

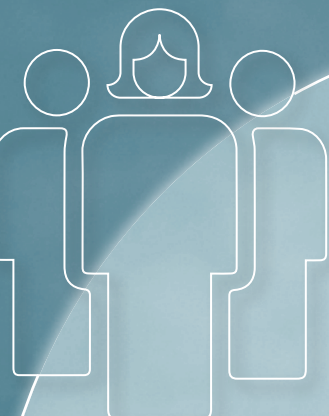


**EUROPEAN
EVALUATION
SOCIETY**



**INDEPENDENT
Evaluation Office**

United Nations Development Programme



PEOPLE, PLANET AND PROGRESS IN THE SDG ERA

Proceedings from the
National Evaluation Capacities
Conference 2017





**EUROPEAN
EVALUATION
SOCIETY**



IEO | INDEPENDENT
Evaluation Office
United Nations Development Programme

PEOPLE, PLANET AND PROGRESS IN THE SDG ERA

Proceedings from the
National Evaluation Capacities
Conference 2017

16 – 20 October 2017, Istanbul, Turkey

Co-hosted by the Independent Evaluation Office of UNDP, the Ministry of Foreign Affairs of the Government of Turkey, the UNDP Regional Bureau for Europe and the Commonwealth of Independent States (CIS) and in partnership with the European Evaluation Society (EES).

PEOPLE, PLANET AND PROGRESS IN THE SDG ERA:
PROCEEDINGS FROM THE NATIONAL EVALUATION CAPACITIES
CONFERENCE 2017

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The page features a decorative graphic at the top. It consists of a light blue circular background. Inside the circle, there is a network diagram with several nodes connected by lines. Some nodes are represented by colorful dashed circles. Below the network, there are three stylized white human figures of varying heights, representing a group of people. The title 'Acknowledgements' is written in a bold, dark blue font across the middle of the graphic, with a horizontal line of colorful dashes underneath it.

Acknowledgements

Many organizations came together to make the National Evaluation Capacities Conference 2017 in Istanbul a success. As co-hosts, the United Nations Development Programme (UNDP) Independent Evaluation Office (IEO) and Regional Bureau for Europe and the Commonwealth of Independent States (CIS) and the Ministry of Foreign Affairs of the Government of Turkey worked effectively as partners to organize the conference, in close collaboration with the European Evaluation Society (EES).

The conference was made possible thanks to the generous contributions of the Government of Turkey. Additional generous financial support from the Governments of Finland, Norway, Sweden and the Netherlands facilitated the participation of representatives from a wide range of countries, enriching the exchanges and insights shared during the conference. Oxfam, the African Development Bank and the Regional Hub of Civil Service, Astana, Kazakhstan financed the participation of several attendees and also contributed substantively to the conference.

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pre-conference workshop trainers—Mr. Tarek Azzam, Ms. Angela Bester, Mr. Nilesh Chatterjee, Ms. Alejandra Faúndez, Ms. Emma Fawcett, Mr. Fredrik Korfker, Mr. Tomasz Kupiec, Ms. Haneen Malallah, Ms. Claudia Maldonado Trujillo, Mr. Raghavan Narayanan, Mr. Stephen Porter, Ms. Jo Puri, Ms. Sabina Sadieva, Ms. Mona Selim, Ms. Isabel Suarez, Mr. Messay Tassew, Mr. Jos Vaessen, Mr. Ricardo Wilson-Grau, Ms. Dominika Wojtowicz, Mr. Debazou Yantio and Mr. Aibatyr Zhumagulov—for their substantive inputs. Ms. Jo Puri, Head of the Green Climate Fund Independent Evaluation Office, deserves special mention for her contributions to the segment of the conference focused on environment and climate change. The support from the evaluation offices of the United Nations and multilateral systems is also recognized.

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Preface



It was my pleasure as Director of the United Nations Development Programme (UNDP) Regional Bureau for Europe and the Commonwealth of Independent States (CIS) to co-host, with the Government of Turkey and the UNDP Independent Evaluation Office, the National Evaluation Capacities Conference 2017 (NEC 2017), which took place in Istanbul from 16 to 20 October 2017 on the theme *People, Planet and Progress in the SDG Era*.

