

Self-Evaluation of the Independent Evaluation Group



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Abbreviations

AAA	Analytic and advisory activities
AfDB	African Development Bank
CAE	Country Assistance Evaluation
CAS	Country Assistance Strategy
CASCR	Country Assistance Strategy Completion Report
CED	Central Evaluation Department
CODE	Committee on Development Effectiveness
DGE	Director-General, Evaluation
DPL	Development policy loan
ECD	Evaluation capacity development
EIB	European Investment Bank
EBRD	European Bank for Reconstruction and Development
ECG	Evaluation Cooperation Group
FTE	Full time equivalent
GPS	Good Practice Standards
HR	Human resources
ICR	Implementation Completion Report
IEG	Independent Evaluation Group
IEG-IFC	IFC Department of IEG
IEG-MIGA	MIGA Department of IEG
IFC	International Finance Corporation
IPDET	International Program for Development Evaluation Training
MAR	Management Action Record
MDB	Multilateral development bank
M&E	Monitoring and evaluation
MIGA	Multilateral Investment Guarantee Agency
NGO	Nongovernmental organization
OECD-DAC	Organization for Economic Co-operation and Development – Development Assistance Committee
PPAR	Project Performance Assessment Report
BPU	Vice presidential unit
XPSR	Extended Project Supervision Report

Executive Summary

Introduction

This report presents the self-evaluation of the Independent Evaluation Group (IEG) and covers the period from 2005 to the present. The objectives of the evaluation are as follows:

- Assess IEG’s structure and organizational effectiveness
- Compare the scope and structure of IEG with other development banks, including resource allocation, staffing, and management
- Assess the effectiveness of IEG in line with applicable existing best practice in multilateral institutions
- Develop a set of actions that can be taken in the short term, medium term, and longer term.

This self-evaluation will not examine IEG’s overall governance, mandate, or relationship and reporting to the Board through the Committee on Development Effectiveness (CODE), which an independent review by the Board would carry out.

The IEG management team considered it timely to undertake a self-evaluation this year because: (i) it has been six years since the last independent assessment of IEG was undertaken; (ii) the current Director General, Evaluation (DGE) will retire in 2011; (iii) the results of the self-evaluation will provide a reference document for the incoming DGE and help set the strategy going forward; (iv) the Board will undertake an independent examination of the five oversight and accountability units in 2011, and the self-evaluation would be a useful resource input into that assessment; and (v) this self-evaluation will form the basis for development of a results framework for IEG.

During recent years, the organization has moved decisively to functioning as “one IEG.” In place of separately functioning World Bank, International Finance Corporation (IFC), and Multilateral Investment Guarantee Agency (MIGA) units, IEG now has joint and cross-cutting departments. Therefore, this self-assessment will feature changes across the whole of IEG much more than separate changes in the World Bank, IFC, and MIGA units.

Summary of Key Findings and Actions

ASSESSMENTS OF IEG BY INDEPENDENT PARTIES

IEG is the largest evaluation department among Evaluation Capacity Group (ECG) members and is held in high regard by the international evaluation community. Independent assessments of IEG’s role as an independent evaluation function for the Bank and IFC rated it above the evaluation functions in most other ECG members, international nongovernmental organizations, and transnational corporations and found that IEG follows good practice evaluation principles.

INDEPENDENCE

The mandate of IEG, supported by the Boards of Directors and CODE, seeks to protect the independence of IEG, as do the terms of reference for the DGE and the management team, together with IEG's guidelines on conflict of interest. Furthermore, the exclusive authority of the CODE/Board in selecting the DGE and in terminating the DGE's term is key to ensuring IEG's independence. Overall, IEG's organizational systems, reporting structures, and procedures are consistent with the ECG good practice standards for independence. However, independence is a precious asset for effective evaluation and is at the heart of its credibility and impartiality. Its practice must adhere to the envisaged spirit. There are always pressures for IEG to function more as an internal self-evaluation group than an independent evaluation group. This is sometimes manifested in efforts to intervene in the exercise of the DGE's mandate or in resistance to publishing uncomfortable or inconvenient findings, as in the case of the 2009 report on health, nutrition, and population, or the 2008 Doing Business evaluation. IEG must continuously nurture and draw value from its independence through actions, and CODE/Board must continuously protect that independence.

Two actions should be taken in the short term to maintain IEG's independence. First, the proposed new Access to Information Policy should be endorsed by CODE and the Boards as soon as possible. The policy addresses gaps in the existing policy related to the disclosure of project-level evaluations, a limitation identified in the 2008 Global Accountability Report. It will also bring IEG's policy in line with that of the World Bank, which was significantly revamped in 2010, and will strengthen perceptions of IEG's independence. Second, the terms of reference of IEG directors should be amended to rectify existing inconsistencies, as already endorsed by CODE—specifically the eligibility for (re)employment in the World Bank for the IEG director responsible for Bank evaluations, and the ambiguity regarding the reporting of the IEG director responsible for IFC and MIGA evaluations.¹

In the future, consideration should be given to developing a comprehensive evaluation policy paper that draws together, codifies, and harmonizes the policies and procedures that were developed separately for evaluation of the World Bank, IFC, and MIGA. Consideration should also be given to developing a dismissal policy for the DGE and IEG management, in particular to clarify what would constitute just cause and the appropriate process for dismissal.

EFFECTIVENESS

Based on survey responses and interviews with a variety of stakeholders, and on benchmarking with international good practices, IEG is making a positive contribution to improving the World Bank Group's development effectiveness through good-quality evaluation products. For example, IEG evaluations increasingly feature in Bank Group strategies (such as, education, natural disasters, and water), and IEG notes are referred to in policy contexts at the Board (for example, cost-benefit analysis, Doing Business Indicators).

¹ These changes to the terms of reference of the IEG directors have been drafted in consultation with the previous CODE and have been put on hold pending the review of the "5 Is" that is currently in process.

Joint evaluations that cover the World Bank Group, including those on safeguards and guarantees, and real-time evaluations such as crisis response and climate change, have seen increased use within and outside the Bank Group.

These positive findings echo the conclusions of the 2004 External Panel. Many indicators on product mix and quality suggest that IEG is performing well, but there is clearly a potential to increase IEG's impact on the World Bank Group.

This self-evaluation identifies action areas to improve effectiveness. There are some gaps in product coverage, which IEG will address by expanding its evaluative work of World Bank analytic and advisory activity and IFC's Trade Finance Facility; working with MIGA to strengthen its self-evaluation system; and reporting on the World Bank Group's self-evaluation and risk management systems through its annual report. The recent organizational realignment has strengthened the focus on country evaluations; this will allow a more systematic consultation with governments, civil society, and the local donor community. In the future, IEG will work on the development of comparative lessons and an enhanced Web site, where project evaluations and evaluation summaries are readily accessible and searchable.

IEG's work is generally viewed as being of good quality, but areas for improvement emerged from the surveys, in particular in relation to processes and the coverage of approach papers. Recent measures to improve the review process include more upstream, streamlined, and consistent guidance from IEG management and cross-fertilization of ideas and methodologies across IEG. IEG will develop guidelines for approach papers and for country, sector, and thematic evaluations; work with leading authorities in the field to develop and test cutting-edge methodologies on a small number of evaluations; and continue to work with the ECG in revising the Good Practice Standards and aligning IEG guidelines with those standards.

IEG will focus on increasing the impact of evaluation lessons on the World Bank Group. To be an effective catalyst for change, IEG will engage more actively and upstream with Bank Group management and ensure that its findings and recommendations have greater practical validity and application—and ensure at the same time that its independence is not impaired. It must be recognized that more engagement might potentially result in increased time required for evaluations. As IEG's advisory panel has consistently underscored, there is also crucial value in greater engagement with external stakeholders and the development community.

In principle, Bank Group management could view the presence of an independent evaluation body as an enormous source of strength for the World Bank Group. But there are times when differences in views or sensitivity over the findings overshadow the inherent value of the function. IEG's fuller value can be realized when its place in the architecture for development effectiveness is recognized and capitalized on by all concerned.

EFFICIENCY

High levels of internal efficiency are necessary for IEG to deliver its work program, which has become larger and more complex, within a limited and essentially flat budget. Changes in IEG's organizational structure and efforts at greater integration of IEG units have been

undertaken, and prudent resource management has been maintained to achieve these results. In place of institution-based World Bank, IFC and MIGA departments, the new structure comprises departments for public sector; private sector; and country, corporate and global; in addition to strategy, learning, and communication.

While the recent realignment of IEG's organizational structure is expected to contribute to greater internal efficiency, and despite the significant efforts to integrate IEG that have been undertaken since FY09, a number of issues remain to be addressed: the implications of the three different Bank Group human resource management systems; access to information issues to improve efficiency of joint evaluations; and further streamlining the budget and time management systems, such as time recording among MIGA-affiliated staff. IEG should continue to monitor whether the changes in the organizational structure are resulting in increased efficiencies and improved impacts for IEG's evaluation work. A results framework should be developed to monitor progress against current baselines for key performance indicators.

Like the rest of the World Bank Group, IEG has been operating in a severely constrained budget environment. The facts that IEG's budget has been nearly constant in real terms since FY05 and that IEG has broadened the range and number of products together indicate that IEG's efficiency has increased. As with the rest of the Bank Group, IEG staff are under stress, and it is unlikely that significant gains in efficiency can be expected without further streamlining processes, or without making changes in the product mix and deliverables.

As suggested by the 2004 External Review and the IEG Advisory Panel, reducing the number of evaluations would free up some resources to reduce some of the gaps in IEG's work program, increase upstream engagement with World Bank Group management, improve knowledge management, as well as allow greater engagement and outreach externally, which would lead to an increase in IEG's impact through greater use of its products.

CODE's governance and oversight of IEG's budget and work program set the standard among multilateral development banks. The most recent independent review of the IEG budget and work program certified that the IEG budgets were justified, given the work programs. The report also confirmed that IEG was consistent with the World Bank Group budget planning guidance, the tightness of the budget, and the efficiency and productivity measures, trade-offs made, and redeployments proposed by DGE. The FY10 assessment by the World Bank Controller found that IEG's control systems are good and are better than most other vice presidential units.

There are no major human resource issues that need to be addressed as a matter of priority in the short term. There has been significant turnover of IEG staff, mainly through retirement, and approximately half of the staff have been with IEG for three years or less. In filling the vacancies, IEG has strengthened its staff skill mix. About half of IEG's new staff since 2006 were from within the Bank Group and half were from outside. For IEG to continue to be the leader among the MDBs and to develop world-class evaluation methodologies, it will have to continue to recruit staff with strong evaluation expertise, internally and externally.

OVERALL

The design of this self-assessment of IEG draws on the approach described in the Review Framework for the Evaluation Function in Multilateral Development Banks,² prepared by the ECG. The overall achievement of IEG was self-assessed against the DGE's mandates on a six-point scale, from unacceptable to excellent. As shown in Table A, based on the evidence collected during this self-evaluation, IEG performs well on assessing World Bank Group performance, reporting to the Board on recommendations, evaluation systems and knowledge and outreach, cooperating with other evaluation agencies, and evaluation capacity development. Areas for improvement include incorporating evaluation assessments and findings into recommendations designed to help improve the development effectiveness of the World Bank Group and appraising and reporting on the adequacy of the self-evaluation and development risk management systems.

Based on analysis of the information collected, progress in achieving the mandates of DGE was rated *good*. This self-evaluation confirms the positive assessment of the 2004 External Review in the areas of independence, methodology, quality, product mix, and leadership in the international evaluation community. However, as noted above, the self-evaluation has also identified areas where changes could be made to improve IEG's already good performance. The actions to improve IEG's results that have been identified in the course of this self-evaluation can make a material difference, and IEG looks forward to the continued guidance and support of the Boards and CODE in moving forward.

² See document on ECGnet.org at www.ecgnet.org/documents/review-framework-Mar09.

Table A: Self-Assessment of IEG against the Mandates of the DGE

Mandate	Rating	Rational for the Rating
Assessing whether the World Bank Group's programs and activities are producing the expected results, including global, regional, and other programs in which the World Bank Group is a participant.	5	IEG performance in this area is rated <i>satisfactory</i> . Board members rate the coverage and quality of IEG's work as highly satisfactory. IEG's work program is comprehensive, provides assessments across the Bank Group, and covers the Bank Group's sector, thematic, and country strategies, operational and global programs, and corporate policies and processes. IEG's work helps the Boards hold World Bank Group managements to account for the results achieved.
Incorporating evaluation assessments and findings into recommendations designed to help improve the development effectiveness of World Bank Group programs and activities and their responsiveness to member countries' needs and concerns.	3	On average, World Bank Group staff assessed the learning, use, and influence of IEG's products to help improve development effectiveness as <i>between moderately satisfactory and satisfactory</i> . While IEG's work helps improve the understanding of Bank Group staff, there is less evidence of direct use of IEG's products to improve policies, strategies, and operations. More can and should be done to encourage learning from IEG's work. This will require more engagement with Bank Group management throughout the evaluation cycle and changes in IEG's product mix and processes.
Appraising World Bank Group self-evaluation and development risk management systems and attesting to their adequacy to the Boards.	4	IEG issues a comprehensive report every second year that comprehensively assesses IFC's self- and independent evaluation systems. Although parts of the Bank's systems are covered in annual reports, a more comprehensive approach is desirable. IEG is working with MIGA to develop a self-evaluation system. Bank Group risk management systems have not been assessed in detail.
Reporting periodically to the Boards on actions taken by the World Bank Group in response to evaluation findings and on measures to improve the overall operations evaluation system, including dissemination and outreach activities.	5	Although IEG reports annually to the Board on actions taken in response to IEG's recommendations, the system has weaknesses. As a result of IEG's 2010 annual report, work is being undertaken jointly by IEG and management to address these weaknesses. IEG also needs to work to develop sharper, more actionable recommendations.
Cooperating with the evaluation heads of other international financial institutions and development assistance agencies.	5	IEG is recognized by its peers as playing a strong leadership role in ECG. ECG members value IEG's intellectual leadership, leadership in setting standards and developing evaluation methodologies, and introducing new IEG products.
Encouraging and assisting borrowing member countries to build effective monitoring and evaluation associations, capacities, and systems.	5	IEG does more evaluation capacity development work than others and does it well. IEG's wholesale approach to this is appropriate. Participants rate the IPDET and SHIPDET courses excellent, and CLEAR has good potential. In-country evaluation capacity development, although limited as it is subject to a market test, has been successful. ECG members rate IEG's outreach and dissemination efforts highly and as setting the standard for others. Each year more than 100,000 documents are downloaded from IEG's Web pages.

Note: 1 = unacceptable; 2 = poor; 3 = modest; 4 = satisfactory; 5 = good; 6 = excellent. IPDET = International Program for Development Evaluation Training (a month-long training course held annually since 2000 for 100–200 participants); SHIPDET = Shanghai International Development Program for Development Evaluation Training.

Part I: The Report

1. Introduction

Core Functions of IEG

The Independent Evaluation Group (IEG) is responsible for assessing the relevance, efficacy, and efficiency of World Bank Group operational programs and activities and their contributions to development effectiveness. Independent evaluation is undertaken to improve accountability and inform the formulation of new directions; policies and procedures; country, sector, and thematic strategies; lending operations; and technical cooperation.³ The Director-General, Evaluation (DGE) oversees all independent evaluation work through IEG and assesses the Bank Group's self-evaluation systems. IEG therefore has two core functions: accountability and learning. In addition, the DGE works with donor and borrowing country partners to foster international evaluation harmonization, develop evaluation capacity in borrowing countries, and encourage evaluations of the international development system.

The DGE is responsible to the IBRD/IDA (International Bank for Reconstruction and Development/International Development Association), International Finance Corporation (IFC), and Multilateral Investment Guarantee Agency (MIGA) Boards of Directors, through the Committee on Development Effectiveness (CODE), for:

- Assessing whether the Bank Group's programs and activities are producing the expected results, including global, regional, and other programs in which the Bank Group is a participant.
- Incorporating evaluation assessments and findings into recommendations designed to help improve the development effectiveness of Bank Group programs and activities and their responsiveness to member countries' needs and concerns.
- Appraising World Bank Group self-evaluation and development risk management systems and attesting to their adequacy to the Boards.
- Reporting periodically to the Boards on actions taken by the Bank Group in response to evaluation findings and on measures to improve the overall operations evaluation system, including dissemination and outreach activities.
- Cooperating with the evaluation heads of other international financial institutions and development assistance agencies.
- Encouraging and assisting borrowing member countries to build effective monitoring and evaluation associations, capacities, and systems.

The DGE is supported by IEG management and staff in carrying out these functions. The current, recently established structure has four departments that focus on public sector evaluations; private sector evaluations; country, global, regional, and corporate evaluations; and communication, learning, and strategy.⁴

³ http://siteresources.worldbank.org/EXTDIRGEN/Resources/dge_mandate_tor.pdf.

⁴ Until the recent realignment, IEG had three departments that evaluated the World Bank (IEG-World Bank), IFC (IEG-IFC), and MIGA (IEG-MIGA) activities and a unit covering communications, learning, and strategy.

Objectives and Scope of the Self-Evaluation

The World Bank Group's independent evaluation system has been subject to periodic independent and self-assessments. A 1997 self-assessment led to a major renewal of IEG, and in 2003 CODE commissioned an independent external review in anticipation of the recruitment of the new DGE. The IEG management team considered it timely to undertake a self-evaluation of IEG this year because: (i) it has been six years since the last independent assessment of IEG was undertaken; (ii) the current DGE will retire in 2011; (iii) the results of the self-evaluation will provide a reference document for the incoming DGE and help set the strategy going forward; and (iv) the Board will undertake an independent examination of the five oversight and accountability units in 2011 and the self-evaluation would be a useful resource input into that assessment.⁵

The design of this self-assessment draws on the approach described in the Review Framework for the Evaluation Function in Multilateral Development Banks (MDBs)⁶ prepared by the Evaluation Cooperation Group (ECG),⁷ which is the appropriate comparator set for IEG. The self-assessment, which covers the period from 2005 to the present, with a focus on current issues and challenges, will:

- Assess IEG's structure and organizational effectiveness
- Compare the scope and structure of IEG with other development banks, including resource allocation, staffing, and management
- Assess the effectiveness of IEG in line with applicable existing best practice in multilateral institutions
- Develop a set of actions that can be taken in the short-term, medium-term, and longer-term.

To ensure that there is no overlap with the ongoing work of the Board in reviewing the five oversight units of the World Bank Group, this self-evaluation will not examine IEG's overall governance, its mandate, or its relationship and reporting to the Board through CODE.

⁵ The five oversight and accountability units that report to the Bank Group Boards or directly to the President are IEG, the Inspection Panel, the Integrity Vice Presidency, the Internal Audit Vice Presidency, and the Compliance Adviser/Ombudsman. The Board's Working Group on Internal Governance is undertaking an institutional review of the five oversight and accountability units to assess gaps, overlaps, and inconsistencies. A self-assessment, which will be followed by the external review, has been completed. The terms of reference are to assess (i) the units' mandates to ensure that the division of labor between the units is rational and efficient, and that important areas of accountability are not left out; (ii) whether the units' current lines of reporting are appropriate; (iii) the units' governance, particularly whether the necessary safeguards are in place to protect their independence and to develop actionable recommendations for addressing any concerns identified.

⁶ See document on ECGnet.org at www.ecgnet.org/documents/review-framework-Mar09.

⁷ The ECG was established in 1996 by the evaluation departments of the MDBs in response to a call for the harmonization of evaluation methodologies, performance indicators, and criteria. ECG members include the African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, the European Investment Bank, the Inter-American Development Bank, the International Monetary Fund, and the World Bank Group. Representatives of the Organisation for Economic Co-operation and Development's Evaluation Network of the Development Assistance Committee, the United Nations Evaluation Group, the International Fund for Agricultural Development, the Islamic Development Bank, and the Development Bank for the Council of Europe attend ECG meetings as observers. A comparison of factors such as the organizational structure, independence, staffing, access to information, work programs, budget, publication of evaluation reports of the ECG evaluation departments, including IEG, is in Appendix A.

This self-evaluation was prepared by a team led by Bruce Murray (external) and Geeta Batra (task team leader, IEG), including Bidjan Nashat and Yoshine Uchimura, under the guidance of IEG's management team. Johannes Linn was a peer reviewer for this evaluation. This evaluation has been informed by (i) results from surveys of IEG clients (internal and external), members of the Board and CODE, the ECG, and staff from the World Bank Group; (ii) interviews with managements of all three institutions, ECG members, Board and CODE members, and IEG management and staff; (iii) desk reviews of IEG documents and evaluations; and (iv) external benchmarking reports.

This self-evaluation addresses the question of the quality of IEG's work mostly in terms of (i) whether its approach and processes meet ECG good practice standards and (ii) the perceptions of survey respondents of the quality of IEG's products.⁸ An independent professional review of specific evaluations for a random sample of evaluations is beyond the scope of this self-evaluation but is something that could be considered in the future.

The analysis of use and influence of evaluation products is largely based on the perceptions of survey respondents. Although IEG is in the process of more formally identifying influential evaluations and is carrying out case studies to assess the impacts of its evaluations, this is work in progress and the results will not be available until September 2011.

The analysis of efficiency is based on information from IEG's management information systems, supplemented by interviews with IEG management and staff. IEG has not adopted formal service standards for its key products that could be used to benchmark efficiency.

Past Assessments of IEG by Independent Parties

2004 EXTERNAL REVIEW

In 2003 CODE appointed an external panel composed of three internationally recognized independent experts to undertake a review of the evaluation function and the mandate of the DGE.⁹ The 2004 external review was designed to help CODE assess the DGE's mandate prior to the selection process for the next DGE, who was expected to take up the post in October 2004. The external review focused on:

- The appropriateness of the mandates of IEG and the DGE in the light of the World Bank Group's current products and services and suggestions for any redefinition of the mandates
- The quality and credibility of IEG's evaluations from the point of view of internal and external end users
- The extent to which IEG's evaluation results contribute to the strategic directions of the World Bank Group, including the focus on results-based management and how to make them more useful in that respect.

⁸ A total of 35 Board members, 921 Bank Group staff, and 1,347 external clients responded to the 2010 client survey. In-depth interviews were undertaken with selected Board and CODE members and staff from the Bank Group.

⁹ This section was extracted from the Executive Summary of the Report of the External Review of the World Bank's Evaluation Function and DGE's Mandate, submitted to the Committee on Development Effectiveness of the Board of the World Bank, February 2004.

The 2004 External Review was undertaken in the context of the shift in the evaluation approach in the Bank from 1997 onward (IEG 2003b) to:

- Move to a higher evaluative plane (from project evaluations to country, sector, and thematic evaluations)
- Shorten the feedback loop to decision makers
- Build evaluation capacity inside and outside of the Bank to promote self-evaluation
- Invest in knowledge and partnerships
- Manage for results.

The findings of the 2004 external review were positive in the areas of independence, methodology, quality, product mix, and IEG's leadership role in the international evaluation community. IEG was held in high regard by members of ECG and the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD DAC) evaluation network and was recognized as playing a key role in developing best practice approaches to evaluation. IEG was seen as technically sophisticated and exemplifying state-of-the-art evaluation approaches, particularly its sector and thematic work and country and special studies. The key messages in the 2004 external review included the following:

1. Mandates of the DGE and IEG: The mandate of the DGE was basically sound and did not need significant revision. Minor clarifications suggested related to the oversight of the World Bank Group's broader evaluation systems and the growing need for alignment and harmonization with borrowing countries and donors. Although the panel was satisfied with the mandates of the Bank, IFC, and MIGA elements of IEG, it recommended that the incoming DGE review the differences and increase coordination among IEG-World Bank, IEG-IFC, and IEG-MIGA.
2. Independence: The panel found the model of independent evaluation widely regarded as the quality standard by other MDBs. The model was sound and struck a balance between: (i) impartiality and usefulness and (ii) organizational separation without isolation. The panel did not believe that engagement with management undermined independence. On the contrary, such interaction should be increased to ensure the usefulness of evaluation products. Greater use of external inputs in the evaluation process (for example, greater involvement of external experts and stakeholders on evaluation steering committees and advisory groups) could further strengthen the perception of evaluation independence.
3. Quality and credibility of evaluations: Evaluation outputs were rigorous and generally of a high standard. The quality and credibility of evaluations were satisfactory to clients and collaborators inside and outside the World Bank Group. Directions for further improvement included greater use of external consultants and contractors, new sampling techniques, and a further redeployment of IEG's personnel and financial resources.
4. Contributions to Bank Group strategic directions: The panel found IEG's product mix had responded to the rapidly changing agenda of international development and the changing mix of the Bank Group's products and services (for example, results-based agenda, the Millennium Development Goals, and the shift toward policy-based lending, global programs, sector and thematic work, and country-level strategies). IEG retained a high volume of project-focused evaluation activity within a relatively stable budget, despite major shifts in its product profile since 1997. The panel raised doubts whether such efficiency gains could be sustained and whether management and IEG could maintain the current volume of project-based self-evaluation and the demands of Country Assistance Strategy (CAS) evaluations within present workloads and budgets. Examining this issue

was identified as a priority for the incoming DGE.

The panel also noted that at times the World Bank Group's internal processes would need to be evaluated. The panel stated that there should be a shift in the balance toward more prospective or ex ante evaluation, that is, anticipating trends and assisting the choice between alternatives. Two issues were noted that have implications for the strategic contribution that evaluation can make to the Bank Group and also needed attention from the incoming DGE: (i) because countries will play an increasingly active role in the evaluation of their development programs, IEG will need to place more emphasis on evaluation capacity development (ECD); and (ii) associated with a growth in harmonization of procedures and programs, the donor community is shifting focus to the country level, which poses evaluation challenges (specifically, attribution and inter-agency cooperation with high transaction costs).

5. Implications for recruitment criteria for the DGE: The panel recommended a wide range of candidates should be identified and the perception of independence in the recruitment process should be strengthened. An independent search firm should be used to complement the Bank Group's in-house search and recruitment skills. Independence, leadership, communication, familiarity with evaluation methods and practice, and a persuasive and collaborative style of management were identified as the most important attributes for the selection of the DGE. The best candidate should be selected with no prejudice as to internal or external candidates. However, it would be advantageous for the selected candidate to have some familiarity with the World Bank Group that may or may not have been acquired through employment. The panel indicated that the DGE should have a rank equivalent to Senior Vice President.

Overall, the findings of the 2004 external review were very positive, although some areas for improvement were identified. Five of the seven recommendations in the 2004 external review related to the procedures to be followed for the recruitment of the incoming DGE. These recommendations have been implemented. Another recommendation related to strengthening the mandates of IEG and the DGE has also been acted upon. The final recommendation identified some issues for the incoming DGE to address. Although some have been addressed, others remain a work in progress.

GLOBAL ACCOUNTABILITY ASSESSMENTS

The One World Trust, an independent think tank based in the United Kingdom, conducts research, develops recommendations, and advocates for reform to make policy and decision-making processes in global governance more accountable to the people they affect, and to ensure that international laws are strengthened and applied equally to all. In 2005 One World Trust developed a Global Accountability Framework¹⁰ that identified common accountability principles for global actors. Global Accountability Reports were published in 2006, 2007, and 2008, each covering about 30 global organizations including international government organizations, international nongovernmental organizations (NGOs), and transnational corporations. Most ECG members have been covered, including the World Bank in 2006 and IFC in 2008, as well as many large international NGOs engaged in development work and several large transnational corporations. MIGA has not been assessed in any Global Accountability Report.

¹⁰ http://www.oneworldtrust.org/index.php?option=com_content&view=article&id=75&Itemid=143.

The evaluation function is one of four dimensions of accountability in the Global Accountability Framework, with transparency, participation, and compliance and response. The evaluation criteria used to score and rank each organization are grouped under two categories:

- Evaluation Policy: These indicators assess whether the organization has a specific policy(ies) to guide evaluation practice that stipulates commitments to (i) engage external stakeholders in the evaluation process; (ii) use evaluation results to inform future decision making; (iii) be transparent about evaluation results; and (iv) evaluate performance at different levels within the organization.
- Evaluation Systems: These indicators assess whether (i) leadership in the organization assumes responsibility for overseeing compliance with evaluation policy(ies); (ii) training is provided on evaluation policy(ies); (iii) evaluation policy(ies) are widely accessible to key external stakeholders; and (iv) lessons learned from evaluations are disseminated.

The analytical framework used in the Global Accountability Reports is rigorous and robust and is independent of any of the organizations assessed. It focuses on policies and processes rather than on an assessment of the quality, analytical rigor, and influence of individual evaluation products. One World Trust has concluded that a score higher than 80 suggests good practice evaluation principles are widely implemented in an organization.

The 2006 Global Accountability Report (Lloyd, Warren, and Hammer 2006) assessed 30 organizations, the World Bank, 9 other intergovernmental organizations,¹¹ 10 international NGOs,¹² and 10 transnational corporations.¹³ Earning a score of slightly higher than 90, IEG's evaluation function for the World Bank tied for third best, together with the World Wildlife Fund International. IEG ranked above the International Monetary Fund evaluation function (no other MDB was covered in the 2006 report) but behind the evaluation functions in the Global Environment Facility and World Vision International. Like most international government organizations, the evaluation policy and evaluation systems for the Bank were assessed as being relatively well developed, senior managers are responsible for overseeing evaluations, training is provided for staff on how to undertake evaluations, and mechanisms are in place to support the dissemination of lessons learned in the Bank, a key to encouraging and promoting organization-wide learning. IEG was one of seven intergovernmental organizations to engage relevant stakeholders when undertaking evaluations. This principle was identified as key to ensuring that evaluation strengthens an organization's accountability to affected communities. IEG was one of only three intergovernmental organizations that could evaluate internal administrative policies, which was considered important because internal policies are a means through which an organization ensures consistent and coherent approach to an issue.

¹¹ Bank for International Settlements, Food and Agriculture Organization, Global Environment Facility, International Labour Organization, International Monetary Fund, OECD, the World Bank, World Health Organization, World Intellectual Property Organization, and the World Trade Organization.

¹² ActionAid International, Amnesty International, Human Life International, International Chamber of Commerce, International Confederation of Free Trade Unions, International Federation of Red Cross and Red Crescent Societies, The Nature Conservancy, Oxfam International, World Vision International, and World Wildlife Fund International.

¹³ Anglo American plc, Dow Chemical Company, Exxon Mobil Corporation, Microsoft Corporation, Nestlé, News Corporation, Pfizer Inc, Strom Gas Wasser AG (RWE), Toyota Motor Corporation, and Wal-Mart Stores, Inc.

The 2008 Global Accountability Report (Lloyd, Warren, and Hammer 2008) examined evaluation practices in 30¹⁴ organizations, including IFC and 9 other intergovernmental organizations,¹⁵ 10 international NGOs,¹⁶ and 10 transnational corporations.¹⁷ IEG's evaluation function for IFC ranked sixth out of the 30 organizations, with a score of 84. This score was slightly higher than the other multilaterals assessed (European Bank for Reconstruction and Development [EBRD], African Development Bank, [AfDB] and European Investment Bank [EIB]) but lower than UNICEF (the United Nations Children's Fund, which was the top-ranked organization, with a score of 98), Care International (Secretariat), Royal Dutch Shell, BHP Billiton, and Carrefour. The Global Accountability Report identified two issues with IFC's evaluation function: (i) IFC is responsible for annual assessments of client compliance with IFC's performance standards, but only a sample of these assessments are independently audited by IEG, and (ii) IEG does not report the results of these audits on a project-by-project basis, which does not allow individual companies to be held to account. The proposed new Access to Information Policy of IEG would address the latter issue through the disclosure of redacted versions of IEG's project evaluations.

IEG's evaluation functions for the Bank and IFC both scored relatively highly, exceeding the benchmark established in the Global Accountability Reports that indicates that good practice evaluation principles are widely accepted in the organizations. These rankings also exceeded those of the evaluation functions in most other ECG members, international NGOs, and transnational corporations.

The rest of the self-evaluation is organized as follows. Chapter 2 evaluates the independence of IEG, Chapter 3 takes an in-depth look at the effectiveness of IEG, with a focus on evaluation use and influence and processes for quality control, and chapter 4 examines internal efficiency issues in IEG. Key conclusions and actions are included at the end of each chapter.

¹⁴ Seven organizations did not fully engage in the research process.

¹⁵ AfDB, Asia Pacific Economic Cooperation, EBRD, EIG, International Atomic Energy Agency, IFC, International Organization for Migration, North Atlantic Treaty Organization, United Nations Office of the High Commissioner for Refugees, and UNICEF.

¹⁶ CARE International (Secretariat), Catholic Relief Services, Fairtrade Labelling Organizations International, International Committee of the Red Cross, International Federation of Organic Agriculture Movements, International Olympic Committee, International Planned Parenthood Federation, Islamic Relief, Plan International, and Transparency International.

¹⁷ BHP Billiton, Cargill, Carrefour, CEMEX, Deutsche Post World Net, EDF, Goldman Sachs, Halliburton, Royal Dutch Shell, and Unilever.

2. Independence

Independence and objectivity are critical for IEG to credibly and effectively implement its mandate. OECD DAC defines independent evaluation as “an evaluation carried out by entities and persons free of control of those responsible for the design and implementation of the development intervention” (OECD 2002). OECD DAC believes that: (i) the credibility of an evaluation depends in part on how independently it has been carried out; (ii) independence implies freedom from political influence and organizational pressure; and (iii) independence is characterized by full access to information and full autonomy in carrying out investigations and reporting findings.

The Development Committee Task Force on Multilateral Development Banks recommended in 1996 that “the heads of the five MDB evaluation units... should...be allowed to issue final evaluation reports to the MDB President and Executive Directors without prior clearance by anyone outside the unit” (Task Force on Multilateral Development Banks 1996, p. xi). Since then the concept of independence of MDB evaluation departments has been refined and strengthened, and in 2010 ECG issued a Good Practice Standards (GPS) on the independence of international financial institutions’ (IFIs) central evaluation departments (CEDs) (ECG 2010).

The GPS provide a context for consideration of issues related to independence by defining the rationale for independence: “While independence is essential for the IFI to maximize the benefits from its evaluation system, the *raison d’être* of independence is not for its own sake but to provide for impartial, credible evaluation as a means to help improve the performance of an organization. Four principles should be borne in mind when considering independence:

- The rationale for independence in its various dimensions is to provide for, and to protect, the impartiality of evaluations and to ensure that the ability of the evaluators to provide credible reports and advice is not compromised.
- Independence does not mean isolation, as both operations and evaluation activities are enriched through cross-fertilization of knowledge and experience, and evaluators can help to introduce good practice and innovations by being aware of relevant developments outside the IFI. This has implications for evaluation work processes and issues such as the rotation of CED staff to and from other parts of the IFI and the mix of CED staff with experience inside and outside the IFI.
- Independence does not imply any particular approach to evaluation. In particular, independence does not mean that evaluators should focus more on accountability than on learning.
- Independence does not mean lack of accountability and responsibility or that CED is exempt from the same degree of transparency as any other part of the IFI. The mechanisms used to ensure adequate levels of accountability for the evaluators may be somewhat different from, and independent of, the mechanisms for the parts of the organization reporting to management” (ECG 2010, pp. 1, 2).

Assessment of IEG against Good Practice Standards for Independence

The details of an assessment of IEG against ECG’s Good Practice Standard (GPS) for independence are included in Appendix B and summarized here under the four dimensions of

independence: (i) organizational independence; (ii) behavioral independence; (iii) avoidance of conflict of interest; and (iv) protection from outside interference.¹⁸

Overall, IEG scores very well when assessed against the ECG GPS for independence. IEG has adopted 23, or 88 percent, of the 26 specific standards. The remaining three standards should be addressed, although they do not materially undermine IEG's independence. Overall, IEG's reporting lines and level of independence are adequate to effectively meet its mandate. The World Bank Group has set best international practice in putting in place systems and safeguards to ensure IEG's independence and objectivity. Most other MDBs have followed the IEG model and used it as a reference point when changing their organizational structure to enhance the independence of their evaluation departments.

ORGANIZATIONAL INDEPENDENCE

Organizational independence is designed to ensure that (i) the evaluation unit is beyond the control of decision makers whose activities are being evaluated; (ii) the scope of evaluation covers all relevant aspects of the organization; and (iii) that the evaluation unit and its staff have access to all necessary information.

IEG reports directly to the Boards through CODE and is thus organizationally independent from management and operational staff whose activities are being evaluated.

IEG views the Board as its primary client. Although the key principles of all dimensions of independence are provided for in the mandate of the DGE and terms of reference of the IEG directors, an updated formal Board-approved evaluation policy that enshrines these principles of independence and other aspects of IEG's policies and procedures is not in place. Most other ECG members have comprehensive, Board-approved evaluation policies. There is some ambiguity for IEG's full independence in the terms of reference of the IEG directors for IFC and MIGA, which state that for administrative purposes, they report to the concerned executive vice president. Attention was drawn to this provision in the 2004 external review, but these sentences remain and have not been clarified.

IEG's scope of responsibility extends, without restriction, to all the determinants of the Bank Group's operational results. This concept was tested in 2009. At the CODE meeting on IEG's work program and budget, management objected to the inclusion of an evaluation on matrix management and development effectiveness in the work program, arguing that it was beyond IEG's mandate (see Box 1). CODE members felt that the topic was of strategic relevance for achieving development effectiveness, and the evaluation remained in the work program. The effort by management to have this evaluation removed from the IEG work program, based on legal opinion, is a threat to one aspect of IEG's independence and could have set a damaging precedent. The decision of CODE, and subsequently the Board, that this evaluation should remain in the IEG work program was a forceful reaffirmation of the independence of IEG from management. On another earlier proposal for IEG to review the Bank Group's internal governance, management and several Board members took exception, and based on the discussion, IEG too concurred that this work would not be productive at that stage.

¹⁸ These four dimensions of independence were used in the 2003 ECG Template for Assessing the Independence of Evaluation Organizations, which was based largely on IEG work (IEG 2003).

Box 1: Evaluation on Matrix Management and Development Effectiveness

In 1997 the World Bank moved to a matrix organization, both within regions, with the creation of sector and country units, and Bank-wide, with the creation of networks, to improve operational effectiveness and overcome segregated structures that were not considered conducive to knowledge activities.

Several questions have since emerged about the effectiveness of the matrix. A Bank task force had been appointed to examine organizational effectiveness under the matrix system. IEG planned to undertake an evaluation of aspects of matrix management with the goal of informing future directions (including decentralization). At the May 2009 CODE meeting on the IEG work program and budget, management's Legal Counsel argued that (i) the mandate of the DGE and IEG's Terms of Reference provided for the independent evaluation of the Bank's operational programs and activities but neither provided for evaluation of, or provision of recommendations concerning, organizational and staffing arrangements of the Bank; and (ii) the Bank's Articles of Agreement state that, subject to the general control of the Executive Directors, the President is responsible for the organization of the officers and staff.

