

# **The 11<sup>th</sup> ODA Evaluation Workshop**

**Manila, 26 - 27 November, 2012**



**JAPAN**

Official Development Assistance















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**Co-chairs' Summary**  
**The 11<sup>th</sup> ODA Evaluation Workshop in Manila on Nov. 26-27, 2012**  
**Co-hosted by**  
**Ministry of Foreign Affairs, Japan**  
**And**  
**National Economic and Development Authority, Republic of the Philippines**

The 11<sup>th</sup> ODA Evaluation Workshop was held in Manila, the Philippines, on November 26 and 27, 2012, and was jointly hosted by the Government of Japan and the Government of the Philippines.

**1. Opening Session**

Opening and welcoming remarks were delivered respectively by representatives of the two co-hosts: Mr. Akira Fukushima, Deputy Director-General of the International Cooperation Bureau at the Ministry of Foreign Affairs (MOFA), Japan, and Mr. Rolando Tungpalan, Deputy Director-General of the National Economic and Development Authority (NEDA), the Philippines. This workshop was co-chaired by Mr. Naonobu Minato, Director of the ODA Evaluation Division at MOFA and Mr. Roderick Planta, Director of Project Monitoring Staff at NEDA. Mr. Minato explained the background to this workshop and Mr. Planta outlined the program for the two days of sessions.

To open the workshop, Mr. Atsushi Sasaki, Director General of the Evaluation Department at the Japan International Cooperation Agency (JICA) made a presentation describing the outline and features of JICA's operations evaluation.

**2. Session 1: Development of Human Resources for Enhancing Evaluation Capacities**

In this session, human resource development (HRD) for enhancing evaluation capacities was discussed. First, a presentation was made by Mr. Tara Sapkota, Undersecretary of the Ministry of Finance, Nepal. Mr. Indrasathi Muniandy, Treasurer of the Malaysian Evaluation Society (MES), moderated the discussion that followed the presentation.

Discussions by participants and moderation focused around the following themes and points related to human resource development in



evaluation:

(1) There is a greater need to develop and improve both the conceptual and practical framework for Monitoring & Evaluation (M&E) for the participating countries including Nepal;

(2) Efforts should be streamlined and institutionalized to educate, train and coach officers and personnel involved in M&E to evaluate development projects and operate budget programs and activities by providing simple, practical and flexible guidelines such as operational steps, methods and tools;

(3) There is a need to enhance skills and knowledge in methodology for data collection and analysis, as well as techniques of preparing evaluation reports in useful manner;

(4) The right kind of incentives and rewards need to be identified for those who have excellent track record in M&E in order to sustain interest and motivation, as well as providing right incentives for the organizations to invest in HRD for evaluation capacity development (ECD);

(5) Greater efforts to establish and harmonize evaluation standards, ethics, codes of conduct and competencies among the participating countries. Perhaps Evaluation Societies in member countries can play a proactive role in this matter;

(6) Recognizing the fact there is a lack of trained personnel in the supply side, while demand for M&E is increasing, participating countries should design comprehensive road maps for training on ECD, as well as carrying out need assessments and gap analysis to design comprehensive training modules in M&E;

(7) To further enhance the level of competency in M&E, university programs should be introduced to accredit and certify evaluators according to their level of competency.

### **3. Session 2: Development of Institutions for Enhancing Evaluation Capacities**

In the second session, two presentations were made on efforts and challenges for enhancing institutional evaluation capacities: the first was by Ms. Yohandarwati Arifiyatno, Director for Sectoral Development Performance Evaluation, BAPPENA, Indonesia, and the second was by one of the co-chairs, Mr. Roderick Planta of NEDA, the Philippines. Mr. Kabir Hashim, a Member of Parliament of Sri Lanka and member of the Sri Lanka Evaluation Association, as well as a board member of the International Development Evaluation Society (IDEAS), moderated the discussion that followed the presentations.

The two presentations evoked a lot of interest and many questions were raised. Some of the main issues raised were:

- 1) The PDCA (Plan - Do – Check – Act) cycle and the role of M&E in Indonesia and the Philippines;
- 2) Institutional problems including frequent personnel rotation in governments and a lack of communication among different organizations;
- 3) The evaluation culture and social context in each country;
- 4) Utilization of the log-frame and results framework;
- 5) Making effective feedback to policymakers and high levels of governments;
- 6) Generic and national institutional capacity building as opposed to donor-driven project-based and thematic-based capacity building;
- 7) The role of academia and evaluation societies.

### **4. Session 3: The Role of the APEA Network and its Future Possibilities**

In Session 3, the participants discussed the role and future possibilities of the newly established Asia Pacific Evaluation Association (APEA) as the first evaluation network in the Asia Pacific region. Presenters were two of the leading members of the APEA: Prof. Ryokichi Hirono, Senior Advisor of the Japan Evaluation Society (JES) and Dr. Champak Pokharel, President of the Nepal Evaluation Society (NES). They outlined the background to the establishment of the APEA and provided updates on its development, as well as its expected work plans and the possibility of cooperation with countries in the region. Dr. Romeo Santos, President of the

Pilippinas Development Evaluators Association (PHILDEV) and another leading member of the APEA moderated the discussion that followed the presentations.

Participants made various comments on points that included:

- 1) The historical significance of establishing the APEA;
- 2) The vision of the APEA to promote Asia-Pacific value-added;
- 3) Expected actions of the APEA for solving evaluation problems in the region and its prioritization of its actions;
- 4) Sustainability of the APEA including in the financial aspect;
- 5) The importance of good relations with governments of the countries of the region and international development organizations;
- 6) The current thrust of the APEA;
- 7) Cooperation with other international and regional evaluation associations of comparative strength.

#### **5. Session 4: The Emerging Agenda and Challenges for Evaluation**

In this session, the emerging agenda and challenges for development evaluation in the 21<sup>st</sup> century were discussed with enthusiastic and active participation from everyone. Ms. Susan D. Tamondong, Vice President of International Development Evaluation Association (IDEAS) opened the session, by relating the discussions of previous day to her presentation on this topic. She provided several references on this topic and posed some enduring evaluation questions at the end of her presentation, for further analysis and research. Mr. John Samy, originally from Fiji and a former Asian Development Bank (ADB) official, moderated the open forum that followed after Ms. Tamondong's presentation.

Questions and comments were made by participants mainly on the following points:

- 1) New trends in evaluation, such as focusing more on sector wide approaches (SWAs) rather than on projects alone;
- 2) Harmonization and making evaluation into a learning process rather than police work and making evaluation meaningful and effective rather than it being treated as nuisance to government;
- 3) Policy coherence, not only among organizations commissioning evaluations but also within and between governmental ministries, and how to achieve it;



4) New evaluation methods to maximize learning and the importance of impact evaluation;

5) Attribution and how to address the difficulty of identifying the causal relationships and impact of development, through evaluation design;

6) And most importantly, ethics and equity, which increasingly play a very important role in evaluation work for the 21<sup>st</sup> Century. The code of ethics among evaluation associations serves as guide among young and expert evaluators to promote quality and equitable evaluations.

## **Record of Discussion**

### **1. Opening Session**

#### **1.1 Welcome & Opening Remarks by Co-Hosts**

The 11<sup>th</sup> ODA Evaluation Workshop was opened by co-host Mr. Akira Fukushima, Deputy Director-General of the International Cooperation Bureau at the Ministry of Foreign Affairs (MOFA), Japan. He stated that evaluation capacities of development partners was of even greater importance than ever for the implementation of effective development cooperation with only a few years left until the target date for the Millennium Development Goals.

This was followed by a speech by the other co-host, Mr. Rolando Tungpalan, Deputy Director-General of the National Economic and Development Authority (NEDA), the Philippines. He stated that quality of evaluation requires greater enforcement and that every nation participating in the workshop could expect to gain valuable information which would apply to the issues that each nation needs to solve. He concluded his welcome address by stating that participants should make fullest possible use of the opportunity presented by the 11<sup>th</sup> ODA Evaluation Workshop by having productive discussion.

#### **1.2 Welcome Address and Introduction by Co-Chairs: Background and Program of the Workshop**

Mr. Naonobu Minato, Director of the ODA Evaluation Division, Minister's Secretariat, MOFA, Japan, welcomed all the participants to the 11th ODA Workshop as co-chair.

Mr. Minato initiated his presentation by outlining a brief history and the missions of the ODA Evaluation Workshop. The main focus of this year's workshop is to enhance human and institutional capacities for development and evaluation in each country, as well as to enforce mutual cooperation

among countries, international organizations and evaluation associations. He also discussed the important elements of aid effectiveness and evaluation such as establishment of a PDCA cycle, within which planning, implementation, evaluation and feedback of evaluation results will be duly conducted.

Mr. Roderick Planta, Director of the Project Monitoring Staff at NEDA, the Philippines, introduced the agenda of the workshop and how the discussion after presentations in each session would proceed with the guidance of the moderators.

