submit new country programme documents to the Executive Board. This initiative seeks to respond to an Executive Board call for wider coverage of UNDP country programmes. The previous country level evaluation process is undergoing a thorough review through 2017;

the development of a sharper and briefer yet still detailed approach will be required to meet increased demand.

The new ICPE process is scheduled for full implementation in 2017. It better reflects the nature of country level evaluations in recent years, and the diversity of models to adapt evaluations to very different programme contexts.

Conducting an ICPE



chapter 3



Advancing Evaluation Practices and Awareness

■ On taking his oath of appointment as the United Nations Secretary-General, Antonio Guterres underlined independent evaluation as a pillar of accountability in all United Nations agencies in working towards the SDGs. Members of the UNDP Executive Board have reiterated this importance and have participated actively in evaluation discussions, with 34 members asking detailed questions during three board sessions in 2016. The importance of evaluation is also reflected in UNDP's increasing responsiveness to thematic and country level evaluations, ensuring that programmes and strategies are adjusted in response to findings. Robust discussions with the IEO further strengthen the transparency and learning culture of the organization.

From 2012 to 2016, the IEO provided UNDP with 90 thematic recommendations, which received 80 comprehensive management responses. The same high level of responsiveness was seen in ICPE recommendations. Since 2012, all 244 recommendations in 42 ICPEs have received management responses

from country offices and regional bureaux, with 482 key actions to be taken in response.

The IEO in 2016 played an active part in generating and sharing knowledge on evaluation, including organization of more than 20 webinars and brownbag lunches.

IEO Thematic Evaluations 2012–2016



IEO provided UNDP with
90 recommendations.



80 comprehensive management
responses received.

IEO ICPE Evaluations 2012–2016



IEO provided UNDP with **244**
recommendations in **42** ICPEs.

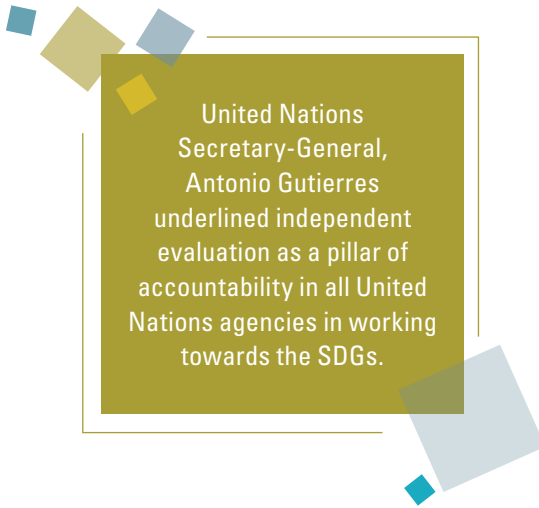


All have received management responses
from country offices and regional bureaux.



482 key actions to be
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United Nations
Secretary-General,
Antonio Gutierrez
underlined independent
evaluation as a pillar of
accountability in all United
Nations agencies in working
towards the SDGs.

The United Nations Evaluation Group

The IEO continues to support and host the UNEG, a voluntary network of 47 units responsible for evaluation in the United Nations System, including funds, programmes, specialized agencies and affiliated organizations. In addition to the Director of the IEO serving as a vice-chair of the UNEG in 2016, the IEO hosts the UNEG secretariat. In 2016, the IEO's financial contribution came to \$299,965 for UNEG staffing, including 20 percent of costs for an executive coordinator; 100 percent of costs for a programme specialist; contributions from an operations specialist, an IT specialist and other staff as well as operating costs.

Between 2014 and 2016, as a UNEG vice-chair, the Director of the IEO supported the strengthening of evaluation functions. Two

significant outputs included the updating of the UNEG Norms and Standards for Evaluation, which was previously developed in 2005, and the UNEG Evaluation Competency Framework, which was originally published in 2008. The updated norms and standards reflect the broader membership of the UNEG, and respond to changing development and evaluation priorities. These include the 2030 Agenda for Sustainable Development and the SDGs, and issues raised during the International Year of Evaluation in 2015 as well as the National Evaluation Capacity Conference. Institutional frameworks for evaluation are outlined, and standards defined for the management of the evaluation function, evaluation competencies, the conduct of evaluations and evaluation quality.

In 2016, the Director of the IEO was again elected UNEG vice-chair, responsible for system-wide initiatives and emerging demands. Work areas include the role of evaluation in the 2030 Agenda, gender equality and human rights, humanitarian evaluation, culture and evaluation, and the Independent System-wide Evaluation, under which a strategy will be developed for UNEG engagement in the implementation of the 2030 Agenda.

Global platforms to share evaluation expertise

In 2016, the IEO expanded its efforts to promote knowledge sharing and partnership

building with a significant focus on the evaluation of the SDGs and the need to address related challenges. Participating in several international discussions, the IEO contributed to exploring solutions to strengthen national evaluation capacities in general and the evaluation of the SDGs in particular. This included participation in the African Development Bank Evaluation Week, the Asian Evaluation Week, the European Evaluation Association Conference, international forums and national evaluation efforts, all of which forged connections across ideas, policy approaches and the delivery of practical results.

The 2016 Asian Evaluation Week held in Xi'an, China, was the first such event held in Asia, allowing the exchange and synthesis of ideas on the latest and applied thinking on evaluation. The week was co-sponsored by the People's Republic of China, Ministry of Finance; the Asia-Pacific Finance and Development Institute and the Asian Development Bank Independent Evaluation Department. It brought together 180 participants from 35 countries, with significant participation of Asian government representatives.

IEO engagement was part of a growing partnership with the Asian Development Bank Independent Evaluation Department, and also marks one of many steps bolstering UNDP's commitment to national evaluation capacity development. The IEO led and participated in several sessions of the event,

building on insights from the previous year's Bangkok National Evaluation Conference as well as IEO evaluations in the Asia and the Pacific region (17 country programme evaluations and 3 recent thematic evaluations). The sessions delved into issues around evaluation for better programming and national SDG assessment. The IEO also delivered a presentation on big data and smart analytics.