CODE members felt that the topic was of strategic relevance for the ability of the World Bank Group to achieve development results, as it directly affects the way the Bank conducts its business. CODE recommended keeping the proposal as presented by IEG, subject to further discussions with the CODE Chair. After the consultation, the evaluation on matrix management and development effectiveness remained in the program. IEG is now undertaking the evaluation.

According to the GPS, the work of evaluation departments should extend, without restriction, to all the determinants of operational results. The experience of some other ECG members indicates that managements are sometimes resistant to evaluations of corporate management systems. However, such issues are often of great interest to boards. Without the ability to understand how organizational structures, processes, and incentives affect the World Bank Group's ability to implement its programs and to effectively respond to development challenges, IEG's evaluations will likely have limited impact in effecting change.

BEHAVIORAL INDEPENDENCE

Behavioral independence relates to the ability and willingness of IEG to issue candid reports, the absence of management-imposed restrictions that limit transparency in the disclosure of evaluation findings, and the absence of management-imposed constraints (including both budget and human resources) in undertaking evaluations.

IEG's work program and budget are endorsed by CODE and approved by the Boards, consistent with this principle. In addition, there should be no management-imposed resource constraints on IEG, although budget discussion, especially in the case of IFC and MIGA, often reveal a sense that management is allocating budget to IEG. The IEG budget is separate from management budgets, and in the end, management does not have authority over IEG's budget or its use. The DGE is responsible for managing the IEG budget under the oversight of CODE and in consultation with the vice presidents responsible for budgets for the Bank, IFC, and MIGA. CODE, not management, can order audits of IEG.

IEG's reports are transmitted to the Boards through the DGE, without any clearance from management, although, consistent with the practice in all MDBs, management is given the opportunity to review and comment on draft reports. IEG decides how or whether to address management comments. The support of CODE and the Board is crucial in IEG's presentation of independent findings. This has by and large been the case, but on rare

occasions CODE has sought for IEG to come with an agreed position, for example, in the case of the gender evaluation. There are no management-imposed restrictions on the scope, content, or disclosure of IEG products in the current IEG Disclosure Policies, which are distinct for the World Bank, IFC, and MIGA evaluations, and no such restrictions are included in the proposed new IEG Access to Information Policies. IEG has full autonomy in these areas.

Public disclosure of evaluation reports promotes accountability and credibility of the evaluation function. Under the current IEG Disclosure Policies, all IEG reports, Management Responses, and CODE Chair Summaries are disclosed after CODE or Board discussion, unless CODE determines that they should not be disclosed. The only exceptions are project-level evaluations (Bank's Implementation Completion Report [ICR] validations, and IFC and MIGA project-level reviews and evaluations) and Country Assistance Strategy Completion Report (CASCR) validations. IEG developed, and submitted to CODE for review and endorsement, a new Access to Information Policy, that harmonizes the separate Disclosure Policies into one updated document, consistent with the recent revision of the Bank's own policy. The presumption will be on public disclosure unless there are compelling reasons not to do so.

IEG's proposed policy will allow access to reports, research information, and supporting documentation originally produced by IEG while conducting its evaluations of World Bank Group activities, and to material generated by IEG advisory panels, external experts, and other third parties hired by IEG. The proposed policy envisages that individual ICR ratings and validations, CASCR validations, Management Action Record and Implementation Report, the IEG work program, guidelines¹⁹ and manuals, and IEG databases will also be disclosed, which will address an issue highlighted in the 2008 Global Accountability Report.

There will be well-defined exceptions to the disclosure of information, according to which IEG will not disclose information that (i) would not be disclosed by World Bank Group entities; (ii) protects the deliberative process with the Board and its committees by specifying clear processes for documents that are sent to the Board or Committees for discussion; (iii) preserves confidential information, such as evaluation documents that identify individual IFC operations or MIGA guarantees, unless the relevant parties consent to such release; and (iv) protects non-evaluation information such as internal documents and memorandum, confidential borrower information, and staff records.

AVOIDANCE OF CONFLICTS OF INTEREST

Avoidance of conflicts of interest means that provisions are in place to ensure that past, current, or immediate future employment and financial considerations, or prior professional or personal relationships and considerations, do not interfere with the objectivity, or perceived objectivity, of evaluators. IEG has issued Conflict of Interest Guidelines (IEG 2008). IEG staff do not evaluate activities that they were previously responsible for or were involved in. The principle applies equally to the DGE and to IEG managers, staff, and consultants. Possible conflicts of interest of both IEG staff and their immediate family members are covered in the guidelines.

¹⁹ IEG-IFC and Country Assistance Evaluation guidelines are currently disclosed, but Project Performance Assessment Report and IEG-MIGA guidelines are not.

To further ensure that the DGE does not have any possible conflict of interest between the evaluation role and future employment in the World Bank Group, the DGE is not eligible for employment in other staff positions in the Bank Group or for consulting assignments. IEG is unique among ECG members in that similar restrictions apply for the Deputy DGE and the directors.²⁰ Although these restrictions are necessary to enhance independence by avoiding potential conflicts of interest, they also limit the pool of candidates for these positions.

Other IEG staff can, and many have, left IEG for positions elsewhere in the Bank Group. It is considered good practice in other MDB evaluation departments to have a two-way flow of staff. Conflict-of-interest limitations apply to all staff with regard to known or expected future professional responsibilities or financial interests. IEG members in the process of evaluating or supervising the evaluation of a project or country or sector program must inform their managers and recuse themselves from the evaluation if they apply for a position in the Bank Group unit being evaluated.²¹

PROTECTION FROM OUTSIDE INTERFERENCE

Protection from outside interference ensures that (i) the evaluation unit has the ability to decide on the design, conduct, and content of evaluations without interference; (ii) the content and recommendations of the evaluations cannot be changed by an outside authority; (iii) there are adequate resources to carry out the mandated responsibilities effectively; (iv) the head of evaluation is not threatened by real or perceived interference by management concerning his or her appointment or renewal, annual performance appraisal, or compensation; and (v) the head of evaluation has final authority over personnel matters subject to following the principles of the human resource policies in the organization.

IEG's three-year rolling consolidated work program and budget are prepared independently of management for endorsement by CODE and approval by the Boards. IEG consults with the Board and informally with Bank Group management and operational staff during the preparation of the work program. During interviews conducted to inform this self-evaluation, managements of the Bank and IFC expressed the view that there should be more formal consultation during the formulation of IEG's work program and that the procedures used to select topics and set priorities are not fully transparent to them.

The selection process and the remuneration of the DGE are managed under the oversight of CODE and the Board with the advice of the Bank's Vice President, Human Resources. If required, search firms are used to assist CODE. The appointment is for a five-year renewable term. The performance review of the DGE is undertaken by the CODE Chair. The DGE can only be removed by the Boards. However, there is no formal dismissal policy in place. Grounds for dismissal are not mentioned in the mandate of the DGE and terms of reference of

²⁰ This restriction does not apply to the current Director, IEG-World Bank.

²¹ On paper there are no concerns regarding conflicts of interest, but during one interview a staff member questioned how rigorously these provisions were applied. The issue related to one evaluator who worked in the thematic area in the Bank before transferring to IEG and was subsequently involved in an evaluation of that thematic area. This incident highlights the fact that IEG must be constantly on guard to ensure that potential conflict-of-interest situations do not undermine the credibility of its evaluations.

the IEG Director, and the terms of reference of the IEG-IFC and IEG-MIGA directors state that they cannot be removed without just cause, which is not defined.²²

The DGE is responsible for managing the staff of IEG, under the oversight of CODE and in consultation with the respective vice presidents responsible for Human Resources for the Bank, IFC, and MIGA. The DGE selects the IEG directors, with discussions with management and the Chair of CODE. The performance evaluations and salary reviews for the directors are conducted by the DGE, with the oversight of the CODE Chair. Directors and managers are responsible for the selection, performance evaluation, salary review, and promotion of their staff, with the oversight of the DGE and in consultation with the concerned managers for Human Resources at the Bank, IFC, and MIGA.

Client Perception of IEG’s Independence

An important additional consideration in assessing independence is whether various stakeholders believe that IEG functions in an independent way. To this end, IEG conducted surveys of its clients in 2010. In those surveys, 1,667 respondents rated IEG on the four dimensions of independence on a six-point scale from very low to very high.²³ Nearly all Board members (97 percent) replied that IEG was independent. Although this fell to 75 percent when only highly and very highly independent responses were considered, this figure still indicates a strong feeling among Board members that IEG is independent. The high ratings covered all four dimensions of independence. On average Board members rated IEG’s independence at 4.94 on a scale of 6, about 0.5 higher than Bank Group staff and external stakeholders (Table 2.1).

Table 2.1: Views of Board Members and WBG Staff on IEG Independence

	<i>Board members</i>			<i>World Bank Group staff</i>		
	<i>Score (out of 6)</i>	<i>High/very high (%)</i>	<i>Somewhat high/high/very high (%)</i>	<i>Score (out of 6)</i>	<i>High/very high (%)</i>	<i>Somewhat high/high/very high (%)</i>
Organizational independence	5.07	86	100	4.46	52	85
Behavioral independence	4.86	71	96	4.40	51	86
Avoidance of conflict of interest	4.81	74	93	4.39	52	85
Protection of external influence	5.00	70	100	4.46	54	85
Overall ^a	4.94	75	97	4.43	52	85

Source: IEG 2010 External Stakeholders Survey.

a. Average of the four ratings for organizational independence, behavioral independence, avoidance of conflict of interest and protection from external influence.

²² DGE and all IEG staff are subject to the same integrity standards and associated procedures as other World Bank Group staff.

²³ 984 external stakeholders, 654 World Bank Group staff, and 29 Board members.

Table 2.2: Views of NGOs on IEG Independence

	<i>NGOs and nonprofits</i>			<i>All external respondents</i>		
	<i>Score (out of 6)</i>	<i>High/very high (%)</i>	<i>Somewhat high/high/very high (%)</i>	<i>Score (out of 6)</i>	<i>High/very high (%)</i>	<i>Somewhat high/high/very high (%)</i>
Organizational independence	4.45	52	80	4.53	56	83
Behavioral independence	4.42	56	79	4.52	56	84
Avoidance of conflict of interest	4.37	48	78	4.40	51	80
Protection from external influence	4.30	47	76	4.45	51	82
Overall ^a	4.39	51	78	4.48	53	83

Source: IEG 2010 External Stakeholders Survey.

Note: NGO = nongovernmental organization.

a. Average of the four ratings for organizational independence, behavioral independence, avoidance of conflict of interest and protection from external influence.

Among World Bank Group staff there is also a widespread perception that IEG is independent. A large majority of staff (85 percent) replied that IEG was somewhat highly, highly, and very highly independent. Although this fell to slightly over half when only highly and very highly independent responses were considered, this figure still indicates that the perception of most Bank Group staff is that IEG is independent. Only 15 percent of Bank Group staff believed that IEG was not fully independent. Similar patterns were found for the four dimensions of independence, and none stand out as a particular problem area. Bank Group staff rated IEG's independence at 4.43 on a scale of 6, about the same as external clients (see Table 2.1).

The NGO community plays an important role in some World Bank Group projects by organizing and supporting beneficiaries and delivering complementary services. In other cases, civil society challenges the conventional wisdom within MDBs and identifies operations that were less than successful in achieving their objectives and, in some cases, reportedly doing harm to beneficiaries or the environment. The views of this group of stakeholders on IEG's independence are vital to its credibility. Of the 984 external stakeholders that had enough interaction with IEG to rate its independence, 142 categorized their organization as an NGO or a nonprofit. Their responses are compared to the responses of all external clients in Table 2.2.

Respondents from NGOs and nonprofits were marginally more skeptical about IEG's independence than all external respondents. For NGOs and nonprofits, all four dimensions of independence were rated 4.4 on a scale of 6. For all external respondents, the average rating was slightly higher, at 4.5. About 83 percent of all external respondents felt that IEG was somewhat highly, highly, and very highly independent. The corresponding figure was 5 percentage points lower for respondents whose organization was an NGO or a nonprofit. For both groups these figures dropped to a little over 50 percent for those who felt that IEG was either highly or very highly independent. Overall, external respondents, including those from NGOs, recognize that IEG is independent; relatively few, about 20 percent, believe that its independence is low.

The press has also from time to time commented on IEG's independence. *The Wall Street Journal* has in the past been the most critical about IEG's lack of independence, arguing in 2007 that "...Mr. Zoellick would also do the bank—and the English language—a favor by abolishing the Independent Evaluation Group. Despite its name, the group, which is supposed to provide independent assessments of the effectiveness of bank projects, is staffed by bank employees who have every incentive to kiss the hand that feeds them. If the bank truly wants 'independent evaluation,' it would be better served asking Transparency International to set up a field office in the atrium of the bank's D.C. headquarters." More recently, in commenting on IEG's evaluation of the Bank Group's response to the financial crisis, the *Wall Street Journal* wrote, "The IEG is an in-house auditor for the bank and is known for its independence, having sharply criticized the bank's practices on corruption and agricultural policy. This time, the group was largely laudatory. While the crisis took the World Bank by 'surprise,' the report said, the bank responded quickly, as private capital flows to developing nations dropped by about a third in 2008 from \$1.2 trillion in 2007."

Conclusions

The independence of IEG is meant to be protected by the mandate of the DGE, the terms of reference of the IEG directors, and the support of CODE and the Boards. IEG's guidelines on conflict of interest also contribute to protecting IEG's independence. Overall, IEG's organizational systems, reporting structures, and procedures are consistent with the ECG GPS for independence. These features are not to be taken for granted, but continually nurtured so they ensure IEG's independence.

In principle, management could view the presence of an independent body as an enormous source of strength for the World Bank Group. But there are times when differences in views or sensitivity over the findings overshadow the inherent value of the function. IEG's fuller value can be realized when its place in the architecture for development effectiveness is recognized.

Two actions should be taken in the short term to maintain IEG's independence. First, the proposed new Access to Information Policy should be endorsed by CODE and the Boards as soon as possible. The policy addresses gaps in the existing policy, related to the disclosure of project-level evaluations, and thus addresses a limitation identified in the 2008 Global Accountability Report. It will also bring IEG's policy in line with that of the World Bank, which was significantly revamped in 2010, and thus strengthen perceptions of its independence. Second, the terms of reference of IEG directors should be especially amended both to reflect the evolution of IEG's organizational structure and to rectify existing inconsistencies—specifically the eligibility to (re)employment in the World Bank for the IEG director responsible for World Bank evaluations, and the ambiguity regarding the reporting of the IEG director responsible for IFC and MIGA evaluations.²⁴

In the future, consideration should be given to developing a comprehensive evaluation policy paper that draws together, codifies, and harmonizes the policies and procedures that were developed separately for evaluation of the World Bank, IFC, and MIGA. Consideration should also be given to developing a dismissal policy for the DGE and IEG management, in

²⁴ These changes to the Terms of Reference of the IEG directors have been drafted in consultation with the previous CODE and have been put on hold pending the review of the "5 Is" that is currently in process.

particular to clarify what would constitute just cause and the appropriate process for dismissal.

In conclusion, these are positive findings on IEG's independence. However, independence is a precious asset for an evaluation department and it is at the heart of its credibility and impartiality. IEG must continuously nurture and demonstrate its independence through its actions, and CODE and the Boards must continuously protect that independence.

3. Effectiveness

IEG has a primary client—the Board—and several stakeholders—²⁵ World Bank Group management and staff and the broader development community. IEG’s effectiveness at improving accountability and informing the activities of the Bank Group depends in the first place on its ability to provide timely and relevant evaluative inputs to support Board members’ deliberation and decision making. It also depends on its influence on Bank Group management and staff through the formulation of specific recommendations and through the identification and dissemination of evaluative lessons relevant to the design and implementation of strategies, policies and procedures, and projects and knowledge products; and finally on members of the development community through evaluative lessons that have applicability beyond the World Bank Group.

IEG’s mission statement, its work program, and results point to a growing emphasis in its influence and its impact on Bank Group directions. IEG evaluations increasingly feature in Bank Group strategies (education, natural disasters, and water), and IEG notes are referred to in decision making contexts (safeguards, cost-benefit analysis, and Doing Business Indicators).

IEG does not have a fully articulated results framework to assess its effectiveness. Online surveys and structured interviews were administered in October 2010 to World Bank Group staff, members of CODE and the Board, external stakeholders, and members of the ECG to gather information on different aspects that are relevant to IEG’s effectiveness.

Client and Stakeholder Views on Evaluation Use and Influence

A total of 35 Board members and advisors, 921 World Bank Group staff, and 1,347 external stakeholders responded to the 2010 IEG Client Survey, although the response rate varies from question to question, depending on the person’s knowledge and the applicability of the question. Respondents rated IEG’s impact on the development effectiveness of the Bank Group and the broader development community.

Board members rated IEG’s contribution to improving the World Bank Group’s development effectiveness higher than Bank Group staff; 86 percent had the opinion that IEG has a moderate or greater impact—compared with 67 percent of Bank Group staff. External stakeholders’ opinion was in between, at 75 percent. With regard to improving the development effectiveness of the broader development community, about half of the Board members and Bank Group staff responded that IEG was making at least a moderate contribution, with external stakeholders expressing a more favorable opinion (72 percent at least moderate) (see Table 3.1).

²⁵ Some other ECG members believe that they have multiple clients—boards, management, senior operational staff and team leaders, and external clients such as partner countries, civil society organizations, and beneficiaries. In this context the client is defined as the person who will make decisions based on the evaluation. Sometimes external clients use evaluations to facilitate change in MDBs by bringing matters to the attention of boards.

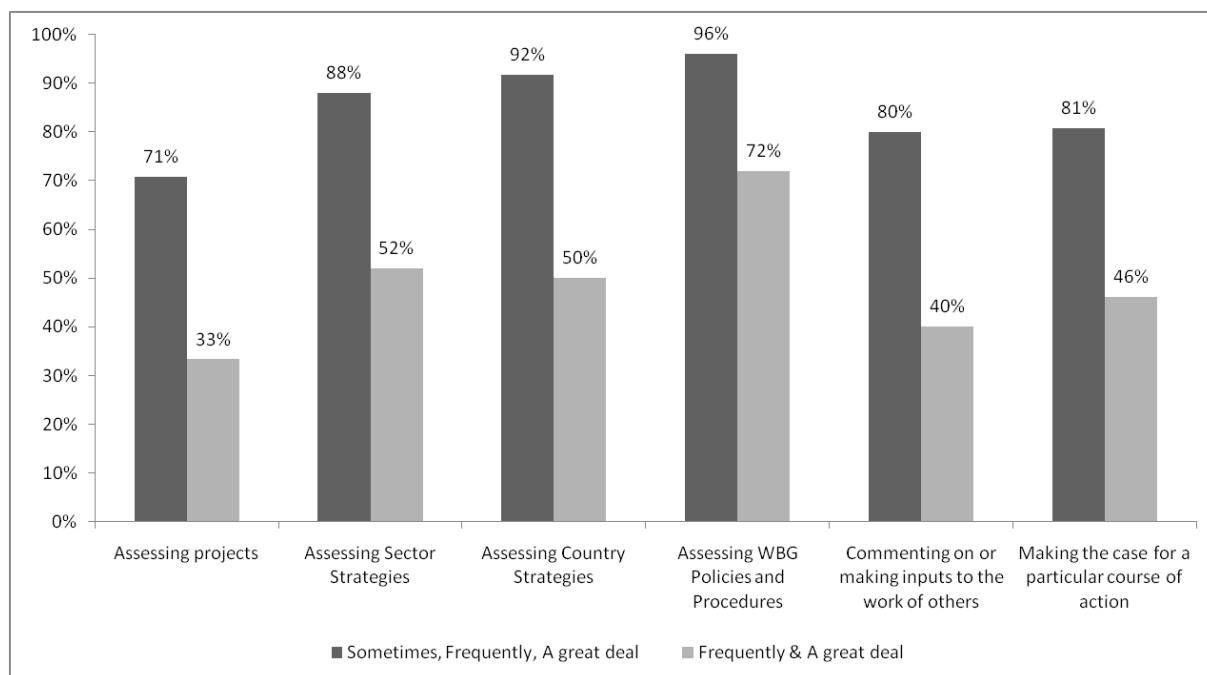
The survey results indicate that IEG products are appreciated and used by Board members, thereby fulfilling IEG’s role of supporting the Boards in holding Bank Group management accountable for the results achieved. Board members reported particularly high use of IEG products to assess policies and procedures, country strategies, and sector strategies, followed by commenting on the work of others and making the case for a particular course of action. However, they were less likely to use IEG products to help assess projects (see Figure 3.1). Nearly all (88 percent) Board members reported using IEG products to some extent and more than half using IEG products to a great extent (Table 3.2). IEG products helped improve the understanding of Board members in many areas—the development results of projects and operations, good practices, lessons learned, the subject area of the evaluation, and Bank Group activities in sectors and countries.

Table 3.1: Perceived Impact of IEG on Development Effectiveness

	<i>Impact on WBG’s development effectiveness</i>	<i>Impact on the broader development community’s development effectiveness</i>
Board members		
Percent rating impact as a moderate, great or very great extent	86	46
Percent rating impact as a great or very great extent	36	32
Score on six-point scale	4.18	3.89
Number of responses	28	28
WBG staff		
Percent rating impact as a moderate, great or very great extent	67	54
Percent rating impact as a great or very great extent	34	21
Score on six-point scale	3.85	3.50
Number of responses	805	789
External Stakeholders		
Percent rating impact as a moderate, great or very great extent	75	72
Percent rating impact as a great or very great extent	47	39
Score on six-point scale	4.27	4.14
Number of responses	962	944

Source: 2010 IEG Client Survey.
Note: WBG = World Bank Group.

Figure 3.1: Use of IEG Products by Board Members



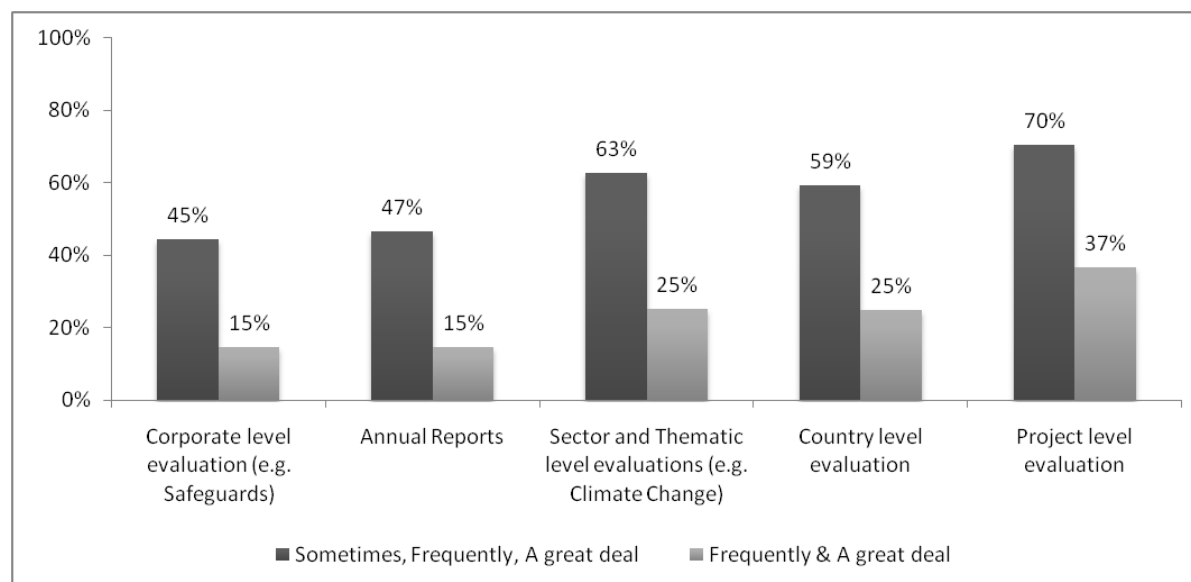
Source: IEG Client Survey.

Table 3.2: Use of IEG Products

	<i>Use of IEG products</i>
Board members	
Percent rating use as to some extent, very much or a great deal	88
Percent rating use as very much or a great deal	53
Score on six-point scale	4.53
Number of responses	17
WBG staff	
Percent rating use as to some extent, very much or a great deal	69
Percent rating use as very much or a great deal	20
Score on six-point scale	3.36
Number of responses	660
External stakeholders	
Percent rating use as to some extent, very much or a great deal	84
Percent rating use as very much or a great deal	45
Score on six-point scale	4.32
Number of responses	814

Source: 2010 IEG Client Survey.
 Note: WBG = World Bank Group.

Figure 3.2: WBG Staff Ratings on the Frequency of Use of IEG’s Evaluation Products



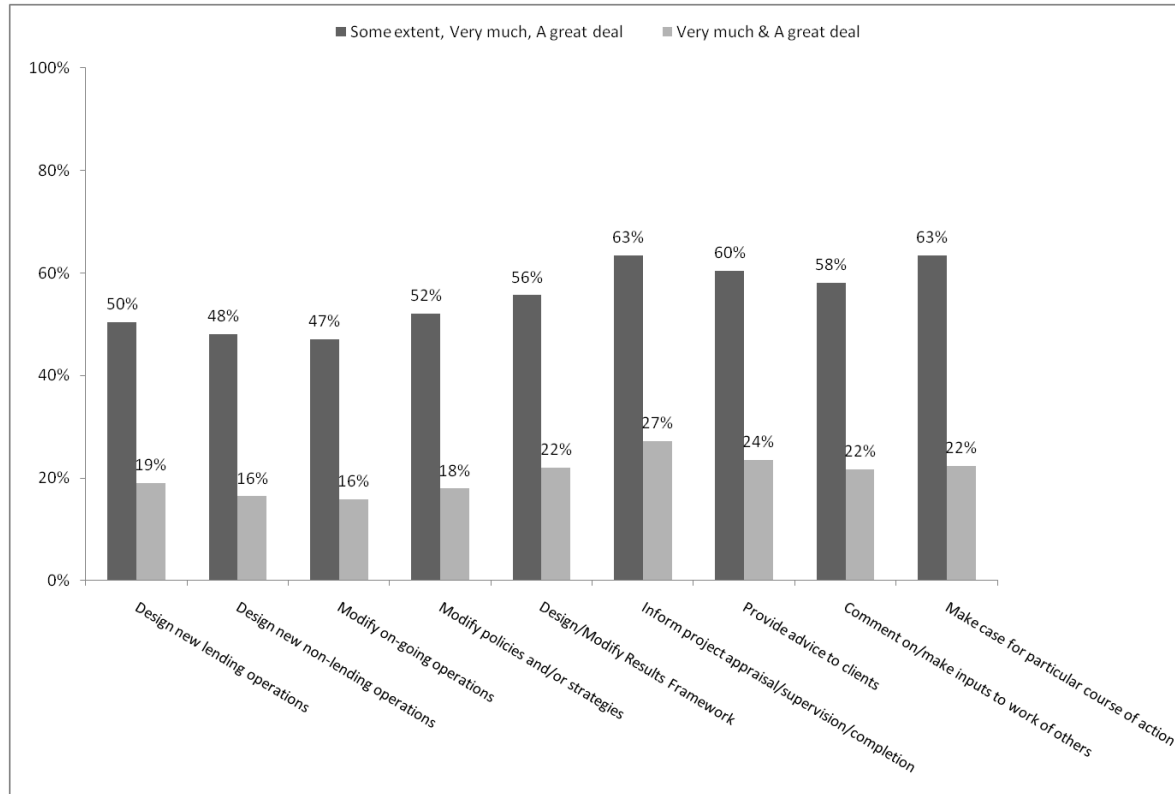
Source: 2010 IEG Client Survey.
 Note: WBG = World Bank Group.

The survey results indicate lower use of IEG products by Bank Group staff. This points to a key challenge for IEG: how to make IEG’s evaluations, lessons, and recommendations more relevant to Bank Group staff. Unlike Board members, staff were most likely to use project-level evaluations, with 70 percent reporting that they used them at least sometimes and 37 percent frequently or a great deal (see Figure 3.2). Bank Group staff were most likely to use IEG products to (i) inform project appraisal, supervision, and completion; (ii) make the case for a particular course of action; (iii) provide advice to clients; (iv) comment on, or make inputs to, the work of others; and (v) design or modify results frameworks. There was relatively less use of IEG products for the design of new lending or nonlending products or to modify ongoing operations (Figure 3.3). In terms of influence, 80 percent of Bank Group staff felt that IEG evaluations had at least some influence on the Bank Group, with a third stating that IEG evaluations had a great deal of influence on the operations, particularly through providing lessons from past operational experience and through reporting on the development results of operations (Table 3.3).

Regarding the use of IEG recommendations, about 45 percent of Bank Group staff used them at least to a moderate extent to make changes in operational policies and procedures. Only 17 percent reported frequently using IEG recommendations to make changes in these areas (Figure 3.4). Recommendations were most often used to improve project design and implementation (54 percent). Forty percent of Bank Group staff felt that the implementation of IEG recommendations led to better outcomes at the organizational, country, sector, or project level, with the percentages being higher for sector (46) and project-level outcomes (50 percent). When analyzed by staff grade level, the ratings on impact, use, understanding,

quality, and recommendations (quality and use) among GH level or higher staff were lower than the average for Bank Group staff.²⁶

Figure 3.3: WBG Staff Ratings on Use of IEG Evaluations



Source: 2010 IEG Client Survey.
 Note: WBG = World Bank Group.

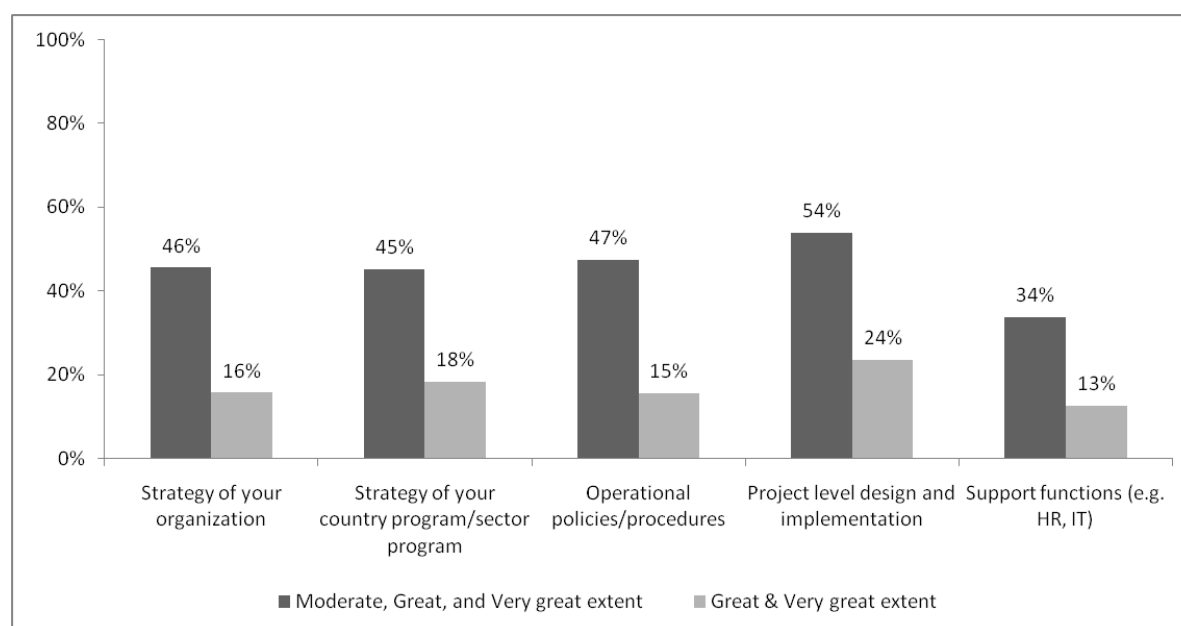
²⁶ These differences are statistically significant at the 95 percent confidence level, with an error of estimate between 3 and 4 percent. Detailed results are available on request.

Table 3.3 Influence of IEG Evaluations (Ratings by 682 WBG staff respondents)

	<i>Some-A great deal influence (%)</i>	<i>A great deal (%)</i>	<i>WBG staff average</i>
The subject area	80	36	4.09
Your organization’s activities in a sector	79	34	4.04
Your organization’s work in a country	72	31	3.88
Essential lessons learned from past operational experience	84	42	4.22
Good practice in operational work	80	39	4.13
Your thinking about the WBG’s development effectiveness	80	36	4.08
Development results of projects/operations	82	40	4.16
Overall	80	37	4.09

Source: 2010 IEG Client Survey.
 Note: WBG = World Bank Group

Figure 3.4: WBG Staff Ratings on Use of Recommendations from IEG Evaluations



Source: 2010 IEG Client Survey.
 Note: WBG = World Bank Group.

The survey found that use of IEG’s knowledge extends beyond the Bank Group and has some influence on the broader development community. The large majority of external stakeholders (84 percent) reported that they used IEG products at least to some extent, and 45 percent used IEG products substantially (see Table 3.2). The highest levels of use were for research and education,²⁷ followed by refocusing ongoing strategies or programs and making

²⁷ The largest group of external clients worked in academic/research institutions (30 percent of all external respondents).

the case for a particular course of action. Limited use was reported for journalism, which reflects the fact that only 2 percent of the external clients were from the media. Virtually all external respondents, more than 90 percent, stated that IEG products improved their understanding of the subject area, Bank Group work in a sector or country, lessons from operational experience, and good practices in development work. About 60 percent replied that IEG products significantly improved their understanding of these issues.²⁸

Findings from the external review in 2004, and interviews with Bank Group staff and management, suggest that evaluation use and influence are significantly enhanced by the extent and nature of the amount and quality of interaction during the evaluation process. Sharing findings as evaluations unfold can promote use, enhance quality, develop better buy-in for evaluation findings, and make the outcomes easier to absorb and digest. For example, in 2008 IEG began the practice of having a face-to-face meeting with the team leaders for every ICR Review. This significantly increased interaction around this evaluation product without compromising IEG's independence, and it has received positive feedback from operational managers. However, based on feedback from Bank Group and IEG staff, communications with Bank Group staff are often inconsistent in the evaluation process and depend on the style of the lead evaluator.

World Bank Group Actions Taken on IEG Recommendations

IEG provides recommendations to Bank Group management based on evaluative findings as an instrument to strengthen the development effectiveness of the World Bank Group. The DGE's mandate specifically includes "incorporating evaluation assessments and findings into recommendations designed to help improve the development effectiveness of the World Bank Group's programs and activities, and their responsiveness to member countries' needs and concerns." In addition, consistent with ECG good practice, IEG promotes both accountability and learning by monitoring and reporting to the Board on the implementation of its recommendations.

The degree to which Bank Group management takes action on IEG recommendations—one important indicator of effectiveness—has been satisfactory in recent years, particularly considering that implementation of recommendations is affected by cost considerations and other trade-offs. This issue was analyzed in IEG's 2010 annual report (IEG 2010, pp. 35–51), based on management action tracking systems that are maintained by the Bank, IFC, and MIGA.

For the Bank, the implementation of 155 recommendations from corporate and sector evaluations was tracked in the 2003 to 2010 Management Action Records (MARs).²⁹ On average, the adoption of 41 percent of the recommendations was rated as high or substantial in the first year of implementation, and this had risen to 76 percent by the fourth year. In 2010, the IFC tracking system contained 256 recommendations going back to 2000, of which 58 were rated active by IFC and 65 by IEG, and the implementation of IEG

²⁸ IEG survey 2010. Detailed results are available on request.

²⁹ ICR Reviews and PPARs do not have recommendations, and recommendations from country-level evaluations are currently only being tracked by IEG-IFC.

recommendations by IFC was rated high or substantial at 89 percent.³⁰ Unlike for the Bank, IFC's Management Action Tracking Record is a two-stage system: (i) IEG and IFC agree on indicators to assess each recommendation's level of adoption; and (ii) IEG and IFC independently rate implementation progress. In the case of MIGA, of the 16 IEG recommendations tracked in 2009, implementation was rated medium for a third of the recommendations and low for the rest.³¹

To focus on the big picture and strengthen the quality of IEG recommendations and their implementation by Bank Group management, in November 2010 management and IEG formulated a joint proposal. IEG reports in its *Results and Performance of the World Bank Group* that under that proposal:

- IEG will prioritize recommendations, consider their feasibility and cost effectiveness, and reduce their number and complexity.
- Management will define specific actions and timelines to respond to IEG's recommendations that will provide clearer benchmarks against which to assess progress in implementing IEG's recommendations.
- More upstream discussion will take place between IEG and management during the drafting of the recommendations.
- The links between the recommendations and the evaluation's findings will be clarified in the Management Response.
- The MAR tracking form will be revised to indicate progress by including monitorable actions and timelines and allowing for adjustments/drop outs, retirement after four years and including a time dimension in the scale reflecting adoption (for example, too early to assess).
- A user-friendly system for tracking and analysis will be developed in FY11.

These reforms are expected to ensure focus on the crucial and directional aspects of IEG's findings and recommendations. They should improve accountability of IEG and management to the Boards and help to create an environment that better contributes to the use of evaluations and thus their effectiveness. These reforms are also expected to promote greater consistency across the Bank Group. As these reforms are being piloted, it will be necessary to ensure that the resulting process does not become unduly burdensome, complex, or opaque (Ashkenas 2010) and that it results in improved quality and prioritization of recommendations³² (see Appendix E).

³⁰ Approximately 39 percent of IEG-IFC's recommendations came from its two flagship reports: the annual Independent Evaluation of IFC's Development Results and the Biennial Report on Operations Evaluation. In contrast, IEG-World Bank's annual reports did not contain recommendations, nor did the 2010 annual report.

³¹ Most recommendations in the MIGA Management Action Tracking Record originated from IEG-MIGA's annual report.

³² IEG's 2010 Annual Report found that there were weaknesses in some of IEG's recommendations. There had not been sufficient focus from IEG, management, and the Board on IEG recommendations and management actions, as well as limited use of follow-up information. A checklist for improving recommendations has been developed and is in use by IEG (see Appendix E).