This global event brought together government representatives, evaluation practitioners and development professionals from 119 countries, including a record number of participants from the Europe and CIS region. The remarkable level of participation can be linked to the importance of the Sustainable Development Goals (SDGs) and the 2030 Agenda for Sustainable Development. The SDGs are important for three key reasons.

- Aspirationally, they offer a global vision of economic growth that leaves no one behind while helping us live within our planetary boundaries.
- Technically, they offer an integrated, universal agenda for development policy coherence, supported by 169 quantitative, time-bound targets and some 230 indicators.
- Stressing the importance of partnerships, they represent a call to all development partners to work together to pursue a common sustainable development agenda.

The NEC 2017 provided an excellent—perhaps unprecedented—opportunity to bring these three elements together in critically important ways. From a technical perspective, this gathering reflected the fact that national policy evaluation is central to national SDG implementation. Sustainable development requires the design and implementation of whole-of-government approaches to policies and programming that are holistic in nature and aligned with the SDGs. These policies and programmes must be rigorously evaluated in order to assess and document the achievement of both outcomes and longer-term impact. Evaluation is needed to determine whether problems are correctly identified, whether intended effects are achieved and whether unintended effects (both positive and negative) occur. Evaluation can also build policymakers' knowledge of problems and potential remedies and demonstrate government accountability to its citizens.

If they are to inform policy implementation and outcomes, the global SDG targets and indicators need to be measurable. Many governments are now facing important questions about whether to use the SDG targets and indicators in their global form, or to adapt them to national specifics—and if so, how. They are facing important challenges of ensuring the data quality and availability—especially for the SDG indicators. Finding good answers to these questions is crucial in evaluating the policies, strategies and programmes that are intimately tied to implementing the SDGs. To be “fit for purpose” for the SDGs, national systems must include both strong “monitoring” and “evaluation” components.

In addition to its focus on the SDGs and the 2030 Agenda for Sustainable Development, NEC 2017 explored progress since the NEC 2015 in Bangkok, examining innovations and lessons learned in strengthening national evaluation policy frameworks and enabling environments. Discussions initiated at NEC 2013 in Brazil on the importance of independence, credibility and use of evaluations to improve the effectiveness of public policy, programmes and service delivery were again at the heart of many of the sessions in Istanbul. The importance of multi-stakeholder approaches, including engagement with the private sector, were also addressed. Reflections on new directions for evaluation in a rapidly changing world recalled the words of the 2030 Agenda: bold and transformative steps are urgently needed to support national transitions to sustainable development.

The United Nations development system remains committed to helping governments (and other national partners) to put in place the institutional capacity to perform these critical monitoring and evaluation functions. This means supporting the development of the knowledge, institutions and resources needed to design and operate effective monitoring and evaluation systems for policies, projects and programmes. It means strengthening evidence-based decision-making processes in both governments and civil society. It means capturing the knowledge generated from evaluation processes and sharing it across sectors and goals, to support more effective policies, projects and programmes—as well as more useful evaluations.

In UNDP, we will continue to offer this support within the framework of both national and global SDG support platforms, as per our Strategic Plan, 2018-2021. These platforms can provide sustainable development solutions for diverse national contexts, helping countries to pursue the development pathways of their choice, with the ultimate goal of achieving the SDGs. Focus may be on such basic development priorities as poverty eradication, jobs and livelihoods, governance and institutional capacity. The emphasis may be on broader policy choices and synergies to accelerate progress in SDG implementation. The accent may be on helping countries and communities deal with sudden or protracted shocks and crises due to man-made or natural causes.

UNDP remains committed to helping countries “connect the dots” on the most complex sustainable development issues and, as part of this effort, working with partners to strengthen national capacities for evaluation.



Cihan Sultanoğlu

UNDP Regional Director for Europe and the CIS

Foreword



The United Nations Development Programme (UNDP) holds that national evaluation functions, when appropriately tailored to national contexts and circumstances, constitute effective country-led mechanisms for citizen accountability that can accelerate progress towards the Sustainable Development Goals (SDGs). UNDP thus embraces support to national evaluation capacity as one of its programmatic priorities. The European Evaluation Society (EES) envisions a world where evaluation contributes to human welfare through social learning and seeks to advance evaluation knowledge and to encourage adoption of good practices by fostering evaluation excellence, independence and partnerships. Brought together by their interrelated visions and goals, the UNDP Independent Evaluation Office and EES partnered in the substantive design and implementation of the National Evaluation Capacities Conference 2017 in Istanbul, co-hosted by UNDP and the Government of Turkey.