The African Development Bank Evaluation Week supported the strengthening of evidence-based knowledge-sharing, and brought together over 150 participants from government and intergovernmental agencies from across the continent. The IEO contributed to discussion on evaluation partnerships for the SDGs and the learning curve for independent evaluations. It shared insights on addressing challenges in evaluating the SDGs and the 2030 Agenda in development and post-conflict situations. In the Russian Federation, the IEO contributed to a technical workshop on inputs to a national monitoring and evaluation framework. The session was organized in Moscow by the World Bank and the Ministry of Finance.

The IEO collaborated with several partners to host a high-level interactive event at Wilton Park in the United Kingdom on tracking development progress and evaluating development partnerships in the post-2015 era. The event

brought together 68 development and evaluation experts, academics and decision makers from 21 countries. It provided a neutral space for debating issues, sharing knowledge, exploring methods and forging partnerships. IEO contributions to the discussions centred on achieving the SDGs for development.

Continuing its engagement with the International Program for Development Evaluation Training, the IEO addressed issues on evaluation independence and credibility. Over 100 participants, from government ministries, national commissions, non-governmental organizations, think tanks and international development agencies participated in this annual training programme.

In cooperation with the UNEG, the United Nations Children's Fund (UNICEF) and EVALSDGs, the IEO organized a side event at the UN High-level Political Forum in New York, focusing on evaluation and national SDG reporting. The session showcased the contribution of evaluation to inclusive and equitable development progress in line with the Agenda 2030 commitment to ensure that "no one is left behind." It drew participants from a range of United Nations partners, civil society, governments and academia. The IEO also took part in a regional training workshop organized by UNDP and the United Nations Institute for Training and Research

in Bangkok in October as well as the Forum International Francophone de l'Évaluation in Morocco in December.

All IEO activities during the year were coordinated to boost momentum and discussion around evaluation, Agenda 2030 and the SDGs, in light of preparations for the next National Evaluation Capacity Conference, planned for the fourth quarter of 2017 in the region of Europe and the Commonwealth of Independent States (CIS).

Communications and outreach

In 2016, the IEO effectively reached target audiences, enhanced awareness of its work, and disseminated evaluations and other products through various communications channels. These included the Internet, social media, newsletters, the Evaluation Resource Centre and webinars. To reach new audiences, and encourage broader sharing and uptake of evaluations, the IEO developed a series of innovative communications products. Evaluation summaries, data visualizations and micro-videos drew attention by concisely and creatively repackaging findings and highlights. Analytics for social media accounts and the IEO website indicated audience rates increased from 2015.



chapter 4



Decentralized Evaluations

Building decentralized evaluation capacities

Further to provisions under the new Evaluation Policy, and as directed by the UNDP Executive Board, the IEO provides wide-ranging support to decentralized evaluations carried out by UNDP programme and policy units. This includes revising guidelines and trainings, holding regional training workshops, providing oversight by monitoring evaluation implementation against evaluations plans, and offering quality assessments of the plans.

In response to Executive Board requests following a 2014 report outlining weakness and challenges in decentralized evaluations, the IEO has revitalized and expanded its activities as agreed in previous reports to the Board. In carrying out this work, and in keeping with agreed roles and responsibilities set out in the new Evaluation Policy, the IEO coordinates closely with UNDP.

Regional capacity support for decentralized evaluation



The IEO is collaborating with UNDP regional bureaux on a series of regional workshops to encourage regional evaluation support staff and country office monitoring and evaluation (M&E) focal points to identify decentralized evaluation challenges, guidance requirements and training needs. The process also aims to clarify evaluation planning and implementation requirements.

The first workshop, for the Arab States region, took place in late 2016 in Amman, Jordan, in conjunction with a regional bureau workshop supporting country programme document development and result-oriented annual reporting. The IEO assisted with the participation of 25 M&E focal points and staff from 18 country offices and seven regional staff. Aligning support to other activities in

the region reduced costs and gave the IEO the opportunity to give input into the country programme document planning process, which should help ensure improved evaluation planning. Similar workshops, aligned with other forms of planning support, are slated for 2017 in Asia and the Pacific, and Europe and the CIS.

The initial workshop in Amman found high capacity among country office evaluation focal points, yet they still requested support for decentralized evaluations. They noted that they continue to need guidance from the regional bureaux, with their work often being hindered by constrained budgets restricting the numbers of evaluations and a limited pool of independent evaluators.

Decentralized evaluation planning and budgeting

The total expenditure for the IEO and decentralized evaluations at the regional and country levels in 2016 was \$19,854,524, which was 0.44 percent of UNDP's core and non-core budget (approximate UNDP total expenditure was \$4.48 billion). This comprised three kinds of evaluation expenditures. The IEO expenditure was \$8,490,000, covering staffing and evaluation costs for ICPEs, thematic evaluations and capacity development activities, including decentralized evaluation support. Country offices disbursed \$9,724,524 on evaluation staffing and decentralized evaluations,² while regional bureaux spent \$1,640,000 on staff and evaluations.³

Total expenditure for evaluation in UNDP



Average decentralized budget costs vary considerably across regions. In Europe and the CIS, the average costs are \$20,000, while in Asia and the Pacific, the average rises to \$35,000. This is dictated by the number and types of evaluations. In general, the United Nations Development Assistance Framework (UNDAF) and outcome evaluations cost more than project evaluations, though again this varies across regions and is illustrative of different evaluation plans, numbers and strategies for evaluation implementation and use.

Decentralized evaluation implementation

In 2016, 256 evaluations were carried out in 101 UNDP country offices, along with 12 regional evaluations. There were 204 project evaluations (110 of UNDP projects, 94 of UNDP/GEF projects), 31 UNDAF and other evaluations (such as of country programme documents), and 21 outcome evaluations. GEF terminal evaluations are mandatory and made up a considerable share of evaluations in 2016. A trend apparent in country office evaluation planning is an increasing focus on mandatory evaluations, which results in GEF terminal evaluations being overly represented in evaluation plans compared to other programme/project evaluations as well as outcome areas.