### **1.3 Presentation on JICA's Evaluation**

*Mr. Atsushi Sasaki, Director General, Evaluation Department, Japan International Cooperation Agency (JICA)*

Mr. Sasaki gave a presentation regarding JICA's evaluation. JICA has set two major objectives: one is to improve development effectiveness, and another is to maintain accountability. He noted that MOFA conducts policy-level evaluations while JICA evaluates its operations. He then described how evaluation is performed using a PDCA cycle, according to the criteria of the Development Assistance Committee (DAC). He also clarified that ex-post evaluations include ratings, and that the evaluation results, recommendations and lessons are all directly shared with partner countries' agencies. He concluded his presentation by stressing that the driving force behind development effectiveness is planning, monitoring and evaluation, which will lead to accountability. All evaluation reports are disclosed on the JICA website.

## **2. Session 1: Development of Human Resources for Enhancing Evaluation Capacities**

*Moderator: Mr. Indrasathi Muniandy, Malaysia Evaluation Society (MES)*

*(Mr. Mahbubur Rahman, Deputy Secretary of the Economic Relations*



*Division at the Ministry of Finance, Bangladesh, was scheduled to give a presentation, but was absent due to unavoidable circumstances. His presentation materials were provided to all participants)*

## **2.1 Presentation: Development of Human Resources for Enhancing Evaluation Capacities**

*Mr. Tara Prasad Sapkota, Under Secretary, Ministry of Finance, Nepal*

Mr. Sapkota gave a presentation on Development of Human Resources for Enhancing Evaluation Capacities.

He began his presentation with an overview of HRD. HRD consists of acquisition, development, motivation and maintenance of human resources. HRD is a component of Human Resource Management (HRM) that focuses on 'nurturing' an employee's skills. HRD encompasses various elements such as critical thinking and personal motivation, which help to enhance human capacities for the overall effectiveness of an organization. He then showed a chart of topical areas of HRD, each of which can be laid out between four axes of internal focus, external focus, control focus, and flexibility focus.

He then clarified how evaluation works. Evaluation signifies a comprehensive and detailed examination and is closely associated with critical thinking. It uses systematic data collection and analysis to address questions about how well government programs and policies are working, whether they are achieving their objectives, and, no less importantly, why they are effective or not. Evaluation should be an integral part of planning, developing, managing and implementing government programs at all stages.

He then elaborated on his speech thus far by linking HRD and evaluation capacities. The relationship between HRD and evaluation can be strengthened by various elements such as mentoring and coaching, giving training, fostering joint work, harmonizing evaluation approaches and promoting analytical skills and critical thinking.

He moved, then, to the situation in Nepal where there is no separate cadre

for evaluation, and there are no effective evaluation mechanisms or specific qualifications for those who are assigned as evaluators, although each line Ministry does have an evaluation and monitoring division. These monitoring and evaluation divisions are not considered to be the high priority divisions due to their ineffectiveness in carrying out their functions. There is also lack of clarity in their roles and responsibilities. However, due to the Management Information System, open democracy, result-based management and international involvement in development activities, demand-side evaluation practices are increased dramatically but the supply side of evaluation is so limited.

He then raised various issues and challenges in monitoring and evaluation practices that Nepal faces at present, such as a weak evaluation culture, weak citizen involvement, and weak leadership commitment. He concluded his presentation by stating that a sample standard for “good” program evaluation outlines achieved by proper HRD is represented by utility, feasibility, propriety and accuracy.

## **2.2 Discussion**

With Mr. Muniandy as Moderator, various opinions were offered by participants who shared similar issues to those in the case of Nepal.

**Question:** From our own experience, we know that a lack of data is a very serious problem for evaluation. In Nepal, what are the problems regarding data collection? And what is the culture regarding evaluation? I know that this is still insufficient in many countries. It is important for the people of each country and for all Ministries, but in some cultures, evaluation may be seen as being aimed at individuals, and not at the whole policy.

**Answer:** The number of evaluations in practice has been increasing, but it is not at an individual level. There is also a lack of human resources. A lack of communication is also a barrier to collecting data (such as poor telecommunication systems).

**Comment:** Focusing on human resources is important. In terms of data

collection, a lack of time and human resources is the problem. This is why reports are not of good quality.

**Question:** There seems to be a lack of independent evaluation. How is quality maintained? The presentation also stated that the critical path is important, which should come at the end. But in projects, it comes first, so what do you think about the difference in these situations?

**Answer:** Each project management team is evaluated as a unit in Nepal. In Nepal, independent evaluation by a third party is rare, and evaluations are only practiced by the government.

**Comment:** A compromise must be made between independence and objectivity.

**The Moderator** shared his questions with the floor;

- 1) How does the government assign a budget to individual evaluations?
- 2) Legal and policy framework must be prioritized, but is there really a need to legalize a system that is already working?
- 3) How do we motivate the government?

**Comment:** Nepal's problem is not unique. In Sri Lanka, although there are strong evaluation institutions, there are problems regarding capacity. Even if the country directs its budget into capacity building, there is still a lack of training facilities and certified trainers. How should we determine certified trainers since most officials have limited experience?

**Comment:** Japan has started certifying evaluators, but the institution that certifies them must be well-received, well-recognized by the public. There is a need for international agreement to acknowledge good evaluators, and discussions should be made on how to certify them.

**Comment:** Nepal is an actively leading country, well honored by the ADB. But if there is no demand, there is no supply. Because there are not sufficient jobs for evaluators, they may end up working mainly in other areas. The



development of the supply side is also important.

**The Moderator** commented that nothing is being done to certify evaluators so far, and states can do more. Technique, management, and equity are important in increasing the scale of human capacity. For example in Malaysia, the government does conduct training, but this should be more focused on government officials.

***Comment:*** In the Philippines, the evaluation culture is weak like that in many other countries. The current practice is based on resources, but elevating the capacity of people is necessary. Evaluation associations must play a role in raising the awareness of the people in order to bring changes, which will then lead to changes in the evaluation culture.

***Comment:*** Fiji still needs to strengthen its evaluation culture. As Fiji and the donors perform different evaluations, there is a lack of synergy.

**The Moderator** answered that each country is at a different level, and called to the floor to share some views on how to harmonize our footing.

***Comment:*** IDEAS has been working on core competencies. For example, some universities have master's degree programs, and the ADB and other associations have their own. APEA could play the role in harmonizing their footage.

***Comment:*** Planning and monitoring schemes for evaluation were introduced recently in Bhutan. Implementation on bilateral aid was not very successful, but it went well for some multilateral cases.

***Comment:*** Cambodia started Monitoring and Evaluation (M&E) in 2005, although it was not fully-fledged. This is conducted by the Planning and Finance Ministry, but the plan was not very successful due to limited human resources. Other agencies started afterwards. However, they were not that impressive either. There is a need for more support from partners. UNICEF's monitoring seems to be more of a review. Some agencies are starting to learn from NEDA of the Philippines. M&E is still challenging for Cambodia.

**The Moderator** pointed out the need for a road map, to encourage people to join in the field of evaluation, and asked the floor for comments on this view.

***Comment:*** Human resources are very important capital. There is still a long way to go to achieve harmonization. Evaluation practitioners are not categorized, so nobody knows who the experts are.

***Comment:*** An ethical code of conduct is important. All societies should work together with the World Bank (WB) and the ADB to develop this scheme.

**The Moderator** asked the floor for views on standards of ethical conduct.

***Comment:*** For Indonesia, there is a need to realize that framework of evaluation is different depending on the country. Categorizing should come first. Then, staff training and developing skills become important. APEA can play an important role in solving this problem.

***Comment:*** In Malaysia, outcome-based evaluation is considered to be different from other forms of evaluation.

**The Moderator** proposed to come back to the topic of human resources. He made the point that incentives are important in sustaining human resources, and requested the floor to provide some examples of possible incentives.

***Question:*** In Fiji, organizations have been losing trained staff due to personnel transfers. How do other countries address this problem? We would like to see examples of training program coordination with countries and donors.

***Comment:*** I disagree about the necessity for incentives. The working culture and system should play the main role in keeping human resources. Money, especially should not serve as a particular incentive.

***Comment:*** The APEA conference to be held in Chiang Mai next month will produce a declaration. This intends to make the objectives clear. A code of

conduct is important, not money incentives. In Japan, the Policy Evaluation Act was enacted in 2002. This is for internal evaluation. However, external evaluation is far more independent and disciplined. Attention from the media also could act as an incentive. Academic degrees can act as incentives as well.

***Comment:*** The problem of incentives is a never-ending issue. There should be degrees of separate levels. In Nepal, trained human resources are lost due to the 2-year cycle of personnel transfers.

***Comment:*** In Pakistan, meetings are held regarding planning projects. But the targets are set by donors and implementing agencies.

***Comment:*** Projects should be well-documented, and a special framework is needed to set an example to successors.

***Comment:*** There is a trend in Papua New Guinea of thinking that evaluation is for the donors. Since evaluation is a new practice, there are no local specialists.