This conference, on the theme *People, Planet and Progress in the SDG Era*, was designed first and foremost to offer opportunities to share experiences and learning among government officials from national and subnational institutions that are engaged directly or indirectly with evaluation and/or the sustainable development agenda. The event exceeded expectations in many ways. A record number of participants from a record number of countries attended, with representatives of governments; global, regional and national evaluation associations and networks; development partner institutions including United Nations agencies, multi-lateral development banks, international and national non-governmental organizations; academia; and the private sector. Pre-conference technical training workshops generated unprecedented demand. Conference sessions covered a wide range of topics, from lessons, experiences, challenges and progress since 2015 in establishing and strengthening national evaluation systems to the implications of the SDGs for evaluation practice and national evaluation systems; from oft-debated but still relevant issues of independence, credibility and use of evaluations to new challenges of evaluating national policies and programmes with not only a human rights and gender-responsive lens but with an environmental sustainability optic as well; from the role of civil society in national evaluation systems to lessons to be learned from private sector evaluation, all with illustrative examples coming from Albania to Zimbabwe and many countries in between.

The previous conference in Bangkok was held on the heels of the United Nations Sustainable Development Summit where Heads of State adopted the 2030 Agenda for Sustainable Development. The moment seemed fortuitous for raising broader awareness not just of evaluation generally, but also for giving explicit emphasis to the imperative of national capacities. And indeed, in the two years since the 2030 Agenda was adopted, interest and attention have only grown. The SDGs are universal, and evaluation is a universal, technical and professional dimension to good governance and public management, no matter region or culture, to help ensure that no one will be left behind.

Certainly, in the era of the 2030 Agenda, it is at the national level that directions of development will be shaped. Likewise, it is at the country level that evaluation and capacity development efforts need to be focused. This conference was not a venue for formal commitments or declarations but rather a platform for exchange of experience and reflection upon challenges and opportunities for what evaluation can bring to the nascent order of respective countries' plans for implementation of the SDGs, with inputs from evaluation experts, evaluation commissioners and managers and evaluation users.

UNDP and the EES remain committed to continuing support to dialogue, exchanges and capacity development activities to support improved enabling environments for evaluation, stronger communities of practice and peer-to-peer networks, and a greater understanding of the role evaluation can play in enhancing progress towards the SDGs. We hope that this report will serve as an advocacy tool and reference point for continued engagement to strengthen national evaluation capacities and systems.



Indran Naidoo

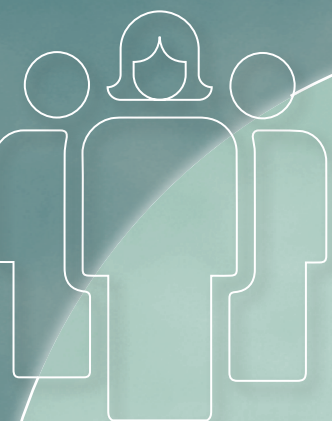
Director, Independent Evaluation Office
United Nations Development Programme