Total budgets for decentralized evaluations by region, 2016 (in US\$)

	Africa	Arab States	Asia and the Pacific	Europe and the CIS	Latin America and the Caribbean	Total budget
Total decentralized evaluation budget	3,464,725	415,565	1,894,511	827,662	1,098,519	7,700,982
UNDP project evaluations	1,259,100	144,475	574,856	221,330	453,234	2,652,995
UNDP/GEF evaluations	1,025,816	26,090	713,155	494,100	436,285	2,695,446
Outcome evaluations	382,250	175,000	115,000	62,232	125,000	859,482
UNDAF and other evaluations	797,559	70,000	491,500	50,000	84,000	1,493,059

Source: Data from the Evaluation Resource Centre 2016

Number and budgets of decentralized evaluations, 2013-2016

Type of evaluation	2013		2014		2015		2016	
	Number of evaluations	Budget (US\$)	Number of evaluations	Budget (US\$)	Number of evaluations	Budget (US\$)	Number of evaluations	Budget (US\$)
UNDP project evaluations	194	4,567,504	124	2,510,384	101	2,596,717	110	2,652,995
UNDP/GEF evaluations	128	2,808,772	106	2,293,097	104	2,323,736	94	2,695,446
Outcome evaluations	45	1,347,686	27	861,881	38	1,645,555	21	859,482
UNDAF and other evaluations	20	816,523	35	1,118,538	23	957,000	31	1,493,059
Totals	387	9,540,485	292	6,785,400	266	8,073,462	256	7,700,982


Source: Data from the Evaluation Resource Centre as of 31 January 2017



The number of decentralized evaluations at the country office level is declining, with the total number falling by 34 percent between 2013 and 2016⁴ (387 evaluations to 256). The largest decline has been in project evaluations (a 48 percent decline) and outcome evaluations (a 54 percent decline). The number of UNDAF and other evaluations has increased by 55 percent. These patterns accompany a decline in decentralized evaluation budgets from \$9.5 million in 2013 to \$7.7 million in 2016,⁵ a reduction of 19 percent.

UNDP regional and policy bureaux conducted 12 evaluations in 2016, nine of which received management responses. The Bureau for Policy and Programme Support completed four project evaluations, two of which were global UNDP-GEF evaluations. The remaining eight evaluations were carried out by the Regional Bureau for Europe and the CIS (four), the Regional Bureau for Latin America and the Caribbean (two), the Regional Bureau for Africa (one) and the Regional Bureau for Asia and the Pacific (one).


Total number of country office evaluations by region, 2016



	AFRICA	ARAB STATES	ASIA AND THE PACIFIC	EUROPE AND THE CIS	LATIN AMERICA AND THE CARIBBEAN
Number of country offices >	48	18	24	22	26
UNDP project evaluations >	41	11	19	16	23
UNDP/GEF evaluations >	34	2	23	20	15
Outcome evaluations >	9	2	3	3	4
UNDAF and other evaluations >	17	1	9	1	3
Number of country offices undertaking evaluations >	38	9	19	17	18

All regions: 138 country offices

TOTALS



UNDP project evaluations >	110
UNDP/GEF evaluations >	94
Outcome evaluations >	21
UNDAF and other evaluations >	31
Number of country offices undertaking evaluations >	101

All evaluations included in country office evaluation plans are mandatory, and require a management response and key actions in response to recommendations. Of the 256 evaluations completed in 2016, 98 percent (251 evaluations) had a management response. Actual follow-up on key actions remains low, however, and often delayed, with only 46 percent of key actions between 2013 and 2016 being completed.

Assessing the quality of decentralized evaluations

After a two-year pause, the IEO restarted a revised quality assessment process of decentralized evaluations covering all 2016 outcome and project/programme evaluations (170) and a sample of 2015 evaluations (85). Through the Evaluation Resource Centre, the process gives immediate feedback on quality to regional bureaux and country offices.

The number of decentralized evaluations at the country office level is declining, with the total number falling by 34% between 2013 and 2016.

Summary of the quality assessment of decentralized evaluations, 2016 (%)						
	Highly satisfactory	Satisfactory	Moderately satisfactory	Moderately unsatisfactory	Unsatisfactory	Highly unsatisfactory
UNDP project evaluations >	0	27	45	23	4	1
UNDP/GEF terminal evaluations >	0	30	55	15	0	0

The process rates evaluations based on four areas: the quality of the terms of reference; the methodology, use of data and structure; consideration of cross-cutting issues, such as gender, human rights and minority concerns; and the quality and utility of findings, conclusions and recommendations.

Of the 255 evaluations assessed in 2016, 75 percent were found satisfactory or moderately satisfactory, in that they followed minimum criteria in the *Handbook on Planning, Monitoring and Evaluating for Development Results*. The rest, 25 percent, were found to be less than satisfactory (moderately unsatisfactory or unsatisfactory or

below). In general, GEF terminal evaluations were better in quality, which reflects detailed mandatory requirements for these evaluations that are often quite rigid and offer little interpretation. UNDP guidelines give country offices more freedom in evaluation implementation, reflecting the variety of different programmes, outcomes and types of evaluation.

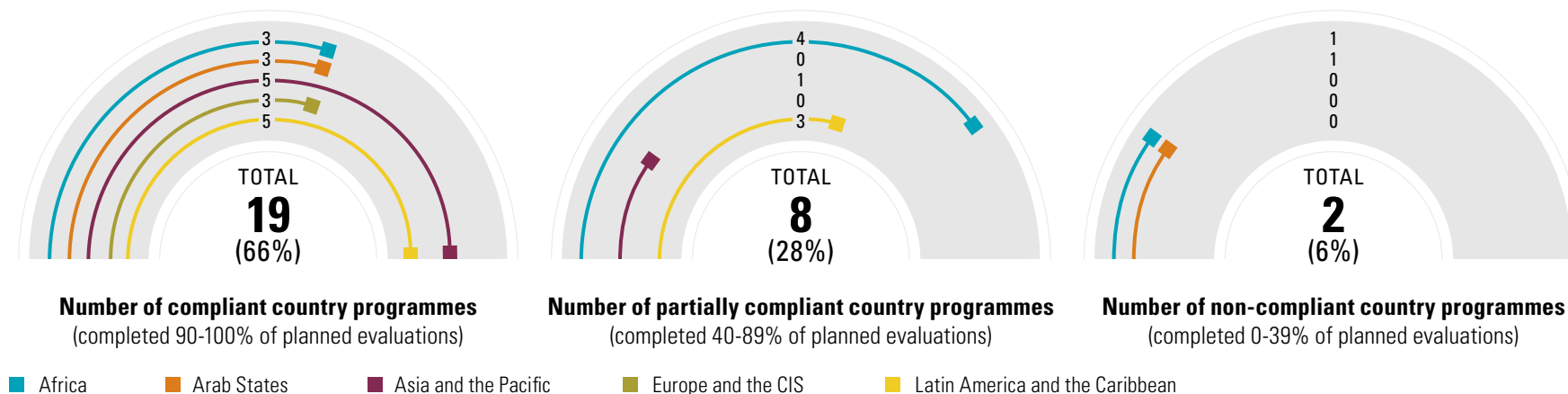
The IEO provides oversight of country evaluation plans aligned with country programme documents, to ensure compliance. In 2016,