***Comment:*** NEDA has been making reviews regarding resources and outcomes. It is necessary to be able to see that resources are being used efficiently. Commitment of the people is vital for M&E. NEDA has been providing training to government officials. All independent agencies must understand the importance of data, and that evaluation is the key to using resources efficiently.

**The Moderator** closed the session by referring once again to the topics under discussion: human resources and M&E capacity. It is essential to focus on the training, skill, and experience of people. For this purpose, a curriculum is needed. Incentive schemes and human capital development are also major issues.

-----Lunch Break-----

### **3. Session 2: Development of Institutions for Enhancing Evaluation Capacities**

*Moderator: Mr. Kabir Hashim, International Development Evaluation Association (IDEAS)*

#### **3.1 Presentation: Institution Capacity Building, Monitoring and Evaluation Development in Indonesia**

*Ms. Yohandarwati Arifiyatno, Director for Sectoral Development Performance Evaluation, National Development Planning Agency (BAPPENAS), Indonesia*

Ms. Arifiyatno gave a presentation on Institution Capacity Building: Monitoring and Evaluation Development in Indonesia.

She began her presentation by providing a brief outline of BAPPENAS of Indonesia. BAPPENAS is mandated to evaluate development performance, establish a monitoring and evaluation framework, check M&E results and follow up problems. BAPPENAS' missions comprise three major elements. It establishes qualified national development plans, conducts M&E on the performance of national development plan implementation, as well as quality research and evaluation on development policies, issues, and problems, and finally conducts effective coordination with line Ministries, local governments, and other related entities. The role played by the Deputy Minister for Development Performance Evaluation is one of policy formulation and implementation of national development performance evaluation.

Ms. Arifiyatno then explained the current situation of development performance evaluation in Indonesia. Various regulations exist for the similar purposes of controlling and evaluating development implementation. Different systems are developed by different Ministries/Agencies, even though they may be using the same data and information. Yet, improvements have been seen toward creating an integrated M&E system to serve the needs of M&E players without the burdening implementing

Ministries/Agencies.

She then elaborated on the mandate to evaluate national development plan. Under the mandate (a law and a government regulation), evaluation of national development performance is conducted to assess the implementation of the line Ministries' work plan and strategic plan, the government's yearly work plan (RKP), and mid-term achievements of the Short-Term Development Plan (RPJMN). The planning cycle and framework of M&E was displayed. There are many criteria and indicators, but evaluation focuses mainly on outcome basis. So far, for the first two years, evaluation has only been conducted twice a year and not for every quarterly period.

She then provided a definition of capacity building by quoting the explanations of the UNDP and the ADB, in which the importance of institutional capacity building was emphasized.

Next, she explained the M&E results of Annual Evaluation of the RKP 2011, and Mid-term Evaluation of the RKP 2012. These evaluation results have not been fully utilized by the Government. She also explained the details of each of the stages of the PDCA cycle. Meanwhile, she described how the PDCA matrix is unbelievably unreasonable and detached from logical thinking.

Ms. Arifiyatno then raised the following problems relating to evaluation:

- No reward or recognition is associated with the implementation of the related law, which leads to low response;
- Lack of use of evaluation results;
- Misperception and misunderstanding regarding evaluation;
- Silos: evaluation is conducted by each unit;
- Not integrated and standard, in terms of processes, information & ICT infrastructure;
- Business process and Standard Operating Procedure are not well established yet;
- Weak governance and management;

- Skills of human resources need to be improved;
- Information Communication Technology infrastructure needs to be modernized.

In closing her presentation, she proposed three short-term tasks needed to improve evaluation:

- Integration and standardization of the monitoring and evaluation system;
- Improvement of the quality of information;
- Utilization of evaluation reports and recommendations.

After the presentation, the Moderator made a comment by referring to the current problems of Indonesia described in the presentation. Sophisticated systems are being implemented by the Government, although it is difficult to implement them properly due to the lack of trained human resources. This problem has also been seen in other regional countries, and the importance of institutional capacity building was emphasized once again.

### **3.2 Presentation: The Philippines: The Continuing Agenda for Results**

*Mr. Roderick Planta, Director, Project Monitoring Staff, NEDA, the Philippines*

The title of Mr. Planta's presentation was "The Continuing Agenda for Results." He started by outlining the mandate of NEDA, which was explained as being an institution for monitoring and evaluating the Philippines' development plans. It is also called a "PRS" ("Poverty Reduction Strategy") in some countries. The Philippines' development plan is for six years, coinciding with the term of the elected president's administration.

Mr. Planta explained that over the years, resources, planning and orientation have been implemented. There are policy making parties. With agents for more than 25, there is a mechanism for the establishment of a unified and integrated results-based performance management system within the government.



The government is moving forward towards reform and they are particularly paying attention to evaluation, and observations of organizations are planned. The government in general has a public sector management framework developed by the WB.

Mr. Planta stated that his presentation would outline the distinct cycles of Public Sector Management. There are links between planning and programming, which is followed by implementation, monitoring and evaluation. Due to some policy reforms over the past 10 to 20 years, while programming and budgeting functions used to be controlled by two divisions, they are currently covered by one division. For the past three years, implementation, monitoring and evaluation policies have been the three key elements.

Then he provided the Government of the Philippines results framework which the government had likewise adopted. The budget and program activities are linked with national development and poverty reduction. The government and organizations likewise identify issues to guide organizations such as NEDA, including financial stability, international processes, presence of leadership, and learning and growing of institutions.

Then he showed a chart of the capacity development framework, which addresses both the demand side and supply side. As a solution, the government and stakeholders want to implement country contexts whether there is evidence.

In the past, among evaluation and capacity development schemes, capacity building only was undertaken. Evaluation and capacity development should now both be considered as part of an overall approach. This should be a systematic approach with three important components: individuals, institutions and an enabling environment.

Next, he moved on to the country context of the Philippines. Regarding evaluation policies, they have a strong sense of what is needed but no framework to analyze them yet. Fortunately, he came across a study of

evaluation assessments of country-contexts in 2002, made by a group of individuals to try to develop valuables and pilot-tested in 23 countries. They scored items from 0 to 2. Even though 2 was the highest, the study showed that countries under evaluation were relatively mature. Mr. Planta tried the assessment for himself as shown below. Then he explained the results of assessment that he tried for the Philippines using the nine criteria developed by said study:

- 1) "Evaluation takes place in many domains" is assessed as "Emerging." Evaluation should be present in most public sectors. The public sectors in the Philippines are conducting assessments but two public sectors are not doing proper assessments, so such organizations may be said to be "Emerging."
- 2) "Supply of domestic evaluators in different field" is conducted at present and so is assessed as "Present."
- 3) "National discourse concerning evaluation" is assessed as "Emerging." Although we have certain experts, this should be happening at a local level.
- 4) "Presence of a profession with its own associations" is assessed as "Emerging." These need to be supplemented for all items.
- 5) "Institutional arrangements in the government" is assessed as "Present."
- 6) "Institutional arrangements in legislative bodies" is assessed as "Emerging." This may take a long time.
- 7) "Pluralism exists (institutions, evaluators)" as "Present."
- 8) "Evaluation takes place within audit institutions" as "Emerging."
- 9) "Outcome evaluations (not output and process)" as "Emerging."

Generally, as can be seen from these results, the Philippines are still in progress and are moving forward on this issue.

Mr. Planta explained the institutional mandates of the country. Monitoring, evaluation and their combination, M&E, are conducted at the Implementing Agencies (IAs), Oversight Agencies (OAs), and Inter-Agency committees (IACs). For institutional agencies, there is an Internal M&E system, which is mainly for empowerment. Senior officials are thinking of tracking resources

at their output or impact level but this is another issue. There are OAs all over the country. There are also many IACs or so-called “technical working groups.” There is a little-known committee called the Project Monitoring Committees under the Regional Planning M&E System. The M&E system has been placed at the lowest level of administration, so that the mechanism is there, but its vertical linkage is not ideal, which will need to be improved one day. The country is hoping to make this system work.

Then he elaborated on evaluations in the country context. Evaluations are more pronounced at the program/project level and usually developed and conducted properly by development partners through independent evaluators, but mostly they are not. They have their own evaluation methodologies. There should be more specific evaluation principles but if one partner has one and another has another, this can be confusing. The Philippines has been working toward having more regular policy evaluations but they are not yet organized on a per-project basis. Some of them, we have some country evaluation strategies. We have policy evaluations, sectoral evaluations, Country Assistance Strategy evaluations, country level evaluations such as the Paris Declaration (PD) Implementations, and then making development plans. Since we have development plans at the evaluation at a national and regional level, we exhibit our development plans but it might not be common in other countries.