Riitta Oksanen

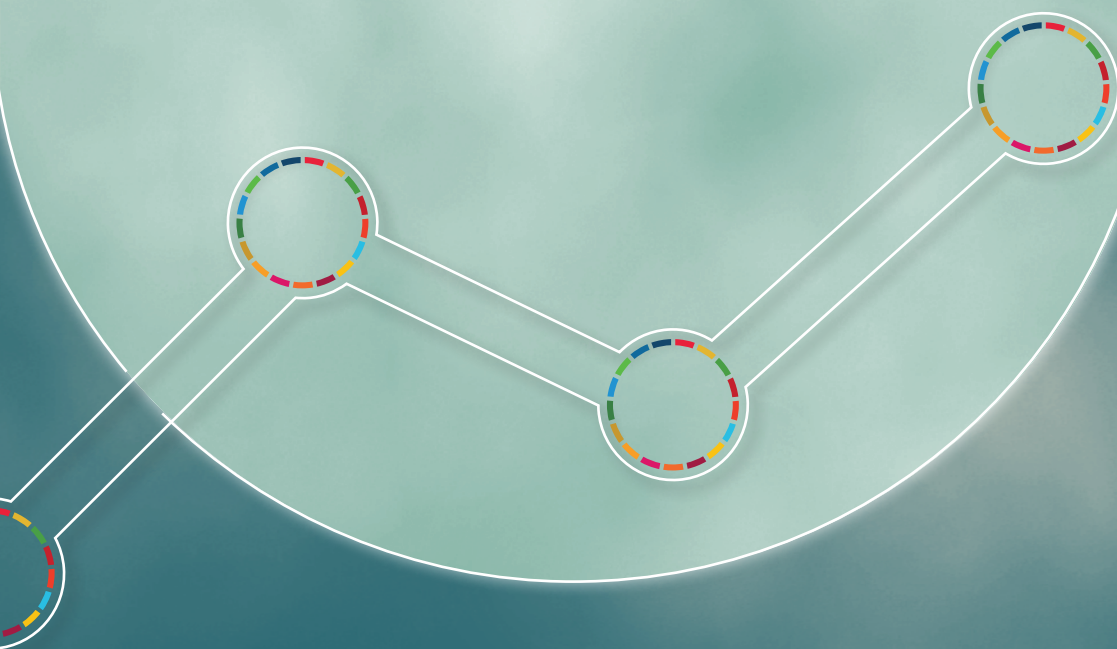
President (2016-2017)
European Evaluation Society





PART 1

Introduction



1. Introduction to and Overview of the National Evaluation Capacities Conference 2017

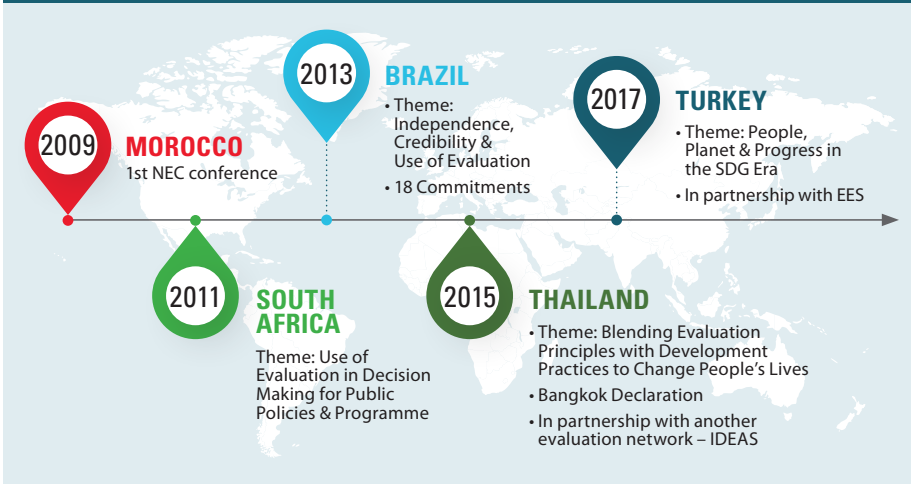
“Improved national evaluation capacity enhances progress towards the Sustainable Development Goals.”

– UNDP Evaluation Policy 2016

Together with the Government of Turkey, the United Nations Development Programme (UNDP) Independent Evaluation Office (IEO) and Regional Bureau for Europe and the Commonwealth of Independent States (CIS) co-hosted the National Evaluation Capacities Conference 2017 (NEC 2017), held in Istanbul from 16 to 20 October 2017. The conference brought together more than 500 participants under the banner of *People, Planet and Progress in the SDG Era*. NEC 2017 was organized with technical support from the European Evaluation Society (EES). The unprecedented turnout at the event—far beyond the original target of 300 participants—is a testament to the increasing interest in and progress by national governments in developing credible and comprehensive evaluation systems.