29 country programme documents ended; of these, 19 plans, or 66 percent, were fully compliant with their evaluation plans (90 percent to 100 percent of all planned evaluations were completed). Eight plans, or 28 percent, were partially compliant (40 percent to 89 percent of planned evaluations were completed). Two plans, or 6 percent, were non-compliant, with less than 39 percent of evaluations completed.

The Evaluation Resource Centre

In 2016, the IEO conducted a major overhaul of the Evaluation Resource Centre,⁶ making it more useful for country offices. The Centre now provides access to over 3,500 evaluations and terms of reference for a wide variety of types of evaluations. A detailed roster of evaluation experts covering a range of sectors is updated on an ongoing basis.

Summary of compliance with country office evaluation plans for country programme documents ending in 2016



Source: Evaluation Resource Centre

chapter 5



Finances and Staffing

Financing

In 2016, the IEO disbursed \$8.49 million for evaluations and other institutional activities; \$8.06 million came from core resources. This represented an overspend of nearly \$600,000, which was possible due to a budget override on IEO staff costs. The Australian and Norwegian governments and the Swiss Development Cooperation Agency provided \$430,000 to support the strengthening of decentralized evaluation, among other aims.

The 2016 budget for the IEO represents only 0.172 percent of overall UNDP core and non-core funds.

Staffing

As of January 2017, the IEO had 23 staff posts, 17 international professionals and 6 general service staff. Women made up 56 percent of professional staff.

The IEO's current professional staff is extremely strong, representing 11 countries and speaking over 15 languages. Staff members have an expansive range of evaluation experiences, education and membership in professional evaluation organizations across the globe. They have worked with a wide range of multilateral agencies, both within and outside of the United Nations, including

the Asian Development Bank, African Development Bank, UNICEF, the United Nations Office on Drugs and Crime, the International Atomic Energy Agency, the United Nations Fund for Population Activities, the World Bank, the International Fund for Agricultural Development, the Organisation for Economic Co-operation and Development and a wide range of bilateral agencies.

A request has been made for a moderate expansion in staff, which includes seven additional P3, P2 and General service level positions to further strengthen the office and its strategic goals. The proposed new posts will enable formation of three main substantive IEO teams or clusters (plus the Directorate and operations team), corresponding to internal committee structures developed over the last year. Clusters would be oriented around independent country programme evaluation, headquarters/corporate evaluations, and evaluation capacity development, including quality assurance for decentralized evaluation. As the office moves towards conducting a greater number of ICPEs, enhancing decentralized support and providing a revised set of corporate reports in response to demands from the UNDP Executive Board, increased resources will be essential to maintain quality, statistical analysis functions, and communication and information management structures.

DIRECTORATE

(Director, Deputy Director, assistants)



- » Directorate Support Functions Operations (finance and human resources), ICT, communications, internal quality assurance
- » Independent Country Programme Evaluation Team
- » Headquarters/Corporate Evaluation Team
- » Evaluation Capacity Development Team



chapter 6



Engagement with the United Nations Capital Development Fund and the United Nations Volunteers

■ The IEO increased its level of support to both the United Nations Capital Development Fund (UNCDF) and the United Nations Volunteers (UNV) during 2016 and will further expand its work in 2017.

Both UNCDF and UNV evaluations are now subject to the same quality assessment process as UNDP evaluations, and the IEO will report findings from 2017 to the UNDP Executive Board. During 2017, the IEO will back the development of new strategic plans and frameworks in both organizations, ensuring an independent perspective to support future directions.

UNCDF completed two external mid-term and final project evaluations in 2016: the first on a project targeting local economic development and improved food security in Niger, and the second on a project supporting the development of inclusive finance in Lao People's Democratic Republic. Two mid-term, multi-country programme evaluations began. The first is assessing the global Local Finance Initiative, which introduces new approaches to 'last mile' infrastructure finance by the public and private sectors in Benin, Uganda and the United Republic of Tanzania. The second involves

the global CleanStart programme promoting increased financing and market development for clean and affordable energy solutions for low-income households and microentrepreneurs in Cambodia, Ethiopia, Myanmar, Nepal and Uganda. Total expenditure on evaluation in 2016 was approximately \$355,346, drawn from core and non-core resources.

With preparations for the UNCDF 2018-2021 Strategic Framework well underway, an important additional focus of the UNCDF Evaluation Unit's work in 2017 will be to provide evaluative inputs into the design of the framework and its accompanying integrated



results and resources matrix. Two external reviews will support this exercise. The first will gauge the quality and appropriateness of UNCDF's results measurement systems since 2014, and the second will synthesize the main results from eight independent evaluations commissioned by UNCDF since 2014.

The UNV budget for evaluation in 2016 was approximately \$259,000, drawn from core and non-core resources, including Special Voluntary Funds. This included the cost of one project evaluation, the first deliverables of a corporate level strategic framework evaluation and the staffing costs of one evaluation specialist. UNV has continued to provide technical support and quality assurance to decentralized project evaluations, completing the final evaluation of the UN Volunteers Asia Youth Volunteer Exchange Programme in the United Republic of Tanzania and Zambia.