Next, Mr. Planta moved on to new initiatives for evaluation in the country, first focusing on what they are doing now. He showed a matrix called the PDP Results Matrix (RM). These RMs provide an indicator framework to the statement of goals of the Development Plan. The indicators serve as a guide for planning, programming and budgeting, as well as reference in monitoring and evaluating the progress of the Plan.

Another initiative for evaluation in the country is the M&E Network, which so far has held two forums. The first one was conducted in November 2011, on “Evaluation Theory: Practices and Approaches in the Philippines,” and the second one was held in November 2012, on “Evaluation Policy: A Gateway to Improved Performance.” Therefore, we have a committee for cooperation and collaboration for learning and to talk about evaluation. In

the second forum, we have been discussing policies with JICA, the U.S. and Canada.

Mr. Planta secondly pointed out what they should do in terms of evaluation initiatives, which is to craft an evaluation policy. Evaluation policies normally contain Coverage, Protocols, Evaluation Planning and Design, Evaluation Management including Competencies of the Evaluation Team, and Reporting and Use. The Philippines also has further regular divisions of the policy. They first need to define the policy in order to move forward.

Then Mr. Planta discussed capacity development for evaluation, mainly in terms of their programs and projects in partnership with their development partners. Under the partnership with JICA, an Memorandum of Understanding was signed in May 2006 for conducting joint ex-post evaluations. So far, 15 JICA-assisted projects have been conducted from 2008 to 2012, including on-the-job training. They have partners for international development such as JICA, for joint implementation and support. Roughly 3 to 5 missions have also been received.

Joint evaluation and methodology programs and projects are also being conducted in partnership with the International Fund for Agricultural Development (IFAD). NEDA is seeking additional sources of support to strengthen its results-based monitoring evaluation. In terms of regional objects, there are 16 regions. By the end of this cooperation, we plan to have one-to-one training.

Mr. Planta explained that the Philippines has various partners including UNICEF, and is even looking at other types of evaluation support such as support for workshops on evaluation and development, capacity development, regional experts of evaluation, and support to the M&E Network Forums, etc. in terms of regional development, the Community of Practices on Managing for Development results which is held from time to time, plus extra resources being contributed every year, such as one or two more individuals from government sectors, agencies and NEDA, etc..

Mr. Planta provided his observations on evaluation capacity development,

raising several points other than the said partnerships with development partners. First, capacity building cannot be achieved without government/country ownership of the training and training methodology and system. Secondly, in general, the development of capacities requires the technical and managerial capacities of evaluation professionals. This is about the supply side, but this is not about policy makers but professional bureaucrats. Regarding the methodology, an enclave approach or mixed approach is needed. Partnership with organizations is necessary, such as NEDA. We also have preferences for organizations for such partnerships, so it is necessary to include other officials and other departments to create a mix. This is not a governmental approach but individual agency approach. Next, evaluation concepts and terminologies should be considered. Of course, when dealing with development partners, particularly at the sub-national level, terminologies and concepts are so confusing. Therefore, harmonization is one of the challenges. Lastly, although the Philippines has received training for capacity development and is tailoring the content to the local context, essential elements such as basic statistical system and data, quality and quantity of data information, and budgetary support need to be discussed. Some of these elements were discussed in the morning session. How they can obtain budgetary support remains an issue.

To conclude his presentation, Mr. Planta talked about the challenges to evaluation capacity development, which had been discussed internally within the government. First, comprehensive and integrated strategies are necessary and the question is who is in charge of it: they need to look to the bigger picture. It is also important to determine who is making the policy making agenda, and how to make a consensus to drive it forward. For sustainable policy implementation and sustainable reform initiatives, they have to occur in cooperation not only with the government, but also with academia, networks, institutions and societies and communities of practice. There are also issues relating to how these can help the Philippines, how to make political linkages, how they should be considered at the implementation level or national level, as well as how to address policy makers for policy advice.

As for sustainable scaling up, we have various elements to consider.

Constant training and capacity development is being conducted with JICA but how can this be done with the entire government? How can it be scaled up? Other concerns are: how do our evaluators prepare for events, and for academia to graduate? We have basic operation project M&E for evaluation but what about self-cooperation for capacity development? Mr. Planta stated that he was raising these issues since he does not have enough answers for them, or sufficient institutional development. His objective is to make all the different players move the evaluation agenda forward.

### 3.3 Discussion

The Moderator, Mr. Hashim, briefly commented the presentations by Ms. Arifiyatono and Mr. Planta. He reemphasized the importance of having a country-led capacity building scheme.

**Question:** What is the role of the evaluation division of BAPPENAS? The ADB has conducted a few programs in Indonesia. From my experience, if a project is for five to six years, it is first introduced to the Ministry of Finance (MOF), and then BAPPENAS. The other line Ministries in charge of the field for the project eventually come in, except the evaluation division of BAPPENAS. How is the work of the evaluation office reflected in the budget? And how does BAPPENAS tackle the task of maintaining dialogue? Because of the frequent turnover in officials within the Indonesian Government, it is difficult for the ADB to have continuing dialogues.

**Answer:** The evaluation reports of Indonesia are probably not fully reflected in the budget by the MOF, since the reports only started in 2008. BAPPENAS was not invited to participate in this either. About the turnover, the regulation is every four years.

**Comment:** Ex-post and ex-ante evaluations have been done for the past 40 years in the Philippines. There may be a danger of people getting too worried about introducing new ideas. Introducing a certifying system is important in terms of competition. Good knowledge of ex-ante evaluations is important, too. The evaluations done by donor organizations like the WB, the ADB and JICA include considerations of cost. Mr. Planta's presentation brought up the



issue of bringing other players in. The model of other countries mainly exists for the parliamentary system. The role of the media is also overlooked in the Philippines. It is important to examine whether or not the government is using resources sufficiently. There is also a lack of data and communication between government agencies which is needed for making statistics.

**Comment:** The PDCA cycle was shown in Ms. Arifiyatno's presentation. There is a general lack of framework. Evaluation is emerging as a topic, and there are many theories. All the evaluation associations considered as champions must come together. The Government of Singapore Investment Corporation and the European Commission use the same framework. In results-based practice, many are using the logic model instead of the theory of change. This is the movement toward evaluation, but it is important that different agencies move together.

**Question:** There seems to be more support to the Philippines than to Indonesia. If Indonesia has the problem of a lack of communication, is there any way that BAPPENAS can act to fill in the missing role, or any other Ministry? I performed an evaluation for Indonesia and made many recommendations in 2005. These recommendations still need to be considered. It is important to encourage policy makers to use the evaluation reports. I have strong hopes for the Philippines, and would like to ask for a comment on how they can mirror overseas experts. To bring in experts trained abroad will enrich their local experts.

**The Moderator** commented about the development of institutions and capacity building. The two presentations showed that just imposing a system without prioritizing each country's culture is not sufficient. For example, in South Africa, an evaluation system was established based on their interests. In China, development and innovation were focused on. Each country has its own focus area. According to the UNDP, their evaluations were based on each project rather than the national interests. Evaluation capacity developments purely based on donor needs have not worked. Many associations are coming up with certification and core competencies for evaluators, but uniform basic qualifications are needed in order for evaluators to be recognized. For example in Sri Lanka, Teaching Evaluation

in South Asia (TESA) was started in 2009 with the help of other regional institutions. A curriculum for evaluation was developed that included everything a country would need to develop evaluation. This is a very good example, and would like to hear the other countries views.

***Comment:*** Fiji is interested in how to have effective coordination between the various agencies that undertake evaluation, and how to encourage synergy across the boundaries. The recipient agencies do not see evaluation as an end Ministry activity, so I wonder how accountability can be maintained?

***Comment:*** One way is to establish a national evaluation policy, but that is a step away in the beginning, so establishing an evaluation culture and getting civil society to take part in it may be the best way to start. Mandating the policy may be difficult in the start, and therefore starting off with the private sector may be easier.

-----Coffee Break-----

#### **4. Session 3: The Roles of APEA (Asia Pacific Evaluation Association) Network and its Future Possibilities**

*Moderator: Dr. Romeo Santos, Pilipinas Development Evaluators Association (PHILDEV)*

##### **4.1 Presentation: A Long Journey from the Japan Society for International Development (JASID) through the Japan Evaluation Society (JES) to APEA.**

*Prof. Ryokichi Hirono, JES*

Prof. Hirono started his presentation by speaking about the developments in evaluation in Japan since the 1960s, with the gradual increase in its significance both in the public and private sectors, responding to the dynamism of the international and domestic economy throughout the 1970s.

He stated that the culture of evaluation emerged in the Japanese society around the late 1980s.

In the 1990s, the JASID started to focus on evaluation of ODA, which was very much appreciated by the Ministry of Foreign Affairs. This led to the establishment of the JES in 2001. Prof. Hirono stated that he made efforts to promote the importance of evaluation to politicians including the then Prime Minister. He was so successful that the Government Policy Evaluation Act was enacted in 2002, which compelled all Ministries to conduct evaluations of all policies. However, this was all internal evaluation, which tends to be criticized. Therefore, external evaluation committees were established for each Ministry. Prof. Hirono stressed that evaluation is not useful unless it becomes a part of government policies.