Structure of IEG Work Program

EVALUATION REPORTS

The structure of IEG's work program aims at balancing its product mix to deliver on both accountability and learning, while meeting the diverse needs of the Boards and IEG's multiple stakeholders. Between FY05 and FY08, IEG produced about 20 country, sector, and thematic evaluations per year, mostly focused on the Bank. Three to five evaluations per year have focused on IFC and one on MIGA. These evaluations are complex staff- and time-intensive exercises that involve interaction with Bank Group staff, management, and clients. Since FY08, there has been a shift toward evaluations covering two or more of the Bank Group institutions; notably, in FY10 the three annual IEG reports on the Bank, IFC, and MIGA were consolidated into one covering the entire World Bank Group. This shift has been accompanied by a decline in the number of country, sector, and thematic evaluations that focus on one institution only, to about 11 per year in FY11 (see Table C.5 in Appendix C).

Joint country, sector, and thematic evaluations that cover two or more of the institutions have been an effective instrument to bringing fresh insights by looking at issues across the Bank Group. The evaluations of guarantees, climate change, crisis response, and safeguards and performance standards, in particular, have demonstrated the value this approach adds. For this reason, "joint" evaluations are expected to remain an important component of the work program. While Board members and Bank Group staff expressed appreciation for joint evaluations in interviews, Bank Group management also expressed concerns about the absence of a natural institutional counterpart for this work; the risk of dominance of the Bank, and neglect of IFC and especially MIGA, in joint evaluations; and the "evaluation fatigue" of management, especially MIGA's, that is associated with the need to review evaluations that have limited focus on their institution.

Every year IEG produces about 500 evaluations of World Bank, IFC, and MIGA projects, including validations of project-level self-evaluations; free-standing evaluations for selected Bank and IFC projects (Project Performance Assessment Reports [PPAR] and Expanded Project Supervision Reports [XPSR]), and for most MIGA projects (Project Evaluation Reports); and a limited, but growing number of World Bank analytic and advisory activities (AAA) and IFC advisory services evaluations. These evaluations are simpler and less resource intensive than country, sector, and thematic evaluations and involve more limited interactions with Bank Group staff, management, and clients. Although there have been fluctuations in the number of project evaluations, they have in general increased between FY05 and FY10. For example, the number of project evaluations done by IEG-IFC nearly quadrupled from 70 in 2005 to 236 in FY10.

IEG is unique among the MDB evaluation departments in having a well-developed validation process for the Completion Reports of Country Assistance Strategies (CAS) and Country Partnership Strategies. IEG prepares 20–25 CASCR Reviews per year for each CAS/CSP being considered by the Boards. A notable change in this product is the increasing number focused on both the Bank and IFC (see appendix Table C.5). In addition, IEG is planning to conduct in-depth CASCR Reviews, including consultations at the country level, to reflect the

views of government officials, civil society, and the local donor community, for a sample of CASCRs. This product—similar to a PPAR—would be an effective tool to generate fuller lessons at the country level without incurring the costs of a country evaluation, particularly for smaller countries.

In addition to country, sector, and thematic evaluations, project-level evaluations and CASCR Reviews, over the past three years IEG has prepared two to three impact evaluations and four to six reviews of global and regional partnership programs. These relatively new products have been developed in response to a growing volume of activity in these areas on the part of the Bank Group and the broader development community, and they are expected to remain an important part of IEG work program. There is also an increased focus on real-time evaluations, such as those on climate change and the crisis response.

EVALUATION OF WORLD BANK GROUP SELF-ASSESSMENT SYSTEMS

One of the six mandates of the DGE is “appraising World Bank Group self-evaluation and development risk management systems and attesting to their adequacy to the Boards.” In the past, the Annual Review of Operations Evaluation, for the World Bank, and the Biennial Report on Operations Evaluation³³ for IFC, included an assessment of the self-evaluation and monitoring and evaluation (M&E) processes in the two institutions. In FY10, the IEG annual report *Results and Performance of the World Bank Group* included a comparison of the independent and self-evaluation systems for the Bank, IFC, and MIGA and identified areas for strengthening. The assessment of the self-evaluation systems in the FY10 annual report was not as thorough as previous free-standing reports, and recommendations for improvement were not articulated.³⁴

Going forward, IEG plans to continue to assess the self-evaluation and M&E systems of the World Bank Group through its annual report, focusing on different elements over time. In addition, IEG plans to undertake a new Biennial Report that will assess IFC’s Development Outcome Tracking System. IFC has put considerable effort into developing this system for tracking results through to project closure. Depending on the findings of this evaluation, it may be possible to revise IEG’s procedures and products to place more reliance on IFC’s self-evaluation system.

EVALUATION CAPACITY DEVELOPMENT

The mandate of the DGE includes also “encouraging and assisting borrowing member countries to build effective monitoring and evaluation associations, capacities, and systems.” This is consistent with the Paris Declaration and the Accra Agenda for Action, which emphasize results measurement to demonstrate the tangible achievements of development

³³ The Biennial Report on Operations Evaluation assessed the coverage, scope, and use of IFC’s self-evaluation, including recommendations for strengthening the measurement and reporting of the development impact and additionality of IFC operations and advisory services operations. The report also included a self-evaluation of the IEG-IFC and set out lessons and recommendations for improvement.

³⁴ The FY09 IEG-World Bank annual report also included an in-depth discussion of the Bank’s M&E tools.

assistance and give priority to helping borrower countries strengthen their own country results measurement systems.

The 2004 external review and the 1996 Operations Evaluation Department (now IEG) Renewal Initiative highlighted the importance of evaluation capacity development (ECD). IEG has since developed the largest and most active ECD program among the MDBs, covering three areas: (i) providing technical assistance and advice to countries on M&E systems and approaches to evaluation; (ii) developing resource and reference materials; and (iii) providing training and capacity building services through IPDET/SHIPDET and the Regional Centers for Learning on Evaluation and Results (CLEAR),³⁵ and limited capacity building sessions at M&E network meetings (for example, the Latin American and the Caribbean Network for Monitoring, Evaluation and Systematization (RELAC), Latin America and the Caribbean M&E network; see Appendix F).

In-country ECD assistance by IEG is demand driven, often financed through a Bank loan. In total, since 2004, 36 countries have received ECD support from IEG. In terms of producing reference material, IEG is the leader in the international evaluation community, and its analytical papers series on the design of M&E systems has over 160,000 downloads per year. The flagship training course run by IEG jointly with Carleton University is the annual International Program for Development Evaluation Training (IPDET), and so far 2,000 participants from more than 125 countries have attended the course. The annual evaluations by participants have consistently found that IPDET has been highly successful; about 86 percent of the alumni agreed or strongly agreed that IPDET improved their M&E knowledge and skills.

KNOWLEDGE MANAGEMENT

Presenting lessons learned from evaluative work in an accessible manner is critical to delivering on IEG's learning role. IEG reports are available on Internet and intranet sites and, in this format, they are readily accessible to World Bank Group staff. The challenge, which all ECG members face, is to organize and package the mass of available IEG information and knowledge in a form that facilitates use by Bank Group staff in the design and implementation of strategies and operations, and thus the impact of evaluative lessons on development effectiveness. Successfully addressing this challenge requires just-in-time knowledge management. This involves the identification of knowledge that could be useful to others and developing mechanisms for sorting, storing, and sharing this information (IFAD 2010, p. 33).

IEG devotes considerable effort to knowledge management. It regularly produces summaries of major evaluations, including Fast Track Briefs that are disseminated broadly within the World Bank Group. DGE statements summarize evaluative lessons to inform the Boards' deliberative process on selected issues—for example, on Doing Business Indicators. IEG has also produced syntheses and more comprehensive derivative knowledge products, such as the

³⁵ International Program for Development Evaluation Training (IPDET), Shanghai International Program for Development Evaluation Training (SHIPDET).

Quick-Turnaround Notes and Evaluation Briefs. These are on topical issues³⁶—for example, for Haiti earthquake and Pakistan floods—and are produced when most needed so that evaluative lessons can inform ongoing activities of the Bank Group.

To increase the relevance of its knowledge management, IEG plans to develop further its synthesis notes, for example, in:

- **Country Strategies:** IEG could assist country teams developing a new CAS by sharing its knowledge of what worked or did not work in other countries facing similar issues, delivering this information at the CAS Concept Note Stage.
- **Sector Thematic Strategies:** These comprehensive, high-level evaluations help inform future strategies and are useful to the Boards and the international development community. However, they are often too long and too high level to be useful to Bank Group staff when they are designing and implementing specific activities. Extracting, packaging, and synthesizing the evaluation lessons would more directly support teams working on new operations.
- **Project-Level Evaluations:** IEG produces a large number of project-level evaluations, both to deliver on its accountability role and to ground country, sector, and thematic evaluations in project-level experience. To facilitate the use of these project-level evaluations by World Bank Group staff, a searchable database of lessons learned should be created.^{37, 38} In addition, IEG plans to continue to raise the learning value of PPARs by clustering them around common themes that can provide operational insights, and by sharing the resulting comparative lessons with Bank Group staff through interactive presentations during Evaluation Week and similar events.

Quality and Methodology

As indicated earlier, this self-evaluation addresses the question of the quality of IEG's work mostly in terms of (i) whether its approach and processes meet ECG GPSs and (ii) the perceptions of survey respondents of the quality of IEG's products. These have been complemented by in-depth interviews with a small number of knowledgeable operations staff and discussions with IEG staff and managers. An independent professional review of specific evaluations for a random sample of evaluations is beyond the scope of this self-evaluation but could be considered in the future.

The key elements of IEG's quality control system include the following:

- Guidelines provide guidance to staff and reduce inter-evaluator variability for project-level evaluations and validations, CASCR reviews, and global program reviews.

³⁶ A small number of these products, selected randomly, were reviewed and found to be of good quality in that they drew on both IEG and non-IEG sources and provided a concise and timely analysis of a topical issue.

³⁷ The ECG GPS for Public Sector Project Evaluations states that a searchable database should be available as a knowledge management tool. Some ECG members believe that the Asian Development Bank's system represents good practice in this area.

³⁸ IFC has a database of lessons learned, but there are no similar systems for the World Bank or MIGA, though the Bank has a database of validated ICRs.

Guidelines have also been prepared for Country Assistance Evaluations (CAEs), but not yet for sector and thematic evaluations.

- Approach papers are prepared for each evaluation outlining the evaluation questions, approach, and methodology. For major evaluations the approach papers are shared with management for comment, approved by the IEG leadership team, and endorsed by CODE.
- IEG's management team is responsible for quality and provides advice and guidance to evaluation teams on continuous basis. For complex or sensitive evaluations, the team holds a midterm review (between approach paper and draft discussions) to share emerging findings and outstanding issues with IEG's management team.
- All draft reports are circulated to management for review and comment.
- At least two external peer reviewers, selected in a manner consistent with IEG's conflict of interest guidelines, provide input on all major evaluations.³⁹
- External panels review the quality, findings, and recommendations of complex or sensitive evaluations. External panels' comments are shared with CODE and management before the CODE discussion and are disclosed in the final report.
- The DGE chairs the review meeting for all major evaluations.
- The public disclosure of reports subjects them to scrutiny by parties outside of the World Bank Group.

This quality control process has generally succeeded in ensuring high-quality work. The process is complex, however, and IEG staff have expressed the view that it is cumbersome and time consuming, with too many iterations and sometimes inconsistent advice being provided by members of the IEG management team. Actions to address these concerns have been identified and are included in the Staff Survey Follow-up Action Plan. The recent organizational realignment has also reduced some of the management layers that have contributed to these concerns.

CONSISTENCY WITH ECG GOOD PRACTICE STANDARDS

To assess the robustness of IEG's evaluation approaches and quality processes, they are compared to the GPS developed by ECG for the evaluation of country assistance strategies, public sector investment projects (Hallberg 2010), development policy loans, and private sector investments. Overall, IEG's performance in this regard rates very favorably, with adoption rates of ECG standards by IEG scoring between 73 and 93 percent (Appendixes G–I). In private sector evaluations, IEG leads all the other multilaterals in adoption of the GPSs. Based on ECG GPSs, there is no significant outstanding area for improvement regarding private sector evaluations; for other evaluations the following should be improved:

- Country Assistance Evaluations: The timing of CAEs, to more directly inform the CAS; the rating methodology, to facilitate comparisons of country-level results with those reported by other ECG members; and the criteria to select countries for CAEs.

³⁹ At least one is external to the Bank Group. IEG makes more systematic use of external peer reviewers than do many other ECG members.

- Public Sector Project Evaluations: The coverage of the ICR aggregate rating indicator, to include sustainability;⁴⁰ better practices for learning from project-level evaluations;⁴¹ and improvements in tracking action taken on IEG recommendations.⁴²
- Development policy loans (DPL): The coverage of the aggregate rating indicator, to include risk to development outcomes.⁴³

IEG has not only adopted ECG GPS in its work, but it has also made a significant contribution toward developing and establishing them. Interviews with ECG members found that IEG has played an important, positive role in ECG in developing evaluation approaches and methodologies and in setting high standards for quality in complex evaluations. ECG members expressed favorable opinions of IEG's intellectual leadership, its role in introducing new ECG products,⁴⁴ and its role in developing and setting GPSs. IEG was viewed as setting the standard for professionalism in the international development community and as a source for evaluation expertise. IEG material was used as reference material and to develop evaluation policies for other institutions, and ECG members were very likely to refer their staff and others to the IEG Web site.

CLIENT FEEDBACK ON QUALITY

The perceptions of the respondents to IEG's 2010 Client Survey on the quality of IEG products were very positive. Respondents were asked to indicate their overall satisfaction with IEG products. Reasonable numbers of those taking part in the surveys felt that they had sufficient knowledge, based on familiarity with specific IEG reports, to answer these questions⁴⁵ (see Table 3.4). Among both Board members and external stakeholders, 80 percent were either satisfied or very satisfied. Of the remainder, 16 percent were somewhat

⁴⁰ IEG only includes three (relevance, effectiveness, efficiency) of the four core elements in its aggregate project rating; the GPS includes sustainability. A comparison of the development outcome ratings with the risk to development outcomes ratings in ICRs suggests that excluding sustainability may result in somewhat higher ratings than if it were included.

⁴¹ These practices could include the creation of a retrieval system for evaluative lessons from PPARs and ICR Reviews; a review of new operations for the application of lessons learned; an annual report on the application of lessons in new operations; the inclusion in the annual report of recommendations to improve the World Bank Group's development effectiveness; annual syntheses of evaluation findings for the Bank Group Sector Boards or other practice groups.

⁴² See ongoing reform of the MAR process (see §A.2 in Chapter III).

⁴³ The GPS states that DPLs should be assessed against eight criteria (relevance, efficacy, efficiency, sustainability, institutional development, impacts, MDB performance, and borrower performance), and that aggregation is preferable across the first six criteria. IEG guidelines state that DPLs should be rated for outcome (covering relevance and effectiveness), risk to development outcome (this is not materially different from sustainability), Bank performance, and borrower performance. DPL PPARs do not rate efficiency, impacts, or institutional development separately. By excluding risk to development outcomes in the aggregate performance indicator, IEG's assessment of the DPL portfolio performance may be higher than if it were included.

⁴⁴ Including the preparation of papers drawing on the combined experience of ECG members on selected topics, the evaluation of COMPAS, an attempt to develop a common rating database, and ECG dissemination efforts.

⁴⁵ Twenty-five, or 71 percent of the Board members (or their advisors) answering the questionnaire provided their views on the usefulness of IEG products. The corresponding figures for Bank Group staff and external respondents were 633 (69 percent) and 839 (62 percent), respectively.

satisfied and 4 percent less than satisfied. These are very positive findings. Bank Group staff were less satisfied with the quality of IEG products than Board members and external stakeholders: 60 percent reported being satisfied or very satisfied, 28 percent were somewhat satisfied, and 12 percent were less than satisfied.

More detailed feedback was obtained by asking respondents to comment on 10 dimensions of quality: timeliness, relevance to work, ease of understanding, transparency and clarity of methodology, incorporation of all available relevant information, depth of analysis, unbiased and objective analysis, strong linkage between conclusions and evidence, concise presentation of conclusions, and usefulness of the executive summary. All 10 dimensions of quality received an average score of between somewhat satisfied and satisfied. In general, Board members and external stakeholders rated the 10 dimensions of quality higher than the Bank Group staff did. The highest rating was for relevance to work, 5.27 on a 6-point scale, for Board members. Other dimensions with a score of over 5 were the usefulness of executive summaries (by both Board members⁴⁶ and external stakeholders), and concise presentation of conclusions, ease of understanding, and relevance to work (by external stakeholders).

Although the survey results on quality are very positive, they identify some areas for further improvement. The lowest dimension of quality reported by Board members, external stakeholders, and Bank Group staff related to the incorporation of all available, relevant information in evaluations. In addition, between 15 and 20 percent of Bank Group staff assigned a less than satisfactory rating to depth of analysis and to strong linkage between conclusions and evidence.

⁴⁶ One Board member commented that the printed separate notes/handouts of a few pages that accompanied the reports were particularly useful. Another felt that there should be better synchronization of the timing of IEG products to the Board and IDA Deputies cycles.

Table 3.4: Perceived Quality of IEG Products

	<i>Board members</i>	<i>Bank Group staff</i>	<i>External respondents</i>
OVERALL SATISFACTION WITH IEG PRODUCTS			
Percent rating overall satisfaction with IEG products as somewhat satisfied, satisfied, or very satisfied	96	88	96
Percent rating overall satisfaction with IEG products as satisfied or very satisfied	80	60	80
Satisfaction score on six-point scale (1 = very dissatisfied; 6 = very satisfied)	4.96	4.47	5.05
Number of responses	25	633	839
SCORE ON 6-POINT SCALE FOR 10 INDICATORS OF QUALITY (1 = VERY DISSATISFIED; 6 = VERY SATISFIED)			
Timeliness	4.52	4.40	4.91
Relevance to work	5.27	4.63	5.04
Ease of understanding	4.88	4.67	5.08
Transparency and clarity of the methodology	4.54	4.38	4.96
Incorporation of all available, relevant information	4.42	4.20	4.80
Depth of analysis	4.68	4.32	4.91
Unbiased and objective analysis	4.84	4.38	4.89
Strong link between conclusions and evidence	4.72	4.32	4.97
Concise presentation of conclusions	4.84	4.59	5.08
Usefulness of the executive summary	5.16	4.75	5.15

Source: 2010 IEG Client Survey.

In-Depth Feedback and Areas for Improvement

The robustness of IEG's work program and quality processes has been further tested through in-depth interviews with a small number of knowledgeable operations staff and detailed discussions with IEG staff and managers. These conversations complemented the other findings of this self-evaluation and helped identify specific areas for improvements and corresponding actions.

CONTRIBUTING TO THE STRATEGIC DIRECTIONS OF THE WORLD BANK GROUP

The 2004 external review suggested that the incoming DGE should strengthen IEG's contributions to the World Bank Group's strategic directions. IEG has made progress in this area through greater alignment of its work program with the Bank Group's strategic directions. In the context of these directions, as summarized in the synthesis paper presented to the Development Committee in April 2010 (see Appendix J):

- Focus on the areas where the World Bank Group can add most value, including targeting the poor and vulnerable, especially in Sub-Saharan Africa; creating opportunities for growth; promoting global collective action; strengthening governance; and preparing for crises. IEG's past and current work includes numerous evaluations that address poverty, sub-Saharan Africa, growth, global programs,

governance and anticorruption, crises related to natural disasters, and the global financial crisis.

- Bringing 21st century governance to the World Bank Group, covering voice and participation in the Bank Group boards and internal governance reforms, and remaining financially strong, including providing IBRD with sufficient resources to return to precrises lending levels and increasing IFC's capital. IEG is not significantly involved in these areas.
- Becoming more responsive, innovative, flexible, and accountable, including modernizing services, enhancing service delivery, and supporting reform by improving human resource and financial management and information technology. IEG addresses responsiveness, innovation, flexibility, and accountability of the Bank Group through the bulk of its evaluative work, including at the country and project levels. In addition, the matrix management evaluation will address one of the major issues in improving service delivery.
- Getting results and maintaining standards. IEG plays a major role in monitoring the Bank Group's self-evaluation systems, assessing M&E systems to track its contribution to achieving development results, and evaluating its development effectiveness. IEG has completed a major audit of IDA control systems and an evaluation of safeguards and performance standards.

IEG strives to keep its work program closely aligned with the World Bank Group's strategic directions. In 2010 IEG established the External Advisory Group to support these efforts. This group emphasized that IEG should evaluate the Bank Group's strategic positioning in the context of rapidly changing global development challenges. In doing so, IEG should use lessons from the past as a prism to assess how the Bank Group is responding these changes. The evaluations on climate change and the Bank Group's response to the global financial crisis are examples of IEG's efforts to deliver in this area. Given how rapidly changes are taking place, IEG plans to continue to work on identifying development challenges that require a real-time approach and on building adequate flexibility into its work program so that it can respond to unanticipated issues as they emerge.

GAPS IN IEG'S WORK PROGRAM

IEG also strives to keep its work program closely aligned with the evolving business lines of the World Bank Group. The recent growth of evaluations of IFC's advisory services is an example of these efforts. Nevertheless, there are gaps in IEG's work program that need to be filled. For example, IFC's trade finance program has grown rapidly and accounted for 28 percent of net commitments in 2009. Major changes in the Bank include the growth of knowledge products and the increased use of the practice of providing additional financing to existing projects. Feedback from Bank Group staff indicated that IEG should have moved faster to develop methodologies for new products.

IEG plans to address these gaps in FY11 by giving priority to the development of the methodological approach to the evaluation of IFC's trade finance program. In addition, IEG plans to work with World Bank management to strengthen the self-evaluation of AAA activities. IEG's 2010 annual report found that there were major weaknesses in the Bank's self-evaluation of AAA. Although the Activity Completion Summary is used for self-

reporting, this is mainly an administrative exercise; there are no agreed evaluation criteria, and their completion has been declining. IEG will also continue to develop its approach to AAA evaluations, drawing on its past work on knowledge products.

ENGAGEMENT WITH MANAGEMENT

An important principle of independence is that the coverage, judgments, and recommendations in evaluation reports reflect the judgments of the evaluators. This principle is protected and enshrined in IEG's approach to evaluation; however, it does not mean that IEG should not engage with Bank Group management.

IEG does engage with management. However, the nature and degree of engagement varies with the nature of the evaluation and, in some cases, from evaluator to evaluator. Interviews with Bank Group management and IEG's External Advisory Panel suggest that there are potential areas for IEG's increased engagement with management, including the discussion of the IEG work program and selection of evaluation topics; approach papers for evaluations; and findings, conclusions, and recommendations. These engagements should be structured to facilitate the exchange of views while protecting the fundamental principle of IEG's independence from World Bank Group management.

UPSTREAM LEARNING AND DOWNSTREAM ENGAGEMENT

The impact of IEG evaluations on Bank Group strategies and operations is weakened by the lack of a systematic feedback loop between evaluation and decision making and by time lags built into an evaluation process that focuses on a late stage of the implementation process. The 2004 external review noted that IEG's evaluations were retrospective rather than prospective and that there is no systematic, consistent, or rigorous system to ensure that lessons learned from evaluation are incorporated in the design of new operations. This is consistent with findings from the IEG Client Survey, which indicate that the three lowest categories of use of evaluation products by Bank Group staff were to design or modify lending and nonlending operations. Similarly, survey results indicate that recommendations from IEG evaluations seldom had a great deal of direct influence on corporate, country, or sector strategies, or on operational policies and procedures.

IEG will continue to work with the World Bank Group management to ensure that evaluations that are critical to upstream learning are appropriately sequenced. Significant progress has been achieved in planning evaluations to feed into the preparation cycle of management strategies; recent examples include the gender evaluation, the water sector evaluation, and the evaluation of the Africa Action Plan. Improvements are needed on the sequencing of country evaluations and particularly on CASCR Reviews, which by design follow the preparation of the CASCR—too late to feed lessons learned in the preparation of a new CAS.

In addition to deliberate sequencing, greater upstream learning from evaluation requires more focus on knowledge management, that is, on identifying relevant lessons and bringing them to the attention of the relevant teams. It also requires that IEG make greater use of several tools: meta evaluations that draw together the findings of a number of evaluations, including by other

institutions, on a common topic; evaluations performed before a development intervention is implemented (ex ante evaluations) to contribute knowledge from an independent source that can help inform the design of the intervention; formative evaluations of ongoing activities to provide real-time feedback; and lessons that compare successful outcomes to less successful cases to identify the causal factors. Greater upstream learning should in no case lead to IEG taking responsibility for decisions that belong to Bank Group management.

As IEG's advisory panel has consistently underscored, there is also crucial value in greater engagement with external stakeholders and the development community.

METHODOLOGY

IEG continuously maintains and reviews its evaluation methodologies. For example, it produced two internal guides related to the application of its project evaluation methodology. Other internal guidelines for preparing XPSRs for IFC's financial markets projects and nonfinancial market projects were also produced. Similar handbooks for the evaluation of MIGA's guarantees have also been prepared recently. An evaluator handbook for validations of ICRs of World Bank projects and new guidelines for the joint review of CASCRs, including World Bank and IFC activities, are being prepared.

IEG has two evaluation methodology working groups that function as standing committees. One is reviewing IEG's existing project evaluation practices to identify inconsistencies in criteria or their application, and thereby reduce inter-rater variability, and areas in which existing guidelines are incomplete. The working group has provided three training courses for evaluators and consultants in FY10. The second working group is undertaking a broader review of evaluation methodologies for project, country, sector, and thematic evaluations and for global program reviews, to provide fresh insights on alternative approaches and suggestions for improvements and to ensure that IEG continues to develop and use innovative and cutting-edge approaches. The evaluation methodologies for these higher-order evaluations are in fact less well consolidated and tested than project-level evaluation, and IEG plans to continue to work on their development. Both working groups will facilitate cross-fertilization of ideas and methodologies applied in the evaluation of public and private projects, advisory services, and guarantees of the World Bank, IFC, and MIGA.

IEG follows good practice in providing Bank Group management with an opportunity to comment on draft approach papers for its major evaluations, sharing them with CODE, and disclosing them after CODE endorsement. These approach papers are a key document in defining and planning evaluations. However, currently, there are no clear standards or guidelines for coverage of key elements in approach papers. A small number of approach papers were reviewed, which ranged in length from 7 to 30 pages.⁴⁷ The approach papers reviewed reflected different levels of effort and were of variable quality. In particular, they did not consistently describe the following: the evaluation framework and logic model, including the underlying theory of change; the priority of evaluation questions; planned use of non-Bank Group information; plans for benchmarking against other institutions; plans to

⁴⁷ Three of 14 approach papers disclosed in 2009–10 selected at random plus two others reviewed as part of other work undertaken for the self-evaluation.

identify how the Bank Group could learn from others; and a clear dissemination strategy and postcompletion follow-up plan. IEG plans to develop guidelines for approach papers to ensure greater quality, in particular in drawing on comparative information from other sources and benchmarking against other institutions.

Conclusions

This self-evaluation finds that, based on feedback from a variety of stakeholders and benchmarking with good practice standards, IEG is making a positive contribution to improving the World Bank Group's development effectiveness through good-quality evaluation products. These positive findings echo the conclusions of the 2004 external panel.

This self-evaluation also identifies areas for improvements. There are some gaps in IEG's coverage of products. To address these gaps IEG will continue to expand its evaluative work of World Bank AAA and IFC's trade finance facility; work with MIGA to strengthen its self-evaluation system; and report on the Bank Group's self-evaluation and risk management systems through its annual report. The recent IEG realignment has strengthened the focus on country evaluations; this will allow a more systematic consultation with governments, civil society, and the local donor community. In the future, IEG will work on the development of comparative lessons and an enhanced Web site, where project evaluations and evaluation summaries are readily accessible and searchable.

Areas for improvements have emerged in particular in relation to IEG processes and the quality of approach papers. Recent measures to improve the quality review process include more upstream, streamlined, and consistent guidance from IEG management and the cross-fertilization of ideas and methodologies across IEG. IEG will develop guidelines for approach papers, and for country, sector, and thematic evaluations; work with leading authorities in the field to develop and test cutting-edge methodologies on a small number of evaluations; and continue to work with the ECG in revising the GPS and aligning IEG guidelines with these standards.

IEG should focus on increasing the impact of evaluation lessons on the World Bank Group. To be an effective catalyst for change, IEG will engage more actively and upstream with Bank Group management and ensure that its findings and recommendations have greater practical validity and application—ensuring at the same time that IEG's independence is not impaired. It must be recognized that more engagement might potentially result in increased times required for evaluations. To further enhance its impact on the broader development community, IEG will continue to increase its engagement with external stakeholders and the broader development community.

4. Internal Efficiency

High levels of internal efficiency are necessary for IEG to deliver its work program, which has become larger and more complex, within a limited and essentially flat budget. Changes in IEG's organizational structure and efforts at greater integration of IEG units have been undertaken, and prudent resource management has been maintained to achieve these results.

Organization

Significant progress has been made in integrating the previously largely autonomous IEG units into "one IEG." Until recently, IEG's organizational structure included the office of the DGE, IEG-World Bank (which included the office of the director and three divisions for corporate and global evaluations, sector and thematic evaluations, and country and regional evaluations), IEG-IFC, IEG-MIGA, and the Communication, Learning, and Strategy unit. This structure reflected the historic differences in the nature of the Bank Group institutions as well as the process through which the evaluation units had been established. The 2004 external review noted that the DGE had a closer relationship, and an overlap of roles, with the IEG-World Bank director and that the links between the DGE and the IEG-IFC and IEG-MIGA directors should be strengthened. The review recommended that the incoming DGE place priority on the oversight and integration of the World Bank Group's evaluation function. CODE and the Boards on several occasions also encouraged greater IEG integration across the Bank Group.

Progress on integration toward "one IEG" has included the following:

- One office space: In FY09, all IEG units moved into one office. This was a major, positive step, as it removed the physical barriers to working together and helped in overcoming the different cultures within IEG.
- Integrating communications and outreach: In late FY09, the communications, learning, and strategy functions were combined into one unit, to provide a more consistent focus across IEG.
- Joint evaluations: An increasing number of joint evaluations have been conducted, providing both new strategic insights into the combined performance of the World Bank Group and opportunities for IEG staff to work together and learn from one another.
- One strategy and one budget: The strategy, work program, and budget for FY11 were integrated into one document, facilitating oversight by CODE and increasing flexibility in resource allocation by IEG.⁴⁸

These efforts at greater integration within IEG have been complemented by a realignment of IEG's organizational structure as of January 2011. In place of institution-based World Bank, IFC, and MIGA departments, the new structure comprises departments for public sector; private sector; and country, corporate and global; in addition to strategy, learning and

⁴⁸ The management of the Bank, IFC, and MIGA remain concerned that IEG can demonstrate that each institution is receiving a share of IEG's efforts commensurate with the share of the budget each contributes.

communication. This realignment aims to consolidate the progress already made in implementing the three strategic directions adopted by IEG since FY09 and endorsed by the Board: forging stronger links with Bank Group directions, responding rapidly to emerging issues, and promoting greater IEG integration across the World Bank, IFC and MIGA. It also aims to balance the responsibilities across IEG units, flattening the organizational structure, fostering staff development, and increasing the focus on evaluations methods.

There remain issues that need to be addressed to deepen the integration of IEG and advance its internal efficiency. These issues are not fully under IEG's control:

- Different human resource management systems: Some progress has been made on integrating the human resource function, but human resources (HR) management remains fragmented. IEG staff are affiliated with the Bank, IFC, or MIGA, and these institutions have different HR systems. As a result, IEG must deal with three different recruitment, personnel management, and remuneration systems. IEG has taken steps to harmonize the recruitment and performance management systems across its staff, but addressing outstanding differences in HR procedures will require joint efforts with the managements of the Bank, IFC, and MIGA.
- Institutional information technology platforms and information retrieval and access systems. The Bank, IFC, and MIGA have separate information technology and information management systems with restricted access for security reasons. This is particularly important in IFC and MIGA, where the databases contain commercially sensitive information about private sector clients. As a result of current restrictions, staff can only gain access to the systems of their respective institutions. To be able to carry out evaluations across the Bank Group, IEG staff need broader access, subject to appropriate confidentiality agreements, but this remains a challenge and is currently done on a case-by-case basis.
- Budget management system. Further improvements are needed, especially in harmonizing time and cost recording.

Box 2. Organizational Realignment in IEG

In its continuing efforts to improve its organizational effectiveness, in FY11 IEG initiated discussions within its management team on how to better align its organizational structure to its strategic directions—forging stronger links with World Bank Group directions, responding rapidly to emerging issues, promoting greater IEG integration, streamlining internal processes, and consolidating progress made in recent years. Various organizational models were explored and, effective January 1, 2011, a new organizational structure was implemented. The number of IEG cost centers has been reduced from eight to five: public sector; private sector; country, corporate, and global; strategy, learning, and communication; in addition to an IEG-wide front office. As a result, operational departments will have a more balanced work program and budget than before, and the layers in the previous structure will be reduced. A focal point for methods and evaluation quality is being established with the objective to continuously upgrade evaluation methods, keep abreast of innovation in this field, and support high-quality work (see Appendix K for IEG organizational chart).

Process Efficiency

One measure of process efficiency is the time needed to complete an evaluation. Data from FY05 to FY10 for country, sector, and thematic evaluations show that there has been

progress toward reducing the average time taken to complete some of types of evaluations, though progress has been uneven and there is room to further reduce elapsed times. The limited number of evaluations in different product categories does not allow for robust analysis at a disaggregated level.⁴⁹ However, two issues stand out:

- Evaluations involving several development partners require significantly more time and resources, owing to higher transaction and coordination costs. The most recent example is the Bangladesh CAE, a joint evaluation involving four donor agencies.
- The time and resources used for the preparation of approach papers vary greatly, to a large extent as a result of different requirements based on the methods used, for example, the need for preparatory desk reviews as inputs into approach papers.⁵⁰

Data on elapsed time for the shorter, simpler IEG evaluations also point to opportunities for greater efficiencies. For example, during FY02–08 only 18 percent of the ICR Reviews met the defined service standard of a 100-day turnaround; the average number of days from PPAR missions to submission of the report to the Board was 357; and more than one-third of Evaluation Notes for which data were available required more than six months after the XPSRs became available.⁵¹ Lack of a time recording system does not allow comparison of elapsed time for IEG’s evaluations of MIGA projects, but there are instances of long gestation times for them as well.

Elapsed time of evaluations is not fully under IEG’s control. All IEG evaluations involve consultations with World Bank Group management and, in the case of CASCR Reviews and PPARs, with Bank Group clients. In most cases, protocols set out standard time periods for these consultations, but these are often extended, especially for evaluations that cut across the Bank Group and thus require more complex interaction within its management. In the case of MIGA project-level evaluations, there are no protocols governing standard time periods for consultations.

Among the factors under IEG’s control, elapsed time is affected by IEG management review. The time required for multiple reviews for Bank Group-wide evaluations has been longer than for other IEG products. This issue in particular has been noted by staff, and actions to address it have been articulated in the Staff Survey Follow-up Action Plan, including the

⁴⁹ The time required to complete a country program evaluation fell steadily from 675 days in FY06 to about 480 days in FY08 and FY09. The time required for a sector evaluation averaged 400 days in FY10. Corporate and process evaluations have historically been IEG’s most time-intensive evaluations. On average, these evaluations took 942 days to complete between 2006 and 2008; that time was later reduced to 743 days in FY09 and further to 568 in FY10.

⁵⁰ Progress was made in reducing the number of days from initiation to the approach to a little over 100 for CAEs in FY08 and FY09, but this increased to 340 days in FY10. After peaking at 463 days in FY08, the time required to prepare approach papers for corporate and process evaluations fell to slightly under 200 days in FY09 and FY10. The time required to prepare approach papers for sector and special study evaluations fell from 153 days in FY06 to 46 days in FY07. The time required was within the 150- to 200-day range in the FY09 and FY10.

⁵¹ Most of this delay takes place in IEG as the time between forwarding the draft Evaluation Note to IFC and finalizing the Evaluation Notes and is a month for 61 percent of the cases and less than two months 83 percent of the time.

assignment of joint evaluations to one manager with the responsibility to coordinate review within IEG management.

In the follow up to the staff survey, a 2010 IEG survey identified the most important areas for improvement of efficiency and productivity as management guidance, review processes, team processes, and team composition. The top 10 recommendations developed at the subsequent staff retreat included three actions for better management of review and quality control processes:

- Streamlining the review process to reduce the number of internal reviews
- Improving the product work flow by bringing IEG management into the quality control process upstream
- Holding a midterm review prior to the finalization of the draft evaluation to provide earlier management input into the review process.

An additional factor influencing elapsed time of evaluations that is, at least in part, under IEG control is the required investment in data gathering, which is time and resource intensive. The underlying information and knowledge management challenge is affected by limitations in the organization of, and access restrictions to, Bank Group databases, which are largely set up around individual projects and discriminate access by institutional affiliation of staff. Under IEG's responsibility, training is insufficient for new IEG staff and consultants on how to gather data and ratings from the several databases across the Bank Group, and satisfactory solutions are not yet in place for creating accessible repositories for collected data and sharing them across IEG.

The revised MAR process is likely to affect evaluation completion times. Engagement with Bank Group staff and management earlier in the process of identifying findings and recommendations, with a view to establishing priorities and formulating more operationally feasible recommendations, will require additional interactions and consultations.

Budget and Financial Management Issues

BUDGET SIZE AND SOURCES

For FY11, IEG's budget was \$32.3 million (Table 4.1). The most recent independent review of the IEG budget, commissioned by CODE in 2009, certified that the proposed budgets were justified, given the work program, and that all IEG units were aware of cost effectiveness and efficiency issues and were working to ensure that fixed cost ratios and relative budget sizes did not increase.

The Bank Group has been operating in an environment of resource constraints, which has affected IEG's budgets. Since FY05 IEG has significantly broadened the range and complexity of its products, while its budget has grown by an average of 1 percent per annum in real terms, indicating a steady increase in productivity. As in other parts of the Bank Group, the increase in productivity has been mirrored by increase in staff stress, and it is unlikely that continued gains in efficiency can be expected.

The budget of IEG is approved by the Boards after CODE endorsement and is made up of contributions from the World Bank, IFC, and MIGA. There has been no real increase in the Bank's contribution to IEG,⁵² which is the largest, at about 80 percent of IEG's total budget. The IFC contribution to IEG's budget increased by 43 percent in real terms between FY05 and FY11, equivalent to an average 6.1 percent real annual growth rate; however, these increases did not keep pace with the growth in the total IFC budget.⁵³ IFC's contribution corresponds to about 16 percent of IEG's budget. The trend in the real growth rate of MIGA's contribution to IEG's budget has been erratic. Between FY05 and FY11, MIGA's contribution increased by 9 percent in real terms, equivalent to an average real growth rate of 1.1 percent per year, and constituting 4 percent of IEG's budget.