In 2016, UNV began developing increased evaluation capacity. Following the recruitment of the evaluation specialist, a two-phase transitional evaluation plan was developed. The first phase will address immediate information needs, namely through evaluations of the UNV Strategic Framework 2014-2017, and UNV work to support gender equality and women's empowerment. The second phase will strengthen the evaluation function through a systematic evaluation work-planning process, and update guidance and support for decentralized evaluations.

chapter 7



Looking Forward: Plans for 2017

Thematic evaluations

In 2017, the IEO will complete its evaluation of the UNDP Strategic Plan 2014-2017, which will be finalized in time for consideration by the drafters of the Strategic Plan 2018-2021. The IEO will also deliver new overviews of core dimensions of evaluation to the UNDP Executive Board, including on:

- a. Independent country level evaluations
- b. Evaluation capacity development
- c. Quality assessment of decentralized evaluations
- d. The status of implementation of IEO recommendations

Reporting will be in line with a biennial staggering of IEO programme reporting to the Executive Board. Plans for the 2017 Board session and preliminary plans for 2018 and 2019, subject to more detailed review, include proposals for thematic evaluation topics in the multiyear evaluation plan. For more details on future plans, pending a final decision by the Executive Board, the IEO has proposed a Medium-term Evaluation Plan for the 2018-2021 cycle.

Cycle of reporting to the Executive Board									
	2017			2018			2019		
Executive Board session	Jan	Jun	Sep	Jan	Jun	Sep	Jan	Jun	Sep
Annual Report on Evaluation		X			X			X	
Medium-term Evaluation Plan			X						
Thematic evaluations				TBD*		TBD	TBD		TBD
• Anti-corruption	X								
• Disability-inclusive development	X								
• Institutional effectiveness		X							
• Strategic Plan			X						
Synthesis of independent country evaluations					X			X	
Evaluation capacity development				X					
Status of implementation of IEO recommendations				X					
Quality assessment of decentralized evaluation			X			X			X

*To be determined (TBD)

Status of implementation of IEO recommendations

In 2017, the IEO proposes to establish a mechanism to systematically track, assess and report on the implementation status of all

IEO evaluation recommendations, including country programme evaluations, regional and global evaluations, and thematic evaluations. The purpose is to further strengthen and contribute to UNDP accountability by ensuring full follow-up.

The tracking system will have the following objectives:

- To systematically collect and record the content of all management responses, including the description of recommendations, proposed actions, due dates and the status of follow-up activities until the completion of the actions; and
- To serve as the database for regular reporting to UNDP and its Executive Board on the status of implementation of all recommendations issued by the IEO.

UNDP's practice of requiring management responses began in 2006. The IEO tracking system will capture all management responses since that point.

Future independent country programme evaluations

Eight new ICPEs will take place in 2017—in Chile, Cuba, Kuwait, Namibia, the Philippines, Republic of Congo, Rwanda and Togo. Two ADRs that started in 2016 will be finalized. In 2018, the IEO plans to undertake up to 14 ICPEs, supporting 88 percent of countries submitting country programme documents

ADR/ICPE COVERAGE FROM 2012 TO 2020			
ICPE coverage of country programmes submitted to the UNDP Executive Board, 2012-2020			
Year	Country programme documents covered by ICPEs*	Country programme documents going to the Executive Board	ICPE coverage, %
2012	11	26	42
2013	2	13	15
2014	7	12	58
2015	3	29	10
2016	8	36	22
2017	10	43	23
2018	14	16	88
2019	12	12	100
2020	28	28	100

*Number of ICPEs for 2018-2020 are projected numbers for full coverage by 2019.

to the UNDP Executive Board. Future years may see considerably higher numbers of country programme documents going to the Board, requiring supporting ICPEs. While by 2019-2020 the IEO should be able to start evaluating 100 percent of the submissions, this will require a range of approaches, including some regional clustering. A major factor in achieving expanded coverage is ensuring the IEO has the resources to evaluate over twice the number of country programmes per year.

Decentralized evaluation assessment and support

Following the IEO's renewed commitment to decentralized evaluation and directions from the UNDP Executive Board, the IEO will continue closely engaging with UNDP regional bureaux in strengthening the process. This includes:

- Regional workshops in Asia and the Pacific (May 2017), Africa (June 2017), Europe and the CIS, and Latin America and the



Caribbean (July to October 2017) that support evaluation planning for country programme document cycles, implementation of evaluations, and the management and use of evaluations.

- Operation of the Evaluation Resource Centre and regular reporting to the Executive Board and UNDP on the quality of evaluations, management responses and key follow-up actions.
- Monitoring and evaluation guideline revision with improved online and face-to-face training opportunities for M&E focal points at all levels as well as programme staff.
- Oversight of regional and country office evaluation plans as well as the development of guidelines for evaluation planning.
- Continued quality assessment of decentralized evaluations; improved reporting, feedback to and oversight of regional and country offices; and targeted support to offices facing challenges.
- Strengthened support to UNCDF and UNV, including a review role for the evaluation of their forthcoming strategic frameworks as well as the inclusion of their decentralized evaluations in the quality assessment process.

National evaluation capacity

During the fourth quarter of 2017, the IEO will hold the fifth National Evaluation Capacity Conference in Europe and the CIS, following similar conferences in Bangkok (2015), São Paulo (2013), Johannesburg (2011) and Casablanca (2009). An expected 300 or more participants from more than 100 countries, United Nations agencies and international organizations will come together to outline how evaluation can be better enhanced at the national level and integrated into development policies.

While the conference will be a flagship capacity development initiative for the IEO during 2017, the office will also provide more limited support through select initiatives, including the global Evalpartners forum and regional evaluation conferences (African Evaluation Association and Asia Evaluation Week). The office will develop and pilot a diagnostic guide on assessment of national evaluation capacity needs for the SDG era.

Costed programme of work in 2017

As part of the IEO's integrated work plan, it has requested an allocation of \$10.2 million for 2017, with \$9.2 million to address

mandated core independent evaluation work, and \$1 million in additional funding for planned direct support of decentralized evaluations as well as increased coverage of UNV and UNCDF evaluations.

During the current multiyear evaluation plan, the IEO significantly changed the 'model' of its work from one in which evaluations were led by external consultants to one in which IEO staff play key lead evaluator roles. This change has heightened the overall quality of IEO evaluations, yet added considerably to the workload for IEO staff.