As Japan continued to assist the development of countries across Asia and Africa, Prof. Hirono, together with his friends in evaluation societies in the region, continued in their efforts to persuade the governments in Asian countries to recognize the need for a regional evaluation association, and the APEA was launched in September 2012 at Kuala Lumpur, Malaysia. Prof. Hirono said he is very much looking forward to seeing the actions of APEA from 2013 and in the future.

#### **4.2 Presentation: The Future Possibilities of APEA**

*Dr. Champak Pokharel, Nepal Evaluation Society (NES)*

Dr. Pokharel described the roles of APEA, and how countries and governments can work together.

Dr. Pokharel first provided broad regional observations on evaluation. Although Result Monitoring has picked up considerably over the last decade in various countries following the PD and varied efforts based on donor support and the desires of different countries to improve their monitoring system, a wide range of challenges faced by developing countries in the region have been observed:

- Bottom-up and top-down systemic communication is so weak that evaluation does not affect the policy level;
- An inadequate presence of evaluation culture;
- A lack of awareness and advocacy of the importance of evaluation;
- A lack of critical mass on both the demand and supply side of evaluation;
- Weak budgetary provisions for evaluation activities;
- Money that can be spent on capacity building is limited;
- Weak development of a professional cadre in the sector: there should be independent units for evaluation and monitoring respectively;
- Less impact on policy reforms and program improvement due to a lack of strong analytical back-up to convince the policy level;
- Donor and country partnership in joint evaluation is weak.

He continued to raise the common problems in evaluation development efforts for aid effectiveness such as slowed development of evaluation in the public sector compared to the more liberal and fast-developing private sectors, leading to ineffective service delivery and weak accountability, as well as weak monitoring with less focus on results and a public feedback system.

Dr. Pokharel then stated that multiple evaluation associations often existed in the same country. There is multiple donor support but this was also in a scattered way. The current standings of evaluation associations vary significantly across countries. In some places they are strong, in some they are in their infancy stage and in some countries they have not yet been created. Current regional and international networks on evaluation are generally more linked to individuals than with institutions. Evaluators are involved in multiple professional functions. Focus on evaluation, even by the evaluation profession, is weak due to lack of adequate demand within their countries. One good point is that, in countries where an evaluation association exists in some form, there is some potential for organizing them to bring a national/regional framework at a low cost.

He then stressed that result-based monitoring and a broadened culture of

evaluation, in partnership with private sector and the community, can help steer development priorities and the implementation framework in the right direction. Promoting evaluation in an institutional way, by considering both from the perspectives of professionals and the government organizations, is important. There is a need for some sort of umbrella organization to develop and co-ordinate national level evaluation associations to help develop evaluation culture in developing countries. Donor support for this would be beneficial both nationally and internationally.

Dr. Pokharel went on and made some suggestions for potential activities by APEA and its partners.

First, he raised a number of expectations regarding the actions of APEA:

- Work as an umbrella organization in the region for national evaluation associations by focusing its activities on them.
- Promote a results-based culture of evaluation and result monitoring to strengthen the overall evaluation quality, which is essential for good evaluation.
- Provide a forum for professional interaction in evaluation, related practices, concepts and ideas.
- Facilitate research, development and publications for the advancement of evaluation to have an impact regionally and globally.
- Promote capacity building by emphasizing learning, doing and prioritized training.
- Initiate and help the creation of Evaluation Associations by persuading professionals in APEA countries where there are no Evaluation associations (EAs).
- Develop a network of formally established EAs under the APEA framework to achieve an effective voice and adequate awareness of the presence and activeness of such organizations in their respective countries to promote sustainable evaluation culture.
- Advocate evaluation works in the region, the government sector and donor communities with a focus on priority results, in harmony with national priorities.
- Create opportunities for exposure to advanced knowledge about

evaluation tools for the practitioners in the region for confidence building, to encourage evaluation culture and develop publications in a knowledge base.

- Adopt/persuade a mixture of government and evaluation association members in regional and national interactions related to evaluation without bypassing the government.
- Persuade budgetary provision/financial support to carry out evaluation studies in donor assisted and government projects.
- Advocate evaluation works in the region, the government sector and donor communities with a focus on priority results, in harmony with the national priorities.
- Conduct follow-up visits by experts to share knowledge and experience, encourage workers to build-up their confidence and carry out advocacy of their activities at an appropriate level.
- Create opportunities for exposure to advanced knowledge on evaluation.
- Develop publications in a knowledge base.

Then Dr. Pokharel moved on to discuss the possible future contribution/cooperation of APEA to evaluation capacity building in Asia Pacific region. He raised a number of suggestions as to how it might contribute, as follows.

- Strengthen EAs in the region through multiple means such as support, evaluation activities, persuasion, encouragement and opportunity for exposure to technical knowledge on evaluation and experience sharing.
- Support a national evaluation capacity building scheme by focusing on learning through various approaches and selected training.
- Encourage EAs in grooming an emerging young generation in the evaluation area.
- Assist donors in improving aid effectiveness by promoting accredited standards of evaluation practices focused on results, inclusiveness, transparency and accountability, to enhance development in priority areas in the region.
- Assist governments in improving program implementation



effectiveness by promoting results-based evaluation culture in national priority areas through partnerships in activities.

- Organize seminars and interactions, and promote knowledge-based publications in evaluation sectors in the region and the member countries.

Dr. Pokharel also discussed suggestions for member countries to utilize the APEA for their evaluation capacity building. His suggestions were as follows.

- Develop a standard for evaluators.
- Consolidate multiple EAs, if they exist, under the common professional umbrella of an National Evaluation Association, in order to make the support of APEA more focused.
- Use the APEA forum for dissemination of evaluation findings to influence policymaking.
- Use APEA for persuasion of support from donors for evaluation of projects related to key priority outcomes.
- Create a relationship with APEA for enhancing evaluation activities in the respective country.
- Emphasize evaluation capacity building by creating a separate evaluation division and emphasizing results-based monitoring.
- Establish a partnership with APEA in evaluation activities.

Dr. Pokharel also raised various suggestions for donors and international organizations in helping and utilizing APEA to build evaluation capacities in the region.

- Assist APEA in getting established through support to the creation and internal operation of the organization in the initial years.
- Use the APEA forum to disseminate evaluation findings to impart knowledge and to influence appropriate policymaking and implementation of development programs.
- Streamline multiple and scattered donor efforts of supporting EAs on evaluation capacity buildings in the Asia and Pacific regions by going through the common umbrella of APEA.
- Assist APEA in promoting evaluation culture in the region by

supporting key areas such as:

- (a) Creating and strengthening evaluation associations in Asian and Pacific countries, and
  - (b) Financial support to selected evaluation studies in the region in the priority areas.
- Utilize APEA to prioritize and persuade evaluation areas in the region to focus on key outcomes such as:
- (i) employment generation, (ii) income generation, (iii) human and physical capital development, etc. for further effectiveness.

In conclusion, Dr. Pokharel stated that the importance of the level of penetration of a specific activity by APEA may differ significantly among countries depending on their exposure. Likewise, it is necessary to prioritize activities depending on the budgetary resources available to APEA.

#### 4.3 Discussion

The Moderator summarized the two presentations on how APEA was established and the future roles of APEA. APEA was a “dream come true” and very much needed in the Asian pacific region. In other regions, Africa, Europe, Latin America, and Australasia, there were already evaluation associations, but Asia did not have one until APEA was launched.

**Question:** I would like to express my support to APEA, and my hopes for its success. APEA is a very ambitious project, but is there a clear vision for its future? Dr. Pokharel’s presentation consisted of many items, but it seemed like there were too many things that APEA must do. It seems to be too much to start off with, so is there anything that it plans to focus on? IDEAS is a large organization with over 1,000 members, but still there are only a few initiatives that are being focused on currently. In order to succeed, it is necessary to focus on just a few major issues. The issue of ethics is also important. Is there a code of ethics in APEA where many countries with different views gather?

**Answer:** I agreed with the points that Ms. Tamondong made, which were all very important. Based on my experience in many countries, I believe that there are many problems that the world is facing today, and many issues are becoming common to both developing and developed nations. In order to solve all the problems, the principles which I call “TAPES” are important. They consist of:

- Transparency;
- Accountability;
- Policy, Plan, Participation, Partnership;
- Empowerment, Efficiency, Effectiveness, Equity;
- Sustainability.

One of the important roles of APEA is “Asian value-added,” and that Asian nations should not just follow the American and European ways. Asian countries are better able to understand each other’s interests and values. To answer the question of priority, Dr. Pokharel’s presentation was presented as a “menu,” so what will be prioritized will be chosen from the menu based on three factors. The first is what it is preferable, based on experience. The second is how much room is left. The third is how much money is available. If all of these aims are achieved, then the world should want to work together with Asia.