NEC 2017 built on the foundations laid by past NEC conferences, the first of which was held in Morocco in 2009. The event in Morocco brought together 62 participants from 30 countries for an initial conversation, with an emphasis on government-to-government exchanges. Participants at this first conference recommended that follow-up events be organized regularly. In response, the UNDP Evaluation Office (as it was then known) and the Public Service Commission of South Africa organized a second conference in 2011 in Johannesburg. There, the conversation continued with 97 participants, with a continued emphasis on sharing between governments the issue of use of evaluation in public policy decision-making. In Brazil in 2013, the conference grew to 170 participants from 58 countries, with an increase in the number of representatives from civil society, including independent evaluators, researchers, academics and the United Nations system including UNDP. The discussions delved into issues of independence, credibility and use of evaluations, resulting in 18 commitments by the participants for taking evaluation capacities forward. The fourth event in 2015 in Bangkok represented an enormous leap, with 450 participants from 100 countries

FIGURE 1. HISTORY OF THE NEC CONFERENCES



and with much greater participation from civil society (including organizations of professional evaluators and academia).

The year 2015 was significant for the United Nations, for development and for evaluation. In September, the United Nations General Assembly adopted the 2030 Agenda for Sustainable Development, articulating 17 Sustainable Development Goals (SDGs). This appeal to “transform our world” included a call for systematic follow-up and review of implementation of the Goals and highlighted that country-led evaluations constitute a key element in this process. In October, NEC 2015 in Bangkok immediately took up the challenge of the new era to focus discussions on how governments can develop the necessary capacities to evaluate sustainable human development. Two years on, recognizing that strengthening national evaluation capacities is more important than ever, NEC 2017 was designed to build on the momentum of past conferences. As in earlier gatherings, the conference was designed to provide opportunities to present and exchange lessons, innovations, experiences and perspectives in developing and adapting national evaluation capacities, this time with a focus on the implications of the SDGs and the new challenges and opportunities they offer. A record-breaking 508 people attended the conference, representing 119 countries.

The NEC journey, from 2009 to 2017, has traced multiple contours. From the outset, the NEC conferences have stressed that national evaluation capacity is directly linked to development and to its governance; over the years, the events have framed one theme that has evolved into the next, gathering momentum with new participants, new countries and new topics. The advent of the SDGs has been particularly important: the critical responsibility of governments for realization of the SDGs depends in good part on their capacities to review their performance and make adjustments in order to continually progress. The United Nations has recognized this as well, with the statement of the Secretary-General, Antonio Guterres, that “we need a culture of evaluation, independent and real-time evaluation with

full transparency”.¹ The NEC conferences recognize that evaluation is normative, as articulated in the United Nations Evaluation Group (UNEG) Norms and Standards, first adopted in 2005 and revised and updated in 2016 in response to General Assembly resolution 69/237 of 19 December 2014 on building capacity for the evaluation of development activities at country level. Another thread connecting the NEC conferences over the years has been the emphasis on the need for clear political commitment to evaluation, with associated policies and mechanisms to take evaluation forward so that it can realize its potential as a contribution to development. Finally, the conferences have discussed and promoted the professionalization of evaluators, which is even more critical in the ever more complex environment of the SDGs.

The 2017 conference was structured around three intersecting and interlinked strands:

- National evaluation capacities in the SDG era;
- The implications of the SDGs for evaluation and national evaluation capacities;
- New directions in evaluation.

The first strand sought to examine progress in national evaluation capacity development since NEC 2015 in Bangkok. Speakers and panelists shared national experiences, innovations and lessons learned, highlighting successes and challenges in strengthening enabling environments, national evaluation policy frameworks and institutional set-ups, including responses to the new challenges of the 2030 Agenda. Several presentations focused on national experiences in integrating the SDGs in national development policy frameworks, budgeting processes and monitoring and evaluation systems.

The second strand looked at evaluation and evaluation capacities from the perspective of the SDGs, building on the Bangkok conference which witnessed an “emerging body of shared understanding on lessons and priorities for evaluation practice in the era of the ...SDGs to help guide joint action in future support of national evaluation capacity”.² NEC 2017 continued this exploration, looking in greater depth at the principle of “leave no one behind” and at the interlinkages and interdependencies of the SDGs with a particular focus not only on people and the planet, but also on prosperity and peace.

The third strand reflected on new paradigms and new directions for evaluation in a rapidly changing world. Participants sought answers to questions such as, what do the SDGs mean for evaluation criteria, for evaluation methods, for evaluation dissemination? Is evaluation as currently institutionalized in many public policy contexts equipped to adequately address complexity issues in policy interventions? How can partnerships strengthen national evaluation systems and contribute to assessment of progress towards the SDGs?