To deliver on the IEO's approved costed programme of work for 2017, the implementation of its proposed schedule of reporting, its role in support of decentralized evaluation and national evaluation capacity development together with its proposed expansion of ICPE coverage, the office is currently seeking a moderate expansion of staff posts. An additional seven posts would comprise two at the General Service level and five at the P3 and P2 levels. These will strengthen the current committee structure—independent country programme evaluation, headquarters/corporate evaluations, and evaluation capacity development, including quality assurance for decentralized evaluation.

annexes

ANNEX 1. SNAPSHOT OF IMPLEMENTATION, BUDGETS AND QUALITY, 2013 TO 2016

Global snapshot of decentralized evaluation

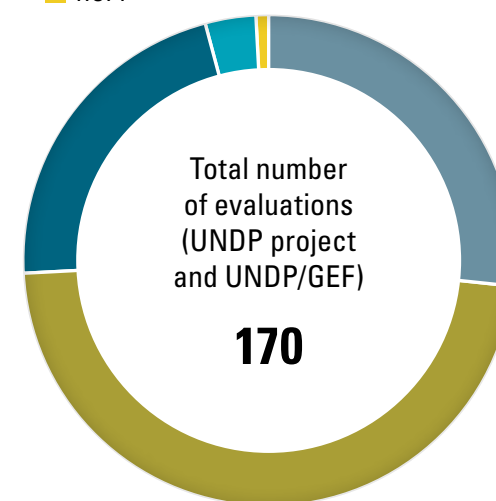
Number of evaluations, 2016				
	2013	2014	2015	2016
Total number of evaluations	387	292	266	256
UNDP project evaluations	194	124	101	110
UNDP/GEF evaluations	128	106	104	94
Outcome evaluations	45	27	38	21
UNDAF and other evaluations	20	35	23	31

Evaluation budgets, 2013 to 2016					
	2013, \$	2014, \$	2015, \$	2016, \$	Average budget 2016, \$
Total evaluation budget	9,540,485	6,785,400	8,073,462	7,700,982	28,093
UNDP project evaluations	4,567,504	2,510,384	2,596,717	2,652,995	21,528
UNDP/GEF evaluations	2,808,772	2,293,097	2,323,736	2,695,446	25,603
Outcome evaluations	1,347,686	861,881	1,645,555	859,482	44,060
UNDAF and other evaluations	816,523	1,118,538	957,000	1,493,059	49,905

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations—total for regional bureaux and headquarters

- HS: 0
- S: 46
- MS: 80
- MU: 37
- U: 6
- HU: 1



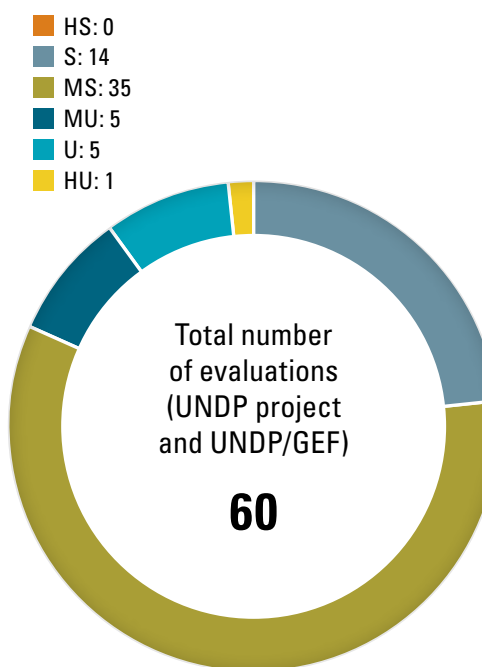
Africa snapshot of decentralized evaluation in 2016

Number of evaluations, 2016						
	2013	2014	2015	2016	Global number of evaluations, 2016	Regional share of global total in 2016, %
Total number of evaluations	123	96	76	101	256	39.45
UNDP project evaluations	71	38	24	41	110	37.27
UNDP/GEF evaluations	27	28	24	34	94	36.17
Outcome evaluations	18	11	19	9	21	42.86
UNDAF and other evaluations	7	19	9	17	31	54.84

Evaluation budgets, 2013 to 2016							
	2013, \$	2014, \$	2015, \$	2016, \$	Global budget in 2016, \$	Regional share of global budget in 2016, %	Average budget in the region in 2016, \$
Total evaluation budget	3,859,279	2,667,982	2,970,091	3,464,725	7,700,982	44.99	34,304
UNDP project evaluations	2,058,495	956,256	903,948	1,259,100	2,652,995	47.46	30,710
UNDP/GEF evaluations	664,398	729,989	696,073	1,025,816	2,695,446	38.06	30,171
Outcome evaluations	553,386	339,782	805,070	382,250	859,482	44.47	42,472
UNDAF and other evaluations	583,000	640,455	565,000	797,559	1,493,059	53.42	46,915

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations



Number of evaluations over years: 170
Regional share of global total: 35.29%

Arab States snapshot of decentralized evaluations in 2016

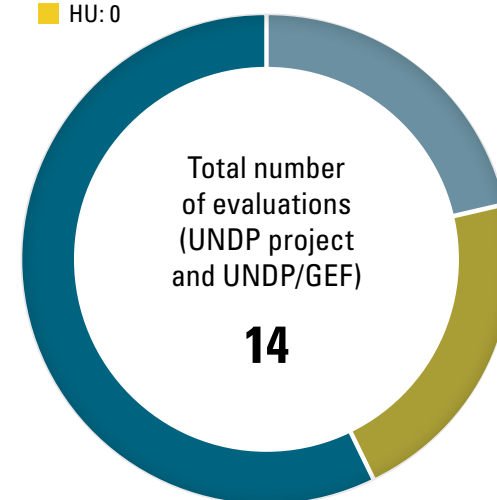
Number of evaluations, 2016						
	2013	2014	2015	2016	Global number of evaluations, 2016	Regional share of global total in 2016, %
Total number of evaluations	36	33	32	16	256	6.25
UNDP project evaluations	19	19	14	11	110	10.00
UNDP/GEF evaluations	11	11	12	2	94	2.13
Outcome evaluations	4	1	4	2	21	9.52
UNDAF and other evaluations	2	2	2	1	31	3.23