In FY10, the Bank's contribution to IEG's budget was equivalent to 1.43 percent of its administrative expenses. The corresponding ratios for IFC and MIGA were 0.9 percent (0.8 percent as a percentage of IFC's total adjusted budget) and 3.51 percent, respectively (Table 4.1). Since FY05, this ratio has declined slightly for the Bank, was constant for IFC, and increased for MIGA. There are no ECG norms or standards to assess whether the budget of an evaluation department is too high or too low; however, the ratio of the budgets of the evaluation departments to the institutions' administrative budgets provides a rough comparative assessment.⁵⁴ For ECG members, this ratio ranges from a low of 0.39 percent for the EIB to a high of 4.6 percent for the International Fund for Agricultural Development and tends to be higher for smaller institutions and smaller for larger ones. The average for the 11 institutions for which data were available was 1.92 percent. Excluding the EIB and the International Fund for Agricultural Development, which are outliers, the average was 1.79 percent. After allowing for scale, the ratios for the Bank Group are not out of line with the ECG comparators, although IFC is still at the low end.

⁵² Except for one year when an evaluation was added to the work program at the request of CODE.

⁵³ IEG requested an increase in IFC's contribution to the FY11 budget to reflect the rapid growth in its operations and to bring IFC's contribution up to a level that would be closer to the relative contributions of the Bank and MIGA. After consideration, CODE endorsed a \$200,000 budget increase, considerably less than the \$1.2 million IEG had requested over three years. This issue will be considered again during the preparation of the FY12 budget.

⁵⁴ This comparison is subject to caveats because of different definitions.

Table 4.1 IEG Budget Trends

	<i>FY05</i>	<i>FY06</i>	<i>FY07</i>	<i>FY08</i>	<i>FY09</i>	<i>FY10</i>	<i>FY11</i>
	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>
IEG-World Bank – Nominal	21.9	22.5	23.3	23.9	24.7	24.8	25.3
IEG-IFC – Nominal	3.4	3.8	4.2	4.7	5.3	5.7	5.6
IEG-MIGA - Nominal ^a	1.1	1.2	1.3	1.3	1.4	1.5	1.4
Total	26.4	27.5	28.8	30.0	31.3	32.0	32.3

	<i>FY05</i>	<i>FY06</i>	<i>FY07</i>	<i>FY08</i>	<i>FY09</i>	<i>FY10</i>	<i>FY11</i>
	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>	<i>\$m</i>
IEG-World Bank - Real ^b	25.2	25.2	25.3	25.3	25.3	25.3	25.3
IEG-IFC - Real ^b	3.9	4.3	4.6	5.0	5.4	5.8	5.6
IEG-MIGA – Real ^{a,b}	1.3	1.4	1.4	1.4	1.4	1.5	1.4
Total	30.4	30.8	31.3	31.6	32.1	32.6	32.3

<i>IEG Budget as a share of its Parent</i>	<i>FY06</i>	<i>FY07</i>	<i>FY08</i>	<i>FY09</i>	<i>FY10</i>
	<i>(%)</i>	<i>(%)</i>	<i>(%)</i>	<i>(%)</i>	<i>(%)</i>
IEG-World Bank	1.53	1.52	1.49	1.44	1.43
IEG-IFC	0.95	0.96	0.95	0.94	0.99
IEG-MIGA	2.87	2.89	3.41	3.33	3.51

Note: Amounts reflect Board/CODE approved budgets only, and therefore exclude Trust Funds (\$1–\$1.5 million per annum), Reimbursable Budgets (\$0.1 million per annum), and a one-off allocation to IEG to perform the IDA controls study of \$1.0 million over FY06–08.

a. Reduction in IEG-MIGA budget in FY11 reflects a decision by MIGA management to absorb \$0.1 million of IEG pension and overhead costs.

b. Based on World Bank price increase factors -- the price factors are not always applied uniformly across the World Bank, IFC, and MIGA but are close.

BUDGET MANAGEMENT AND GOVERNANCE

IEG’s work program and budget are prepared under the oversight of the DGE, for endorsement by CODE and approval by the Board. The document reviewed by CODE may be, and has been, amended before receiving endorsement, based on CODE’s assessment of the substantive content of the IEG work program. To ensure that IEG maintains high standards of budget management, in recent years CODE has requested a self-assessment from IEG and an independent assessment—about every two years, on a rotating basis⁵⁵—to examine the consistency of IEG practices with the Bank Group budget planning guidance, consistency of work program priorities and budget allocations, tightness of the budget, efficiency measures, productivity considerations, and budget redeployments within the fiscal year. In addition to reviewing and endorsing IEG’s budget documents, self-assessments, and independent assessments, IEG provides CODE with quarterly reports on the progress of the work program and use of financial resources. This oversight of the work program and budget by CODE sets a good practice standard that is unique among ECG members.

⁵⁵ The most recent independent review of the Budget was done in April 2009.

Key performance indicators have been developed covering the following elements: deliverables, process management, and output; aggregate spending; cost structure; spending on overhead and other budget lines; and resource utilization, staffing, and learning. Resource use is monitored by IEG management, and monthly, quarterly, and annual retrospective reports are prepared by a four-person resource management unit.

IEG is included in the external audits of the World Bank Group and in the annual controls assessment reports prepared by the Bank's Corporate Expense Services Division of the Controllers that provide a retrospective assessment of the outcomes of key control reviews of administrative resources and compliance with mandated procedures.

BUDGET COMPOSITION AND COST OF PRODUCTS

Staff costs are the largest functional expenditure category, accounting for about 62 percent of the FY11 budget.⁵⁶ IEG's fixed cost ratio in FY10 was 68 percent, which is lower than at most operational units of the Bank Group.⁵⁷

The two largest variable cost items were for the following:

- **Consultants:** Spending on consultants is planned to account for 20 percent of IEG's FY11 budget, as staff has increased in recent years and the involvement of consultants in evaluations has correspondingly decreased. Comparative information from ECG indicates that IEG's expenditure for consultants is at the low end of the range among comparable evaluation departments.⁵⁸ However, 61 percent of IEG consultants were compensated at higher than market reference rates used by the Bank Group, which was higher than comparable units in the Bank Group, which is in part explained by the level of experience and expertise required for evaluation work.
- **Travel:** Spending on travel accounts is planned to account for about 5 percent of IEG's FY11 budget. IEG staff travel less than operational staff⁵⁹ and their travel is generally at a lower cost, because it is subject to less uncertainty and can thus take advantage of cheaper early bookings. IEG performs well in this area relative to other parts of the Bank Group, with only 28 percent of its tickets purchased less than 7 days prior to departure,⁶⁰ and 27 percent purchased more than 20 days before departure.⁶¹

⁵⁶ These costs are beyond IEG's control, as the salary levels and compensation packages are determined by the policies of the Bank, IFC, and MIGA.

⁵⁷ Excluding trust funds, comparative ratios were as follows: all Bank networks—76 percent; all Bank operations departments—76 percent; IFC risk units—82 percent; and MIGA—61 percent.

⁵⁸ Comparable figures were: Inter-American Development Bank: 20 percent; EBRD: 22 percent; Asian Development Bank: 25 percent; and AfDB: 35–40 percent (see Table 7 Appendix C).

⁵⁹ For IEG the number average number of mission days travelled per year per U.S.-based staff was 14, which compares to an average of 34 for all Bank networks and operational units. No IEG staff took more than 10 trips per year and none travelled more than 90 days per year, compared with 8 percent in the Bank Group's networks and operational units.

⁶⁰ The corresponding figures for the Bank, IFC, and MIGA were 45 percent, 54 percent and 55 percent, respectively.

About half of IEG's \$33.4 million FY11 budget—\$16.8 million—is allocated to evaluation products. The remainder funds knowledge activities, work on methodology, management, and overhead. Of the resources allocated to evaluation products, about 60 percent is used for country, sector, and thematic evaluations, nearly evenly divided between joint and institution-specific evaluations; some 30 percent goes to project evaluations and some 10 percent to quick-response evaluations (see Table 6 in Appendix C).

The composition of the budget by main category of product reflects in part trends in unit costs. The Bank and IFC have time recording systems in place that make it possible to examine the total cost of various products. With the caveat that figures depend on staff accuracy in reporting their work on time sheets, since FY06 data indicate that average costs⁶² of project-level evaluations and validations, CASCR reviews, and global program reviews have been stable or have declined, while average costs of country, sector, and thematic evaluations have increased somewhat. In particular:

- The cost of validations of the World Bank's ICRs and IFC's XPSRs and Project Completion Reports (PCRs) are around \$10,000 each, reflecting the fact that they are desk reviews.⁶³
- There is no clear trend in the average cost project-level evaluations (PPARs), global program reviews, and CASCR reviews, irrespective of whether they regard the World Bank or Bank and IFC programs, but with fluctuations from year to year.
- Estimates of the cost per MIGA evaluations are not available because of lack of a time recording system.
- There are not enough observations to establish cost trends for country, sector, and thematic evaluations that cover IFC or MIGA, but those covering the World Bank have increased from an average of about \$468,000 from FY05 to more than \$700,000 in FY10.⁶⁴

Human Resource Issues

IEG has approximately 110 staff, of which 70 are above the GE level, and consultants who, on a full-time equivalent (FTE) basis, amount to an additional 15 staff (Table 8, Appendix C). This reflects a modest growth of 17 FTE staff between FY06 and FY10. In terms of regular staffing, IEG is about the same size as the combined evaluation departments in the AfDB, Asian Development Bank, EBRD, and Inter-American Development Bank. Senior technical staff at level GH and above—necessary to the value and credibility of evaluations—account for 10.4 percent of IEG staff, which is higher than the Bank networks and operational departments and about the same as in MIGA. Despite its higher share of senior technical staff, IEG has also more managers as a proportion of FTE personnel than the

⁶¹ The corresponding figures for the Bank, IFC, and MIGA were 16 percent, 11 percent, and 8 percent, respectively.

⁶² Costs are in current dollars.

⁶³ In years before 2010, desk reviews were complemented by field validations. In FY10 only desk reviews were carried out because of limited budgets.

⁶⁴ All costs figures in this section are nominal figures.

Bank. IEG's ratio of administrative staff to total FTE staff exceeds somewhat that of comparators within the Bank Group.

All ECG evaluation departments face challenges in balancing their teams between staff who know the institution and staff from outside the institution. IEG has a strategy of ensuring that approximately half of its staff is recruited from outside the Bank Group, in order to acquire staff with institution-specific skills and experience as well as to bring fresh ideas and diverse perspectives. Although there have been variations from year to year, over the 2006–10 period, IEG came close to meeting this target, with 36 of 76 new staff members from outside the Bank Group, equivalent to 47 percent.

IEG has experienced considerable staff turnover during the past five years and with it the opportunity to strengthen its skill mix. Of the staff in IEG at the end of FY10, approximately half had been with IEG for 3 years or less, a quarter for 3–5 years, and the remaining quarter for more than 7 years. Of the 64 people who left IEG from 2006 to 2010, 58 percent left the Bank Group (including retirees) and 42 percent transferred to positions elsewhere in the Bank Group. This indicates both that IEG skills are valued in the Bank Group and that IEG staff are not discriminated against because of the evaluations they produce. Maintaining a healthy two-way flow of staff between IEG and the Bank Group is a priority for IEG management and is necessary for attracting talented professionals.

A number of human resource management issues of concern to IEG staff have been identified through the staff survey, the most recent IEG staff retreat, and deliberations of working groups, including diverse cross-sections of IEG staff. These issues related to:

- Workplace environment: Ensuring an inclusive and respectful environment, especially through zero tolerance for belittling conversations and behavior
- Professional development: Creating greater opportunities for professional development of staff at all levels, establishing a mentoring program, ensuring greater transparency in promotion processes, and developing a competency framework with a meaningful distinction between grades enforced
- Management guidance: Providing more frequent, informal, and detailed feedback, especially on career development and performance assessment.

To address these concerns, specific actions were identified in the IEG Staff Survey Follow-up Action Plan, several of which have already been implemented. These include the creation of opportunities and space for informal information sharing among staff, increased training opportunities, and opportunities for collaboration across units. Ongoing initiatives include simplification of work processes and development of protocols, development of the competency framework, and improving the quality and timeliness from managers to staff.

Conclusions

Although the recent re-alignment of IEG's organizational structure is expected to improve internal efficiency, and despite the significant efforts to integrate IEG into "one IEG" that have been undertaken since FY09, a number of issues remain to be addressed: the implications of the three different Bank Group HR management systems; access to

information issues to improve efficiency of joint evaluations; and further streamlining the budget and time management systems, such as time recording among MIGA-affiliated staff. IEG should continue to monitor whether the changes in the organizational structure are resulting in increased efficiencies and improved impacts of IEG's evaluation work. A results framework should be developed to monitor progress against current baselines for key performance indicators.

Like the rest of the Bank Group, IEG has been operating in a severely constrained budget environment. The facts that IEG's budget has been nearly constant in real terms since FY05 and that IEG has broadened the range and number of products indicate the IEG's efficiency has increased. As with the rest of the Bank Group, IEG staff are under stress, and it is unlikely that significant gains in efficiency can be expected without further streamlining processes or making changes in the product mix and deliverables.

As suggested by the 2004 external review and the IEG External Advisory Panel, reducing the number of evaluations would free up some resources and reduce some of the gaps of IEG's work program, increase upstream engagement with management, improve knowledge management, as well as allow greater engagement and outreach externally, which would lead to an increase in IEG's impact through greater use of its products.

CODE's governance and oversight of IEG's budget and work program set the standard among MDBs. The most recent independent review of the IEG budget and work program certified that the IEG budgets were justified, given the work programs. The report also confirmed that IEG was consistent with the World Bank Group budget planning guidance, the tightness of the budget and the efficiency and productivity measures, trade-offs made, and redeployments proposed by the DGE. The FY10 assessment by the World Bank Controller found that IEG's control systems are good and are better than most other VPUs.

There are no major HR issues that need to be addressed as a matter of priority in the short term. There has been significant turnover of IEG staff, mainly through retirement, and approximately half of the staff have been with IEG for three years or less. In filling vacancies, IEG has strengthened its staff skill mix. About half of IEG's new staff since 2006 were from within the Bank Group and half were from outside. For IEG to continue to be the leader among the MDBs and to develop world-class evaluation methodologies, it will have to continue to recruit staff with strong evaluation expertise, internally and externally.

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Part II: Appendixes

Appendixes

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Appendix A: Comparison of ECG Members' Characteristics

This appendix provides a comparison of the organisational structure, independence, staffing, access to information, work programs, budget, and publication of evaluation reports among members and observers of the Evaluation Cooperation Group (ECG)—May 2010.

Table A.1: ECG Comparison Table—Part 1

	<i>European Bank for Reconstruction and Development (Updated April 2010)</i>	<i>World Bank Group</i>	<i>Inter-American Development Bank</i>	<i>Asian Development Bank (Updated May 2010)</i>	<i>African Development Bank (Updated May 2010)</i>
1.1 separate evaluation department	Yes, Evaluation Department (EvD)	Yes, Independent Evaluation Group (IEG)	Yes, independent Office of Evaluation and Oversight (OVE)	Yes, Independent Evaluation Department (IED)	Yes, Operations Evaluation Department (OPEV)
1.2 Location in organization chart and budget	The Chief Evaluator is directly and only responsible to the Board and will only take his/her instructions from the Board of Directors as a whole. Based on the work program for the following year, the budget is prepared by the Chief Evaluator, and is presented separately from the rest of the Bank's budget, as an annex to both the Work Program Preliminary report and the Bank's budget document. Such budget must be sufficient to enable EvD to carry out the proposed work program. The EvD budget, as presented in the work program Preliminary report, is distributed to the Board of Directors with possible MCs on the mentioned report, first for review by the Audit Committee and by the Budget and Administrative Affairs Committee in back-to-back meetings and then for approval by the Board, at the same meeting as the Board decision on the Bank's general budget, in a separate vote on EvD's work program and budget.	IEG is headed by the Director General – Evaluation (DGE), and includes units in the World Bank, IFC and MIGA. Units report to Board of Executive Directors through the DGE. Work programs and budgets are prepared independently, under the oversight of the DGE, for endorsement by the Board's Committee on Development Effectiveness (CODE), and approval by the Board. For administrative purposes, the IEG-IFC Director reports to IFC Executive VP (chief operating officer), and, the Director of IEG-MIGA reports to the MIGA Executive VP.	OVE Director reports to the Board of Executive Directors and submits the work program and budget for their approval.	IED reports directly to the Board through the Development Effectiveness Committee (DEC). IED's work program and budget are approved by the Board. The Director General (DG), IED, in consultation with the DEC and the Budget, Personnel and Management Systems Department, prepares an annual budget proposal that will be subject to review first by the DEC then by the Budget Review Committee. The budget is presented separately from AsDB's administrative budget. DG, IED has the authority to reallocate resources across budget items.	Since 1995, OPEV Director reports directly to the Board and administratively to the President. OPEV work program and reports are under the oversight of the Committee of Operations and Development Effectiveness of the Board. Since 2007, OPEV's budget is no longer subject to management's arbitration but included in the Bank's overall budget for consideration by the Board, responsible for overall administrative and capital budget approval. OPEV Budget is ringfenced.

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
1.3 Seniority of Head of Department	The Chief Evaluator which is appointed by the Board of Directors is in principle one level below VP.	Director General Evaluation (DGE) is Senior VP level. Director of IEG-World Bank is one level below VP, same as other department Directors, and is selected by the DGE in consultation with the President and Chair of CODE. Director of IEG-IFC is one level below VP, same level as investment department and other IFC department directors. Director of IEG-MIGA is same level as department heads in MIGA.	Director of Office: one level below VP, equiv. to Department Manager.	DG, one level below VP, same level as operations department directors general.	Head: Director, same level as Operations department heads (Executive Level 4: one level before VP).
1.4 Participation of the head of the evaluation function in internal senior management meetings.	The Chief Evaluator does not participate either as member or as observer in senior management meetings. EvD organizes meetings frequently with the Operations Committee secretariat, which is composed of department directors and other senior Bank staff involved in the operation process. The aim of these meetings is to review evaluation reports and to discuss lessons learned for application in new operations.	The DGE participates in meetings of the Operational VPs. The Director, IEG-IFC, participates in relevant meetings of the Portfolio Committee. The Director, IEG-MIGA participates, as an observer, in the Project Review Committee meeting.	The Director of the Office does not participate either as a member nor as an observer in senior management meetings.	.The DG participates selectively (rarely) at Management Review Meetings, chaired by the President or a VP, to examine new lending, policy or strategy proposals before these are completed and finalized for Board submission.	Director OPEV attends Presidential Meetings and selectively the Operations Committee (Opscom).
1.5 Access to information by staff of the Evaluation Department	To discharge their obligation, the Evaluation Department's staff will continue to have unrestricted access to EBRD staff and records, provided that: <ul style="list-style-type: none"> (i) The Bank's confidentiality policy and obligations under individual confidentiality undertakings entered into with sponsors, clients and other third parties are preserved; and (ii) Information obtained by the Evaluation Department is used to perform the evaluation function, subject only to their obligation to report cases of suspected misconduct in accordance with the Bank's applicable procedures. 	IEG's access to staff and records is unrestricted.	OVE staff have unrestricted access to IADB staff and records.	The approved policy allows IED full, unfettered access to AsDB records and information related to evaluation work, with the exception of personal information that is typically restricted. Similarly, IED is free to consult with any individual or group, within and outside AsDB, it deems relevant—including government officials, and members of private sector, NGOs, and media in the assisted DMCs.	OPEV's access to ADB staff and records is unrestricted according to the Independent Evaluation Policy approved in 2007.

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
2.1 Staffing	<p>Chief Evaluator</p> <p><i>Other professional staff:</i> Senior evaluation managers: 5 Principal evaluation manager: 3 Senior economist: 1 Senior environmental evaluation manager: 1 Evaluation analyst: 1</p> <p><i>Support staff:</i> Personal assistant: 1 Senior administrative assistant: 2 Secretary: 1</p> <p>Total staff: 16</p>	<p>World Bank: 1 Dir. & 4 Group Mgrs Principal & Sr. Eval. Specialist: 44 Eval. Officer: 5 Support Staff: 29</p> <p>IFC: Head of Unit (Director): 1 Chief Eval Officers: 2 Eval Officers: 10 Research Analysts: 5 Support Staff: 4</p> <p>MIGA: Head of Unit (Director): 1 Lead and Senior Eval Officers: 1.25 Eval Officers: 1 Research Analysts: 0 Support Staff: 0</p>	<p>Dir. + Deputy Director: 1 Principal Evaluation Officers: 3 Sr. Evaluation Officers: 6 Evaluation Officers: 7 Jr. Evaluation Officer: 1 Jr. Professional: 1 Research Assistants: 6 Support Staff: 5</p>	<p>Staff on Board: Director General: 1 Division Directors: 2 Professional Staff: 22 National Evaluation Officers: 10 Administrative Staff: 12</p>	<p>New structure approved by the Board starting 2009:</p> <p>Director: 1 Division Managers: 2 Lead Evaluation Specialist (Division Manager rank): 1 Chief Evaluation Officers: 2 Principal Evaluation Officers: 9 Senior Evaluation Officer: 1 Evaluation Officer : 1 Research Assistants: 5 Administrative Support Staff: 4</p>

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
2.2 Managing the staff of the department	<p>The Chief Evaluator manages the Evaluation Department staff. Bank's human resources and other relevant policies apply. The Chief Evaluator has freedom to make recruitment decisions without the Board or Management being involved.</p> <p>The Chief Evaluator manages the Evaluation Department staff to whom the Bank's human resources and other relevant policies apply.⁶⁵ The Chief Evaluator makes recruitment decisions by him/herself, within the limits of the EvD budget, without management or the Board being involved.</p> <p>The salaries of professional staff members of the Evaluation Department are determined by the Chief Evaluator. Salary increases based on performance and market positioning. In addition, the remuneration may include performance based compensation. The percentage of the pool for performance based compensation available to the Chief Evaluator for distribution corresponds to the percentage of the pool available to professional staff members in the rest of the Bank. The remuneration of the support staff members of the Evaluation Department is determined in accordance with the system applicable to support staff in the Bank. In managing the EvD financial and human resources, the Chief Evaluator consults and cooperates with relevant departments and units in the Bank, in particular the Budget Unit and the Human Resources Department and regularly reports to the Board of Directors, through the Audit Committee, on the execution of the work program and utilization of the EvD budget.</p>	<p>The DGE is responsible for managing IEG's personnel, budget, and work program under the oversight of CODE, and in consultation with Bank operational VPs, IFC's EVP, and the Chief Operating Officer of MIGA. IEG's functions and staff are organizationally independent from Bank, IFC and MIGA operational and policy departments and decision making.</p> <p>The Directors are responsible for the selection, performance evaluation, salary review and promotion of IEG staff, under the oversight of the DGE and in consultation with the VP, Human Resources, for the relevant agencies</p>	<p>The director of the Office has freedom to make recruitment decisions by himself without the management or Board being involved. Recruitment is subject to the normal procedural rules of the IDB regarding the posting of vacancies and the review of candidates by a committee that included non-OVE staff. The committee makes recommendations to the Director of OVE, who has the final say on recruitment. The salaries of the professional staff members of the Office are determined by the Director, as is the distribution of the annual bonus pool.</p>	<p>DG, IED is responsible for the final selection of IED personnel, in accordance with AsDB personnel guidelines. BPMSD handles the administrative processes, in accordance with these guidelines. Terms and conditions of the services of IED staff are the same as for other AsDB staff, as provided by staff regulations and administrative orders, including the performance review process, regulation, disciplinary procedures, and grievance procedures. IED staff may work in other departments/ offices before and after working in IED. IED has adopted formal guidelines on avoiding conflicts of interest in independent evaluations. Transfer of IED staff to other departments is governed by AsDB-wide policies, rules, and regulations. DG, IED is responsible for the distribution of the annual salary increase budget allocated to IED among its staff including division directors.</p>	<p>HR management of evaluation staff falls within the corporate HR policies and procedures. In managing the financial and human resources of the Evaluation Department, the Director applies the Bank policies. The terms and conditions of services of OPEV staff are the same as for other AfDB staff, as provided by staff rules and regulations of the Bank including the staff recruitment, separation, performance review process, and disciplinary procedures. OPEV evaluation staff may work in other departments of the Bank before and after working in OPEV. Formal guidelines on avoiding conflicts of interest in independent evaluations have been adopted by CODE in 2007. Lateral Transfer and promotion of OPEV staff is similarly governed by AfDB-staff and general administrative policies, rules, and regulations.</p>

⁶⁵ Among others, the Evaluation Department's staff may seek other positions in the Bank but (consistent with rules applicable to staff) need to inform the Chief Evaluator if they have been short listed.

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
2.3 Selection and average tenure of head of evaluation and other evaluation staff	<p>The Chief Evaluator is selected in accordance with a selection procedure established by the Board of Directors.⁶⁶ The Selection Committee for the Chief Evaluator consists of the members of the Audit Committee, the Chair of the Board Steering Group and the Vice President in charge of Human Resources and is chaired by the Audit Committee's Chair. The Selection Committee appoints an executive search firm, which conducts an extensive search. Subsequently, the Committee reviews a shortlist of candidates and conducts interviews and proposes a candidate by majority vote. After completion of the selection procedure, the Selection Committee will make a recommendation to the President for the engagement of the Chief Evaluator, without prejudice to the role of the Budgets and Administrative Affairs Committee (BAAC). The BAAC will review the remuneration and employment package of the Chief Evaluator taking into account any views the Audit Committee may have and will provide its recommendation concerning these aspects to the President.</p> <p>Before the end of the selection process, a hearing of the proposed candidate will be organized with interested Board Directors. The President will then consult with the Board in an Executive Session before sending a formal recommendation to the Board for its approval.</p>	<p>Board appoints DGE for a five-year renewable term. DGE selection process and remuneration managed under the oversight of CODE (with advice from the Vice President, Human Resources). The DGE can only be removed by the Board and is ineligible for a staff appointment.</p> <p>DGE appoints Director IEG-WB in consultation with CODE Chair. No time limit on the term. Rotation of staff after five to seven years encouraged but not required.</p> <p>DGE appoints Director IEG-IFC in consultation with the EVP and CODE chair for a five-year, renewable term. Cannot rotate within IFC and can be removed only by the DGE for just cause. Rotation of staff is encouraged after four years but not required.</p> <p>DGE appoints Director IEG-MIGA in consultation with the MIGA EVP and CODE chair for a five-year renewable term. Not eligible for employment in MIGA. Can only be removed by the DGE, for just cause.</p>	<p>No limitations except for Director who has five-year one time-renewable mandate. In general, the Bank encourages staff rotation after five years, but it is often difficult to find an even exchange.</p>	<p>DG, IED is appointed by the Board, upon the recommendation of the DEC in consultation with the President (i.e., seeking the views and opinions of the President). DG, IED has a five-year non-renewable term. During this period, DG, IED can only be removed by the Board on the grounds of inefficiency or misconduct. Upon completion of the term or after removal, DG, IED is ineligible for any staff position within AsDB.</p> <p>Currently, the average tenure of other staff is about three to five years. Rotation is encouraged.</p>	<p>OPEV Director is selected from a list of candidates by the President on the basis of the recommendation of a high-level recruitment panel composed of Vice Presidents of the Bank and other experts as the President may deem fit. The President concurs with the Board of Directors on the appointment of the candidate to head the department, and announces the outcome of the consultation during a formal meeting of the Board.</p> <p>The Director is appointed for five years, renewable once. Renewal requires prior concurrence by the President with the Board of Directors. The head of OPEV is not eligible to perform any remunerated services for the Bank (whether as staff, consultant or in any other remunerated capacity) unless the Board of Directors specifically decides otherwise. Rotation of evaluation staff back to operations and other functions is allowed.</p>
3.1 Consultants: proportion of business covered	<p>Industry expert consultants are employed for approximately approx. 50–60% of post evaluation exercises on investment operations. The assignments are short term (max. three weeks) and in a support capacity. For special studies (thematic, sector, etc.) longer assignments are usual.</p>	<p>Overall, consultant usage for the group of a whole represents about 25% of total budget spending, comprising roughly 25% for IEG-World Bank, 20% for IEG-IFC, and 10% for IEG-MIGA.</p> <p>For IFC, 15–20% (consultants & temps as % of staff full costs); about 13–15% of total budget</p>	<p>30% (about 20% of budget)</p>	<p>20% in terms of person-year requirements of the work program are supplied by consultants. In terms of the dollar budget, about 25% of total IED budget is for consultants.</p>	<p>35–40% of OPEV Administrative Budget is for consultants (about 10–12 person-years).</p>

⁶⁶ At least six months before the end of his/her term, the incumbent Chief Evaluator lets the Board of Directors know, in writing, whether he/she is interested in seeking a new term. If so, the President consults with the Board of Directors in an Executive Session and thereafter sends a recommendation to the Board for its approval. If the Chief Evaluator is not interested in a renewal, or if the renewal has not been approved, the vacancy is advertised (with Bank staff being eligible to apply) and the selection process is initiated.

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
3.2 Internal secondment	Not so far, but some junior level secondment from other Departments is possible.	Possible for IEG-World Bank. For IEG-IFC possible and actual in the form of fixed-term development assignments (usually 6–12 months).	Yes, through Bank mobility (rotation) exercise. Staff may rotate in and out of OVE for 2–3 year terms.	None so far.	None so far. Young Professionals (are encouraged).
4.1 work program	In consultation with the Banking Department (operations), EvD prepares an annual work program on evaluation of investment operations and technical cooperation TC operations. Suggestions for selection themes for special studies can come from the Board of Directors, management and EvD. Sector Policy evaluations are carried out before a new strategy is prepared by Management. The work program is commented on by management and reviewed by the Audit Committee of the Board. The Board of Directors approves the work program, first through adopting the work program preliminary report (see also Section 1.2 above) and in second instance by approving the Work Program Final report. Final project selection and choice of special studies are proposed in the Work Program Final Report.	Each year the DGE presents a consolidated three-year rolling work program and budget to the Board, with sections derived from each of the three units. World Bank: Prepared by IEG, discussed with management, regions and networks. Reviewed by CODE and, submitted to Board for discussion and approval. IFC: Every year, IEG Director prepares a three-year strategy, work program, and new FY budget proposal, reviewed by DGE and management, and discussed with CODE, which sends a report commenting on it to the full Board prior to Board's final decision on IFC's budget. MIGA: IEG-MIGA prepares work program and budget, reviewed by DGE and commented on by management. Proposal is endorsed by CODE and approved by the Board.	OVE prepares an annual work plan based on requests from Board of EXDs and input from Bank management. OVE submits Plan to the Policy and Evaluation Committee of the Board for discussion and then Board approval.	DG, IED proposes a three-year rolling work program, after consultations with the DEC, management and other departments, taking into account issues of relevance to AsDB developing member countries and the current institutional priorities. The Board is responsible for final approval of the coming year's IED work program, after it is reviewed and endorsed by the DEC.	OPEV prepares its three-year rolling work program on a basis of a large consultation with operations/policy departments. Priority areas, sectors, or themes decided by the Board of directors or required within the African Development Fund (ADF) replenishment exercise and mid-term reviews are also taken into consideration in drawing the three-year rolling work program, which is reviewed by CODE and approved by the Boards.

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
4.2 Percentage of projects subject to evaluation	<p>100% of Investment Operations ready for evaluation are looked at by EvD, but different evaluation products are prepared each with a different amount of time allocated to the evaluation exercise:</p> <p>25% through producing a detailed report, i.e., an operation performance evaluation review (OPER) report whereby EvD staff makes field visit.</p> <p>45% through assessing self-evaluation reports prepared by operation staff. Based on the Expanded Monitoring Reports EvD writes so-called XMR Assessments. For this reduced form of evaluation, evaluation staff does not conduct field visits but the ratings assigned by operation staff are validated.</p> <p>30% through reviewing the quality and completeness of self-evaluation reports (no validation of performance ratings by EvD):</p> <p>Selection of the approximately 25% of operations on which an OPER report will be produced is based on a purposive sample with emphasis on: (i) potential for lessons learned; (ii) financial performance of project; (iii) size of bank's exposure; (iv) adequate spread among operation type, countries and sectors.</p> <p>For overall performance, random sampling is applied according to ECG's GPS on private sector evaluation whereby the confidence level of the sample is 95% with $\pm 5\%$ sampling error.</p> <p>20% of completed TC Operations (by volume) are evaluated through an OPER report, PCR Assessment or a PCR Review; if TC operations covered in special studies are added coverage is about 50%.</p>	<p>World Bank: 100% self-evaluation by operations staff through Implementation Completion Reports (ICRs). 100% of ICRs reviewed by IEG; 60–80 completed projects evaluated by IEG through Project Performance Assessment Reports.</p> <p>IFC: 51% stratified random sample of self-evaluation reports on investments. All desk-reviewed by IEG, some by field visits following review of self-evaluation reports. Also, all special studies (sector, country) are based on field visits and relevant mini-XPSRs by IEG staff, plus as of 2006, they are also based on Project Evaluation Reports (PERs) on technical assistance and advisory projects (TAAS).</p> <p>MIGA: No self-evaluation by operational departments. IEG-MIGA directly evaluates a random sample of three- to four-year old cohort of MIGA guarantee projects, including field visits.</p>	<p>On closure of a project: 100% self-evaluated by operations staff.</p> <p>20% Ex-post Evaluations by OVE</p> <p>Validation of a sample of 20% of Project Performance Monitoring Reports and Project Completion Reports by OVE</p> <p>Prior to Approval:</p> <p>100% (of projects approved) quality of entry evaluation by Development Effectiveness Department.</p> <p>100% (of projects approved every third year) Evaluability evaluation by OVE</p>	<p>100% self evaluation (project completion reports [PCRs]) by operating units for public sector lending and for private sector lending (expanded annual review reports [XARRs]). Since August 2007, IED independently validates PCRs and XARRs. Rather than independently evaluating a randomly selected sample of completed programs and projects, IED selects a purposeful sample of about 10 public sector projects and 3 nonsovereign operations for in-depth evaluation each year [Project Performance Evaluation Reports-PPERs]</p>	<p>Actually 70–90% of completed projects are subject to self evaluation (2009 target is 70% with an ultimate objective of 100%). All PCRs received are subject to independent desk review with preparation of PCR Evaluation Note (PCREN). Only 25–30% of completed projects are subject to independent performance evaluation (with field mission) report. Selection criteria are mainly: quality of PCR and lessons to be learned, importance for country or sector future reviews or crosscutting issues and bank corporate strategic priorities.</p>

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
4.3 Basis of studies (country, project by project, sector...)	<p>Special studies can have a thematic character or can refer to a specific sector. These can be carried out in the form of Operation Sector Policy Evaluations.</p> <p><u>Mid-term review</u> of projects can be prepared to help advancing the progress of projects.</p> <p><u>Evaluation Progress Reviews</u> whereby EvD revisits former evaluations.</p> <p><u>Sector Study</u>: investment operations in a specific sector or sub-sector can be grouped together to do a sector study.</p> <p><u>Country Strategy Evaluation</u>: EvD applies the GPS of the ECG on Country Programme and Strategy Evaluation by conducting country-level evaluation (CLE) whereby for each study the Board of Directors selects one or more themes or one or more sectors. For 2009 one such study will be carried out. Before a new CLE is carried out in 2010, agreement need to be reached with the Board of Directors on the methodology applied. EvD does not carry out formal country strategy evaluation as described in ECG's respective GPS. However, EvD provides lessons learned material to operation staff during the preparation of each new country strategy thereby contributing to the retroactive analysis section of each new country strategy.</p>	<p>World Bank: Reviews at project, sector, country, and global levels, plus cross-cutting sector, thematic and corporate/process reviews, including the Annual Review of Development Effectiveness.</p> <p>IFC: Annual Reviews based on IEG-validated self-evaluation findings and supplementary portfolio and market data. Special evaluation studies: sector and thematic, process, country, and EvalBriefs all drawing from project-level results. Priority given to topics relevant to IFC's corporate strategic priorities, joint studies with IEG-World Bank and IEG-MIGA.</p> <p>MIGA: IEG-MIGA Annual Report synthesizes project and program level findings on MIGA's development and operational effectiveness, and may have a thematic focus. IEG-MIGA participates in joint IEG evaluation reports, covering sectors or themes for which a Bank Group-wide perspective is warranted and which are highly relevant to MIGA.</p>	<p>OVE: Evaluations of development impact, ex-post performance and sustainability of individual projects classified into three themes;</p> <p>Country Programs Evaluations whenever there is a national election.</p> <p>Sector and thematic Evaluations</p> <p>Oversight Reports : Bank policies and program</p>	<p>Operations, policies and strategies, and business processes having implications for development effectiveness of AsDB operations, e.g. project, program, nonsovereign operation, technical assistance, regional cooperation, country, sectoral, thematic topics for special studies, AsDB processes, policy/strategy reviews, and impact assessments.</p>	<p>Policy Reviews are planned prior to a revision by Policy Dept. Country Assistance Evaluations are planned to the extent possible prior to new Country Assistance Strategies. Sectoral and Thematic Evaluations, Corporate Review, Process Reviews, Impact studies are selected based on Bank corporate and sectoral strategic priorities.</p>