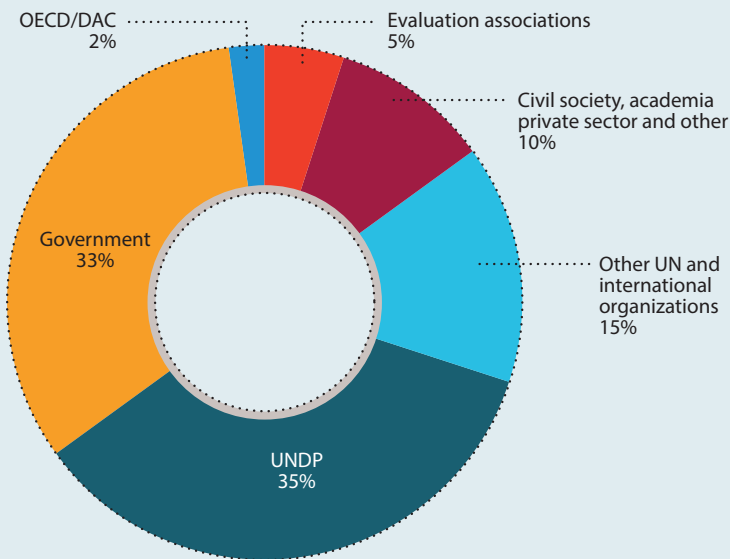
As in the past, NEC 2017 was intended first and foremost to offer opportunities to government officials from national and subnational institutions who are engaged directly or

1 <http://www.unevaluation.org/mediacenter/newscenter/newsdetail/121>.

2 Bangkok Principles on National Evaluation Capacity for the Sustainable Development Goals (SDG) era, 30 October 2015, http://web.undp.org/evaluation/nec/nec-2015_declaration.shtml.

indirectly with evaluation to share experiences and learning. As the SDGs are universal, participation from all countries was encouraged and 119 countries were represented. As in 2015, UNDP staff engaged in supporting national governments on evaluation, governance and/or the 2030 Agenda were also encouraged to attend. Other participants included evaluators and other development actors from UNDP programme countries, members of the EES, experts from other networks such as UNEG, the Evaluation Coordination Group of the multilateral development banks and the Development Assistance Committee of the Organisation for Economic Co-operation and Development (OECD-DAC), as well as from professional evaluation associations and other members of the wider global evaluation community. Figure 2 below shows the breakdown of the participants by category.

FIGURE 2. PARTICIPANTS IN THE NEC 2017



CATEGORY	NUMBER OF PARTICIPANTS
OECD/DAC	12
Evaluation associations	26
Civil society, academia, private sector and other	49
Other United Nations and international organizations	76
UNDP	178
Government	167
Total	508

The conference had two components. The first two days were devoted to individual capacity development: 13 technical training workshops were offered on a wide range of topics, providing participants with the opportunity to explore subjects in depth with experts from around the world. More than 150 conference participants took advantage of these workshops each day. The following three days were dedicated to the conference itself. The conference was designed to provide all participants with multiple spaces for engagement and knowledge sharing. A mix of plenary sessions and parallel strands was offered, with a variety of formats including keynote speakers, presentations of papers, panel discussions and small, highly interactive sessions.

Over the course of the three days, the conference sought to answer the following overarching questions:

- What has been the progress and innovation in national evaluation frameworks, institutions, systems, capacities, methods and tools since 2015?
- In the current, rapidly evolving development context and the framework of the SDGs, how do the principles and practices of evaluation need to change? What are the implications for national evaluation capacities?
- What needs to be done to ensure that evaluation enhances progress towards the SDGs and responds to the 2030 Agenda for Sustainable Development?