Evaluation budgets, 2013 to 2016							
	2013, \$	2014, \$	2015, \$	2016, \$	Global budget in 2016, \$	Regional share of global budget in 2016, %	Average budget in the region in 2016, \$
Total evaluation budget	1,044,185	822,928	766,166	415,565	7,700,982	5.40	25,973
UNDP project evaluations	617,185	561,019	215,712	144,475	2,652,995	5.45	13,134
UNDP/GEF evaluations	227,000	216,709	295,454	26,090	2,695,446	0.97	13,045
Outcome evaluations	185,000	18,000	75,000	175,000	859,482	20.36	87,500
UNDAF and other evaluations	15,000	27,200	180,000	70,000	1,493,059	4.69	70,000

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations

HS: 0
 S: 3
 MS: 3
 MU: 8
 U: 0
 HU: 0



Number of evaluations over years: 170
 Regional share of global total: 8.24%



Asia and the Pacific snapshot of decentralized evaluations in 2016

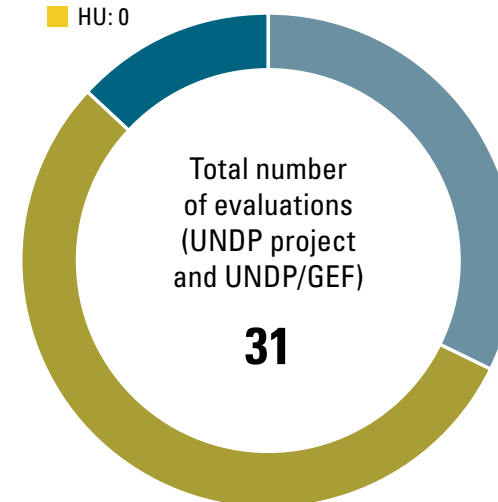
Number of evaluations, 2016						
	2013	2014	2015	2016	Global number of evaluations, 2016	Regional share of global total in 2016, %
Total number of evaluations	79	60	63	54	256	21.09
UNDP project evaluations	37	29	27	19	110	17.27
UNDP/GEF evaluations	35	25	28	23	94	24.47
Outcome evaluations	6	2	5	3	21	14.29
UNDAF and other evaluations	1	4	3	9	31	29.03

Evaluation budgets, 2013 to 2016							
	2013, \$	2014, \$	2015, \$	2016, \$	Global budget in 2016, \$	Regional share of global budget in 2016, %	Average budget in the region in 2016, \$
Total evaluation budget	2,246,305	2,038,193	2,127,818	1,894,511	7,700,982	24.60	35,084
UNDP project evaluations	920,906	982,773	741,354	574,856	2,652,995	21.67	30,256
UNDP/GEF evaluations	948,399	752,420	765,879	713,155	2,695,446	26.46	31,007
Outcome evaluations	327,000	135,000	468,585	115,000	859,482	13.38	38,333
UNDAF and other evaluations	50,000	168,000	152,000	491,500	1,493,059	32.92	54,611

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations

- HS: 0
- S: 10
- MS: 17
- MU: 4
- U: 0
- HU: 0



Number of evaluations over years: 170
Regional share of global total: 18.24%

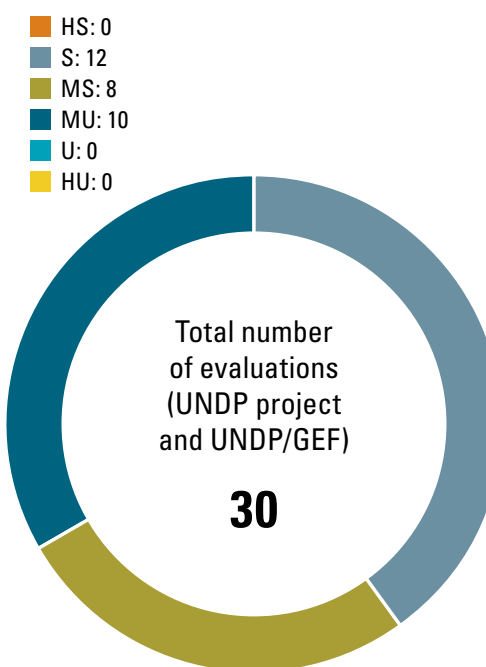
Europe and the CIS snapshot of decentralized evaluations in 2016

Number of evaluations, 2016						
	2013	2014	2015	2016	Global number of evaluations, 2016	Regional share of global total in 2016, %
Total number of evaluations	67	45	45	40	256	15.63
UNDP project evaluations	29	19	17	16	110	14.55
UNDP/GEF evaluations	27	16	16	20	94	21.28
Outcome evaluations	8	6	9	3	21	14.29
UNDAF and other evaluations	3	4	3	1	31	3.23

Evaluation budgets, 2013 to 2016							
	2013, \$	2014, \$	2015, \$	2016, \$	Global budget in 2016, \$	Regional share of global budget in 2016, %	Average budget in the region in 2016, \$
Total evaluation budget	1,342,950	746,510	957,120	827,662	7,700,982	10.75	20,692
UNDP project evaluations	571,411	268,400	284,977	221,330	2,652,995	8.34	13,833
UNDP/GEF evaluations	533,003	275,607	350,243	494,100	2,695,446	18.33	24,705
Outcome evaluations	205,300	128,801	221,900	62,232	859,482	7.24	20,744
UNDAF and other evaluations	33,236	73,702	100,000	50,000	1,493,059	3.35%	50,000