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
5.1 Types of report and timing	<p>1. <i>Operation Performance Evaluation Review (OPER) reports on investment operations.</i> Timing: 1.5 years after full loan disbursement and 2 years after last disbursement of equity investment. After at least one year of commercial operation and in principle one year of audited accounts must be available.</p> <p>2. Timing for producing an <i>OPER report on a TC operation</i>: within a year of final disbursement of grant funds when the Project Completion Report (PCR) is available.</p> <p>3. <i>XMR (expanded monitoring reports) Assessments (XMRA) and XMR Reviews (XMRR)</i> are done at the same time as OPER reports. XMRs exist in long form and short form: the long-form to be used in case of XMRA and the short-form in case of XMRR (Reviews do not require validation of ratings, but review of quality is done).</p> <p>4. <i>Special Studies, mid-term reviews, and evaluation progress reviews</i> are carried out at the initiative of EvD and/or at the request of the Board of Directors or Management;</p> <p>5. Reports on EvD's <i>Work Program</i>:</p> <ol style="list-style-type: none"> Work Program Preliminary report (November) Work Program Final Report (January) Work Program Completion report (March) <p>6. <i>Annual Evaluation Overview Report (AEOR)</i> is presented to the Board in July.</p>	<p>World Bank:</p> <ol style="list-style-type: none"> Project Performance Assessments Country Evaluations Thematic and Sector Evaluations Corporate and Process Evaluations Impact Evaluations Annual Review of Development Effectiveness <p>IFC:</p> <ol style="list-style-type: none"> Self Evaluation Reports (Expanded Project Supervision Reports) at project level (completion + min. 1–2 yrs operation) IEG special studies: per above topical range Annual Review of Eval. Results Annual Report on Evaluation (process) <p>MIGA:</p> <ol style="list-style-type: none"> Project Evaluation Reports (PER): 3–4 years after issuing guarantee Quality at entry assessments: recent guarantee projects IEG-MIGA Annual Report Contributions to joint IEG sector/thematic studies: 1 per year 	<ol style="list-style-type: none"> Project Completion (Bank Ops. Staff) Ex post Project Performance and Sustainability Assessments Country Program Evaluation Sector & Thematic Evaluation Corporate Performance Oversight of Self-evaluation and Bank-wide standards Thematic Oversight Reports Annual Report of the Office of Evaluation and Oversight 	<ol style="list-style-type: none"> Project, Program and Technical Assistance Performance Evaluation Reports Impact Evaluation Studies several years after completion. Includes rigorous impact evaluations as well. Special Evaluation Studies including sector, theme, policy or strategy, business processes Sector Assistance Program Evaluations (SAPEs) Country Assistance Program Evaluations (CAPEs) Regional Cooperation Assistance Program Evaluation Annual Report on Portfolio Performance Annual Evaluation Review Annual Report on Acting on Recommendations Validation Reports (of project completion reports and country partnership strategy completion reports) Evaluation Knowledge Briefs Evaluation Information Briefs 	<ol style="list-style-type: none"> Project and programme performance evaluation Reports (PPERs) Project Completion review Note Expanded Supervision Reports of Private Sector Operations Evaluation Note Report on Development Effectiveness Annual Report on Operations Evaluation Annual Review of Evaluation Results (ARER) Review of Country sectoral Bank assistance Country Assistance Evaluation (CAE) Process and Procedure Reviews Sector, Policy and Thematic Evaluations Impact Evaluations Corporate Evaluations

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
5.2 Discussion and clearing of reports	<p>Operation teams in charge a project or program under evaluation are consulted on EvD's draft reports and given two to three weeks to provide comments. The Evaluation Department also consults any other member of Management or staff who has played a specific and substantial role in the process of preparation or implementation of the project or program under evaluation. Based on these discussions, EvD prepares the final report for distribution to Management to receive official Management's Comments.</p> <p>After receiving an OPER report, a Board summary of an OPER report or a special study from the Chief Evaluator, management has 10 working days to provide comments. The Chief Evaluator informs the Audit Committee that he/she has delivered such a report to management to seek their Comments. Before distribution to the Board (or publication), the Chief Evaluator may still correct the Evaluation Department document to take account of management's comments; if he/she does so, the Chief Evaluator also gives management an opportunity to adjust management's comments accordingly, before such Comments are distributed (or made available) to the Board of Directors together with the Evaluation Department document. Management's comments are published or posted on the Bank's website at the same time as the Evaluation Department reports to which they relate.</p>	<p>World Bank: Discussed with appropriate operations staff. IEG reports are issued under DGE signature and approval. Reports are then forwarded to the Board.</p> <p>IFC: Self-evaluation: All staff involved with project in past and present consulted, 100% of reports are formally reviewed by IEG and (for about one-third, designated by IEG) discussed by committee chaired by VP or Credit Director or relevant senior Credit staff.</p> <p>IEG reports are the responsibility of the Director, IEG-IFC, under the oversight of the DGE, and are transmitted to IFC's Board of Directors through the DGE, following management review and opportunity to comment.</p> <p>MIGA: All reports are cleared by the Director, IEG-MIGA, under the oversight of the DGE, and are transmitted to MIGA's Board of Directors through the DGE, following management review and opportunity to comment.</p>	<p>Internal OVE peer review, discussion with relevant Bank technical and operational staff, and the Audit and Evaluation Committee of senior management (chaired by Exec. VP).</p> <p>Management does not clear or approve the report. Report submitted to the Policy and Evaluation Committee of the Board (Country Program Evaluations go instead to the Programming Committee of the Board), and then to entire Board of Executive Directors.</p>	<p>Reviewed by selected IED internal peers; then forwarded to operational departments and governments (executing agencies), as applicable, for comments. For complex evaluations, a second stage of discussion at the Director General level focuses on understanding of and reality-check on recommendations. Final report is approved by DG, IED and circulated to the Board and management and disclosed to the public simultaneously, inviting a Management response. All country level and major special evaluation study reports are discussed by the DEC.</p>	<p>Internal Peer Review - External Peer Review - Reports sent for comments to Operat. Depts. + Borrowers + Co-financiers- - Formal Management Response expected from Results and Quality Assurance Department in charge of coordinating Management responses for high level evaluations. Evaluation Reports reviewed by the Boards Committee (CODE) are mainly: corporate, country assistance evaluations, sectoral or thematic evaluations and lending/non lending process reviews.</p>

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
5.3 Distribution of evaluation reports	Board summaries of OPER reports on investment operations, TC-related OPER reports and special studies are distributed by the Chief Evaluator (through the Office of the Secretary General) to the Board of Directors, together with management's comments. If Management has elected not to provide Management's Comments, the Chief Evaluator so informs the Board when distributing the report. Management's comments must be proportionate in length with the document to which they relate.	World Bank: IEG reports are submitted directly by the DGE to CODE, and are disclosed to the public in line with its disclosure policy. Reports are posted on IEG's Web site. IFC: IEG transmits its reports to IFC's Directors through the DGE following IFC management review and comment. The Board approved a revised IEG disclosure policy in line with revised IFC disclosure policy; that enables public disclosure of IEG reports that go to the Board; implementation of the new policy took effect for reports distributed to the Board after April 30, 2006. MIGA: IEG-MIGA transmits its Annual Report and sector/thematic studies to the Board of Directors, through the DGE. All reports submitted to the Board are disclosed following CODE/Board discussion in line with MIGA's disclosure policy. Project-level evaluations are not disclosed.	OVE reports are submitted by the Director directly to the Board's Policy and Evaluation Committee and, for Country Program Evaluations, to the Board's Programming Committee.	All public sector evaluation reports are publicly disclosed on the AsDB Web site on circulation to the President and Board of Directors. Redacted versions of private sector evaluations are disclosed, with commercially confidential parts removed from the report. IED's annual evaluation reports are publicly available upon discussion by the DEC.	OPEV Reports are submitted by the Director to the Committee on Development Effectiveness through the Secretary General, and are disclosed to the public upon circulation to the Board in line with its disclosure policy. Reports are posted on OPEV's website.
5.4 Publication	Disclosure of evaluation documents is incorporated in EBRD's public information policy (PIP). The following documents are disclosed on EBRD's Web site: 1. 1. Summaries of OPER reports on investment operations (no names of companies and sponsors are disclosed) 2. OPER reports on TC operations 3. Special studies 4. Work Program Final Report 5. Annual Evaluation Overview Report (AEOR) All reports will be edited by the Chief Evaluator for commercial confidential information in cooperation of EBRD's Office of the General Counsel. There reports and lessons learned material are published on the Evaluation part of EBRD's Web site, which also contains an external lessons learned database.	World Bank: Country Assistance Evaluations Thematic and sector evaluations Some corporate evaluations ARDE IEG working papers All reports are disclosed in accordance with the IEG disclosure policy, placed on the Web, and printed. IFC: As per the above, with appropriate editing, reports distributed to the Board after April 30, 2006, are disclosed to the public. MIGA: Annual Reports, sector/thematic studies are disclosed on IEG-MIGA's Web site.	All reports are published unless not authorized by the Board.	All reports available online at http://www.adb.org/evaluation .	Reports available for wide distribution after circulation to the Board Committee. Evaluation Web site within the Institution Web site at http://www.afdb.org/opev

	European Bank for Reconstruction and Development (Updated April 2010)	World Bank Group	Inter-American Development Bank	Asian Development Bank (Updated May 2010)	African Development Bank (Updated May 2010)
5.5 Identity of promoters of projects	No names of projects, project sponsors, or promoters will be disclosed outside the Bank because of confidentiality obligations toward the Bank's clients, as most of EBRD's activities are with private sector partners.	World Bank: Not applicable IFC: Not disclosed MIGA: Not disclosed	Not disclosed. Source data is subject to disclosure policy.	Public Sector: Not applicable Private Sector: Not disclosed	No restriction on the identity of the promoters/projects
6.1 Costs	A strict budget system is in place. Budget is approved annually by the Board of Directors and is presented separately from the rest of the Bank's budget. Average cost per evaluation exercise: 25–45 man-days (EvD staff) plus 2–3 weeks consultant time in respect of <i>project evaluation</i> ; up to 12 weeks (EvD staff) for <i>special studies</i> plus 3–4 weeks consultant time.	Cost for individual studies varies, depending on nature of the study, and are estimated in approach papers.	Budget for evaluation reports and services estimated by staff time, consultants and travel costs required, and are reported by gross activity. Budget is approved by the Board.	Depends on nature of study, but the budget assumes that, normally, an individual project evaluation takes 3-4 staff months while broader evaluations take 6-9 staff months of work (which could take 12-18 months of elapsed time, given multitasking).	Depends on nature of the product, but the budget assumes that, normally, an individual project evaluation takes 4-5 staff months while country assistance evaluations and other higher level evaluations may take 9-12 staff months of work with 12-18 months of elapsed time).
6.2 Budget	1.37% of EBRD's net administrative expenses (excl. depreciation).	World Bank: 1.5% of the World Bank's net administrative budget IFC: 0.8% of IFC's budget MIGA: 3.5% of MIGA's administrative budget	1.1%	1.9% of AsDB's internal administrative budget in 2010	1.68% of administrative budget of AfDB in 2007 (1.5% in 2008 and 2009)

Source: ECG.

Table A.2: ECG Comparison Table—Part 2

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
1.1 Separate evaluation department	Part of the Inspectorate General, independent from all other Bank directorates and which groups Operations Evaluation (EV) Internal Audit and Investigation.	Yes, Independent Evaluation Office (IEO)	Yes, Group Operations Evaluation Department (GOED). The status of the previous Operations Evaluation Office (OEO) was upgraded to a full-fledged department in July 2009 within the framework of the IsDB Reform Program.	Yes, the independent Office of Evaluation (IEO).	Yes, Ex Post Evaluation Department (DEP)
1.2 Location in organization chart and budget	EV reports to the Board of Directors via Management Committee (Management Committee can't make any change of substance); administrative link to one member of the Management Committee. Budget approval annually. EV's budget is approved by the Board, commensurate with the work program. EIB general processes apply including budget autonomy to reallocate funds within certain limits and rules.	The IEO reports directly to the Executive Board of the Fund. It is completely independent of management, and operates at "arm's length" from the Board. IEO budget is approved by the Executive Board based on a proposal prepared by the Director of IEO. The budget approval process does not influence the content of the evaluation program, but does determine its overall size.	GOED is headed by a Director. GOED reports directly to the Board of Executive Directors (BED) of the Bank, through the Audit Committee of the BED. For administrative purposes, the GOED Director reports to the President, IsDB Group. Annual work program and budget are submitted to the Audit Committee of the Board for approval after due consultation with the President, IsDB Group.	IEO reports directly to the IFAD Executive Board, as per the Evaluation Policy. The Executive Board has a standing Evaluation Committee to assist it in considering evaluation issues. IEO prepares and submits its work program and budget directly to the Executive Board for approval.	DEP's director reports directly to the Governor. The Budget is proposed by the DEP and approved by the Governor. In 2007, it was 2.4% of total CEB administrative costs; in 2008 it was 2.8% of same. The Work Program is prepared independently and presented once a year to the Administrative Council of the CEB.
1.3 Seniority of head of department	Title: Inspector General, reporting directly to the President.	The Director of the IEO is at the same level as other Heads of Department, i.e., the level immediately below that of the Deputy Managing Directors of the IMF.	The Director, GOED is one level below VP, same as other department directors.	The Director of IEO is at the same level as other division directors. This level is directly below the Assistant President level.	Head: Director: same level as Operations Directorates.

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
1.4 Participation of the Head of the Evaluation function in internal senior management meetings	Yes	The Director of the IEO does not participate either as member or observer in senior management meetings.	The Director, GOED, participates in meetings of the Operations Committee. He also attends the Heads of Department Coordination Meetings, chaired by the President, IsDB Group. He participates in the Management Committee Meetings upon invitation. GOED staff participate, as observers, in the Project Technical Review Group meetings.	The Director is invited to participate in the meetings of the IFAD management team, with all other division directors and senior management, which is held two to three times in one year.	The Director does not participate - either as a member or as an observer - in senior management meetings, but rather on a case-by-case basis. The Director frequently organizes meetings with the Operations Directors.
1.5 Access to information by staff of the Evaluation Department	Unrestricted access within the whole EIB Group, including EIB and EIF.	IEO has access to all regular policy papers. The IEO director has the right to obtain information from members of Management and staff to carry out the work program of the IEO, except to the extent that the information requested is subject to attorney-client privilege.	GOED has unrestricted access to staff and records as well as to projects sites, clients, and partners.	IEO has unrestricted access to IFAD staff and records.	The DEP has unrestricted access to the CEB staff, records and data, and is free to consult with any individual or group within and outside the CEB.
2.1 Staffing	Head of Operations Evaluation + 3 Evaluation experts + 5 evaluators + 3 assistants	Director plus 3 B-level (managerial) staff, 7 professionals, and 2 administrative assistants.	Director: 1 Division Managers: 2 Professional Staff: 7 Support Staff: 2	Director - 1 Deputy Director - 1 Evaluators - 9 Support staff – 8.5	Director Evaluators - 2 Assistant - 1

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
2.2 Managing the staff of the department	Independent management of staff as in any EIB general directorate. Fully responsible for the selection, performance evaluation, salary, review and promotion of staff in consultation with EIB Human Resources Department (general HR rules apply).	<p>During their period of service, IEO employees perform under the supervision of the Director of the IEO and do not take any direction with respect to their work-related functions from any other person or authority. The Director informs the Executive Board at least two weeks in advance of any action to appoint, promote, or dismiss IEO employees who have managerial responsibilities.</p> <p>IEO employees receive the same benefits as Fund staff members with fixed-term appointments. The Director approves IEO employees' term of service; establishes performance plans; conducts performance assessments; approves classifications of positions and decides upon salary adjustments within the Fund's structure of staff grades and salaries; and approves changes in titles or levels.</p> <p>In these matters, the same rules and procedures applicable to staff members are applied by the Director to the IEO employees. In the event that the special status of the IEO makes it necessary to alter these rules and procedures, the Director of the IEO, after consultation with the Director, HRD, and the Executive Board, may adapt these rules and procedures to the same extent as may be authorized by the Managing Director with respect to the staff.</p>	The Director GOED is responsible for managing GOED's personnel matters under the oversight of the President, IDBG and in consultation with the VP, Corporate Services and the Human Resources Management Department.	The IEO Director has the authority to make all personnel and operational decisions concerning IEO staff and consultants in accordance with IFAD rules and procedures. All IEO staff are IFAD staff members and are covered by IFAD's personnel policies and practices.	The Director and the DEP staff are under the same regulations as the CEB staff regarding personnel issues. The recruitment of evaluators and administrative staff is done by the Director after approval by the Governor. Based on performance, in addition to a salary, the remuneration of the DEP's professional and administrative staff may include a bonus within the framework of the annual bonus pool available to all CEB staff.

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
2.3 Average tenure of head of evaluation and other evaluation staff	<p>For all evaluators, including the Head of Evaluation, tenure is limited to five years. EV staff may take other positions within the Bank.</p> <p>Fully independent selection process. Professionals are 60% internal recruitment and 40% external.</p> <p>Independent process for the Inspector General, under the authority of the President, with Board representation in the selection process.</p>	<p>The Director is appointed by the Board of Directors for a non-renewable period of six years. To ensure against a conflict of interest the Director cannot subsequently join IMF staff in any capacity. Staff serving in the IEO can have a maximum tenure of six years with no restrictions on future employment in the Fund.</p>	<p>The President, IsDB Group appoints GOED director for a renewable term of three years. The Director GOED is selected based on a competitive process through interviews by an independent consultant followed by an interview by a panel of VPs with the participation of the independent consultant.</p> <p>Division managers are appointed through the same process for the same duration. Other staff are not time-limited.</p>	<p>The appointment of the Director is for a five-year fixed term, renewable once for another five-year term. The Director of IEO is not eligible for re-employment within IFAD at the completion of his/her tenure. Having said that, the procedures for the appointment, renewal and removal of the Director IEO are currently being redefined by the Executive Board. It should be noted that the ECG peer review of IEO recommends moving to a single term six-year contract the Director.</p> <p>There are no limitations on the tenure of IEO staff, which follow standard IFAD HR policies and procedures. They are also eligible for rotations within the organization and can apply for positions in any division of the Fund.</p>	<p>The selection process starts at the Human Resources Directorate, which publishes the advertisement and appoints an executive search firm. Based on selection by HR Directorate and search firm, a short list is drawn and presented to the Governor. The Governor interviews the candidates and appoints the Director for an unlimited time. No staff rotation is foreseen.</p>
3.1 Consultants: proportion of business covered	<p>Current estimate is support of consultants for 40% of EV activity.</p>	<p>About 20% of the budget (FY2006)</p>	<p>Consultants are utilized for about 25% of the assignments under the GOED annual work program. All higher-level evaluations involve consultants.</p>	<p>Around 45% of the 2009 budget was devoted to hiring consultants to implement the annual work program. It is anticipated that the use of consultants in 2010 will be 27.5% of the budget.</p>	<p>Consultant costs represented 59% of total DEP budget in 2004, decreasing to 19% in 2007 and 11% in 2008. This figure is expected to rise again in 2009, since not all budgeted funds were disbursed in 2008.</p>

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
3.2 Internal secondment	No secondment as such; full recruitment process, internal and external at the same time.	Up to 50% of staff can be from the Fund. However, they are not seconded by management. They are recruited by the Director and allowed to go to the IEO with the option to return to Fund staff at the same grade as before they joined IEO. Returns at a higher grade are neither ruled out nor automatic.	There had been no internal secondment. However Bank staff can compete for positions in GOED which are advertised internally and externally. Some Bank staff have actually been recruited by GOED through these competitions.	None at the moment.	No internal secondment.
4.1 Work program	Two-year rolling work program prepared by EV in consultation with other directorates, and with the Management Committee. Discussed by the Board of Directors.	Prepared by the Director based on consultations with Executive Board, management, and a variety of interested groups outside the Fund. The IEO should avoid interfering with ongoing operational activities. The annual work program is reviewed by the Executive Board but is not approved by it.	The, GOED prepares a three-year rolling work program and budget. The program is discussed with management. It is then cleared by the President, IsDB Group and submitted to the Audit Committee of the BED for discussion and approval. Each year GOED prepares a yearly Work Program and Budget Proposal. These are discussed with management, then cleared by the President, IsDB Group and submitted to the Audit Committee of the BED for discussion and approval. All evaluation assignments, mission programs and consultancy contracts within the approved work program are authorized by the Director, GOED.	Prepared independently by IEO including consultations with the management. It is reviewed by the Evaluation Committee and submitted to the Executive Board for approval. The Board is responsible for approving the work program, whereas the Governing Council approves the Budget.	Within the framework of a five-year strategy (and mid-term review), the DEP, in consultation with Operations, prepares an annual program with evaluations to be carried out, priority sectors and overall DEP activities. This program is presented to the Administrative Council.

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
4.2 Percentage of projects subject to evaluation	Individual in-depth evaluation: 15–20% Review of self-evaluation process in relation with specific thematic evaluations.	There is no fixed percentage. The IEO can evaluate all aspects of Fund activity, not just programs.	GOED establishes a list of completed projects over a five-year period excluding the last two years. A random selection is then made for about 25% of the said list for post evaluation. In addition other projects are selected to cover private sector, joint evaluations with MDBs and technical assistance. Country Assistance Evaluations are conducted in countries with largest portfolio, taking into consideration both the amounts and number of operations as well as geographic distribution and member countries classified by income groups.	About 30 percent of the annually closed IFAD-funded projects are independently evaluated by IEO. However, as per the ECG peer review recommendation, IEO is in the process of moving towards auditing 100% of PCRs. This will reduce the number of number of evaluations of stand-alone projects.	The DEP carries out ex post evaluations and no self-evaluations. Ex post evaluations are in-depth and part of sector evaluation programs. A more meaningful measure is the ratio of investments evaluated (volume) per sector. Natural disaster reduction: 80% of investments provided between 1995 and 2001; Social Housing: 22% of the investments between 1996 and 2005; Job Creation: 10% of the investments between 1995 and 2005; Environment: expect by 2010 to have evaluated 20% of the investments in water management. The objective is to start self-evaluation and country evaluations, but thus far, budget and staff constraints limit the extent of DEP activities. Each sector evaluation program ends with a general synthesis with good practices.

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
4.3 Basis of studies (country, project by project, sector...)	<p>All types of studies, in general based on a project by project evaluation.</p> <p>Thematic grouping: By sectors and/or by region and/or by mandate-priority and/or by financial product....</p>	<p>Studies include thematic studies across several countries and studies focused on individual country programs. Draft issues papers for all evaluation projects are posted on the IEO website for comments. Final issues papers are determined after taking account of comments. These are also published and interested parties are invited to submit substantive inputs for consideration by the evaluation team.</p>	<p>GOED undertakes project and program evaluations, country assistance evaluations, sector evaluations, thematic evaluations, process evaluations and corporate evaluations.</p> <p>The selection of completed projects to be post-evaluated is made on a random basis. The selection of countries for Country Assistance Evaluations (CAE) is based on the concentration of operations in member countries while the selection of sectors is driven by the envisaged CAEs and the IsDB strategic themes.</p>	<p>IEO undertakes project, country program, thematic and corporate-level evaluations.</p> <p>Evaluations are selected during the formulation of the IEO work program and approved by the Executive Board. IEO is required to evaluate all projects being proposed by management for a second phase financing. Country program evaluations are undertaken before the preparation of new country strategies, whereas corporate level evaluations are done to inform new corporate policies, strategies and processes.</p>	<p>The DEP prepares an evaluation program per sector that is carried out over several years. Such a program comprises in-depth ex post evaluations of selected individual projects and multi-sector programs. Each ex post evaluation includes a beneficiary survey conducted by local teams. The objective of the DEP for the next two years is to start thematic and country evaluations, case studies and evaluations of specific intervention instruments of the CEB.</p>
5.1 Types of report and timing	<p>Individual Project Evaluations 50–70 a year Thematic evaluations: 5–7 a year Annual Report on Evaluation activities Overview Report on Evaluation results (annual)</p>	<p>3–4 evaluation reports are submitted to the Board each year. IEO also issues an Annual Report. The International Monetary and Financial Committee (IMFC) receives regular reports on the activities of the IEO.</p>	<ol style="list-style-type: none"> 1. Individual Project Evaluation (completion + 2 yrs operation) 2. Technical Assistance Evaluation 3. Country Assistance Evaluation 4. Sector Evaluation 5. Thematic Evaluation 6. Program Evaluation 7. Process evaluation 8. Corporate Evaluation 9. Annual Report on Evaluation Activities 10. Review of Project Completion reports 	<p>-Project evaluations- 8 months - Country program and thematic evaluations 12–14 months -Corporate-level evaluations- 12–18 months - Annual Report on Results and Impact (ARRI) produced once a year</p> <p><i>* The types of evaluation products and their duration will be changing based on the recommendations of the ECG peer review, namely, the auditing of PCRs and lighter touch evaluations.</i></p>	<ol style="list-style-type: none"> 1. After a minimum of 1 ½ years after project/program completion: <ul style="list-style-type: none"> - Ex post evaluations of individual projects - Ex post evaluations of multi-sector programs 2. After completion of a cluster of sector evaluations (about 2 years) : <ul style="list-style-type: none"> - Sector synthesis of evaluations - Brochure of Sector “Good Practices” 3. On a yearly basis: <ul style="list-style-type: none"> - Annual Report 4. Every 5 years: <ul style="list-style-type: none"> - DEP Strategy

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
5.2 Discussion and clearing of reports	All reports are sent for consultation to (in-house) services concerned and when practicable, with relevant promoters. Management Committee sends the reports to Board of Directors without change. Ev reports may be accompanied by a reply from the management committee.	IEO reports are submitted to management and to the relevant country authorities for comments (not clearance). Comments of management and the country authorities are appended to the IEO report along with comments of IEO and transmitted to the Board for consideration.	Project evaluation reports are reviewed by peers and then submitted to departments for comment. For higher-level evaluation reports, experts from other IsDB departments or from outside are used as peer reviewers. Reports are revised based on the comments received and submitted to the Director, GOED. Reports are issued under the signature of the Director, GOED, and submitted through the President to the Vice President Operations or to the Head of the concerned IsDB Group Entity for necessary action. Also sent to agencies in the beneficiary country. A summary of the findings is presented to the Audit Committee for information and guidance. Staff involved with project are consulted during the evaluation process.	Internal peer review within IEO. External peer review by senior independent advisors for all higher-level (country, thematic, and corporate level) evaluations introduced in 2009 -Report sent to operations for comment -Report sent to the governments for comments -Final workshop (in country for project and country level evaluations) organized by IEO with the main stakeholders to discuss key issues from the evaluation which will inform the evaluation's agreement at completion point (ACP) - Discussion of selected evaluations in the Evaluation Committee and Executive Board	Draft reports submitted to a review committee (internal and/or external), consisting of 1-3 three members, depending on the evaluation, for comments. The draft report is then presented for comments to Operations and subsequently to the Borrower. If accepted, comments are integrated in the report. Unresolved differences of view are recorded in an appendix. In the case of an external evaluation, the consultant's report is integrated in the ex post evaluation report by DEP, which draws relevant conclusions and recommendations. This becomes the DEP draft evaluation report and subsequently follows the same procedures. The original consultant report – in the state in which it was delivered by the consultant – is kept in DEP files and can be consulted by CEB staff. The final report is then handed in to the Governor.

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
5.3 Distribution of evaluation reports	In-depth evaluations (on which synthesis reports are based) to all staff concerned. Synthesis reports and annual reports to all staff, plus Management Committee, plus Board of Directors. Distributed to the relevant managing body (i.e., Assembly of donors for a Trust Fund).	IEO reports are circulated simultaneously to IMF management and the Evaluation Committee of the Executive Board but are not changed in light of comments received (except for factual corrections). IEO may submit its own comments on management's comments for consideration by the Board.	GOED's evaluation reports are circulated to concerned stakeholders both within the IsDB Group and outside.	All evaluation reports including the ACPs are disclosed to the public at the completion of the evaluation process and disseminated widely through print and electronic media in accordance with the Evaluation Policy and IFAD's disclosure policy.	The final report is communicated to CEB management and Operations, and sent to the borrower with a copy to the concerned member of the Administrative Council. If appropriate, conferences and/or workshops are organized. Final reports are communicated to the Administrative Council once a year (together with the DEP Annual Activity Report).
5.4 Publication	Synthesis evaluation reports and overview reports are posted on the EV Web site within the bank's website (www.eib.org/evaluation) (paper copies distributed as requested). In-depth reports and annual reports are posted on the Bank's intranet.	With Board approval, reports are published along with comments of management, staff and – where appropriate – the relevant country authorities. IEO's comments on management comments, and the Chairman's summary of Board discussions are also published	Country Assistance Evaluations and sector evaluations as well as GOED annual reports are disclosed to all stakeholders and placed on the IDB portal. Individual projects' evaluation reports can be accessed on IsDB's internal portal. Currently, the electronic media of the IsDB Group are being streamlined.	All evaluation reports and the ARRI are available on IFAD's Web site. In addition, IEO also produces print copies of all evaluation reports. In addition, evaluation profiles (summaries) are published for each evaluation. Insights devoted to one key learning theme are produced for higher plane evaluations. Profiles and Insights are brochures of around 800 words each, and aim to reach a wider audience to raise attention to lessons learned and stimulate further debate among development practitioners and others.	For each finalized ex post evaluation, the DEP prepares an anonymous abstract (to ensure borrower confidentiality) which is published on the internet site of the CEB.
5.5 Identity of promoters of projects	Promoters and projects should not be identifiable in published reports.	To be determined after Board discussion of each evaluation. The terms of reference indicate that there is a strong presumption that reports will be published	The name(s) of the evaluators are explicitly stated in all the evaluations reports.	The names of the IFAD lead evaluator and the rest of the consultants on the evaluation team are disclosed at the beginning of each evaluation report (as of 2008).	Not publicly disclosed

	European Investment Bank	International Monetary Fund	Islamic Development Bank	International Fund for Agricultural Development Updated May 2010	Council of Europe Development Bank
6.1 Costs	Cost per study measured on basis of time management system and consultants contracts Budget approval annually by the Board.	Not applicable	The costs of evaluation assignments within the annual work program depend on the nature and scope of the study.	Costs for individual evaluations vary. However, IEO has general cost estimates for the different types of evaluation (project, country program, thematic and corporate-level evaluations).	Costs for consultant services and local survey teams are estimated for each evaluation along with an estimate of the internal evaluator's time and travel costs.
6.2 Budget	About 0.39 % total EIB administrative budget.	Costs per study depend on the nature of the study and are measured on the basis of staff time, consultants and travel costs.	Approx. 1.5% of the IsDB administrative budget.	The Executive Board has suggested that IEO introduce a cap, mandating that the IEO budget remain within 0.9 percent of the IFAD annual program of work. The IEO budget for 2010 is 0.78 percent of the annual work program. The cap is to be reassessed during the preparation of the 2012 budget.	In 2006, DEP budget represented 2.6% of total CEB administrative budget; in 2007, 2.4% and in 2008, 2.8%.

Source: ECG.

Appendix B: Comparison of IEG with the ECG Good Practice Standard on Independence of International Financial Institutions' Central Evaluation Departments

ECG GPS Criteria ^a	Degree of adoption of the standard ^b	Comments
A. IEG Mandate, Scope of Responsibility and Oversight		
IEG should operate according to a Board-approved policy that specifies its mission, scope of responsibilities, reporting structure and key operating principles. The evaluation policy should make specific provision for IEG's organizational and behavioral independence and protect it from interference by Management. The policy should reflect IEG's Board-approved Mandate.	Partly adopted	IEG's has organizational independence and is protected from interference from Management as reports to the Board through CODE. Although these principles are provided for in the mandate of the DGE, a formal Board-approved evaluation policy is not available. Some ambiguity for IEG's full independence is introduced in the terms of reference of the Directors IEG-IFC and IEG-MIGA, which state that for administrative purposes, they report to the concerned Executive Vice President. This issue was raised by the 2004 External Review but has not yet been dealt with.
The governance arrangements should be designed to ensure IEG's independence, its relevance to the WBG's mission and the delivery of its corporate accountability and learning value-added. To ensure organizational independence, IEG should not report to WBG management, be located organizationally outside the line and staff management function and be independent of the WBG's operational, policy, and strategy departments and related decision-making. IEG should operate with full autonomy but in close consultation with other departments to ensure, as far as possible (subject to the primacy of sound evaluative principles and practices), both (a) coherence of corporate standards among operations, portfolio and strategy analysis, and evaluation, and (b) good prospects for corporate ownership of the IEG's findings and recommendations for improvement. IEG's work should be overseen by the Board through a designated committee.	Adopted with substantial full application	IEG to the Board through CODE rather than WBG Management. CODE oversees IEG's work, receives quarterly updates on the implementation of work program and use of the budget and discusses major evaluation reports. Although it is independent from management, IEG interacts with management and operational staff in the Bank, IFC and MIGA. Without compromising IEG's independence, IEG staff maintain contact with WBG staff so that their views are considered in IEB reports and the analyses and findings of these reports are understood. DGE attends senior management meetings, the terms of reference for the Director IEG-IFC and IEG-MIGA state that they can attend senior management meetings in their partner institutions and IEG staff participate in the networks on various aspects of development and sit as observers on most of the Bank's Sector Boards.
IEG's role is to ensure the relevance, quality and impartiality of evaluation products. IEG's scope of responsibility should extend, without restriction, to all	Adopted with substantial full	IEG's work program and budget are prepared independently from management for endorsement CODE for approval by the Board. Although

the determinants of the WBG's operational results.	application	management raised a legal issue about including a corporate evaluation in IEG's work program, arguing that it was not within IEG's mandate, CODE disagreed with management and made it clear that IEG's scope of work extended to all the determinants of the WBG's operational results.
To help ensure that the independent evaluation work responds to the WBG's needs for information to guide policy and operational decisions, IEG's annual work program, the principal determinant of IEG's budget, should be widely discussed during preparation with the Board, managers and WBG staff.	Partly adopted	The principal determinant of IEG's budget is its work plan. The work plan is discussed informally and formally with CODE and at the Board. While there is informal consultation with management and operational staff and the management of the Bank, IFC and MIGA are present at the CODE meeting that discusses the final work program. However, the Bank and IFC management reported that process used to formulate the work program and set priorities was not fully transparent and did not always reflect their priorities. The formal consultation mechanism with management prior to the finalization of the work program that was used in the past should be re-introduced, recognizing that IEG make the final determination on what is included in the work program.
Director-General, Evaluation		
The DGE should be appointed by the Board or CODE, through Board approved procedures. These procedures may include a search committee on which management is represented, as well as the use of outside search firms or consultants, provided that the Board retains final decision-making authority.	Adopted with substantial full application	The selection process and the remuneration of the DGE are managed under the oversight of CODE with the advice of the Bank's Vice President, Human Resources. If required, search firms can be used to assist CODE.
Only the Board may terminate the DGE and any such termination should be for cause, based on performance or conduct grounds. A policy on termination should be in place.	Partly adopted	The Director-General can only be removed by the Boards. However, there is no formal dismissal policy in place. Grounds for dismissal are not mentioned in the mandate of the DGE and terms of reference of the Director, IEG-World Bank, although the terms of reference of the Directors IEG-IFC and IEG-MIGA state that they cannot be removed without just cause, which is not defined.
The DGE's appointment normally is for a fixed term, but may include an option for renewal at the end of that term. If renewal is allowed, the Board has the authority to extend such a renewal.	Adopted with substantial full application	The Boards appoint the DGE for renewable terms of five years. Director-IEG-IFC and IEG-MIGA are appointed for five-year renewable terms. No time limit is specified for Director IEG-World Bank.
To preserve independence, on termination of service, the DGE is not eligible for staff positions within the	Adopted with substantial	DGE is not eligible for employment in other staff positions in the WBG or for consulting assignments. IEG is unique

WBG.	full application	among ECG members in that similar restrictions apply for the Deputy DGE and the Directors IEG-World Bank, IEG-IFC, and IEG-MIGA. While this may enhance independence, it may restrict the pool of eligible candidates to people who are nearing the end of their careers.
The DGE holds a grade-rank equal at minimum to the level immediately below Vice President or equivalent, with commensurate compensation.	IEG exceeds the minimum ECG benchmark for DGE.	DGE has a rank equivalent to that of a Senior Vice President. Directors of IEG-World Bank, IEG-IFC, and IEG-MIGA are at the same rank as other department heads, one level below a Vice President.
The DGE's performance is assessed by the Board or CODE. To preserve independence, management, including the President, may provide inputs into this process by way of feedback, but is not the assessor.	Adopted with substantial full application	The DGE's performance is assessed by the CODE chair.
IEG Staff		
IEG staff should be selected by the DGE or his/her designee, in accordance with overall WBG personnel policies.	Adopted with substantial full application	The DGE is responsible for managing the personnel of IEG-World Bank, IEG-IFC, and IEG-MIGA, under the oversight of CODE and in consultation with the respective Vice Presidents responsible for Human Resources for the Bank, IFC, and MIGA. DGE selects the Directors IEG-World Bank, IEG-IFC, and IEG-MIGA in consultation with the President and the Chair of CODE. The performance evaluations and salary reviews for the Directors are conducted by the DGE, with the oversight of the CODE Chair. Directors are responsible for the selection, performance evaluation, salary review and promotion of their staff, with the oversight of the DGE and in consultation with the concerned Vice President, Human Resources.
IEG staff should have or be required to acquire specific evaluation skills; IEG should provide training needed to meet these requirements.	Adopted with substantial full application	IEG provides training for its staff on evaluation techniques through both internal workshops and by sending some staff to the IPDET course. However, compared to other units in the WBG, IEG spends relatively little of its budget on staff development.
IEG staff may be permitted to rotate out of evaluation into other WBG units, subject to the conflict of interest limitations discussed below.	Adopted with substantial full application	IEG staff can, and some have, left IEG for positions elsewhere in the WBG. Conflict of interest limitations apply.
IEG staff should not be disadvantaged because of the judgments and findings they report, and policies should be in	Adopted with substantial	The Directors IEG-World Bank, IEG-IFC and IEG-MIGA are responsible for the selection, performance evaluation, salary

place to ensure against such disadvantage. These should include policies that permit (but not necessarily require) the use of separate processes for assessing IEG staff for changes in compensation, promotions, and job tenure, and for handling human resource issues. Such processes may be parallel to those for other WBG staff, but should protect IEG staff from potential career limitations for findings and recommendations in their evaluations.	full application	review, and promotion of their staff, under the oversight of the DGE and in consultation with the concerned managers of Human Resources. Promotions within IEG are decided by a panel.
Conflict of Interest		
IED should have policies and procedures to ensure against conflicts of interest involving IEG staff. Staff should be prohibited from evaluating projects, programs, or other activities for which they previously held responsibility.	Adopted with substantial full application	IEG has issued Conflict of Interest Guidelines that define conflict of interest situations. IEG staff do not evaluate activities that they were previously responsible for or were involved in. The principle applies equally to the DGE, IEG directors and managers, staff, and consultants at the professional, financial and or private levels – relating both to their own possible conflicts of interest and those of their immediate family members.
IEG should also have a policy regarding movement of evaluation staff into other WBG units to ensure that they are not subject to conflicts of interest while seeking or being sought for such positions.	Adopted with substantial full application	Conflict of interest relates to prior as well as known or expected future professional responsibilities or financial interests. IEG members in the process of evaluating or supervising the evaluation of a project or country or sector program must inform his or her manager and offer to recuse himself or herself from the ongoing work, if he or she applies for a position in the WBG unit being evaluated.
Work Program and Budget		
IEG should develop its own work program, which may be endorsed by the Board. IEG may consult with WGB staff and Management, as well as the Board and outside organizations or experts, in constructing its work program, but management does not exercise direct control over the work program.	Adopted with substantial full application	IEG's three-year rolling consolidated work program and budget are prepared independently for endorsement from CODE for approval by the Board. IEG consults with the Board and informally with WBG management and staff during the preparation of the work program. Management does not exercise direct control over IEG's work program.
IEG's budget should be approved by the Board, commensurate with the work program. Management does not have approval authority over IEG's budget. However, IEG may be required to follow WBG processes of general applicability in presenting its budget and in accounting for the use of budget resources.	Adopted with substantial full application	IEG's budget is based on its work program and is endorsed by CODE for approval by the Board. IEG budget is "below the line" and is determined directly by the Board and not by the respective WBG managements. Management does not have authority over IEG's budget. The DGE is responsible for managing the IEG budget under the oversight of CODE and in

		consultation with the respective Vice Presidents responsible for budgets for IBRD, IFC, and MIGA. As CODE's oversight does not normally extend to consideration of the appropriate budget envelope for a given work program, members requested an independent assurance through a review of the processes followed by IEG units in developing and budgeting their work programs about every two years, commencing in FY2009. This assessment is designed to provide assurance on the "consistency with the budget planning guidance of the World Bank Group, translation of work program priorities in to budget numbers, tightness of budget constraints, efficiency measures, productivity considerations, as well as trade-offs made and redeployments proposed by DGE."
IEG should be subject to the WBG's institutional auditing requirements. However, audits must be conducted by an auditor independent of management, and approved by the relevant governing body or bodies.	Adopted with substantial full application	CODE has the power to order independent audits of IEG. IEG accounts are audited as part of the external audit of the WBG's accounts. As required by their parent organizations, each IEG unit prepares Annual Letters of Representation attesting to the adequacy of internal controls and conformity with institutional financial policies. IEG-World Bank is subject to the Quality Assurance Reviews that the Accounting Department undertakes each fiscal year through a combination of stratified random sampling and targeted sampling of financial transactions to determine if they comply with the applicable administrative, financial, and procurement policies. IEG-MIGA is included in the Quality Assurance Reviews conducted for MIGA as a whole. No Quality Assurance Reviews are performed for IEG-IFC. IEG Quality Assurance Ratings are consistently one of the highest in its peer group (Bank network anchors and other operational units).
Access to Information		
IEG should have unrestricted access to (a) WBG staff and records in the context of an actual evaluation, and (b) co-financiers and recipients of WBG loans, grants, and equity investments. The CED also has access to project, program, and activity sites, as well as other stakeholders. b/	Adopted with substantial full application	The terms of reference for the Directors state that to discharge their functions IEG-World Bank, IEG-IFC and IEG-MIGA have staff and records and that operational managers facilitate visits to project sites and meetings with client, partner and government representatives.