With respect to progress in national evaluation frameworks and systems, several sessions examined this issue from different angles. One session explored innovations and lessons learned in strengthening enabling environments, national evaluation policy frameworks and institutional set-ups in different contexts, with examples from China, Georgia, Kazakhstan and Morocco. Another session, conducted in French, engaged similar discussions with examples from Burkina Faso, the Democratic Republic of the Congo, Mali and Tunisia. The IEO introduced a diagnostic guide and self-assessment tool to assist countries to develop a systematic approach to determining key areas, pathways and parameters for evaluating national development strategies and the SDGs. To help shape the final contours of the tool, lessons were shared from Bangladesh, Botswana and Uganda. For the Asia-Pacific region, where country case studies assessing evaluation systems and capacities are generating knowledge to guide national evaluation capacity development for the SDGs, experiences from Sri Lanka and Malaysia were presented. Several sessions examined the SDG indicator framework, data, monitoring and evaluation and the role of and findings from voluntary national review reports submitted to the United Nations high-level political forum on sustainable development, with sharing of experiences from Albania, Dominican Republic, Guatemala, Finland, Malawi, Montenegro, Republic of Moldova, Swaziland, Turkey and Uzbekistan. In another session, participants explored the main challenges facing governments in evaluating public policies and programmes in the context of the SDGs, with examples from Botswana, China, Malawi, Norway and the Philippines.

Key messages emerging from these sessions are that considerable progress has been made in awareness of the importance of evaluation for public policy and development, and systems are evolving to meet the challenges. However, with the advent of the SDGs, much

of the focus has been on integrating the SDGs into national development frameworks and strategies, assessing data readiness and gaps with respect to the indicators, and setting up systems for measuring progress against the goals and targets, with less attention given to strengthening evaluation systems and capacities. The role of evaluation as an essential complement to indicators when judging the effects of policies and programmes still needs to be reinforced.

With respect to the second set of questions, surrounding the current, rapidly evolving development context and the framework of the SDGs and how the principles and practices of evaluation may need to change, several sessions looked at specific elements of the 2030 Agenda. From the perspective of the three themes of the conference, *People, Planet and Progress in the SDG Era*, which derive from the SDGs, for the first “P”—people—the principle of “leave no one behind” is paramount. This applies not only to the SDGs and related policies and programmes but also to evaluation. UN Women led a session to examine how global commitments are being translated into frameworks at the national level for the evaluation of the SDGs, with experiences and lessons from a Tunisian parliamentarian and the African Evaluation Association and a review of evaluation systems in Latin America. The IEO presented messages and methodological lessons from its evaluation of the UNDP contribution to disability-inclusive development between 2008 and 2016. Oxfam shared experiences from Ghana and Ethiopia to explore the role of civil society in evidence gathering and social accountability in evaluation to ensure that no one is left behind. Examples from the Islamic Republic of Iran illustrated the importance of geography and measuring spatial inequalities to ensure that no regions are left behind, and a case study from Zimbabwe discussed the importance of gender-responsive evaluation for policy formulation, planning, programming, resource allocation and achievement of the SDGs. The discussions all pointed to the idea that development of national capacities to demand and conduct high-quality, gender-responsive evaluations is a key contributor to achieving more effective development for women, men, boys and girls, a key priority of the 2030 Agenda.³

Addressing the second “P”, the planet, the Independent Evaluation Office of the Global Environment Facility, the Independent Evaluation Unit of the Green Climate Fund and a representative of the Ministry of Agriculture, Lands, Housing and the Environment, Antigua and Barbuda, started the conversation by asking, is the environment being left behind? In another session, panelists asked, are we missing the forests for the trees? What are global evaluations of forestry programmes telling us? Others asked if traditional evaluation criteria work in a world of volatility and increasing disaster and climate risks? What is resilience and how does one evaluate it? Speakers attending the latter session brought examples from the perspective of the secretariat of the United Nations Framework Convention on Climate Change and from Belarus, the Netherlands, Republic of Moldova and Turkey. These perspectives highlighted the importance of ensuring that evaluations do not look at interventions in isolation but rather as part of complex, adaptive systems, and that evaluation

3 See part 3, chapter 2, Inga Sniukaite et al, ‘Gender-responsive evaluation for accelerating progress on the SDGs’.

teams have the capacities to adequately understand the dynamics of not only social but natural systems.⁴