**The Moderator,** Dr. Santos himself is a leading member of APEA and added a few points regarding the focused issues of 2012 - 2015. As Prof. Hirono outlined, there are major activities: the Triennial Assembly; the Evaluation Research Project that will support evaluation societies; and information innovation societies in the Asian Pacific.

**Comment:** I would like to express my support for Prof. Hirono’s comment, as a member of the Pacific nations, which also are a part of APEA.

**Question:** I would like to hear about the updated status of the constitution of APEA, the potential financial resources, and sustainability.

***Answer:*** In terms of financial sustainability, APEA relies on external resources. Many international institutions such as the World Bank and the UNDP have been very supportive of APEA. Securing such constant support is essential, and also the helps the government.

***Comment:*** I would like to ask about the details of the constitution and by-laws of APEA which were initially discussed at the inaugurating meeting in Kuala Lumpur last September.

***Answer:*** This issue will be discussed at the next APEA general meeting in Chiang Mai in December.

***Comment:*** Eval Partners has overlapping or similar objectives. One of the most important issues is to develop capacity. It may be possible to work with them to help the APEA region. As Prof. Hirono pointed out, it is necessary to have a close government champion in order to put agendas forward quickly. Because evaluation is powerful, there should be a powerful person to push it forward.

***Comment:*** It is important for international organizations to collaborate. They should be equal partners in order to share equal responsibilities and joint goals.

-----End of Day 1 -----

## **5. Session 4: Emerging Agenda and Challenges for Evaluation**

***Moderator: Mr. John Samy, former ADB and Fiji official***

The moderator opened the session by providing the floor with some challenging questions on evaluation:

- What is the challenge?
- What is the meaning of development?

- The challenge is what we have to do now.
- And we really mean to do it.
- We have to make it happen, we have to do what we have to do, and do it now.
- No consensus is emerging, there is no consensus now.
- The presentations will focus on the quality of life of the poor.

## **5.1 Presentation: Emerging Agenda and Challenges for Evaluation in the 21st Century**

*Ms. Susan Tamondong, Vice-President, IDEAS*

Ms. Tamondong started her presentation by introducing the background of the roles of evaluation. In the past, the role of evaluator was simple, as long as development was defined in terms of aid and projects. The evaluator's focus was on a well-demarcated and constructed set of factors. However, as understanding of development has become broader and more sophisticated, this task has become much more complex. Changes in development thinking and practice have led to a shift in evaluation approaches in the last 15 years from an assessment of outputs to the evaluation of results.

She then explained the situation in the early years. Project models that dominated development thinking and practices were donor-driven until the 1990s. As deliverables were set in a logical framework, little attention was given to impact assessment. The focus was on whether deliverables were met and assumptions held. Then, the emerging agenda began to appear at the end of the Cold War. Complex ways of conceptualizing the development process now demands sophisticated and interpretive approaches to evaluation. She explained the new trends, looking at the impact, more than meeting the deliverables. There are new methodological challenges, such as attribution, influence of other factors, looking at who is responsible, as well as effective uses of funds (taxpayer's money). More people are demanding, and interested in how their taxes are being used, and how effective the aid is.

The broader issues of development effectiveness have also emerged. This is why the PD was concluded. One of the initiatives that came out of this was

the Network of Networks in Impact Evaluation Systems (NONIE), a gathering of nations trying to see the impact of development effectiveness. The meetings of NONIE mostly consisted of developed countries. Therefore, the International Organization for Cooperation in Evaluation was born after four years of advocacy to reflect the voices of the third world countries. Now learning functions are replacing older principles of accountability and conditionality is the trend.

Ms. Tamondong listed other new trends, such as partnerships, sector wide approaches (SWApS), general budget support, policy coherence, empowerment, harmonization, and changing relationships between aid givers and receivers. There is a new emphasis on partnership and equal footing.

Regarding SWApS, she added that they recognize the importance of trade, investment, and other economic and social activities in the development process, not only aid.

Ms. Tamondong then went on to say there are issues relating to these changing trends. The shift to SWApS has exacerbated the problem of attribution. It is now increasingly difficult to disentangle the results of donor assistance from the overall processes in a particular sector, making the job of the evaluator more difficult. The importance of long-term development factors such as security, migration, and climate change also need attention. Any realistic attempts to evaluate the effectiveness of aid have to be considered in this wider context. In order to conduct good evaluations, there is a need to look at everything, at the big picture.

Ms. Tamondong then pointed out that the situation facing development today is much more complex than it was 15 or even 10 years ago. Evaluation forms based on models derived from logical frameworks of projects are no longer appropriate to the fluid and complex forms of development assistance in the 21<sup>st</sup> Century. The new challenge, however, is for the evaluator to reach a firm conclusion on attribution results, to input and the chain of causation that has become more challenging and difficult.



Ms. Tamondong then stated that there are also methodological issues and institutional issues. Not all countries are on the same footing. New trends are coming from the developed world, and spreading to the developing world.

She outlined RCTs (Randomized Control Trials), which is one of the methodological issues. At the Massachusetts Institute of Technology (MIT), there is a poverty action laboratory and a center for global development, which advocates RCTs. They are very rare and costly. This is because they are only appropriate in a small number of situations, where there are no practical or ethical impediments to randomization. Although the use of such techniques works well in relatively simple contexts (e.g. impact of drugs on health, or impact of increased educational expenditure on literacy), the range and variety of factors in the development world today, which influence development trajectories are simply too complex to be dealt with in terms of simple cause and effect models.

She moved on to another example of methodological issues, which is theory-based evaluation. Only a minority of development interventions can be dealt with simply through recourse to the original project plans (even revised or modified). In the complex world of SWApS, donor harmonization and budget support, there is less room for the effective use of logical frameworks or other project planning tools and there is a need for more flexible and less constrictive methods. The logical framework is good for simple projects, but not effective for big projects.

Ms. Tamondong also raised a number of examples of institutional issues: processes of evaluation, empowerment of accountability, the market for evaluation, partnerships, and the independence of evaluators.

She moved to the issue of the policy impact whereby evaluation processes can provide “evidence” on which to base policies, when they are directed towards issues that are of direct relevance to policy makers. Unless it feeds into policy-making and has a positive impact on the development process, evaluation becomes meaningless and merely an academic exercise. Also, because evaluation often lacks timeliness, it often does not impact on policy makers. Organizations tend to marginalize the evaluations themselves. A

lack of communication skills when presenting evaluation reports is another problem because they often cannot draw in people's interest.

Ms. Tamondong then stressed that the ethical issues and equity are the most important among the emerging challenges. Prevention of the use and abuse of power in evaluation depends on having a code of conduct and ethical guidelines which are common among the various evaluation associations. The power of evaluation could be misused if there are no ethical guidelines. Another question is why evaluate and for whom. It is about confidentiality versus public accountability.

Then she discussed how we should meet such evaluation challenges. She presented some examples of possible solutions, such as joint evaluations which can be conducted with organizations like the WB, UN, ADB, and even with NGOs. Another solution could be social network analysis. This is suited to evaluation, or a range of different types of evaluation involved in a common endeavor, but with different objectives. The aim of evaluation is to analyze how decisions are made where there are no clear commands or control, where the managerial structure is based on network models. The evaluator aims to suggest to the various organizations and groups how common objectives could be arrived at, or alternatively how complimentary objectives may be established. Outcome mapping could be also considered as solution. This focuses on how information and knowledge passes through networks. It is particularly suited when a range of partner organizations are involved. It seeks to identify barriers to dissemination, and to determine factors which inhibit or encourage the successful path of influence in both directions. Other examples of solutions provided were evaluation of agencies, country program evaluation, ethical standards, capacity building, and public awareness.

Ms. Tamondong then provided two examples of complex evaluation.

One is Uganda's PRS, which addresses the multi-dimensional nature of poverty with 31 indicators of output and impact and another set of indicators to assess inputs and value for money. The other is an enhanced evaluation framework, which is an ambitious approach developed in the context of evaluating general budget support across a range of countries, that seeks to

establish a broad framework and sought to integrate analysis on a wide range of factors.

Ms. Tamondong moved on to the future of evaluation. One influential figure has said that evaluation will disappear in two years, because it is becoming so diffused, and being discussed in so many different directions. The primary objective of evaluation is not accountability but learning, in order to increase future effectiveness, and know how to do things better. The focus of development evaluation should not be restricted to development assistance but to a wider set of forces. Then she shared several words of wisdom in her slides with the floor including her own: “Evaluation power, guided by ethical standards, can play a dominant role in complex evaluations in contemporary times.”

In conclusion, Ms. Tamondong stated that the major challenges for evaluation in the 21<sup>st</sup> Century are the problematic nature of (1) producing convincing attributional arguments; (2) persuading policy-makers of the validity of methods increasingly used in evaluation which recognize the complexity of the contemporary situation; and (3) practicing ethical evaluations following the guidelines of a code of conduct. She emphasized that different solutions and approaches will work in different contexts.