Evaluation Stakeholders		
IEG's major stakeholder is the Board to which it reports. The Board is responsible for ensuring the efficient use of resources and achieving results on the ground with sustainable development impact.	Adopted with substantial full application	IEG views the Board as its primary client.
Major internal stakeholders may include, but are not limited to: <ul style="list-style-type: none"> • WBG management, which is responsible for acting on and following up evaluations, and for how evaluation findings might influence the IFI's future directions • Operations staff concerned with the feedback of evaluation lessons and findings, and how those might affect future operations • Other IFI staff concerned with knowledge management, dissemination of evaluation findings, lessons and recommendations, and evaluation capacity development. 	Adopted with substantial full application	IEG views WBG management and operational and other concerned staff as major internal stakeholders.
Major external stakeholders may include, but are not limited to: <ul style="list-style-type: none"> • Governments, executing agencies, and institutions responsible for implementing WBG-supported projects in borrowing countries • Beneficiaries and targeted populations directly affected by WBG support • Cofinanciers and other partner institutions, including NGOs, civil society organizations, development research centers, and evaluation networks that are engaged in IEG-financed operations • Multilateral and bilateral institutions concerned with harmonizing evaluation methods and practices, and other development partners with whom IEG may undertake joint evaluations of programs, projects, policies, and strategies, disseminate best practices, and organize evaluation seminars and workshops. 	Adopted with substantial full application	IEG views governments, executing agencies, beneficiaries, and, where relevant, cofinanciers, other partner institutions, and multilateral and bilateral institutions as major external stakeholders.
Reporting and Disclosure		
IEG should transmit evaluation products to the Board, normally after review and comment by management, but without any management clearance or management-imposed restrictions on the	Adopted with substantial full application	IEG's reports are transmitted to the Boards through the DGE, without any clearance from management, following management review and opportunity to comment. While Management comments on drafts of

scope and content of the products.		IEG reports, there are no management-imposed restrictions on the scope or content of IEG products.
Management has responsibility for implementing IEG recommendations. However, IEG is responsible for a system to monitor and report to the Board management's record of adoption of and response to recommendations, including its success in remedying any problems found in evaluations.	Adopted with substantial full application	IEG tracks actions taken by management and reports management's record of adoption to the Board. However, IEG's 2010 annual report found that there were some inadequacies in the follow-up, tracking and reporting processes. Joint actions are being taken by management and IEG to strengthen the system.
Disclosure of evaluation findings is an important component of WBG accountability to stakeholders, and of IEG's behavioral independence. IEG's written reports and other evaluation products should be disclosed in accordance with the Board-approved disclosure policy. Such a policy should be explicit, consistent with the WBG's general disclosure policy, and cover all evaluation products. ^c Within the limitations of the applicable disclosure policy, DGE may determine the appropriate types and level of external activities to promote the dissemination of disclosed evaluation reports and other evaluation products, without management interference.	Adopted With Substantial Full Application in 2011 after the adoption of IEG's new Access to Information Policy .	The World Bank, IFC and MIGA all have disclosure policies which will be combined into one document in IEG's new Access to Information Policy . The presumption is on public disclosure for unless there are compelling reasons not to do so. Unless CODE decides otherwise, at present all IEG reports, Management Responses and CODE Chair Summaries are disclosed after CODE or Board discussion, except ICR summary reviews, CASCRs, and IFC and MIGA project level reviews and evaluations which may contain confidential information. IEG's new Access to Information Policy will allow access to any evaluative material in IEG's possession that is not on a list of exceptions. The new policy applies to reports, research information, and supporting documentation originally produced by IEG while conducting its evaluations of WBG activities and material generated by IEG advisory panels, external experts and other third parties hired by IEG. Inputs to IEG evaluations provided by other WBG entities are subject to disclosure and/or access to information policies of the respective entity. When IEG's new Access to Information is adopted, individual ICR ratings, CASCR Reviews, Management Action Record and Implementation Report, the IEG Work Program, guidelines and manuals and IEG data bases will be disclosed. Although IEG-IFC's guidelines and the Country Assistance Evaluation guidelines are disclosed, IEG-World Bank's Project Performance Assessment Report guidelines and IEG-MIGA's guidelines are not publicly disclosed. There will be well defined exceptions to the disclosure of information which will include among others: (i) IEG would not disclose

		<p>information that would not be disclosed by WBG entities; (ii) protects the deliberative process with the Board and its committees by specifying clear processes for documents that are sent to the Board or Committees for discussion; (iii) confidential information such as evaluation documents that identify individual IFC operations or MIGA guarantees, unless the relevant sources or parties have consented to such release; and (iv) non-evaluation information such as internal documents and memorandum, confidential borrower and staff records. IEG-IFC currently discloses redacted versions of its macro evaluations and under the new policy redacted versions of ICR Evaluation Notes and Extended Project Supervision Report Evaluation Notes will be disclosed.</p>
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Source: IEG.

Note: CASCR = Country Assistance Strategy Completion Report; CED = Central Evaluation Department; CODE = Committee on Development Effectiveness; DGE = Director-General, Evaluation (IEG); IBRD = International Bank for Reconstruction and Development; ICR = Implementation Completion Report; IFC = International Finance Corporation; MIGA = Multilateral Investment Guarantee Agency; WBG = World Bank Group.

a. See ECG 2010.

b. The assessment was done on a three-point scale: (i) Adopted with substantial full application, which means that IEG's guidelines and relevant practices are materially consistent with the substance of the Good Practice Standard (GPS); (ii) Partly adopted and the GPS is not fully applied, which means that IEG's guidelines and relevant practices are not materially consistent with the substance of the GPS; and (iii) Not relevant, which means that: (a) IEG cannot follow the standard because of the nature of its operations (not its policies or practices) or its total reliance on evaluations carried out by the central evaluation department (rather than evaluations by the operational staff), or (b) IEG meets an equivalent or relevant higher standard specified in the GPS.

c. To protect client company confidentiality, promote the candor needed for effective corporate learning, and reduce risk to the WBG's credit rating that partial release of investment portfolio data (and related standards and benchmarks) might entail, IEG may decide not to disclose individual evaluation reports or the full text of IEG's annual review for private sector operations.

Appendix C: Supporting Analysis Tables

Table C.1: Top Five Recent Evaluations That Survey Respondents Were Familiar With

	Board members	WBG staff	External respondents
Cost-Benefit Analysis of World Bank Products	X	X	X
World Bank Group's Response to the Global Crises (Phase I and 2009 evaluation)	X	X	X
Annual Report 2010: Results and Effectiveness	X	X	
Annual Review of Development Effectiveness		X	X
Safeguards Evaluation	X	X	
Gender and Development: An Evaluation of World Bank Support			X
Climate change evaluation	X		
Effectiveness of World Bank Support to Poverty and Social Impact Analysis			X

Source: 2010 IEG Client Survey.

Note: WBG = World Bank Group.

Table C.2: Top Downloads from the IEG Web Pages, 2006–09

Product	Downloads	Product	Downloads
2006		2008	
1. M&E Tools, Methods and Approaches	5,214	1. M&E tools, methods and approaches	4,734
2. Pension evaluation	3,062	2. ECD M&E support to governments	3,739
3. GPPP evaluation	2,680	3. Public sector reform evaluation	2,880
4. IPDET modules	2,473	4. IPDET course modules	2,425
5. PRSP case studies in French	1,842	5. Doing Business evaluation	2,276
6. LICUS	1,451	6. Client training evaluation	2,105
Total downloads	112,126	Total downloads	129,479
2007		2009	
1. M&E tools, methods and approaches	9,606	1. M&E tools, methods and approaches	3,522
2. ECD M&E support to governments	4,897	2. Financial crisis note	2,619
3. IDPET modules	2,606	3. ECD M&E support to governments	2,456
4. IPDET presentations		4. Institutionalizing impact evaluation framework	2,215
5. Impact evaluation at IEG	1,614	5. Health, nutrition, and population evaluation	1,715
6. ECD institutionalizing M&E systems to improve public sector management	1,460		
7. Middle-income countries	1,378		
Total downloads	108,378	Total downloads	106,785

Source: IEG.

Note: ECD = evaluation capacity development; IPDET = International Program for Development Evaluation Training; LICUS = low-income countries under stress; M&E = monitoring and evaluation; PRSP = Poverty Reduction Strategy Paper.

Table C.3: Major Learning and Dissemination Events

Event	Location	Participants
2008: Lessons of a Decade of Public Sector Reform. Based on four evaluations: (i) Decentralization in Client Countries: An Evaluation of World Bank Support, 1997–2007; (ii) Public Sector Reform: What Works and Why?; (iii) Country Financial Accountability Assessments and Country Procurement Assessment Reports: How Effective Are World Bank Fiduciary Diagnostics?; and (iv) Capacity Building in Africa. Participants developed an action plan "Lessons of a Decade of Public Sector Reform: Voices of African Client Stakeholders"	Ethiopia	60 participants from 8 African countries, several development partners and regional organizations, IEG, Bank's Africa Region Public Sector Reform and Capacity Building Unit and Public Sector Governance Unit and the World Bank Institute. The event was funded by the Norwegian Agency for Development Cooperation
2009: Working at the State Level in Large Federations – Sharing Knowledge and Experience among Country Teams based on the evaluation: World Bank Engagement at the State Level: The Cases of Brazil, India, Nigeria, and Russia.	Washington	Key Bank staff working on sub-national projects in Brazil, India, Nigeria, and Russia and other countries with similar assistance programs via video conferencing.
2009: Working at the State Level in Large Federations – Sharing Knowledge and Experience among Country Teams based on the evaluation: World Bank Engagement at the State Level: The Cases of Brazil, India, Nigeria, and Russia.	Nigeria	Organized jointly with the Nigeria country team. Participants from national and state levels, Bank, IEG, civil society, academia and donors.
2009: Based on the evaluation of World Bank Support for Gender and Development. A draft summary with action points is being circulated for comments and will be posted on the website. Follow-up video-conferences were held on: (i) Gender, Microfinance, and Entrepreneurship (Bangladesh, Ethiopia, Tanzania); (ii) Gender and Climate Change (Kenya, Ghana, Bangladesh); and (iii) Gender, Law and Economic Rights (Pakistan, Afghanistan and Egypt (IFC).	Pretoria and Hanoi	About 50 participants at each event including high-level government officials and representatives from non-profit organizations, academia, donor agencies, World Bank offices in the region and IEG. The Swiss Agency for Development and Cooperation trust fund supported these events.
2010: Reducing the incidence of GBV in post-conflict settings (Burundi, Ivory Coast and Democratic Republic of the Congo). The network function was strengthened.	Washington	Video conferencing brought together Bank staff from all over the world to discuss evaluative findings and share their lessons and challenges of working in difficult environments.
2010: "Evaluating Support for Growth and Productivity in Agriculture and Agribusiness in Southern Africa" based on the joint agribusiness evaluation. The summary and action points and evaluation feedback is being prepared.	Botswana	Organized jointly with the Swiss Agency for Development and Cooperation. 60 participants from the Bank, IFC, SADC, IFAD, AfDB, FAO, government, nongovernment organizations, and academia, the private sector and different Southern African countries.

Source: IEG.

Note: AfDB = African Development Bank; FAO = Food and Agricultural Organization of the United Nations; IFAD = International Fund for Agricultural Development; IFC = International Finance Corporation; SADC = Southern African Development Community.

Table C.4: Disclosed Evaluation Capacity Building Reports 2005–10

2010	The Black Box of Government Learning: The Learning Spiral - A Concept to Organize learning in Government
	Implementing a Government-wide Monitoring and Evaluation System in South Africa
	Evaluation of Government Performance and Public Policies in Spain
2009	Mexico's M&E System: Scaling Up from the Sectoral to the National Level
	Implementing a Subnational Results-Oriented Management and Budgeting System: Lessons from Medellín, Colombia
	Instituting Impact Evaluation Within the Framework of a Monitoring and Evaluation System
2008	Insider Insights: Building a Results-Based Management and Evaluation System in Colombia
2007	How to Build M&E Systems to Support Better Government Governance
	A Diagnosis of Colombia's National M&E System, SINERGIA
2006	Impact Evaluation – The Experience of the Independent Evaluation Group of the World Bank
	Conducting Quality Impact Evaluations Under Budget, Time and Data Constraints
	Experience with Institutionalizing Monitoring and Evaluation Systems In Five Latin American Countries: Argentina, Chile, Colombia, Costa Rica and Uruguay -
	Towards the Institutionalization of M&E Systems in Latin America and the Caribbean
	Institutionalization of Monitoring and Evaluation Systems to Improve Public Sector Management
2005	Evaluation Capacity Development in the Republic of Ireland

Source: IEG.

Note: Includes only English language reports.

Table C.5: IEG Deliverable by Product Type

	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12
Macro								
World Bank stand-alone studies	17	13	11	14	10	7	7	3
IFC stand-alone studies	3	6	5	5	2	0	3	1
MIGA stand-alone studies	1	1	1	1	1	1	1	1
Joint studies	0	0	2	0	3	7	6	6
Total macro	21	20	19	20	16	15	17	11
Micro								
ICR	311	306	242	244	187	225	220	220
PPAR	70	71	70	70	56	63	70	70
Global Program Reviews	0	5	3	4	3	4	5	5
XPSRs	70	59	50	65	62	87	80	90
PCRs	0	182	120	120	62	149	100	85
PERs	0	0	0	0	0	12	8	8
PER validations	0	0	0	0	0	0	3	5
CASCRs	10	16	16	19	17	18	25	25
CASCRs with IFC contribution			10	8	5	6	11	8
CENs	2	4	2	4	3	1	0	0
Total macro	463	643	513	534	395	565	522	516
Total	484	663	532	554	411	580	539	527

Source: IEG.

Note: CASCR = Country Assistance Strategy Completion Report; ICR = Implementation Completion Report; IFC = International Finance Corporation; MIGA = Multilateral Investment Guarantee Agency; PCR = Project Completion Report; PER = Project Evaluation Report; PPAR = Project Performance Assessment Report; XPSR = Expanded Project Supervision Report.

Table C.6: Analysis of IEG's FY11 Budget by Product

Product	Cost (\$000)	Percent
Major evaluations		
Joint evaluations	4,240	12.7
Institution-specific major evaluations	4,633	13.9
Total major evaluations	8,873	26.6
Country-related evaluations	1,790	5.4
Global Program Reviews	420	1.3
Short-term response notes	600	1.8
Project evaluations	5,166	15.5
Total for undertaking evaluations	16,849	50.4
Product methodology	757	2.3
Knowledge activities	5,261	15.8
Indirect costs	4,200	12.6
Sustaining costs	5,695	17.1
ACS time charged to products	639	1.9
Total FY11 IEG budget	33,401	100

Source: IEG.

Table C.7: ECG Comparison Table on Budgets for Evaluation Departments

Comparison Indicator	IEG	EBRD	IDB	AsBD	AfDB
Number of staff excluding administrative staff, junior professionals and research analysts (total staff).	70.25 (108.25)	12 (16)	18 (31)	25 (47)	17 (26)
Use of consultants	25% of budget	22% of budget	20% of budget	25% of budget	35% to 40% of budget
Percent of projects subject to evaluation	IEG-World Bank: 100% of ICRs validated and 60-80 projects, (about 25% of the total), are evaluated. IEG-IFC: 51% validated, selected on a random stratified sample, some with a mission.	100% of investment operations ready for evaluation looked at: (i) 25% with a field visit; (ii) 45% of self evaluations validated; and (iii) 30% of self evaluations reviewed but ratings are not validated.	20% evaluated and 20% of self evaluations validated	100% of self evaluations validated. 10 public and 3 private sector projects evaluated per year.	100% of self evaluations reviewed. 25% to 30% evaluated each year.
Budget as a percent of institution's administrative budget	IEG-World Bank: 1.5% IEG-IFC: 0.8% IEG-MIGA: 3.5%	1.4%	1.1%	1.9%	1.7%
Current budget (\$ million)	\$31.8 ^a	\$4.7	\$7.58	\$8.36	\$7.33
Budget per staff net of junior and administrative staff (\$000).	\$453	\$396	\$420	\$334	\$431

Source: ECG.

a. Excludes other sources, because they are not readily available for other multilateral development banks.

Table C.8: Trends in IEG Staffing

	2006	2007	2008	2009	2010
Office of DGE	6	7	6	7	6
IEG Communications, Learning, Strategy	16	15	20	18	23
IEG-World Bank	61	65	71	66	63
IEG-IFC	21	23	22	23	24
IEG-MIGA	5	7	5	5	7
Total IEG	109	117	124	119	123
Staff at levels GA-GD	23	28	27	28	28
Staff at levels GE-GG	48	48	51	54	51
Staff at levels GH or above	26	29	30	27	29
Subtotal	97	105	108	109	108
Junior/Young Professionals	0	0	2	2	3
ETCs/EFTs	12	12	13	7	11
Other	0	0	1	1	1
Subtotal	12	12	16	10	15
Total IEG	109	117	124	119	123
<i>Source:</i> IEG.					
<i>Note:</i> ETC = extended-term contract.					

Appendix D: IEG Dissemination Practices

IEG's FY2011 budget for communications and outreach was nearly \$2 million, which covered items such as press releases, publications, communications, spring and fall conferences, Evaluation Week, the awards ceremony and the dissemination of flagship products. IEG has made the transition to focusing on dissemination through electronic rather than paper publications.⁶⁷ In 2009, the last year for which full data are available, there were nearly 730,000 hits on the IEG-World Bank site, about 28 times more hits on IEG-IFC and 320 times more hits than on IEG-MIGA. The number of hits on IEG-World Bank rose steadily from 878,000 in 2006 to over 1 million in 2008, before falling to 728,000 in 2009. The reason for the decline in hits in 2009 is not clear. However, the number of hits on the main Bank Web page continued growing in 2009. The hits on the evaluation Web pages are small fractions of the total hits on the institutional Web pages, at 0.5% for the Bank and 0.3% for the other two institutions.

The number of downloads is a better indicator of the dissemination and use of IEG products than the number of hits, as it signifies significant interest in a particular product. Each year more than 100,000 documents are downloaded from IEG's Web pages. Evaluation Capacity Development products (for example, M&E tools, methods and approaches;⁶⁸ M&E support to governments; institutionalizing M&E systems to improve public sector management and IPDET training material) have consistently been the most downloaded products since 2006. There was also interest in material related to impact evaluations. Since 2006, the five most downloaded major evaluations were the pension evaluation, public sector reform evaluation, GPPP evaluation, the financial crises note, and the Doing Business evaluation, each with over 2,000 downloads in a year (see Table C.2).

IEG has placed increased emphasis on in-country dissemination and learning events.⁶⁹ This cutting-edge learning concept has been developed and applied successfully by other international organizations and national governments over the last decade. Since 2008 six major events have been held that involved IEG, World Bank Group operational staff and external stakeholders (see Table C.3). Action plans based on the discussions at the workshop were normally prepared. Significant time and resources are devoted to these events. IEG needs to be strategic in its engagement and prioritize to make the most effective and efficient use of scarce resources in this area and to do a better job on tracking and follow up to see if these events led actually started a process that led to changes. Although these events have been successful in raising IEG's profile, it is not clear what actions have actually taken place as a result of these events.

The respondents to IEG's client surveys were asked to rate the effectiveness of IEG's outreach and dissemination. No Board member rated IEG's dissemination and outreach as ineffective. External respondents also gave high ratings to IEG in this area. External respondents rated IEG's outreach and dissemination efforts. Very few (8 percent) of the external respondents rated IEG's efforts in this area as ineffective, 65% felt that they were

⁶⁷ In addition to its static Web pages, IEG also uses other electronic means to disseminate information such as social media/networks (Facebook, Twitter, communities), videos/interviews/podcasts and e-mailed newsletters and announcement.

⁶⁸ This was the single most downloaded product in all four years, with the number of downloads per year ranging from 3,527 to 9,606.

⁶⁹ IEG's approach to this activity, the learning spiral, was developed by an expert seconded from the Swiss government. See Blindenbacher 2010.

respondents rated IEG's efforts in this area as ineffective; 65 percent felt that they were effective or very effective, and the remainder assigned a moderately effective rating. The responses of World Bank Group staff on the effectiveness of IEG's dissemination and outreach activities were mixed. A third rated these efforts as effective or highly effective and 28% assigned ineffective ratings. Although WBG staff and external respondents primarily received IEG products through electronic means, Board members were more likely to receive a hard copy. Board members WBG staff and external respondents felt that the most effective types of dissemination were E-mailed newsletters and announcements⁷⁰, the webpage, launch events and workshops. The lowest effectiveness ratings were assigned to IEG's use of social media and podcasts. These positive views on IEG's dissemination efforts were echoed by ECG members. All felt that IEG was setting the standard for Evaluation Cooperation Group in this important area.

The top suggestions made for improving IEG's outreach were as follows:

- (i) Board members: 70 percent of Board members mentioned making more summaries of evaluation findings available and three other ways (providing customized information; providing access to data and better notification of new documents and events) were each mentioned by 42 percent of Board members
- (ii) World Bank Group staff: Two-thirds mentioned providing more summaries of evaluation findings that was followed by better notification of new IEG documents mentioned by 51 percent of WBG staff and four things each mentioned by about 40 percent (more training/education material; making IEG content more accessible on line; providing access to IEG data; providing more customized information).
- (iii) External respondents: Over half suggested providing (i) more training/educational material; (ii) access to evaluation data; (iii) more summaries of evaluation findings; and (iv) better notification when new documents are available.

During the period under review, IEG has tried to increase the coverage of IEG's work in the media by writing its own press releases, holding press conferences, and giving interviews. There are clear advantages of getting media coverage for IEG products, but when reporting on the results of evaluations the media often uses headlines that emphasize the negative. Both Bank and IFC management advised that in some cases they viewed the press coverage of IEG's reports as less than helpful because of steps that the World Bank Group had taken to address the issues reported by IEG. These instances sometimes had the effect of creating tensions between management and IEG. World Bank Group staff had a more mixed view of the effectiveness of IEG's press releases than did external respondents and Board members. Thirty-one percent rated IEG's press releases as effective or very effective, but an equal number rated them as ineffective. To address some of the tensions with management created by its efforts to increase its profile in the media, IEG now sends its press releases 10 days before release to the office of the President to ensure that management will not be surprised by media coverage of IEG's products.

⁷⁰ The large majority of external respondents accessed IEG products through e-mailed notices and announcements (77 percent) or the Web page (61 percent). About a quarter received hard copies of IEG reports and 10 percent or less accessed IEG products through other means.

Appendix E: Improving Recommendations in Evaluation Reports

Not all evaluators believe that evaluations should include recommendations, evaluators “... who place a high premium on ‘utilization’ support an activist role for evaluators in influencing decision processes” (Iriti, Bickel, and Nelson 2005) support the inclusion of recommendations in their reports. Recommendations are usually the most important part of evaluation reports and the part of the report of most interest to management.

Despite the importance of recommendations, evaluators often spend most of their time on the collection, analysis and report writing. As deadlines loom, the priority is on finishing the report and often too little time and effort are put into thinking about and crafting recommendations. Poorly crafted recommendations undermine the learning, use, and credibility of evaluations.

IEG should develop its capacity to craft good recommendations to increase the likelihood that they will be accepted and action will be taken to implement them. This will involve the following steps: (i) developing guidelines for recommendations that address the balance between specificity; (ii) training IEG staff in their use; (iii) seeking feedback from management on the quality of recommendations in reach evaluation report; (iv) having senior IEG staff make a particular point of providing coaching and feedback to the evaluation team on recommendations during the course of the study; and (v) ensuring that peer reviewers pay particular attention to the quality of the recommendations when they review draft reports.

Based on a review of the literature and evaluation experience, the criteria in Box E.1 could be used as a starting point to develop a checklist for IEG staff to follow in developing recommendations. A participatory approach should be used involving IEG staff, selected operational staff, and an outside expert. IEG staff should receive training on crafting recommendations and the resulting guideline should be referred to in the manuals covering the various IEG reports.

Box E.1: A Guide to Developing Good Recommendations in Evaluation Reports

Recommendations should be:

- 1 Relevant to the object and purposes of the evaluation
- 2 Based on the evidence and conclusions, logically related to the key findings and appropriate for what has been learned
- 3 Developed in an iterative manner in consultation with management and operational staff, always understanding that the final recommendation represents the views of the evaluation team and cannot be dictated by management
- 4 Clearly stated in simple, straight forward language and written in a prescriptive manner to facilitate implementation. (Neither so broad that they become motherhood or so detailed that they unnecessarily take degrees of freedom away from management)
- 5 Prioritized in terms of urgency and timing
- 6 Clearly identifying the unit that is supposed to take action on the recommendation
- 7 Actionable, feasible and reflect an understanding of potential constraints to implementation, and
- 8 Capable of being monitored using verifiable indicators, and time bound when specific, monitorable actions are expected to be taken
- 9 Relatively few in number, generally 5–6 per evaluation (with not too many sub recommendations), covering resource allocation, financing, planning, implementation, and monitoring and evaluation
- 10 Consider the least cost alternative of achieving the objectives and whether the benefits resulting from the recommendations exceed the likely cost of implementation, based on existing evidence or the literature.

Sources: Among other documents, this check list draws on material in: ADB. 2008 and 2009 Annual Reports; UNEG 2005, 2010, p.6; Hendricks and Handley 1990; USAID 2006; CIDA 2002; and Perrin 2009.

Because evaluators are not in management positions, they do not have access to detailed information about competing priorities, detailed operational planning, or the financial and human resource implications that are necessary to plan and implement change. Management is better placed to understand issues related to human and financial resources, organizational issues, and feasible timing than are evaluators. Because of these realities, developing actionable recommendations requires considerable discussion between the evaluation team and management and operational staff to fine tune the recommendations. This interaction should to increase the feasibility of the recommendations being implemented.

Close interaction provides opportunities for operational management and staff to (i) comment on the feasibility of recommendations drawing on their knowledge of competing priorities, operational realities in the field, likely feasible envelopes of resources, the institutional processes needed to implement changes, and a reasonable timeframe to make the required changes; (ii) identify weaknesses in the initial proposed recommendation and possible alternatives that are more feasible; (iii) identifying wording that is viewed as constructive and avoiding wording that causes disputes and defensiveness; and (iv) eliminates surprises when recommendations are formulated late in the evaluation process (Hendricks and Handley 1990).

Greater oversight of recommendations by IEG management and peer reviewers is needed. During the internal quality control process, senior IEG staff should pay more attention to the draft recommendations, particularly at the One-Stop Review. In making their comments,

peer reviewers should be asked to focus on the quality of the recommendations. After major reports are nearly ready for approval, the DGE and/or the concerned director should convene a meeting with at an appropriate senior level with World Bank Group colleagues to discuss the draft recommendations. It is unlikely that senior staff on the Bank Group side have reviewed the draft report in detail. Comments and feedback on recommendations received from a senior level may differ from the feedback provided by lower level staff. If suggestions are made, which in the judgment of IEG are likely to improve the quality, acceptance and implementability of the recommendations, the suggestions should be accepted.

There are risks to guard against if there is to be more interaction between IEG and operational management and staff: (i) increased interaction results in IEG staff losing objectivity and trying to preserve good relations by avoiding controversial issues and negative findings or being less than candid; and (ii) only recommendations are included that have been “approved: by operational staff, thus avoiding controversial recommendations that may result in major changes. These risks can be managed by ensuring that IEG staff understand that operational staff do not have a veto on evaluation recommendations in the name of building consensus. Evaluators should strive to reach consensus, but IEG management must make it clear that reaching consensus should not come at the price of compromising IEG’s independence, objectivity, and candor and that the final decisions on the recommendations are made by IEG.

Appendix F: Evaluation Capacity Development

As emphasized in the Paris Declaration and the Accra Agenda for Action, both donors and assistance recipients are placing a high premium on results measurement to demonstrate that tangible results are being achieved by development assistance. Priority is being placed on helping borrower countries strengthen their country results measurement systems to the point that donors can use them rather than imposing their systems on aid recipients. Evaluation capacity development (ECD) is designed to help countries build their own monitoring and evaluation (M&E) systems. The 2004 external review and the 1996 OED Renewal Initiative highlighted the importance of ECD.

IEG has the largest and most active evaluation capacity development (ECD) program among the multilateral development banks and it is viewed positively by ECG members. ECD covers three areas: (i) providing technical assistance and advice to countries and Bank staff on M&E systems and approaches to evaluations; (ii) developing resource and reference materials; and (iii) providing training/capacity building services through IPDET/SHIPDET and CLEAR, and limited capacity building sessions at M&E network meetings (for example, RELAC and the Latin American and the Caribbean M&E network).

In-Country ECD Assistance. In-country ECD assistance is demand driven, often financed by a Bank loan. Two types of in-country assistance are provided high-intensity on-going support and low-intensity advice requiring less than two to three days of staff time. In total 36 countries have received low intensity ECD support. Examples of high-intensity support, which is only provided if there is a demand for the ECD from both the country and the World Bank Group's country team, provided since 2004 include:

- (i) Brazil: Advise in the development of a subnational M&E system in the state of Minas Gerais, in partnership leading local academic institution and an international M&E conference and case studies.
- (ii) China: Review and advice on the Ministry of Finance's resource book on evaluating donor-supported programs, which was subsequently published.
- (iii) Colombia: Support for an international M&E Conference in Bogota, preparation of a case study and providing advice to the Presidency on SINERGIA system on the main challenges and reforms.
- (iv) India: Assisted the Program Evaluation Office of the Planning Commission on the design of an Independent Evaluation Office.
- (v) Mexico: Support for developing a subnational M&E system in the state of Queretaro, including diagnostic work, proposal for the creation a State Evaluation Unit, and preparation of an action plan for introducing performance management and budgeting reforms.
- (vi) Panama: Work included advising the the government on how to introduce M&E, diagnostic work on the central government capacities, and advice to Bank staff on the preparation of a Performance Management and M&E component for the loan.
- (vii) Philippines: Advice on an M&E framework and system of the third elementary education project and impact assessment.

A 2004 IEG-World Bank self evaluation of ECD found that many of the countries for which high- and medium intensity support was provided made progress (for example, ECD diagnoses; identification of ECD as a priority in the country assistance strategies; creation of Bank projects with an ECD component; strengthening of country demand for M&E and of

country capacities to conduct and use M&E). IEG helps build M&E capacity in selected countries, but it does not provide support to help nurture national or regional evaluation societies.

Resource and reference material on M&E systems. IEG is the leader in the international evaluation community in producing M&E reference material. A list of ECG products that have been disclosed is given in Table C.4. In addition to “how to” manuals such as *The Black Box of Government Learning: The Learning Spiral – A Concept to Organize Learning in Government*, M&E tools, methods and approaches, institutionalization of monitoring and evaluation systems to improve public sector management, there are also papers on leading M&E systems in countries such as Columbia, Spain, and south Africa. As shown in Table C.2, each year ECD publications are among the most best sellers in terms of number downloads from the ECG Web site. The analytical papers series on the design of M&E systems has over 160,000 downloads per year.

International M&E Training Courses. IEG has developed international M&E training courses to increase the supply of trained professionals with M&E skills. The flagship course is the annual International Program for Development Evaluation Training (IPDET), held at Carleton University, which has a high reputation in the international evaluation community. Since it was first organized in 2001, about 2,000 participants from over 125 countries have attended the course. Participants are evaluation practitioners from bilateral and multilateral aid organizations, government ministries and agencies, the private sector, think tanks and universities, nonprofits and foundations. The core IPDET course is also delivered regionally.⁷¹ IPDET and the regional courses evaluate the usefulness of the courses and use the feedback to modify the course. The key elements of the evaluation system are: (i) detailed annual evaluation reports based on feedback from the participants; and (ii) tracer studies of alumni conducted in 2004 and 2010.

The annual evaluations have consistently found that IPDET has been highly successful. The Annual evaluations rely on two main sources of evidence: (i) a well designed achievement test which showed statistically significant improvement in test performance on a pre- and post test basis; and (ii) questionnaires completed by the participants which showed uniformly positive perceptions about IPDET’s success in meeting its objectives. The 2009 annual evaluation concluded that because of IPDET’s high level of effectiveness, only suggestions for fine tuning were warranted.

The 2010 tracer study concluded that “IPDET is a very successful program that is unparalleled in its ability to develop introductory/foundational knowledge and skill in development evaluation.” About 86 percent of the alumni agreed or strongly agreed that IPDET improved their M&E knowledge and skills. The strong majority of survey respondents indicated that IPDET had met its training and networking objectives. The 2004 tracer study reported that 97 percent of respondents applied their new skills and knowledge in their work. The 2010 tracer study concluded that it was difficult to ascertain the extent to which the transfer of such knowledge to work practice was taking place. Many IPDET alumni were not directly involved in doing evaluation, so their learning objectives were more grounded in developing a conceptual understanding for oversight or management purposes. Participants typically used simpler evaluation designs rather than the more

⁷¹ Annually at the Shanghai International Program for Development Evaluation Training (SHIPDET). AsDB also supports SHIPDET. This course also gathers participant feedback and uses pre and post testing. Its alumni were included in the 2010 tracer study.

sophisticated M&E techniques. Factors that contributed to using in the skills and knowledge acquired at IPDET included organizational policies and collegial and supervisor support. Some participants reported their use of the skills acquired was limited by resource constraints, lack of staff, limited time to devote to M&E because of competing commitments, lack of support from management and a lack of incentives, rewards, and a culture of learning. This reflects the fact that many countries are at an early point of developing and implementing results-based management systems.

CLEAR. CLEAR⁷² is a new IEG global initiative to help countries strengthen their M&E and performance management capacities. CLEAR has two components:

- (i) **Regional Centers**⁷³ to provide applied in-region training, technical assistance, and evaluation work. The regional centres will be competitively selected regional academic institutions, which will host and develop the centres. CLEAR will support the centres for five years to help them achieve international quality standards and to reach financial self-sufficiency. The regional centres will provide three products: (a) training by delivering core courses covering topics such as the design and implementation of M&E systems, impact evaluations, rapid applied evaluations, performance budgeting, and performance information management; (b) advisory services on M&E and performance management tools, methods, and approaches; and (c) evaluation and innovation by developing their technical capacities to conduct evaluations on a commercial basis.
- (ii) **Global Learning.** This activities will strengthen practical knowledge-sharing on M&E and performance management across regions, on what works by supporting peer-to-peer learning among the centres. Global learning activities will be clustered in two areas: dissemination and institutionalization of global technical standards and strengthening of informal communities of practice.

Supporting in-country assistance with a more wholesale approach to training to increase the number of staff with M&E skills through IPDET, SHIPDET, and CLEAR is a cost-effective approach to ECD. If IEG attempted to address ECD needs on a country by country basis, its capacity and resources would be quickly overwhelmed.

⁷² The African Development Bank, Asian Development Bank, Inter-American Development Bank, Swedish International Development Cooperation Agency, United Kingdom's Department for International Development and the World Bank are supporting CLEAR.

⁷³ Four regional centers will be established in Latin America, Africa, East Asia, and South Asia. To date five institutions have been shortlisted in Africa from among 56 proposals.