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations



Number of evaluations over years: 170
Regional share of global total: 17.65%

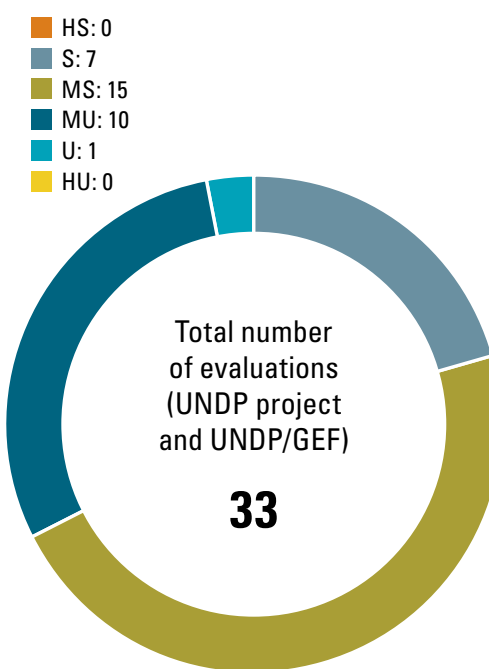
Latin America and the Caribbean snapshot of decentralized evaluations in 2016

Number of evaluations, 2016						
	2013	2014	2015	2016	Global number of evaluations, 2016	Regional share of global total in 2016, %
Total number of evaluations	82	58	50	45	256	17.58
UNDP project evaluations	38	19	19	23	110	20.91
UNDP/GEF	28	26	24	15	94	15.96
Outcome evaluations	9	7	1	4	21	19.05
UNDAF and other evaluations	7	6	6	3	31	9.68

Evaluation budgets, 2013 to 2016							
	2013, \$	2014, \$	2015, \$	2016, \$	Global budget in 2016, \$	Regional share of global budget in 2016, %	Average budget in the region in 2016, \$
Total evaluation budget	2,091,951	1,332,715	1,252,267	1,098,519	7,700,982	14.26	24,412
UNDP project evaluations	1,016,692	302,955	450,726	453,234	2,652,995	17.08	19,706
UNDP/GEF evaluations	662,972	535,081	511,541	436,285	2,695,446	16.19	29,086
Outcome evaluations	262,000	258,298	150,000	125,000	859,482	14.54	31,250
UNDAF and other evaluations	150,287	236,381	140,000	84,000	1,493,059	5.63	28,000

Quality assessment of decentralized evaluations, 2016

2016 UNDP project and UNDP/GEF evaluations



Number of evaluations over years: 170
Regional share of global total: 19.41%

ANNEX 2. GLOBAL MONITORING AND EVALUATION CAPACITY, 2013 TO 2016

UNDP global				
	2016	2015	2014	2013
Number of country offices	136	136	136	137
Share of countries with M&E capacity, %	56	52	60	45
Number of M&E specialists	76	83	105	71
Number of regional M&E specialists	12	13	14	11

ANNEX 3. REGIONAL MONITORING AND EVALUATION CAPACITY, 2013 TO 2016

	Africa				Arab States				Asia and the Pacific				Europe and the CIS				Latin America and the Caribbean			
	2016	2015	2014	2013	2016	2015	2014	2013	2016	2015	2014	2013	2016	2015	2014	2013	2016	2015	2014	2013
Number of country offices	46	46	46	46	18	18	18	18	24	24	24	24	22	22	22	23	26	26	26	26
Share of countries with M&E capacity, %	50	52	50	57	67	50	100	50	58	63	71	38	59	32	27	17	54	62	69	54
Number of M&E specialists	25	24	23	26	12	14	28	9	18	20	23	14	23	9	6	4	17	16	25	18
Number of regional M&E specialists	2	3	3	2	2	3	3	1	1	1	2	3	5	3	2	4	2	2	4	1

ANNEX 4. 2016 AVERAGE BUDGETS FOR EVALUATIONS (COUNTRY OFFICES)

Number of evaluations, 2016						
	Africa	Arab States	Asia and the Pacific	Europe and the CIS	Latin America and the Caribbean	Regional bureaux
Average cost, all evaluations, \$	34,304	25,973	35,084	20,692	24,412	28,093
Average cost, UNDP project evaluations, \$	30,710	13,134	30,256	13,833	19,706	21,528
Average cost, UNDP/GEF evaluations, \$	30,171	13,045	31,007	24,705	29,086	25,603
Average cost, outcome evaluations, \$	42,472	87,500	38,333	20,744	31,250	44,060
Average cost, UNDAF and other evaluations, \$	46,915	70,000	54,611	50,000	28,000	49,905

Source: Data from the Evaluation Resource Centre as of 31 January 2017



ANNEX 5. MEMBERS AND KEY ACTIVITIES OF THE EVALUATION ADVISORY PANEL IN 2016

Member	Country	Evaluations and activities supported
Michael Bamberger	United Kingdom	ADR Albania, methodological guidance for the Strategic Plan evaluation
Rachid Benmokhtar Benabdellah	Morocco	Panel member, evaluation side events, UN High-level Political Forum
Chen Zhaoying	China	ADR Viet Nam, ADR Kyrgyzstan, ADR Pakistan
Zenda Ofir	South Africa	ADR Ethiopia, participant at the High-level Political Forum 'networking and experience-sharing' session
Ray Rist	United States of America	Institutional effectiveness, Strategic Plan evaluation
Thomas Schwandt	United States of America	Anti-corruption evaluation, Strategic Plan evaluation, Occasional Paper review, participant at the High-level Political Forum 'networking and experience-sharing' session
Elliot Stern	United Kingdom	Guidance for quality assurance on decentralized evaluation and methodological inputs for thematic evaluations
Daniel Weiner	United States of America	ADR Somalia
Osvaldo Feinstein	Argentina	Newly appointed in 2017
Paulo Jannuzzi	Brazil	Newly appointed in 2017
Gelase Rwabyo Mutahaba	United Republic of Tanzania	Newly appointed in 2017
Olga Schetinina	Ukraine	Newly appointed in 2017

ENDNOTES

¹ The speech of the Secretary-General to the United Nations General Assembly, December 2016. See: www.un.org/sg/en/content/sg/speeches/2016-12-12/secretary-general-designate-ant%C3%B3nio-guterres-oath-office-speech.

² Country office staff and evaluation budget data from the UNDP Bureau for Programme and Policy Support, drawn from the 2016 Results-Oriented Annual Report.

³ IEO calculation based on Evaluation Resource Centre evaluation budgets and staffing numbers reported by regional bureaux.

⁴ Based on Evaluation Resource Centre data as of 31 January 2017.

⁵ As reported in the Evaluation Resource Centre by country offices for 2016.

⁶ See: www.erc.undp.org.







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