At the end of her presentation, Ms. Tamondong raised some enduring evaluation questions as follows, for the participants to think about together.

1. What should be the subject of evaluation in the development context?
2. Is there a continuing role for the “scientific” model of evaluation through RCTs?
3. How far should evaluators restrict their activities to the activities and impact of development agencies?
4. Does a positivist approach make sense?
5. How far can the existing techniques of evaluators be suitable for new tasks in the contemporary world?
6. How can evaluators produce reports, which meet the differing

demands of various stakeholders?

7. How about ethics? Should ethical standards in evaluation be enforced or sanctioned? And if so, how and by whom?
8. Why evaluate and for whom?
9. How far can evaluation be seen as a discipline, with its own academic standards, body of theoretical knowledge, and methodological approaches? Or should evaluation be treated as a profession, with people abiding by a code of conduct, but not necessarily sharing a common theoretical outlook?

## 5.2 Discussion

The Moderator opened the floor to discussion.

**Question:** The subject of project evaluation came up. I would like to know what you think about policy evaluation. Are people no longer interested in this? Also, impact evaluation was discussed, but what about outcome evaluation?

**Answer:** This is a dilemma for many countries. The focus on outcome is still relevant. But when you look at SWApS, you must look beyond outcome, and all the different factors around it. This may be difficult in terms of policy, but the best way to do it is by mixed methods, which is a combination of everything. The logical framework, which the ADB and the World Bank uses, is good as well. The NONIE guidance is also useful. There used to be a debate between quantitative and qualitative methods, but now we have realized that there is a need to combine both methods to come up with a good evaluation. There are many factors for success and failure, so a broad view is needed.

**Comment:** I would like to introduce three key points on the evaluation division of ADB. First, the name of the department was changed from Operative Evaluation Department to Independent Evaluation Department (IED). Now the IED reports directly to the board of directors. The appointment conditions of the IED has also been changed. The term is 5 years and cannot be terminated. The budget is separate from the ADB, so the

independence of the IED is secured. Secondly, ethics in evaluation are strictly controlled by the IED. Thirdly, the IED is very open to the public. All reports are reported to the board of directors only 24 hours before publishing, so they cannot be changed.

***Comment:*** I would like to comment on policy coherence. I recall my previous experience with Malaysia's 5-year plan. It was simply a list of projects and was also applied to many other countries. How come things that are not related to policy coherence are stated? Policy coherence between Ministries is important, but evaluators cannot do this. This is why the Prime Minister's office should be responsible. Also, international organizations are looking at policy coherence, too. But this is difficult as well, unless the recipients insist on policy coherence. This is why developing countries should see into it.

***Comment:*** On evaluation, the mindset should be changed at the policy level. If something fails, it has something to do with the system, and not individuals. Concerning ethical issues, the policy is what should be evaluated, and not the individual.

***Question:*** In the context of policy coherence, Fiji has many benchmarks to measure developments, in terms of developing the economy. Fiji believes they are important because they will determine the approaches. It is important for the projects to meet the requirements of the government and donors. Although there are many benchmarks, Fiji looks to the APEA for help in terms of harmonization. As we are used to the indicators of the WB and the IMF, there is a need for harmonization with new indicators, if any.

***Comment:*** The Marshall Islands have started late as a recipient of ODA, and just had the first development meeting, which focused on aid effectiveness. A lack of coordination between public sectors and a lack of data was also raised as issues. Marshall Islands receives aid from many countries and organizations such as the USA, Taiwan and the UN. They all require reports, and need to be kept on track. These efforts are all being done by external experts. The Marshall Islands needs its own evaluation framework, and at the same time it needs to build up its capacity.

**Question:** In the Solomon Islands, there is a need for a central agency. There is a policy evaluation unit in the Prime Minister's office. But within the government sector, it is seen as duplicating the roles that different line Ministries already play, and to be advocating a political agenda.

In such a situation, how could the roles differ for each unit? How could credibility be shown, while ensuring policy coherence?

**Question:** In terms of framework, any reports are too technical and not interesting. The root cause may be in the framework itself. How can we design a framework to be both useful, and informative?

**Answer:** To make a useful and informative piece, there is a need to think about who will be using it, and who will be reading it. By thinking of the audience, you can analyze what they will want to know.

**Question:** If learning is the primary objective of evaluation, is there any other way other than evaluation? Is evaluation focused on transparency, or accountability? To what extent can each unique case be used for learning?

**Answer:** Learning can be done in other areas. This is received by the key players worldwide, because we want to learn and know the best way. Of course, accountability is important, but it does not end there. The key is to look at the big picture, the impact on the whole country, the whole region, and the whole world.

**Comment:** I would like to share an experience related to policy coherence. The Gross National Happiness Commission in Bhutan is responsible for screening policies as well. Before proceeding with a policy, the Commission will examine and compare it with the previous policy. After this, the policy will go to the Prime Minister's office. This is to minimize the number of policies because the country is very small. The Ministries were all very defensive of their own policies 10 years ago. Now, there is a comprehensive guideline to allocate the resources.

**Comment:** Personally, I strongly feel the difficulty of attribution and the importance of learning. I would like to share the case of Japan. The ODA

policy level evaluation is conducted by the MOFA. There are several types of evaluation, such as country assistance evaluation, priority issue evaluation, scheme evaluation, and sector evaluation. All of them are on the program or policy level. In order to conduct high quality evaluation, the evaluation design is very important, and there are several elements to this. Firstly, in order to grasp the evaluation objective correctly, systematized objectives based on the logic model but not logical framework are used and it has several levels like result framework. There are three evaluation criteria: the relevance of policy; effectiveness of results; and the appropriateness of process. By using this, we try to measure how each project can contribute on the upper level (programs and policies), but to measure the pure contribution of each is difficult. We expect rather synergy effects with other organizations than single contribution. Japan conducted meta-evaluation in the past, which evaluates the evaluation results. We have learned a lot of things including how to make recommendations from meta-evaluation.

**The Moderator** closed the session by summarizing the issues that were raised. In this session's presentation, the complexity of evaluation was highlighted, but simplicity is complex, too. This is food for thought. There is a need to clarify our purpose. The issue of development evaluation has been raised, but there are many types of evaluation. Focusing on each type of evaluation allows us to think it through more clearly. As for development, the development business and development assistance must be distinguished as well. Distinguishing between such issues may seem difficult, but if "people" are put at the center, it becomes simpler. The title of this workshop is "ODA Evaluation," but in this meeting, we have been able to go beyond this. ODA is a small part of the development process. The handling of development has been dominated by governments and donor agencies. But instead of projects being donor-driven, we must take a whole country approach. What we need is a coalition of forces working together with shared purposes and objectives, so that we do not lose focus. The APEA can play a key role in this.

## 6. Closing Session

The Co-chairs, Mr. Minato and Mr. Planta, thanked everyone for

participating in the lively discussion, making this workshop so successful. Mr. Planta read out the draft of the co-chairs summary of the workshop. Mr. Minato announced that hardcopies of the co-chairs' summary will be handed out later, and that comments on the draft could be sent to MOFA by email. He also gave notice that the report on this meeting that includes a finalized co-chairs' summary and record of discussion will be uploaded on MOFA's website sometime in January.

Prof. Hirono briefly thanked everyone for their support for APEA.

Ms. Tamondong announced there would be a meeting organized by IDEAS in Barbados next year about fighting poverty, to which all the participants in this workshop would be invited.

In closing, Mr. Planta thanked MOFA and NEDA for hosting the meeting, and expressed his hopes that the fruit of this meeting will be seen in future workshops.