Appendix G: Comparison of IEG’s Country Assistance Evaluation Guidelines Against the ECG Good Practice Standard

Core Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
I. Process-Related Good Practice Standards		
<p>1. Goals. The main goal of a CAE to provide information on WBG performance at the country level that is credible and useful and enables the incorporation of lessons and recommendations that can be used to improve the development effectiveness of the WBG’s overall strategy and program of country assistance.</p>	Adopted with substantial full application	
<p>2. Objectives. CAEs are used for both accountability and lesson-learning purposes. They provide an accounting to the board of directors regarding the results achieved from WBG assistance in a country over an extended period of time. CAEs also serve as an important learning experience by drawing on evaluation results to engage in a constructive dialogue on what could be done to improve the effectiveness of the WBG’s future assistance.</p>	Adopted with substantial full application	CAEs include both an accountability function, as embodied in the ratings, and a learning function to help inform the formulation of the next CAS.
<p>3. Client Responsiveness. CAEs are designed to meet the information requirements of the main target clients, which would generally be the board, senior management, and relevant operations personnel within the country department. Identifying the government as the main target client is also a good practice, because the government will need information on past assistance performance if it is to demand better service from the WBG.</p>	Adopted with substantial full application	The main audiences for CAEs are the Board and the concerned country team. Government officials and beneficiaries are consulted and government comments are attached to the report. Only 6 of over 100 CASCR validations have involved a mission. CASCR validations are not disclosed to the country, other than as an attachment of to the CAS.
<p>4. Unit of Analysis. CAEs take the country as the unit of analysis and attempt to evaluate WBG assistance to the country using already prepared country strategy (ies) as a point of reference. They do not evaluate the performance of a government or the progress of a country, although a CAE may draw on country progress indicators to assess the performance of the assistance program.</p>	Adopted with substantial full application	The country is the unit of analysis. The IEG CAE guidance note is explicit that the CAE rates the outcome of the WBG’s program, not the country’s overall development outcomes.
<p>5. Country Selection: Faced with limited evaluation resources, it is best to select those countries and programs for CAEs where the findings and lessons will be most beneficial to the WBG and to the country. Factors such as portfolio size, country</p>	Partly adopted. The standard is not fully	Portfolio size and importance to WBG operations are not major factors in selecting countries for CAEs. The work program covers Timor-Leste,

Core Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
development characteristics, and the likely relevance of the evaluation findings to similar issues in other member countries should be considered in making the selection of countries for which a CAE is to be undertaken.	applied.	Afghanistan, Liberia, and West Bank Gaza, which, taken together, represent a small fraction of WBG lending. CASCR validations are undertaken for all countries.
6. Joint CAE. Joint or multi-aid agency CAEs can provide a broader perspective while fostering cross-agency learning and reducing evaluation transaction costs for in-country stakeholders. While multipartner CAEs are recommended, the decision on whether or not to join forces with partners in a CAE is best made on a case-by-case basis.	Adopted with substantial full application	A joint approach is considered on a case by case basis. Joint CAEs for Bangladesh, Uganda and Timor-Leste. Transaction costs are high.
7. Timing. A CAE should be timed to permit the results, recommendations, and lessons identified to feed into the preparation of the next Country Assistance Program and to be available to management and the executive board in time for reviewing or approving the new strategy.	Partly adopted. The standard is not fully applied	Need to tighten the timing of the CAE and the formulation of new CASs. While CAEs inform new CASs, their timing is not explicitly linked to the production of the new CAS. The CASCR review is useful for accountability purposes, but it comes out too late to have a direct impact on the design of the new CAS, although strategic editing of the CAS takes place after the CASCR validation comes out.
8. Preparatory Steps. CAEs build on the existing stock of WBG self- and independent evaluations. Evaluations of key projects, programs, and technical assistance operations should, if at all possible, be scheduled sufficiently in advance of the preparation of a CAE. Operations personnel should also be encouraged to prepare self-evaluations in a timely manner.	Adopted with substantial full application	Self evaluations are prepared for all CASs, which are reviewed by IEG. Often the finalization of the CASCR is delayed, which, in turn delays their validation by IEG.
9. Time Period. CAEs should cover a period of assistance that is long enough to witness development results, while providing more emphasis on evaluating recent performance during the current strategy period to ensure that the findings are operationally relevant.	Adopted with substantial full application	Typically CAEs cover two to three CASs or about 7 to 10 years.
10. Coverage. Newly initiated, completed, and ongoing assistance activities will be covered in the CAE.	Adopted with substantial full application	CAEs cover completed and ongoing assistance, including strategic positioning, lending operations and AAA.
11. Product and Service Coverage. A CAE will cover the full content of the WBG's program of engagement with the country over the relevant time period. It will cover a series of WBG strategies and assistance in projects, programs, technical assistance,	Adopted with substantial full application	CAEs cover all Bank activities in the country and an increasing number are also covering IFC activities. In addition to providing a WBG

Core Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
<p>economic and sector work, and knowledge products as well as nonfinancial services – including the role that WBG assistance plays in policy dialogue; processes used in addressing issues in the execution of the program and in coordinating, harmonizing, and catalyzing assistance from other development partners, the private sector, and civil society. By necessity, some areas will be covered in more depth than others. Those areas of focus should be determined based on client needs and on the areas of past programs that can evoke the most important lessons for future strategy.</p>		<p>view of its operations in the country, this represents an efficiency gain compared to the past practice of IEG-World Bank and IEG-IFC preparing separate CAEs. Assessing AAA is a challenge because of the absence of a robust self evaluation system. CAEs offer the best opportunity for IEG to assess a significant cluster of AAA activities.</p>
<p>12. Second- or Third-Generation CAEs. These CAEs will summarize the findings from previous CAEs and take stock of the extent to which the lessons and recommendations of the earlier CAEs were utilized. Coverage of the second- (or third-) generation CAEs will overlap with the previous CAE by a period of a few years to validate end-of-period assessments and to provide continuity with the previous evaluation.</p>	<p>Adopted with substantial full application</p>	<p>Second and third generation CAEs are being replaced by CASCR Reviews, an increasing number of which will involve a mission. For follow on CAEs, the status of the recommendations of previous CAEs is examined.</p>
<p>13. Limited-Scope CAEs. In special cases a limited-scope CAE may be appropriate. A limited scope CAE may be warranted when the WBG's role in the country is quite minor, when there are likely to have been few results achieved during the CAE period, or when there is little likelihood of findings and lessons from the CAE going beyond what is already known from existing project and program evaluations.</p>	<p>Not relevant</p>	<p>The scope of the Nepal CAE was limited to two major sectors but the country director preferred a full CAE. Limited scope CAEs will be replaced by CASCR validations that involve a mission.</p>
<p>14. Validation Reports. A validation report of a self-evaluation report can be treated as a special category of a limited-scope CAE. If self-evaluation reports (that is, country strategy completion reports) are properly done and independently validated, this may reduce the need for in-depth independent CAEs, particularly for smaller borrowers. In addition, validation of a country-level self-evaluation can serve to assess whether or not a full CAE is required to investigate more deeply issues raised in the completion report. Independent validation of the completion reports should be undertaken to encourage internal consistency in the evaluations (often between indicators and evaluative judgments) and can be used to assess the adequacy of the documentation and performance ratings.</p>	<p>Adopted with substantial full application</p>	<p>IEG pioneered the system of independently validating CAS self evaluation reports for all CASCRs. The validations are circulated to the Board together with the CASs. Appreciated by the Board as an accountability tool and to help inform the remarks of Executive Directors during the CAS discussion. Country teams pay attention to CASCR Reviews, which, over time have helped to make country teams more aware of the need for a better results focus and realistic strategies.</p>
<p>15. CAE Approach. A CAE approach (or position) paper will be prepared to define the country specific evaluation approach, to set out the main evaluation parameters, and to brief the evaluation team and stakeholders within the WBG</p>	<p>Adopted with substantial full application</p>	<p>Position papers are prepared for all CAEs and are shared with management in draft form for comment.</p>

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and the government.		
16. Preparation Period. After the CAE approach/position paper is approved, an in-depth CAE will generally be implemented over a period of 6–12 months for data collection, analysis, reporting, and review.	Adopted with substantial full application	CAEs take about a year to complete.
17. Staffing. The CAE will generally be led by an experienced evaluator with sufficient experience in WBG operations to understand well the processes involved in formulating country strategies and assistance programs.	Adopted with substantial full application	Senior evaluators lead the teams preparing CAEs.
18. Guidelines: CAE guidelines will be prepared by each MDB. While the guidelines should provide some latitude to tailor CAE methods, coverage, and approach to diverse country circumstances, a uniform set of guidelines will be used to explain the CAE, as an evaluation instrument, to stakeholders in the WBG, the country, and elsewhere. The guidelines will serve to establish a core set of CAE goals and objectives, methods, evaluative criteria, evaluation questions, procedures, reporting formats, quality control processes, and outreach and dissemination arrangements.	Adopted with substantial full application	IEG’s guidelines for preparing CAEs are attached as an appendix to CAEs.
19. Ratings and Quality Control: If a formal rating is included, then the guidelines should clearly specify the rating criteria and performance assessment methodology. Quality control processes should ensure that the principles set out in the guidelines are strictly adhered to so that performance assessments and other findings will be comparable across CAEs.	Adopted with substantial full application	The guidelines specify the rating criteria. Senior IEG management review the ratings, and the supporting rationale, at the One-Stop Review. Ratings are sometimes intensely discussed with management.
20. Tailored Approach: While the principles set out in the CAE guidelines should be strictly adhered to, the detailed scope, methods, and approach may need to be tailored to diverse country circumstances and to equally diverse assistance roles that the WBG plays.	Adopted with substantial full application	There is adequate flexibility for evaluators to tailor their approach to the specific country circumstances within the broad framework of IEG’s CAE guidelines.
II. Methodology-Related Good Practice Standards		
A. Methods and Approaches for Country Strategy and Program Evaluations		
1. Causal Model. A typical CAE exercise begins with an effort to make explicit the causal model implicit in the design of the assistance program. It includes a contextual analysis to identify program objectives; assess the validity of the WBG’s diagnosis (in terms of the relevance of the objectives); and examine the relevance of the WBG’s strategy toward meeting the objectives, including the	Adopted with substantial full application	Typically ratings are assigned to each objective or strategic goal of the CAS. The methods used to translate the objectives to action are assessed.

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definition and delivery of the lending and nonlending assistance program.		
2. Top Down/Bottom Up Assessment. Top-down, bottom-up, and attribution-cum-WBG contribution assessments will be used to garner evidence on the extent to which strategic objectives were achieved and to test the consistency of evaluation findings.	Adopted with substantial full application	The top down/bottom up approach is described in the CAE guidelines.
3. Evidence Based. The evidence base will be analyzed, using various techniques, to identify performance determinants and to examine the contribution made by the WBG to the achievement of development results.	Adopted with substantial full application	A broad range of evidence is triangulated.
4. Evaluation Criteria. A set of evaluative criteria is applied to the evidence base to rate or otherwise reach an evaluative judgment about the performance of the country assistance in meeting its goals and objectives.	Adopted with substantial full application	The CAEs set out the criteria used to reach their conclusions.
5. Findings and Lessons. Key findings and lessons are drawn from the performance assessment and provide the foundation for future-oriented recommendations.	Adopted with substantial full application	Lessons are drawn from evidence. All CAEs have recommendations that are designed to inform the next CAE.
6. Clear Methodology. The methodology used is clearly explained to ensure common understanding and to avoid disputes.	Adopted with substantial full application	The evaluation approach and methodology are described in approach papers, which are public documents. The approach papers include a logic model that identifies the linkages between inputs and activities (such as lending program, analytical and advisory activities, and policy dialogue) and the outputs which contribute to the expected outcome and impact. The approach paper also includes a design matrix framework for the evaluation.
7. Evaluation Questions. A number of fundamental evaluation questions are defined to guide the assessment of country strategy and program performance. These will include both questions that are standard to all CAEs, as well as those defined for the specific country case.	Adopted with substantial full application	The evaluation questions are not clearly set out in the CAEs but the approach papers has lists of evaluation questions.
8. Evaluation Questions. Both the general and the evaluation-specific questions that are asked will be documented in the CAE report so readers can judge whether the evaluation team has sufficiently assessed them.	Adopted with substantial full application	Standard evaluation questions are customized to the country circumstances in the approach paper.
9. Attribution and Contribution. Formal	Adopted	The CAE guidelines clearly

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<p>attribution (that is, separating the WBG's role from that of other internal or external players) is extremely difficult in a CAE because of the multiplicity of factors that affect development outcomes and impacts at the country level. Therefore, the assessment of program results will focus on determining whether the WBG has made a contribution to key results or outcomes that is both plausible and meaningful, and identifying the main drivers of the outcomes.</p>	with substantial full application	state that assessing WBG performance is primarily on the basis of contributory actions that the WBG directly controls and that final outcomes are influenced by the client, the WBG, partners and other stakeholders and exogenous forces.
<p>10. Evaluability. Evaluability, at the country level, is a measure of how well a proposed strategy or program sets out criteria and metrics to be used in its subsequent evaluation. A CAE will include an assessment of the evaluability of the country strategy (ies) and program(s) of assistance.</p>	Adopted with substantial full application	This is addressed in the logic model in the approach paper. However it is a major evaluation challenge because often the M&E frameworks for CAEs are weak.
<p>11. Evaluability. Evaluability constraints can be overcome by (i) reviewing strategy, program, and project documents to reconstruct program objectives, indicators, and/or baselines; (ii) retrofitting results frameworks from the reconstructed program logic; (iii) undertaking sector reviews to assess performance of completed and ongoing operations; (iv) collecting before-and-after performance evidence from executing agencies; project files; and, in selected cases, beneficiary surveys; and, (v) concentrating the analysis on key trends in assistance performance for which data exist.</p>	Adopted with substantial full application	Evaluability is a challenge because M&E frameworks for CAEs are often weak. Approach papers attempt to retrofit the logical framework when developing the logic model.
<p>12. Multiple Evidence Sources. CAEs examine quantitative and qualitative evidence from a wide range of both primary and secondary data sources. Differences in the evidence base need to be carefully reconciled and explained. The aim should be to obtain the widest possible breadth of information, to analyze the evidence carefully, and to base findings on information that has been successfully validated from multiple sources.</p>	Adopted with substantial full application	Literature reviews are reported in approach papers. During CAE preparation, in addition to looking at WBG material, often reference is made to documents produced by the International Monetary Fund, other multilateral development banks, and the Economic Intelligence Unit. Meetings are held with government officials, beneficiaries, the local donor community and NGOs.
<p>13. Client Participation. Client participation in the CAE process encourages respect for the fairness and objectivity of the CAE, and contributes to early buy-in of the key results and recommendations. CAEs will endeavor to involve key stakeholders in the CAE process from the design of the evaluation through its execution to the discussion of its key findings. However, CAEs are independent evaluations, so they are not conducted jointly with the country.</p>	Adopted with substantial full application	Meetings are held with government officials, beneficiaries, the local donor community and NGOs. IEG CAEs are independent evaluations and are not conducted jointly with the country.

Core Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
<p>14. Disclaimers. Given the breadth and complexity of the task, and the possible weaknesses in the evidence base, there is only so much that any CAE can conclusively evaluate. Limitations of the CAE methodology, and its application, should be frankly acknowledged in the evaluation report.</p>	<p>Partly adopted. The standard is not fully applied.</p>	<p>Limitations are not prominently described in the CAEs.</p>
<p>B. Evaluation Criteria for Country Strategy and Program Evaluations</p>		
<p>1. Overview. The performance of a country assistance strategy and program should be formally assessed using a set of well-defined evaluation criteria. The standard evaluation criteria that are applied to projects and programs can be interpreted and applied to the evaluation of country assistance. For harmonization purposes, relevance, efficiency, effectiveness, sustainability, and impact are considered mandatory criteria.</p>	<p>Partly adopted. The standard is not fully applied.</p>	<p>CAE ratings only reflect relevance and effectiveness. Efficiency, sustainability and impact are not included in the overall rating.</p>
<p>2. Relevance. Relevance refers to the degree to which the design and objectives of the WBG's strategy and program of assistance were consistent with the needs of the country and with the government's development plans and priorities. A diagnosis of the evolving country context is used to assess the extent to which the WBG's strategic objectives and assistance program were relevant to the critical constraints affecting the country's long-term socioeconomic development and to the government's policies and strategic priorities, in light of other development partners' strategies, and to assess the consistency of its program with its strategy.</p>	<p>Adopted with substantial full application</p>	<p>Relevance is explicitly rated.</p>
<p>3. Efficiency. Efficiency refers to the extent to which the design and delivery of assistance were most cost effective. Measuring efficiency is difficult at the overall country program level because of the difficulty of estimating the combined benefit flows of various categories of the WBG's assistance. CAEs typically draw on proxy indicators of the efficiency of a CAE's support in comparison to cost. This may include indicators related to project/program implementation, for example, of planned versus actual commitments, disbursement patterns, project supervision, projects at risk, design and supervision coefficients, monitoring and evaluation arrangements, implementation problems and their resolution, and other factors affecting program implementation.</p>	<p>Partly adopted. The standard is not fully applied.</p>	<p>Efficiency is not rated for CAEs.</p>
<p>4. Effectiveness. Effectiveness refers to the extent to which the assistance instruments achieved</p>	<p>Adopted with</p>	<p>Effectiveness is explicitly rated for CAEs.</p>

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the intentions and objectives set. Outcomes are assessed in a CAE with respect to program objectives at different levels; across similar lending and nonlending projects; within key sectors and/or thematic thrusts; and at broader institutional, macroeconomic, and socioeconomic levels. Drawing primarily on a (bottom-up) analysis of cumulative program performance, CAEs assess achievement of results both in terms of the extent to which strategic outcomes were achieved, and the extent to which sufficient development progress was made. The determinants of the WBG's performance in attaining strategic objectives are identified in the CAE report.	substantial full application	
<p>5. Sustainability. Sustainability refers to the likelihood that actual and anticipated results will be resilient to risks beyond the program period. The degree to which the results of the WBG's assistance are likely to be sustained after the conclusion of the program will be covered by examining the degree to which past interventions have been sustained, identifying risks that could affect benefit flows, and assessing the extent to which policies are in place to mitigate such risks.</p>	Partly adopted. The standard is not fully applied.	IEG has replaced sustainability with risk to development outcomes but it is not explicitly rated for CAEs. Indirectly, risks to development outcomes are covered in the effectiveness rating.
<p>6. Impact. Impact refers to the WBG's contribution to long-term changes in development conditions. Impact is generally assessed with reference to the WBG's contribution to the attainment of specified development goals (i.e., macroeconomic balance, socioeconomic conditions, transition impact, multilateral development banks, or other specified national poverty reduction goals and objectives) and to the contribution of the WBG's assistance individually to the national and/or sector-specific impact objectives established during the programming process.</p>	Partly adopted. The standard is not fully applied.	Impact is not explicitly rated for CAEs but is indirectly covered in the effectiveness rating.
<p>C. Performance Rating</p>		
<p>1. Clear Quantitative Ratings. If a quantitative rating is undertaken, then the rating system should use well defined criteria and be kept as simple as possible, because ratings that are too numerous or too detailed may confuse the user. Discussion of the ratings should not distract from the main messages.</p>	Adopted with substantial full application	A 6 point rating scale is used to rate outcome from highly unsatisfactory to highly satisfactory. A four point scale is used to rate institutional development, from negligible to high. A five-point scale is used for Risks to Development Outcomes from non-evaluable, negligible to high.
<p>2. Transparent Ratings. The manner in which the ratings are derived should be clearly stated in CAE reports, and the summary evidence upon which they were made should be presented along</p>	Adopted with substantial full	The various ratings on the six-point scale are clearly defined.

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with the rating itself.	application.	
<p>3. Limitations on Quantitative Ratings. The limitations of the CAE rating system should also be frankly acknowledged.</p>	Adopted with substantial full application	The limitations on quantitative ratings, although well understood in IEG, are not explicitly acknowledged in the CAE guidelines.
<p>4. Comparable Ratings. Ensuring that CAE ratings are comparable across CAEs implies the need for a rating system that is uniform, both in its definitions and in its application in different country cases. While there will always be some element of evaluator judgment, strict adherence to CAE rating guidelines and careful quality control can help to promote ratings that are comparable across CAEs in those evaluations that include a quantitative rating.</p>	Adopted with substantial full application	Comparability of ratings is considered as part of the overview guidance provided by senior IEG staff. A statistical analysis found that there was no bias in the CAE ratings for IDA countries and African countries versus IBRD countries.
<p>5. Rating Criteria. If a quantitative rating is undertaken, the ratings of the mandatory criteria (relevance, efficiency, effectiveness, sustainability, and impact) are required. The ratings of the additional criteria (positioning, coherence, institutional development, borrower performance, the WBG's performance, and partner coordination) are optional.</p>	Partly adopted. The standard is not fully applied.	The overall rating draws on only two (relevance and effectiveness) of the four mandatory criteria. The non-mandatory criteria are discussed in the CAEs but not rated.
<p>6. Rating Criteria. The ratings for each criterion that is employed should be presented separately so that the results of the performance assessment are fully transparent to the evaluation users.</p>	Adopted with substantial full application	This is done for relevance and effectiveness and the overall rating.
<p>III. Reporting-Related Good Practice Standards</p>		
<p>1. Findings and Lessons. CAE reports will include evaluation findings that are country specific, follow logically from the main evaluation questions and analysis of data, and show a clear line of evidence to support the conclusions drawn.</p>	Adopted with substantial full application	Each CAE has a section titled conclusions and recommendations which covers the overall assessment, lessons and recommendations.
<p>2. Findings and Lessons. CAEs will identify a few lessons that are unambiguously rooted in the evaluation evidence and have clear operational implications.</p>	Adopted with substantial full application	Each CAE has a section on lessons that draw on the evaluation evidence.
<p>3. Recommendations. CAE recommendations will be conveyed constructively in the form of proposals that are actionable within the responsibilities of the users, few in number, country specific, strategic, operational, and (ideally) not obvious.</p>	Adopted with substantial full application	Each CAE contains a relatively small number of recommendations. The implementation of CAE recommendations are tracked in the Management Action Record.
<p>4. Reporting. Standard CAE reporting formats will be used to foster uniformity in coverage and</p>	Adopted with	A standard outline is used for CAEs.

Core Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
presentation while providing sufficient latitude to tailor the reports to the needs of a particular country case.	substantial full application	
5. Reporting. The report should include coverage of the country context, country strategy and program, program implementation, program outcomes and impacts, partnerships, thematic issues, lessons, and recommendations.	Adopted with substantial full application	These issues are covered.
6. Reporting. The CAE report will be presented in plain language. It will be evidence and analysis based, and will focus on those key issues that could be evaluated conclusively, rather than on all issues that have been examined.	Adopted with substantial full application	CAEs are generally well written but some are overly long.
7. Review. For quality control purposes, the draft CAE will be rigorously reviewed internally by the staff and management of the independent evaluation office, and externally by WBG operations personnel; government stakeholders; and, optionally, by external reviewers. The CAE review process should also extend to parallel or supporting studies to ensure that they are contextually correct and consistent with the CAE process.	Adopted with substantial full application	Drafts of CAEs are forwarded to Management and the borrower for comment. The government's comments are included as an annex in the CAE. IEG management provides oversight and exercises quality control through the One-Stop Review and two external peer reviewers are used for each CAE.
8. Disclosure. It is recommended to publish the findings of CAEs. Publishing the CAE findings helps to foster learning beyond the immediate client groups and also helps to promote transparency in the evaluation process. To spotlight the diversity with which CAE findings can be interpreted, CAE publications will generally include the formal views of management, government, and the board.	Adopted with substantial full application	CAEs are disclosed. CASCR reviews have not been disclosed in the past but will be in 2011 after IEG adopts a new disclosure policy.
9. Generalizing CAE Evaluation Findings. The findings from CAEs will be summarized and used for comparative purposes in the annual and/or biannual reviews of evaluation findings prepared by the independent evaluation offices.	Adopted with substantial full application	General lessons are periodically discussed in IEG's annual reports.

Source: IEG.

Note: AAA = analytic and advisory assistance; CAE = Country Assistance Evaluation; CAS = Country Assistance Strategy; CASCR = Country Assistance Strategy Completion Report; NGO = nongovernmental organization; WBG = World Bank Group.

a. Source: Evaluation Cooperation Group Good Practice Standards for Evaluation of MDB Supported Public Sector Operations. Excludes the GPS related Governance of MDB Evaluation Systems, as they have been superseded by ECG's GPS for Independence.

b. The assessment was done on a three-point scale: (i) adopted with substantial full application, which means that IEG's guidelines and relevant practices are materially consistent with the substance of the GPS; (ii) partly adopted and the GPS is not fully applied, which means that IEG's guidelines and relevant practices are not materially consistent with the substance of the GPS; and (iii) not relevant, which means that: (a) IEG cannot follow the standard because of the nature of its operations (not its policies or practices) or its total reliance on evaluations carried out by the central evaluation department (rather than evaluations by the operational staff), or (b) IEG meets an equivalent or relevant higher standard specified in the GPS.

Appendix H: Comparison of IEG’s Project Performance Assessment Report Guidelines Against the ECG Good Practice Standards

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
I. Principles of Execution of CED’s Mandate for Evaluating Public Sector Investment Products		
<p>1. Guidelines: Define, write, and refine evaluation standards, instruments and related guidelines, in consultation with operations management, relevant corporate functional departments, and the Board’s oversight committee, informed by internal experience with their application (for example, on the relevance of sound monitoring and evaluation systems), feedback from stakeholders, and evolving internal and external good practice.</p>	Adopted with substantial full application	Project Performance Assessment Reports (PPARs): Guidance and related annexes are available and are periodically updated. The approach and rating methodology were discussed with Operational and Country Services (OPCS) in the context of harmonizing the ICR and IEG evaluation practices.
<p>2. Coordination Within the MDB: CED coordinates with the units responsible for strategy formulation and corporate scorecard development and related reporting (as relevant) to ensure that, consistent with the coherence principle of good-practice results-based management (i) the evaluation measures, standards and benchmarks will serve to reinforce the corporate mission, objectives and policies, inform corporate learning needs and align as far as possible with the general reporting framework, and (ii) the annual review’s synthesis ratings are included in the integrated corporate performance reporting</p>	Adopted with substantial full application	IEG’s main contact point is OPCS. IEG works with OPCS to harmonize the approaches for ICRs and PPARs. IEG ratings and other evaluation findings were extensively used in the influential Annual Reports on Portfolio Performance that were prepared by the former Quality Assurance Group (QAG). QAG has now been disbanded and incorporated into OPCS. The WBG is in the process of developing a corporate score card.
<p>3. Work Program: Develop and carry out a work program for evaluating completed individual public sector operations.</p>	Adopted with substantial full application	IEG’s Work program gives a target for the number of PPARs but does not include a list of the specific PPARs to be undertaken.
<p>4. Database. Maintain an evaluation database including all relevant characteristics of evaluated operations to support independent evaluation studies and annual review analysis.</p>	Adopted with substantial full application	IEG and ADB tried to develop an integrated database of project ratings for MDBs at ECG.
<p>5. Synthesizing Results: Synthesize CED-verified completion report findings, supplemented by its performance evaluation reports (and other evaluation</p>	Adopted with substantial	The synthesized IEG verified ratings, trends and causal factors are reported

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
studies) in CED annual reviews to the management and Board.	full application	in IEG's annual report, which is discussed at both CODE and the Board, together with the Management Response.
<p>6. Dissemination: Disseminate the findings of all desk-reviews of completion reports, of performance evaluation reports and annual reviews and studies through instruments that allow easy retrieval, absorption and application of lessons by policy and strategy departments, and by operational staff, and, as defined under the MDB's disclosure policies, to persons and institutions outside the agency.</p>	Partly adopted but not full application	Some findings are disseminated in the annual report. Although progress has been made in improving the dissemination of IEG findings, IEG does not have a mechanism that allows easy retrieval, absorption and adoption of lessons from PPARs and ICR Reviews by policy and strategy offices and operational staff. PPARs are disclosed but ICR Reviews are not currently, although public disclosure of ICRs is planned this fiscal year. Both PPARs and ICR Reviews are available to staff on the internal intranet.
<p>7. Monitoring and Reporting: Monitor and report annually to management and the Board on the quality and efficacy of the MDB's evaluation system, including application of lessons in new operations.</p>	Partly adopted. The standard is not fully applied.	IEG does not report in a systematic way on the application of IEG lessons in new operations. IEG's 2010 Annual, other than assessing the Management Action Record system including an annex on M&E, did not report on the quality and efficacy of the WBG's evaluation system. IEG used to systematically review the Bank's evaluation system in its IEG-World Bank annual reports. Past experience found that since the evaluation systems did not change significantly year to year, the analysis became repetitive and did not add value.
<p>II. Evaluation Criteria</p>		

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
A. Scope of Using Evaluation Criteria		
<p>1. Coverage: CED assesses the development effectiveness of operations having completed their implementation phase by systematically applying a set of evaluation criteria. In addition, CED evaluates the performance of the MDB and of the borrower. CED also evaluates the quality of Completion Reports reviewed. These assessments typically result in ratings according to predefined scales.</p>	Adopted with substantial full application	The PPAR and ICR Review guidelines provide clear guidance on these issues.
<p>2. Harmonization of PPAR, Implementation Completion Report and Implementation Completion Report Reviews: These evaluations, and any independent evaluation carried out by CED during implementation, should be grounded in the same policies and criteria that are used in appraisal of new operations and in the self-evaluation of Completion Reports. Internal harmonization between guidelines for the full performance evaluation reports and for Completion Reports is required so that the same criteria are covered in the guidelines for both stages/products.</p>	Adopted with substantial full application for ICRs and PPARs	There remains the broader issue of harmonizing the criteria fully with upstream supervision reports and appraisal documents where the language may not be consistent with the language for later stage evaluation.
<p>3. Scope: The scope of both the Completion Reports and the full performance evaluation reports is comprehensive in encompassing all performance attributes and dimensions that bear on the operation's success.</p>	Adopted with substantial full application	A comprehensive approach is described in the PPAR guidelines.
B. Performance Dimensions Evaluated		
Core Criteria		
<p>1. Relevance –The extent to which the objectives of a project are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors policies. Relevance evaluation focuses on consistency of project with (i) the needs of the project's beneficiaries, a country's development strategy, and the MDB's Country Assistance Strategy, and (ii) the MDB's statutory requirements, comparative advantage and policy priorities. Relevance refers to current circumstances; that is, it is based on (i) and (ii) as they stand at the time of evaluation. If there have been significant changes under (i) or (ii) since Board approval, the evaluation will reflect these. Since evaluations cover both accountability and lesson learning, restructuring of project objectives in response to the operating environment is itself a feature that deserves careful evaluation. Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of a project or its design are still appropriate given changed circumstances.</p>	Adopted with substantial full application	The assessment of relevancy is consistent with the description in the GPS. Although the guidelines state that a single summary rating for relevance is not required, in practice relevancy is rated in PPARs.
<p>2. Achievement of objectives (effectiveness or efficacy) –The extent to which the project's objectives were achieved, or are expected to be achieved, taking into account their relative importance, while</p>	Adopted with substantial full	The assessment of effectiveness is consistent with the description in the GPS. Although the

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
<p>recognizing any change introduced in the project since Board approval. Evaluation against objectives enhances accountability. Different categories of objectives are normally specified, such as physical, social, economic, financial, institutional, and environmental, as well as policy changes. Often there are multiple objectives: the evaluator will have to make judgments about the weight to be placed on the separate objectives in determining a sound evaluation under this criterion.</p>	application	<p>guidelines state that a single summary rating for effectiveness is not required, in practice effectiveness is rated in PPARs. The achievement of each objective should be rated high, substantial, modest, or negligible.</p>
<p>3. Efficiency – Extent to which project benefits/output are commensurate with resources/inputs (funds, expertise, time, and so forth). Economic and financial rates of return should be used where feasible. Special care will be necessary when treating costs and benefits for projects restructured during implementation. Transparency in evaluations is essential so as to avoid the introduction of doubtful sunk cost assumptions. Where calculation of economic and financial rates of return is not feasible, the evaluation should address explicitly cost-effectiveness (considering the cost of alternative ways to achieve project objectives; or unit costs for comparable activities), and timing (were objectives achieved on time; what were the benefits of early completion, or costs of late completion). Such evaluation may not be feasible in the case that project design or monitoring did not provide for cost indicators.</p>	Adopted with substantial full application	<p>The assessment of efficiency is consistent with the description in the GPS. Mention is made of economic rates of return and cost effectiveness indicators. Although the guidelines state that a single summary rating for efficiency is not required, in practice efficiency is rated in PPARs.</p>
<p>4. Sustainability –The probability of continued long-term benefits, and the resilience to risk of the net benefit flows over the intended useful project life. For a systematic application of this criterion, the following factors should be considered (their priorities/weights will vary according to the nature of the project): (i) technical soundness, (ii) government commitment, including supportive legal/regulatory framework, (iii) socio-political/stakeholder support, (iv) economic viability, (v) financial viability, (vi) institutional, organizational and management effectiveness, (vii) environmental impact, and (viii) resilience to exogenous factors. CED will give special attention to the continuation of project benefits over time and after external financing ceases. Sustainability, together with institutional development impact discussed next, may already be included under the preceding three criteria, especially for projects that are subjected to an economic and financial rate of return assessment. Nevertheless, given the need to take account of risks in a generally volatile operating environment, environmental impacts and other factors underlying project sustainability, the explicit assessment of these factors is essential for a high quality evaluation – though, as already noted,</p>	Adopted with substantial full application	<p>Sustainability was rated separately until 2006. IEG now rates Risk to Development Outcomes, which has two dimensions: (i) the likelihood that some changes may occur that are detrimental to the ultimate achievement of the operation’s development outcome; and (ii) the impact on the operation’s development outcomes of some or all of these changes materializing. The factors considered in the guidelines are broadly consistent with those defined in the GPS. Although not considered as a core evaluation criteria, in principle Risk to</p>

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
attention will have to be given to prevent double counting.		Development Outcome is not materially different from the sustainability standard.
<p>5. Aggregate project performance indicator - A single measure of overall project performance taking into account the evaluation findings under the criteria listed under than 1 through 4 above. This is not an independent evaluation criterion. The goal sought by this criterion is to aggregate, through a single indicator, overall project performance. The challenge for the evaluator is to (i) ensure completeness, that is, to account for all the projects' effects that can be measured under any of the core evaluation criteria (listed above), and (ii) weigh the relative importance of all effects in a fully transparent fashion.</p>	Partly adopted. The standard is not fully applied.	A single aggregate performance indicator is provided but it only covers three (relevance; effectiveness; efficiency) of the four mandatory evaluation criteria. Sustainability (Risk to Development Outcome) is rated separately but is not included in the aggregate indicator. The aggregate rating is determined by the evaluator drawing on the ratings of relevance, effectiveness and efficiency. Although some guidance is given, much discretion is left to the evaluator. The process of developing the aggregate indicator would be more transparent if a clearly defined weighting system were used.
C. Complementary Criteria		
<p>1. Institutional development - The extent to which a project improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of a project. Institutional Development evaluation encompasses, as applicable, the project's effects on (a) the broad scope of institutional development: the formal laws, regulations and procedures, and informal norms and practices that govern social and economic interactions and exchanges between people, and on (b) the organization that operates within these broader institutional arrangements.</p>	Partly adopted. The standard is not fully applied.	Institutional development was rated separately until 2006 when the guidelines were changed to state that the rating of Outcome should encompass the extent to which the operation's institutional objectives were achieved, or are expected to be achieved, efficiently. This was done because not all projects had institutional objectives. More detailed guidelines are required to reduce inter-evaluator variability in assessing Institutional Development. In practice, institutional development

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
		and sustainability were considerations often go into adjusting some of the Development Outcome ratings in the PPARs. If the institutional gains made in the project were maintained or expanded upon subsequently, the PPAR rating may be upgraded. If momentum was lost and gains were eroded, ratings were downgraded.
<p>2. Other impacts – This criterion can include other areas of special focus by the MDB including: (i) POVERTY REDUCTION - extent to which project achieved planned poverty reduction impact; unintended impact should also be considered ; (ii) transition impact; (iii) environmental impact; (iv) additionality; and (v) other impacts.</p>	Adopted with substantial full application	IEG guidelines require an assessment of the following Other Impacts: (i) Risk to Development Outcome; (ii) M&E design, implementation and utilization; and (iii) Other Issues (safeguard compliance; fiduciary compliance; unintended positive/ negative impacts). The harmonized evaluation criteria for ICRs and IEG evaluations provide explicit guidance for rating Risk to Development Outcome and M&E.
<p>3. Borrower performance – Adequacy of Borrower’s assumption of ownership and responsibilities during all phases. Main focus on effective measures taken by borrower to establish basis for project sustainability, especially – and right from the identification stage – through fostering participation by the project’s stakeholders, in addition to its own support. Conceptually, this criterion (and the following one on MDB performance) is treated separately from the foregoing criteria that address project performance. It focuses on processes that underlie the borrower’s effectiveness in discharging its responsibilities as the owner of a project. This includes the Borrower’s efforts and success in establishing a lasting support for a project by its beneficiaries, thereby laying the basis for project sustainability.</p>	Adopted with substantial full application	The harmonized evaluation criteria for ICR and IEG evaluations provide explicit guidance for rating the performance of the borrower (both the government and the implementing agencies).
<p>4. MDB performance – Quality of services provided by MDB during all project phases. Main focus on MDBs’ role in ensuring project quality at entry, and that effective arrangements were made for satisfactory implementation and future operation of the project.</p>	Adopted with substantial full application	The harmonized evaluation criteria for ICR and IEG evaluations provide explicit guidance for rating Bank performance and requires a

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
<p>This encompasses the quality, benchmarked against corporate good practice, of the MDB's at entry-screening, appraisal and supervision work, its role and contribution (the need for the MDB's participation relative to other available financing, and the quality of the MDB's delivered additionality over the operation's life from inception to evaluation). It considers compliance with basic operating principles, the operation's client capacity building objectives (as relevant), consistency with furtherance of the MDB's corporate, country and sector strategies, and its client service satisfaction.</p>		<p>rating of quality at entry and quality of supervision.</p>
<p>D. Ratings</p>		
<p>1. Even Number Scale: For each rated criterion, use an even number (mostly four, exceptionally six for greater differentiation) of rating scale points. For the sake of validity, credibility, transparency and comparability, they apply a clearly defined rating for each scale point that reflects a pre-defined set of ranked value terms. Scales are symmetrical in nature (with due regard to the need for eliminating non-evaluable and not applicable cases). Evaluators provide a justification for each rating, where necessary or useful.</p>	<p>Adopted with substantial full application</p>	<p>A six-point rating scale is used which is fully described in the harmonized evaluation criteria for ICR and IEG evaluations.</p>
<p>2. Indicators vs. Ratings: A distinction is made between indicators and ratings. Ratings reflect the informed judgment by the evaluator, based on qualitatively or quantitatively captured indicator(s). Ratings for non-quantifiable indicators require that qualitative judgments be made. The criteria for these judgments should be clearly spelled out in the evaluation guidelines, and reflect the extent to which performance has been consistent with MDB policies and good-practice operational standards.</p>	<p>Adopted with substantial full application</p>	<p>Fully described in the harmonized evaluation criteria for ICR and IEG evaluations.</p>
<p>3. Aggregate Project Performance Rating. Derive the aggregate project performance rating by weighting the ratings attached to the core evaluation criteria that form the basic building blocks. Although an aggregate project performance indicator may be useful for corporate reporting and comparisons among projects, regions, sectors and MDBs there is a risk that excessive focus on this indicator may diminish lesson learning by operations.</p>	<p>Partly adopted. The standard is not fully applied.</p>	<p>A single aggregate performance indicator is provided but it only covers three (relevance; effectiveness; efficiency) of the four mandatory evaluation criteria. Sustainability (Risk to Development Outcome) is not included in the aggregate indicator. By excluding Risk to Development Outcomes from the aggregate performance rating, the World Bank's overall assessment of project</p>