## Appendix 1: Workshop Program

### The 11<sup>th</sup> ODA Evaluation Workshop in Manila

Nov 26 <sup>th</sup> (Mon) (Venue: Dusit Thani Manila Hotel)	
09:00- 09:30-10:15	<p>Registration</p> <p>Opening Session</p> <p>(1) Welcome &amp; Opening Remarks by Co-hosts</p> <ul style="list-style-type: none"> <li>- Mr. Akira Fukushima, Deputy Director-General, International Cooperation Bureau, Ministry of Foreign Affairs (MOFA), Japan</li> <li>- Mr. Rolando Tungpalan, Deputy Director-General, National Economic and Development Authority (NEDA), Philippines</li> </ul> <p>(2) Introduction by Co-chairs; Background and Program of the Workshop</p> <ul style="list-style-type: none"> <li>- Mr. Naonobu Minato, Director, ODA Evaluation Division, Minister's Secretariat, MOFA, Japan</li> <li>- Mr. Roderick Planta, Director, Project Monitoring Staff, NEDA, Philippines</li> </ul> <p>(3) Presentation of JICA's Evaluation by Mr. Atsushi Sasaki, Director General, Evaluation Department, Japan International Cooperation Agency (JICA)</p>
10:15-11:45	<p>Round Table Discussions</p> <p>Session 1 Development of Human Resources for Enhancing Evaluation Capacities</p> <p>Moderator: Mr. Indrasathi Muniandy, Malaysian Evaluation Society (MES)</p> <p>(1) Presentation</p> <ul style="list-style-type: none"> <li>- Mr. Tara Prasad Sapkota, Under Secretary, Ministry of Finance, Nepal</li> </ul> <p>(2) Discussion</p>
12:00-13:30	Lunch
13:30-15:00	<p>Session 2 Development of Institutions for Enhancing Evaluation Capacities</p> <p>Moderator: Mr. Kabir Hashim, Sri Lanka Evaluation Society and International Development Evaluation Association (IDEAS)</p> <p>(1) Presentations</p> <ul style="list-style-type: none"> <li>- Ms. Yohandarwati Arifiyatno, Director for Sectoral Development Performance Evaluation, BAPPENAS, Indonesia</li> <li>- Mr. Roderick Planta, Director, Project Monitoring Staff, NEDA, Philippines</li> </ul> <p>(2) Discussion</p>
15:00-15:15	Coffee break
15:15-17:00	<p>Session 3 The Role of APEA (Asia Pacific Evaluation Association) Network and its Future Possibilities</p> <p>Moderator: Dr. Romeo Santos, Pilipinas Development Evaluators Association (PHILDEV)</p> <p>(1) Presentations by APEA</p> <ul style="list-style-type: none"> <li>- Prof. Ryokichi Hirono, Japan Evaluation Society (JES)</li> <li>- Dr. Champak Pokharel, Nepal Evaluation Society (NES)</li> </ul> <p>(2) Discussion</p>
18:30-20:30	Dinner Reception hosted by MOFA

Nov 27 <sup>th</sup> (Tue)	
09:30-11:00	<div>Session 4</div> Emerging Agenda and Challenges for Evaluation Moderator; Mr. John Samy, former ADB and Fiji official (1) Presentation -Ms. Susan Tamondong, Vice-President, IDEAS (2) Discussion
11:00-11:15	Coffee break
11:15-11:45	<div>Closing Session</div> (1) Co-chairs' Summary (2) Closing remarks by Co-chairs
12:00-13:30	Lunch

## Appendix 2: List of Participants

(Presenter: Name / Moderator: Name\*)

### Representatives of Co-Hosts

Country	Organization	Title	Name
Japan	International Cooperation Bureau, Ministry of Foreign Affairs	Deputy Director-General	Mr. Akira FUKUSHIMA
Philippines	National Economic and Development Authority	Deputy Director-General	Mr. Rolando G. TUNGPALAN

### Co-Chairs

Country	Organization	Title	Name
Japan	ODA Evaluation Division, Minister's Secretariat, Ministry of Foreign Affairs	Director	Mr. Naonobu MINATO
Philippines	Project Monitoring Staff, National Economic and Development Authority	Director	<u>Mr. Roderick PLANTA</u>

### Participants

Country	Organization	Title	Name
Australia	AusAID	Program Officer for Performance and Quality	Ms. Grace BORJA
Bhutan	Gross National Happiness Commission Secretariat		Ms. Kuenzang Lham SANGEY
Cambodia	Multilateral Aid Management, Council for the Development of Cambodia	Director	Mr. Oul NAK
Fiji	ODA Unit, Ministry of Finance	Chief Economist	Ms. Mereseini Q. WAIBUTA
	Embassy of the Republic of Fiji in Japan	Counsellor	Ms. Jiulia KOROVOU
	Former official of ADB and the Fiji government	Independent consultant	Mr. John SAMY*
Indonesia	State Ministry of National Development Planning (BAPPENAS)	Director for Sectoral Development Performance Evaluation	<u>Ms. Yohandarwati ARIFIYATNO</u>
Malaysia	Malaysian Evaluation Society	Treasurer	Mr. Indrasathi MUNIANDY*
Maldives	Ministry of Finance and Treasury	Assistant Director	Ms. Asma MOOSA
Marshall islands	Embassy of the Republic of the Marshall Islands in Japan	Charge' d' Affaires/ Deputy Chief of Mission	Ms. Annette NOTE
Mongolia	Department of Project Financing and Debt Management, Ministry of Finance	Officer	Ms. Enkhmaa BATTSEVEEN
Myanmar	Foreign Economic Relations Department, Ministry of National Planning and Economic Development	Director	Mr. Lwin OO
Nepal	Ministry of Finance	Under Secretary	<u>Mr. Tara Prasad SAPKOTA</u>
	Nepal Evaluation Society	Chairperson	<u>Dr. Champak POKHAREL</u>
Pakistan	Economic Affairs Division, Ministry of Economic Affairs and Statistics	Deputy Secretary	Mr. Syed Zain GILLANI
Papua New Guinea	Department of Foreign Affairs and Trade	Senior Foreign Service Officer	Mr. Albert KOPEAP
Solomon Islands	Aid Coordination Division, Ministry of Development Planning and Aid Coordination	Director	Ms. Susan SULU

## Participants (continued)

Country	Organization	Title	Name
Sri Lanka	Department of External Resources, Ministry of Finance and Planning	Director	Ms. Loshani PEIRIS
	Sri Lanka Evaluation Society / IDEAS	Member of Parliament, Consultant	Mr. Kabir HASHIM*
Thailand	Planning Branch, Thailand International Development Cooperation Agency (TICA)	Development Cooperation Officer	Ms. Attaya MEMANVIT
Timor-Leste	Ministry of Finance	Manager, Aid Management System	Mr. Arlindo Da Cruz MONTEIRO
Vietnam	Foreign Economic Relations Department, Ministry of Planning and Investment	Principal Official	Mr. CAO Thanh Phu

## International Organizations

Organization		Title	Name
IDEAS		Vice-President	Ms. Susan TAMONDONG
Asian Development Bank	ADB Philippines	Principal Evaluation Specialist	Mr. Tomoo UEDA
	ADB Philippines	Principal Evaluation Specialist	Mr. Cheolgee KIM
UNICEF	PME Unit, Philippine Country Office	Planning, Monitoring and Evaluation Specialist	Mr. Hammad MASOOD

## Co-hosts

Country	Organization	Title	Name
Japan	Japan Evaluation Society IOC/APEA	Senior Advisor	<u>Prof. Ryokichi HIRONO</u>
	ODA Evaluation Division, Minister's Secretariat, Ministry of Foreign Affairs	Deputy Director	Ms. Keiko MIURA
	Evaluation Department, Japan International Cooperation Agency (JICA)	Director General	<u>Mr. Atsushi SASAKI</u>
	LEOS International, Inc.	Coordinator	Ms. Yuriko IIDA
	LEOS International, Inc.	Coordinator	Ms. Elisa NAGASU
Philippines	National Economic and Development Authority	Assistant Director	Ms. Violeta S. CORPUS
	Department of Finance	Director	Ms. Stella LAUREANO
	University of the Philippines, School of Economics		Mr. Ruperto P. ALONZO
			Dr. Joseph J. CAPUNO
		Individual Consultant	Mr. Wilfredo NUQUI
	Pilipinas Development Evaluators Association (PHILDEV)	President	Dr. Romeo SANTOS*

### **Appendix 3: List of Abbreviations**

ADB: Asian Development Bank  
APEA: Asia Pacific Evaluation Association  
BAPPENAS: National Development Planning Agency (Indonesia)  
DAC: Development Assistance Committee  
EAs: Evaluation associations  
HRD: Human Resource Development  
HRM: Human Resource Management  
IACs: Inter-Agency Committees  
IDEAS: International Development Evaluation Associations  
IED: Independent Evaluation Department  
IFAD: International Fund for Agricultural Development  
IMF: International Monetary Fund  
JASID: Japan Society for International Development  
JES: Japan Evaluation Society  
JICA: Japan International Cooperation Agency  
M&E: Monitoring and Evaluation  
MES: Malaysia Evaluation Society  
MIT: Massachusetts Institute of Technology  
MOF: Ministry of Finance  
MOFA: Ministry of Foreign Affairs of Japan  
NEDA: National Economic and Development Authority  
NES: Nepal Evaluation Society  
NGOs: Non-Governmental Organizations  
NONIE: Network of Networks for Impact Evaluation  
OAs: Oversight Agencies  
ODA: Official Development Assistance  
PD: Paris Declaration  
PDCA: Plan - Do - Check - Act  
PHILDEV: Pilipinas Development Evaluators Association  
PRS: Poverty Reduction Strategy  
RCTs: Randomized Control Trials  
RKP: Government Yearly Work Plan (Indonesia)  
RMs: Results Matrices  
RPJMN: Short-Term Development Plan (Indonesia)

SWAps: Sector-Wide Approaches

TESA: Teaching Evaluation in South Asia

UN: United Nations

UNDP: United Nations Development Programme

UNICEF: United Nations Children's Fund

WB: World Bank