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
		portfolio performance may be biased high relative to MDBs that follow best practice and include sustainability in the aggregate rating (based on the ICR data, 22% of projects were rated as less than satisfactory but 36% were rated having either significant or high Development Outcome Risks.
E. Learning Lessons		
1. Concise Lessons. Evaluation should draw concise, prescriptive lessons placed in context. They should relate the experience of evaluated operations to the pattern of past lessons in the country or sector, and focus on what the MDB might have done to obtain better results.	Adopted with substantial full application	Although not explicitly covered explicitly in the guidelines, all sample tables of contents in the PPAR guidelines include a section on lessons.
III. Processes and Documentation		
1. Evaluation Timing. For a reliable assessment of an operation's development effectiveness, evaluative judgments must be based on full completion of the operation's implementation phase and an initial knowledge about the prospects for the operational phase. For this reason, evaluations are carried out in all cases after the operation has been fully implemented. Since core standards provide for the responsible operational units to prepare a Completion Report after completion of the implementation phase of the operation which will be used by CED as a source for its evaluation, the performance evaluation reports will show a significant delay from the date of project completion (at present some three years or even more). Evaluation timing may involve a tradeoff between the desire of a CED for timely learning feedback (while benefiting from the fresh memory of MDB staff involved in project supervision) and the availability of sufficient operational experience, in particular in order to assess the operation's sustainability prospects.	Adopted with substantial full application	PPARs are undertaken after the ICR and ICR Review have been completed, that is, several years after the project has been fully implemented and is in operation.
2. Coverage. CED carries out an independent review of completion reporting through a two stage performance review process utilizing (a) desk reviews for a sample of Completion Reports and (b) in-depth full performance evaluation report for selected projects. CED should define the total annual program for desk reviews and for full performance evaluation reports. In case of a Completion Report backlog from previous year(s), allowance is made specifically to reduce it	Adopted with substantial full application	IEG does an ICR Review for 100% of ICRs, rather than on a sample basis. PPARs are undertaken for about 25% of completed projects (about 75 per year). Projects for PPARs are selected purposefully rather than randomly (for example, to

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
substantially or eliminate it altogether.		feed into CAEs; sector, thematic, or corporate evaluations; where ratings are disputed).
<p>3. Sampling. The sample size needed depends on the degree of the desired disaggregation of the overall results to be drawn from the total evaluation findings in the CED annual reporting. For CED to establish a sufficient basis for such reporting, it determines a combination of (a) desk reviews; and (b) full performance evaluation reports for a representative sample of sufficient size and coverage of the total number of completed and reviewed operations. The desk review sample should be set in CED's annual work program agreed with the Board or management.</p>	Not relevant	Sampling not used to select projects for ICR Reviews. IEG believes 100% coverage is needed to adequately cover sectors, themes, etc. and to support the detailed regression analysis included in the 2010 Annual Report. An issue to be considered is whether the resources needed for a 100% review could be more effectively used to do other types of evaluation work.
<p>4. Ratio of Full Evaluations to Desk Reviews. The ratio of full performance evaluation reports to completed projects, as reflected by Completion Reports, should be set by the Board or management as part of CED's annual work program. Ratios and balanced qualitative selection criteria for full performance evaluation reports should be clear and transparent; the same applies to the statistical robustness of the samples chosen, when random sampling is used (spelling out the confidence level and sampling error).</p>	Not relevant	Sampling not used for ICR Reviews and PPARs are not selected on a random basis so confidence limits are not calculated.
<p>5. Selection Criteria for PPARs. Examples of selection criteria are: potential to yield significant lessons, potential for ongoing or planned country/sector/thematic or corporate evaluation, Completion Reports of outlying quality, areas of special interest expressed by Board. Selection of individual full performance evaluation reports will be verified during the desk reviews of Completion Reports.</p>	Adopted with substantial full application	Criteria for purposeful selection of projects for PPARs specified in guidelines are consistent with the GPS and cover both learning and accountability.
<p>6. Reporting on Quality of Completion Reports. To increase the attention paid by the Board and senior management to Completion Reports, CED should regularly assess compliance with Completion Report guidelines in terms of submission rates and quality.</p>	Partly adopted. The standard is not fully applied.	While IEG reports on PPARs and ICR Review ratings in its annual report, IEG does not regularly assess compliance with ICR guidelines at an aggregate level in terms of submission rates and quality, although this is done for each individual project in the ICR Review.
<p>IV. Documentation and Reviews</p>		
<p>A. Completion Reports</p>		

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
<p>1. Completion Report Guidelines: CED either drafts or reviews Completion Report guidelines to ensure consistency among the evaluation criteria and ratings within the MDB's overall evaluation system.</p>	<p>Adopted with substantial full application</p>	<p>ICR Guidelines and rating criteria are harmonized with IEG.</p>
<p>2. Review of Completion Reports. CED assesses compliance with Completion Report guidelines in terms of submission rates and quality. CED may provide assistance through Completion Report draft review that improves Completion Report quality, especially for operational staff not yet very familiar with the task. Two areas where Completion Reports merit special attention, are: (i) their effort at re-estimating economic performance, i.e., re-estimation of economic rates of return and financial rates of return or cost-effectiveness analysis for public sector operations that are not subject to a cost-benefit analysis at appraisal; and (ii) their focus on how well future operation needs are addressed in order to increase the likelihood for sustainability.</p>	<p>Adopted with substantial full application</p>	<p>IEG assesses quality and submission rates of ICRs. Rather than commenting on draft ICRs, IEG independently reviews all ICRs. This approach enhances the accountability of operational staff for preparing complete, objective ICRs.</p>
<p>3. Separate Guidelines for DPLs: Guidelines for preparing Completion Reports for adjustment or policy-based lending operations are elaborated specifically to meet the special evaluation requirements for such operations, if necessary.</p>	<p>Adopted with substantial full application</p>	<p>Separate guidelines for ICR reviews and for PPARs for DPLs have been issued.</p>
<p>B. PPARs</p>		
<p>1. Use of Guidelines. CED staff carries out full performance evaluation reviews leading up to a Performance Evaluation Report in accordance with the PPAR guidelines which were prepared in consultation with the MDB's operational and functional departments, and the agreed criteria for selecting full performance evaluation reports.</p>	<p>Adopted with substantial full application</p>	<p>The most recent revised PPAR Guidelines are dated July 31, 2006. They are classified as a living document and are not for circulation.</p>
<p>2. Review and Quality Control. CED uses internal peer reviews to improve the full performance evaluation report's quality, and seek operations management comments. For improved application or utilization, full performance evaluation reports are submitted for management review to encourage feedback to operations.</p>	<p>Adopted with substantial full application</p>	<p>Each PPAR is subject to internal IEG-World Bank peer review, Panel review, and management approval. Draft reports are sent to management for review and their comments are incorporated as IEG decides is appropriate. Management comments are disclosed.</p>
<p>3. Borrower and Stakeholder Participation. Borrowers participate in the preparation of the full performance evaluation reports, including through the provision of comments on draft reports. Stakeholders, particularly the ultimate beneficiaries, participate in the preparation of full performance evaluation reports.</p>	<p>Adopted with substantial full application</p>	<p>Government and selected non-government stakeholders and beneficiaries are interviewed during field work for PPARs. Of the five person weeks allocated to preparing a PPAR, one to</p>

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
		two weeks are spent in the field. Draft reports are sent to the borrower and comments are incorporated as IEG deems appropriate. The borrower's comments are sought and attached to the document that is sent to the Bank's Board of Executive Directors.
<p>4. Cofinanced Projects. For cofinanced operations, the joint preparation of full performance evaluation reports enhances quality and partnership, and reduces cost to MDB borrowers/clients.</p>	Partly adopted. The standard is not fully applied.	Although some joint PPARs have been undertaken with co-financiers, in many cases PPARs are not carried out jointly. Every ICR prepared by the Bank's management has an annex where co-financiers contribute their own assessment (and another annex for the Borrower's self-assessment) but this is materially different from joint preparation of ICRs and PPARs. While undertaking joint evaluations may involve additional transaction costs for IEG, doing so is consistent with the principles of the Paris Declaration and Accra Agenda for Action. Also, one of IEG's five stated strategic objectives related to reduce evaluation overload for countries.
<p>5. Impact Evaluations. Primarily for lesson learning, CED should carry out, on a selective basis, impact evaluations after a project has been in operation for an extended period (normally not going beyond ten years after completion date because of the increasing problem of attribution of costs/benefits over time). This instrument helps in identifying issues, both problems and new opportunities, that are not yet evident at the time of a Completion Report or PPAR, and thereby providing the MDB with feedback for future operations and policy development that might otherwise have been missed.</p>	Adopted with substantial full application	IEG undertakes two to three impact evaluations per year.
<p>C. Annual Reporting</p>		
<p>1. Annual Report. CED prepares an annual</p>	Adopted	After discussion at CODE,

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
review addressed to the management, staff and Board whose scope includes a synthesis of the CED's validated findings from Completion Reports and its own full performance evaluation reports generated and reviewed during the period covered. The ratings criteria used in these evaluations should be clearly spelled out. All ratings reported are those from CED and where there are differences from those given in the Completion Reports these should be disclosed.	with substantial full application	the annual report is sent to the full Board, together with management's comments. It contains the synthesis mentioned in the GPS.
<p>2. Annual Recommendations. From an analysis of (a) the ratings and lessons learned patterns, (b) other relevant CED evaluation studies, and (c) management's implementation progress on previous CED review and special study recommendations, the annual review identifies recommendations to management and for the Board for improving the MDB's development effectiveness.</p>	Not adopted	The IEG's 2010 annual report did not include recommendations. Past IEG-IFC and IEG-MIGA annual reports contained recommendations but the IEG-World Bank reports did not.
<p>3. Tracking System for CED Recommendations. CED maintains a tracking system for recording follow-up steps taken on each endorsed recommendation, ensuring that follow-up is reported in subsequent annual report(s). Good Practice: the tracking system includes a limited number of actionable recommendations.</p>	Adopted with substantial full application	The implementation status of IEG recommendations is tracked. MAR is maintained by management, not IEG. As a result of the 2010 annual report, management and IEG are committed to strengthen MAR.
D. Dissemination and Lesson Application		
<p>1. Dissemination Products. CED makes available to all MDB staff, a range of user-friendly, high quality dissemination products covering the Completion Report desk review/full performance evaluation report findings, the annual review and CED special studies. Various approaches may be used to enhance dissemination and application: (i) printed evaluation reports with executive summaries; (ii) electronic databases of evaluations and lessons learned; (iii) syntheses of lessons learned; (iv) presentations incorporating visual aids for decision makers; (v) workshops and meetings with operations units; (vi) giving the Board and management a role in evaluation topic and issue selection; (vii) review project designs for lessons learned; (viii) open evaluation recommendations periodically reviewed with Board and management.</p>	Partly adopted. The standard is not fully applied.	IED reports have executive summaries and are widely disseminated. However, lessons learned are not readily available in a user friendly, searchable data base. Evaluation workshops are held periodically. CODE and the Board play some role in selecting evaluation topics but there is little formal input from management or operational staff during the selection process. IEG does not review new operations to assess the incorporation of lessons learned.
<p>2. Web site. Among these approaches, CED places primary reliance on its intranet website for document posting, widely notifies staff of new items through the corporate website and maintains and enhances learning lessons system. The goal is to (i) draw attention to the existence of relevant evaluation findings; (ii) make the</p>	Adopted with substantial full application	IEG has a comprehensive Web site, the use of which is tracked. Additional information is available through internal WBG systems.

Good Practice Standard ^a	Degree of adoption of the standard ^b	Comments
material user-accessible and easily digestible; and (iii) have measures for monitoring of accessing lessons.		
<p>3. Systematically Applying Lessons in new Operations. in MDBs, achieving awareness and internalization of lessons and their systematic application in new operations is the weakest link in the evaluation learning cycle: (i) operational managers are responsible for ensuring that past lessons have been systematically searched, identified and applied in new operations; (ii) standard processing documentation for new operations includes a prompt, in the early stage documents, for relevant past lessons, complemented by a prompt, in final decision-stage documentation, for how the past lessons have been addressed in the structuring of the new operation and in its appraisal ; (iii) in its annual evaluation reporting, CED reviews and reports to management and the Board on the quality of responsiveness to these prompts and other evidence of lesson application.</p>	Partly adopted. The standard is not fully applied.	While Bank products typically have sections about lessons from past operations, IEG does not report annually on evidence of lesson application. IEG's annual report does not systematically review and report to management and the Board on the quality of responsiveness to these prompts and other evidence of lesson application.
<p>4. Good Practice. For ensuring lessons applications, MDB good-practice is that internal corporate reporting (up to the Board) is centered on an integrated performance measurement system that is (1) broadly aligned with the evaluative framework (viz. performance indicators for development impact and MDB effectiveness/efficiency); (2) applies coherent and consistent success standards (both as to scope and benchmarks) across the project cycle identification, appraisal, supervision and evaluation), across operations, and up and down the reporting hierarchy (project-, department- and corporate-level); and (3) integrates evaluation findings (success rates) into the scorecards.</p>	Adopted with substantial full application	In the past the Annual Report on Portfolio Performance covered Bank effectiveness and efficiency and utilized IEG analysis. The Bank monitored Key Performance Indicators through its quarterly business reviews, but the link to the Indicators is not available – maybe this is undergoing changes as the Bank develops its corporate scorecard.
<p>E. Disclosure</p>		
<p>1. Disclosure. Evaluation reports should normally be disclosed. The MDB's disclosure policy for evaluation products should be explicit and consistent with the MDB's general disclosure policy.</p>	Adopted with substantial full application	After an assessment report has been sent to the Board, it is disclosed to the public. Both PPARs and ICR Reviews are available to staff on the internal intranet. While only PPARs are publicly disclosed, ICR Reviews are supposed to be publicly disclosed sometime during this fiscal year.

Note: ADB = Asian Development Bank; CED = Central Evaluation Department; ECG = Evaluation Cooperation Group; GPS = Good Practice Standard; ICR = Implementation Completion Report; MAR = Management Action Record; MDB = multilateral development bank; M&E: monitoring and evaluation; OPCS = Operational and Country Services; PPAR = Project Performance Assessment Report; QAG = Quality Assessment Group; WBG = World Bank Group.

a. Source: Evaluation Cooperation Group Good Practice Standards for Evaluation of MDB Supported Public Sector Operations. Excludes the GPS related Governance of MDB Evaluation Systems, as they have been superseded by ECG's GPS for Independence.

b. The assessment was done on a three-point scale: (i) adopted with substantial full application, which means that IEG's guidelines and relevant practices are materially consistent with the substance of the GPS; (ii) partly adopted and the GPS is not fully applied, which means that IEG's guidelines and relevant practices are not materially consistent with the substance of the GPS; and (iii) not relevant, which means that: (a) IEG cannot follow the standard because of the nature of its operations (not its policies or practices) or its total reliance on evaluations carried out by the central evaluation department (rather than evaluations by the operational staff), or (b) IEG meets an equivalent or relevant higher standard specified in the GPS.

Appendix I: Comparison of IEG’s Development Policy Loan Evaluation Guidelines Against the ECG Good Practice Standards

Good Practice Standard ^{a, b}	Degree of Adoption of GSP	Comments
<p>1. Timing. Policy-based loans (PBLs) generate outputs and outcomes that become apparent only sometime after a program is completed. Impacts may take even longer to be realized. Self-evaluation, conducted shortly after an operation has been completed, focuses primarily on PBL implementation and its immediate outputs and outcomes. For post evaluations, the evaluation timing challenge is to ensure that sufficient time has elapsed since the PBL operation has been completed for outcomes and impacts to be realized and for the sustainability of the operation to be apparent. Where there is a series of overlapping and related PBLs, the appropriate timing of an evaluation depends on when the outcomes and impacts of a sequence of related PBLs are likely to be realized.</p>	<p>Adopted and substantially full application</p>	<p>PPARs are undertaken after the ICR and ICR Review have been completed, that is, sufficient time has elapsed since the PBL operation has been completed for outcomes and impacts to be realized and for the sustainability of the operation to be apparent. A single assessment is prepared for a series of programmatic DPLs.</p>
<p>2. Evaluability. Evaluability can be improved by taking steps to reveal unwritten objectives, and preparing a retrospective logframe or results framework to guide the evaluation. Assessing the degree to which the PBL has made adequate arrangements for monitoring and evaluation may help to signal the need for more systematic improvement in PBL evaluability and design.</p>	<p>Adopted and substantially full application</p>	<p>If the official objectives are so broad and/or vaguely worded as to preclude any meaningful evaluation, intended objectives are inferred by the evaluator from key associated outcome targets (and/or the operation’s design features). The guidelines refer to the use of a results framework and state that the outcome rating should be consistent with the detailed achievements against key quantitative and qualitative performance indicators provided in the results framework. The assessment examines baseline values, targets and actual value of the measurable indicators to assess the DPL’s outcome and contribution to higher-level goals. As necessary, the analysis on causal relationships between the Bank’s intervention and outcomes is expanded beyond what is specified in the results framework to cover other causal factors (for example, other interventions, policy changes unrelated to the</p>

Good Practice Standard ^{a, b}	Degree of Adoption of GSP	Comments
		operation, natural events, and market factors). Each PPAR assesses M&E.
<p>3. Evaluating Inputs. Assessment of the internal logic of a PBL operation, its consistency with other operations, and the validity of underlying assumptions are key components of an evaluation of PBL inputs.</p>	Adopted and substantially full application	Evaluators assess the extent to which the operation's activities and inputs contribute to outputs, outcomes, and impacts.
<p>4. Conducive political conditions are a most important determinant of effective PBLs. Ownership is now well recognized as an important determinant of PBL performance. Whether or not the political economy of decision making, at design and implementation, was conducive to effective reform is a crucial part of the assessment. This implies a need to understand the process of policy decision making, the role of reform champions, the likely winners and losers of the reform process, and the nature of the institutional incentives facing those affected by reform.</p>	Adopted and substantially full application	DPL PPARs assess the adequacy of the government's commitment, stakeholder involvement, and/or participatory processes, the macroeconomic policy framework and political economy factors. The DPL's design is assessed, including its realism and the degree of complexity (for example, the number of organizations involved, the number and complexity of policy areas supported by the DPL, novelty or innovations in approaches, capacity of the implementing agencies, the number of co-financiers and partners, and social, environmental, and fiduciary aspects of the operation).
<p>5. Evaluating Outputs and Outcomes. Most PBL evaluations focus on the delivery of inputs, or conditionality compliance. More systematic effort is needed to assess whether or not PBL outputs and outcomes were achieved. Apart from program conditions, complementary changes may be required in legislation, regulation, public awareness, finance, and institutional arrangements. Evaluators need to assess not only the extent to which inputs were delivered (that is, agreed-upon reforms took place), but also the degree to which measures complementary to the PBL operation occurred. A review of performance indicators, activity surveys, and structured interviews with key stakeholders may be used to identify and assess PBL outputs and outcomes. Observed outputs and outcomes may be benchmarked against regional or international standards of public policy and institutional performance to assess the significance of PBL-supported reform.</p>	Adopted and substantially full application	The main policy areas where particular government actions were supported by the DPL are assessed as originally planned and as modified, if relevant. A table derived from the DPL's policy matrix includes information about the tranche(s) and tranche disbursement condition(s). The impact outcomes of the program are assessed. The key factors are identified that contributed to successful implementation of the DPL or led to problems (and how the problems were resolved). For programmatic DPL PPARs the objectives for the overall program and specific objectives for each intermediate operation in relation to the overall program are assessed.
<p>6. Evaluating Impacts. Comparing the situation before a PBL operation with that after it is completed has emerged as the most</p>	Partly adopted. The standard is	The guidelines require an assessment of impact but do not provide significant guidance on

Good Practice Standard ^{a, b}	Degree of Adoption of GSP	Comments
<p>common technique for evaluating impacts. This involves comparing real results with real prior conditions, but assumes that it is the PBL that is responsible for socioeconomic changes. A variety of other techniques may be applied to isolate policy effects from other factors that may have influenced socioeconomic activity. Comparison of actual impacts with a counterfactual is the appropriate way to evaluate impacts. PBL evaluations draw on a wide range of quantitative and qualitative techniques to assess impact. Quantitative techniques used include partial equilibrium analysis, representative household models, simulation models, and applied general equilibrium models. Common qualitative techniques used to evaluate impacts include beneficiary satisfaction surveys with the results of policy change “scored” directly by stakeholders or beneficiaries. Individuals who were intimately involved in a reform process can often identify the counterfactual. With adequate benchmarks and ex post performance information, simulations, cost-benefit, cost-effectiveness, and other quantitative techniques can also be used.</p>	<p>not fully applied.</p>	<p>how this should be done. The details in the guidelines fall short of the types of impact analysis suggested by the standard.</p>
<p>7. Poverty Impacts. Evaluation of PBL poverty impacts draws on a variety of techniques, tools, and survey instruments to assess changes in living standards, livelihoods, benefit incidence, and the performance of safeguard measures. Increasingly, PBL evaluation is called on to assess whether or not a reform operation could have been more “pro-poor” in its design and implementation. PBL evaluations seldom assess the effect on economic growth, employment, and private sector development objectives.</p>	<p>Adopted and substantially full application</p>	<p>An assessment of poverty impacts is required in the guidelines.</p>
<p>8. Evaluating the PBL Process. Assessing the extent to which a PBL served to reduce the transaction costs of external assistance, provided sufficient resources for the budget to meet adjustment costs, and involved timely disbursement of resources reflects the efficiency of the PBL process. The extent to which a PBL operation, and its associated technical assistance, contribute to fostering institutional development can be evaluated in terms of whether or not improved governance practices, or improved skills, procedures, incentives, structures, or institutional mechanisms, came into effect. Evaluating the contribution made by</p>	<p>Adopted and substantially full application</p>	<p>The guidelines state that outcome rating cover institutional development impacts but there is limited specific guidance provided. Until 2006 a former separate Institutional Development Impact rating that was required. In practice most of the issues described in the Standard are covered in DPL PPARs.</p>

Good Practice Standard ^{a, b}	Degree of Adoption of GSP	Comments
the PBL operation to building the capacity to lead and manage the policy reform process is also important.		
<p>9. PBLs must be assessed against the following criteria: relevance, efficacy, efficiency, sustainability, institutional development, impacts, multilateral development bank performance, and borrower performance. PBL-specific rating subcriteria have been identified. Aggregation for PBL evaluation is preferable across all of the first six criteria, including institutional capacity and impact. Given the strong interdependence across criteria for PBLs, there is merit in setting minimum performance thresholds for each core criterion before an operation is rated. For PBLs, where efficiency can be measured only at very high cost, the convention is to accord less weight to this criterion.</p>	Partly adopted. The standard is not fully applied.	<p>The Guidelines specify that DPLs will be rated for outcome (covering relevance and effectiveness), risk to development outcome (this is not materially different from sustainability), Bank performance, and borrower performance and provide guidance on how to assess these dimensions.</p> <p>The evaluator uses judgment in weighing possible shortcomings in the achievement of DPL's objectives and arriving at an assessment of how they affect the overall rating. While adequate guidance is provided on the dimensions that are rated, the DPL PPARs do not rate relevance, efficiency, impacts or institutional development separately. The aggregate rating of development outcomes does not cover all six items suggested in the standard. By excluding Risk to Development Outcomes from the aggregate performance rating, IEG's assessment of DPL portfolio performance may be biased high relative to multilateral development banks that follow good practice and include sustainability in the aggregate rating.</p>
<p>10. Coverage. For evaluation of individual PBLs, there may be merit in disproportionate coverage, since policy reform provides an enabling environment for other operations and for economic activity as a whole. The complexity of an operation, the extent to which it provides lessons for other operations, and the degree to which there are similar or overlapping operations affect whether PBLs are evaluated singly or in clusters. Since PBLs and associated technical assistance both contribute to policy reform performance, it is generally appropriate to evaluate and rate PBLs and related technical assistance together.</p>	Adopted and substantially full application	The Guidelines provide for a comprehensive coverage of DPLs. Specific guidance is provided for evaluating a series of programmatic DPLs. Although only one PPAR is produced in such cases, it covers all of the operations and the final ratings reflect the end result.
<p>11. Usage and Accountability. New approaches have been introduced to stimulate</p>	Adopted with	Evaluation documentation shows the names of staff and managers

Good Practice Standard ^{a, b}	Degree of Adoption of GSP	Comments
PBL evaluation quality by linking staff reputation with performance appraisal. A combination of measures aimed at making evaluation products more user friendly, with measures aimed at stimulating user demand, can enhance utilization of PBL evaluation products.	substantial full application	responsible for the operation at the time of loan approval and at completion. IEG is taking measures to user friendliness and improve dissemination and demand but more progress is needed in this area.
12. Disclosure. The GPS advocate full disclosure of evaluation products. While this is generally advisable, the policy reform process may benefit from confidentiality in some circumstances. Even so, a minimum level of evaluation disclosure, in the form of executive summaries, can normally be undertaken. Early disclosure at the approach paper stage serves to enhance access to information and foster participation.	Adopted with substantial full application	After an assessment report has been sent to the Board, it is disclosed to the public. Approach papers are disclosed. Both PPARs and ICR Reviews are available to staff on the internal "intranet". While only PPARs are publicly disclosed, ICR Reviews are supposed to be publicly disclosed sometime during this fiscal year.

Source: ECG.

Note: DPL = Development Policy Loan; ECG = Evaluation Cooperation Group; ICR = Implementation Completion Report; PBL = policy-based loan; PPAR = Project Performance Assessment Report.

a. Source: Evaluation Cooperation Group Good Practice Standards for Evaluation of MDB Supported Public Sector Operations. Excludes the GPS related Governance of MDB Evaluation Systems, as they have been superseded by ECG's GPS for Independence. Good Practices for the Evaluation of Policy-Based Lending, Multilateral Development Banks, Evaluation Cooperation Group, Manila, December 2004, <http://www.adb.org/evaluation/gps-pbl.pdf>.

b. The assessment was done on a three-point scale: (i) adopted with substantial full application, which means that IEG's guidelines and relevant practices are materially consistent with the substance of the GPS; (ii) partly adopted and the GPS is not fully applied, which means that IEG's guidelines and relevant practices are not materially consistent with the substance of the GPS; and (iii) not relevant, which means that: (a) IEG cannot follow the standard because of the nature of its operations (not its policies or practices) or its total reliance on evaluations carried out by the central evaluation department (rather than evaluations by the operational staff), or (b) IEG meets an equivalent or relevant higher standard specified in the GPS.

Appendix J: Comparison of IEG’s Work and the Current Strategic Objectives of the WBG

WBG’s Strategic Objectives ^a	IEG Work Plan ^b
Strategically focused where the WBG can add most value	
(i) Targeting the poor and vulnerable, especially in Sub-Saharan Africa: (a) Intensifying efforts to reach the poor in middle income countries, low income countries, and especially in Sub-Saharan Africa; (b) using innovative and targeted approaches to get the most “bang for the buck” from available resources; (c) strengthening efficiency and effectiveness by using “delivery platforms” for multiple human development goals; (d) using the innovation and capability of private sector providers; (e) addressing the particular vulnerabilities of women and children and the special challenges facing the “bottom billion” living in fragile and conflict-affected states.	Many evaluations target Africa, particularly Sub-Saharan Africa, the private sector in addressing poverty, addressing the vulnerabilities of women and the bottom billion (for example, evaluations of Poverty Reduction Strategy Papers, social safety nets; social insurance; health, nutrition and the poor; malnutrition) and fragile and conflict affected states. There is less emphasis on innovation. A major evaluation was completed: <i>Analyzing the Effects of Policy Reforms on the Poor: An Evaluation of the Effectiveness of World Bank Support to Poverty and Social Impact Analyses.</i>
(ii) Creating opportunities for growth: (a) Investing agriculture, infrastructure, innovation and human capital; (b) improving business environments and public spending; (c) building markets and investing in firms; (d) fostering growth that creates jobs and opportunities for all.	Many evaluations cover agriculture, infrastructure, improving the business environment, and fostering growth.
(iii) Promoting global collective action: Bringing global connectivity, financial leverage, innovation, world-class analysis and advocacy to global issues from climate change and trade, to agriculture and food security, energy, water, and health.	IEG reviews global programs and its program of planned and future evaluations cover climate change, trade, agriculture, food security, energy, water, health, nutrition and population. A sourcebook for evaluating Global and Regional Partnership Programs has been produced.
(iv) Strengthening governance: (a) Helping countries place good governance at the heart of development programs and projects; (b) assisting countries to anticipate, prevent, and fight corruption, and holding the WBG to the highest standards; (c) helping countries build institutions for public involvement, sound management of public resources, and service delivery; (d) being an agent of change on governance, for recovering stolen assets, preventing illegal tax havens and managing revenues of extractive industries.	Evaluations have addressed governance, corruption and public sector financial management. There has been less emphasis on building institutions for public involvement and the role of nongovernmental organization and community organizations.
(v) Preparing for crises: Developing new assessment, risk-sharing, financial, and policy tools to help countries be better prepared to manage crises.	IEG has done work related to the global financial crises.
2. Bringing 21st Century governance to the World Bank Group	
(i) Voice and participation: Increasing developing and transition country voting power to enhance legitimacy and effectiveness.	IEG not involved.
(ii) Work on internal governance reforms: (a)	IEG not involved. IEG’s evaluation

Enhancing transparency and accountability of WBG governance to support the overall program of reform and renewal; (b) building on and complementing reforms to enhance effectiveness, oversight and accountability; (c) clarifying the relationships among shareholders, the Board, and management to enhance stewardship of the institution and strengthen overall Bank Group corporate governance.	on WBG governance did not proceed.
Remaining financially strong	
(i) Providing IBRD with sufficient resources to return to pre-crises lending levels: (a) Contributions from developing and developed countries through an increase in pricing already implemented and reforms in pricing for loan maturity; (b) releases of national currency paid-in capital; (c) a selective capital increase; (d) continuing to maintain tight budget discipline; (e) making optimal use of the balance sheet consistent with prudent financial management and maintaining a AAA rating.	IEG not involved.
(ii) Increasing IFC's capital through a combination of options: (a) IFC shares acquired through a selective capital increase; (b) issuing a long-term hybrid to shareholders; (c) retaining earnings (e.g., modifying IFC's policies on retained earnings to provide flexibility to build capital internally, divesting mature equity investments and focusing on IFC's equity strategy to further strengthen capital regeneration while optimizing capital use); (d) increasing efficiency and effectiveness and keeping expenses below budget.	IEG not involved.
Becoming more responsive, innovative, flexible, and accountable	
(i) Modernizing services: (a) Overhauling Bank investment lending to focus better on results, increase speed and delivery, improve risk management, better align services with government priorities and partners in the field, customize services better across clients and sectors and reviewing the range of instruments for clients, including consolidating our expanding trust fund portfolio; (b) improving IFC's business processes; (c) modernizing MIGA's Convention; and (d) enhancing the WBG's position as a leader in development thinking through reforms in knowledge services.	Limited IEG involvement. The work program includes a major evaluation of trust funds and in 2008 a major evaluation was disclosed: <i>Using Knowledge to Improve Development Effectiveness: An Evaluation of World Bank Economic and Sector Work and Technical Assistance, 2000-06.</i>
(ii) Enhancing service delivery: (a) Reforming the WBG's matrix structure to promote greater connectivity and address low staff mobility, diffused accountability, and limited knowledge flows; (b) developing a new model of decentralization, under-pinned by the changes in the underlying corporate culture from matrix reform; (c) strengthening the WBG's field presence in low-income and fragile states by moving more task management to country offices and adding country directors; (d) in the medium to long term, considering a more decentralized structure involving other offices outside Washington, perhaps through a combination of hubs, with size and capabilities varying by service area, to complement country offices and bring a critical mass of top-flight expertise closer to the client.	IEG involved through the matrix management evaluation and some analytical work reported in the 2010 annual report on decentralization but the major evaluation in this area did not proceed.
(iii) Supporting reform: (a) Reforming human resources to enhance individual and organizational performance by	IEG not involved.

<p>recruiting and retaining the right diverse talent, fostering career development, enabling greater flexibility and mobility, and supporting the evolution to a new global human resource framework; (b) implementing a new three-year information management and technology plan to inaugurate an operations and knowledge system, pilot new platforms to support cooperation and knowledge services, accelerate the delivery of a new system for document search and retrieval, use targeted investments to improve connectivity for country offices and staff; (c) reforming the budget processes to strengthen the links among priorities, results and budget allocations through results-informed budgeting, integrating trust funds and other revenues, and streamlining and simplifying processes to provide budget flexibility while continuing the focus on costs efficiency through program reviews.</p>	
<p>(vi) Getting results and maintaining standards: (a) Creating frameworks where results are self- and independently assessed for all country and sector strategies and projects; (b) expanding a set of core indicators to measure outputs; (c) transforming a results framework for tracking progress on reforms into a corporate scorecard; (d) ensuring that high fiduciary and other standards are maintained (e.g., strengthening IDA controls; undertaking an independent review of oversight agencies to strengthen them and remove redundancies; moving forward on governance and anti-corruption by fully implementing the Volcker Panel recommendations; strengthening risk management through an integrated risk management framework reported on annually and overseen by a chief risk officer; (e) establishing a secretariat in the Bank headed by a Director to monitor, advise and report on internal reforms.</p>	<p>IEG's work program is well positioned to independently evaluate sector and country strategies and projects. Monitoring and evaluation is a major topic covered in evaluations and the FY2010 work program included a major evaluation on development results and institution effectiveness. Results in middle income countries have been evaluated. The annual reports report on the results agenda. A major evaluation of IDA controls was completed and IEG is evaluating the WBG's anti-corruption initiatives. Limited involvement in risk management and WBG internal reforms.</p>

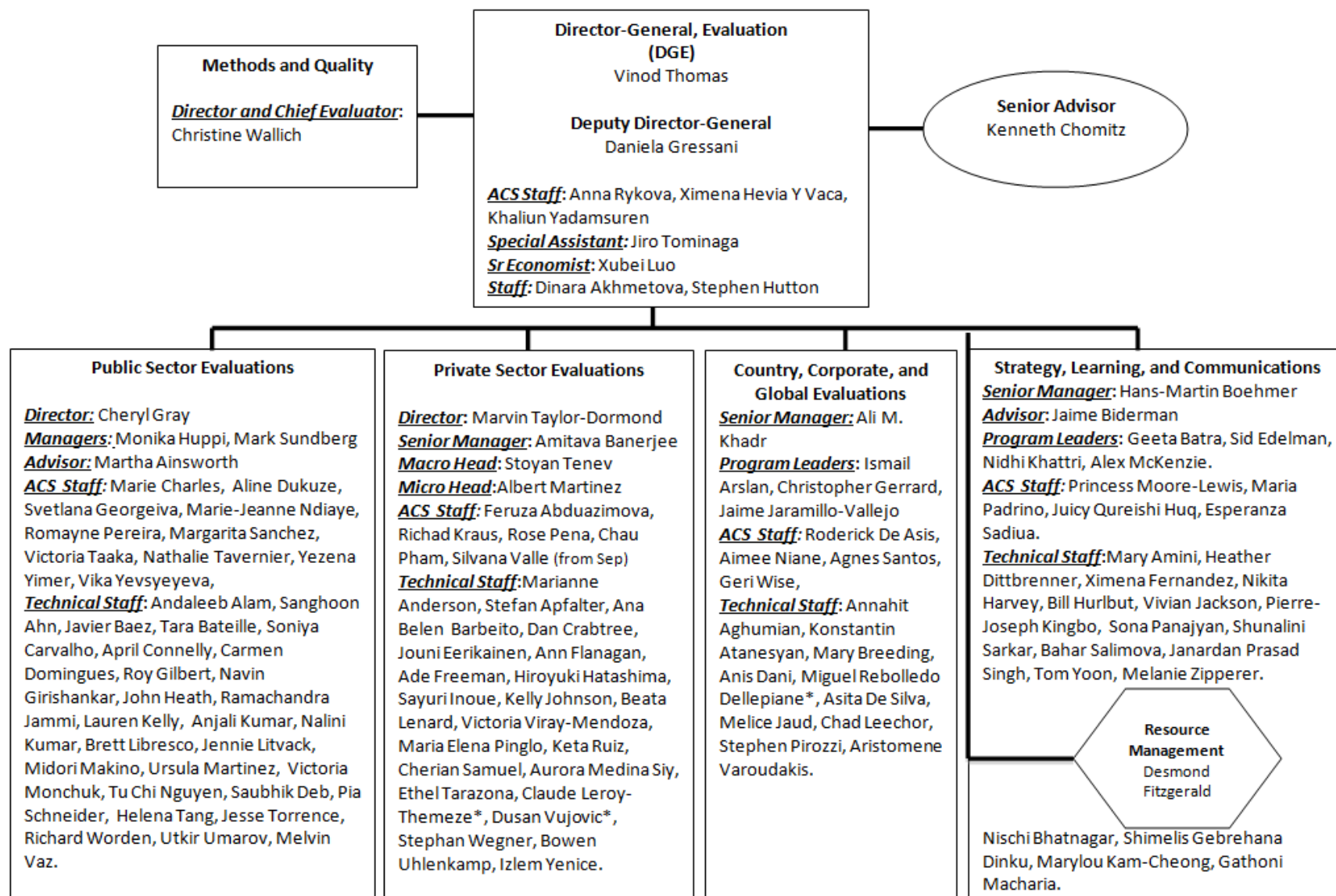
Source: Based on the FY2011 IEG work program and evaluations disclosed since 2008.

Note: IDA = International Development Association; IFC = International Finance Corporation; MIGA = Multilateral Investment Guarantee Agency; WBG = World Bank Group.

a. From synthesis paper: New World, New World Bank Group. Development Committee Meeting. 25 April 2010.

b. From analysis of FY2011 IEG work program and evaluations disclosed since 2008

Appendix K: IEG Organizational Chart (January 2011)



* All staff reassignments are of January 1, with the exception of 3 reassignments (marked with an asterisk), which will take effect when planned staff changes take place. In addition, in order to minimize disruption to the FY11 work program, existing reporting arrangements for studies with delivery dates before June 30 can remain in place. Accordingly, for this brief period, this small number of staff will have (i) a revised reporting line to their new Director/Manager, and (ii) a reporting line to the current manager for the study.