The SDGs emphasize two additional “Ps”, peace and prosperity. SDG 16 on just, peaceful and inclusive societies is not only a valuable and important objective in its own right but is also an important enabling goal for the entire sustainable development agenda. Yet there are few agreed methodologies to measure and evaluate the issues addressed in SDG 16. Unlike other thematic areas in the 2030 Agenda, generating data on peace, justice and the effectiveness of institutions is a relatively new area of engagement for national and international actors alike, and many discussions to date have focused on indicators and sources of data. As Wilde and Inglis point out, data and indicators can be useful conversation starters, but it is important that stakeholders not lose sight of the end goal: action by policymakers and tangible improvements in people’s lives.⁵ In addition, indicators alone cannot explain how or why changes occur. Evaluation will be critical to understand the interlinkages between goals, especially the more complex SDG 16.⁶ During the conference, experiences from Kyrgyzstan, Liberia and Republic of Moldova deepened the conversations on this topic.

These conversations on the implications of the SDGs for the principles and practices of evaluation flowed into the third question addressed by the conference, what needs to be done to ensure that evaluation advances and enhances progress towards the SDGs? An important theme of these forward-looking sessions was dealing with complexity in an increasingly interconnected world. A high-level panel initiated the discussion by asking, does the 2030 Agenda require a rethink of what have become known as the “DAC evaluation criteria”? Without offering definitive answers, the conclusions of the session were that the evaluation community needs to build on the strengths of the criteria, further sharpen them and weave in the new questions that evaluation needs to ask.

Michael Woolcock, a keynote speaker, took up the theme of complexity again in his discussion of the virtues and limits of “evidence-based policy”, in which he noted that traditional research and evaluation methods are often inadequate for assessing complex interventions which tend to yield highly variable outcomes over time. He emphasized the importance of matching types of evidence to types of problems. A subsequent session continued the exploration, asking what is complexity and why is it so important at this time? What are the most important conceptual or methodological challenges for evaluation in addressing complexity? A highly focused session took up the question of complexity with respect to the evaluation, monitoring and reporting of transformative interventions at scale within the forest climate-change mitigation/sustainable development nexus. Yet another session posited that evaluations are not always enough and there are challenges in translating evidence into action. What do the lessons from the growing field of behavioural sciences imply for

4 See part 3, chapter 5, Juha Uitto, ‘Sustainable development evaluation: Is the environment being left behind?’

5 See part 3, chapter 7, Alexandra Wilde and Shelley Inglis, ‘Evaluating progress towards SDG 16: Effective governance and sustaining peace.’

6 Ibid.

evaluation? Evaluations cannot stop at the level of programme or policy but need to go the “last mile” to assess behavioural change.

Another element of complexity recognized by the 2030 Agenda is that achieving the SDGs will require far more action and capital than governments, multilateral agencies and foundations can provide. The private sector is key, as a contributor to the fourth “P”—prosperity—and to economic progress, but also as a broader partner for socially and environmentally sustainable development. In this context, understanding the contribution of companies and investors becomes critical. The 2017 Conference thus introduced a topic new to the NEC series—the private sector and evaluation. Several sessions explored different aspects of private sector evaluation, including how companies measure their contributions to development. Other topics included interpreting impact investing models through an examination of intentionality, theory of change and indicators; the specificity and dynamics of private sector evaluation; and theory-based evaluation of public-private partnership projects and programmes. Across these sessions, participants discussed lessons learned and the potential for harmonizing approaches across development evaluation and evaluation of social impact investing. Examples from private sector actors and researchers from India, the Netherlands, Pakistan, Portugal, Saudi Arabia and Turkey illuminated the discussions.

The fifth “P” of the 2030 Agenda is partnership. Partnerships are key not only to achieving the SDGs but also to strengthening national evaluation systems. This was a recurring theme throughout the conference and the subject of several sessions. One session examined how partnerships with civil society can elevate national evaluation capacities, with illustrative experiences from El Salvador, Ethiopia and Mexico. Another session explored partnerships between governments and national evaluation associations to strengthen evidence-based policy, beginning with examples from Kenya and Zambia, complemented by a presentation on evaluation systems and policymaking in Central and Eastern Europe. One session looked at DAC donors and their role in evaluation capacity development for the SDGs, and another explored lessons from peer-to-peer learning arrangements for strengthened evaluation capacities, using examples from Africa and Latin America. Countries participating in the Twende Mbele initiative in Africa have been able to build on pioneering work and lessons from partner countries to strengthen their national evaluation systems. The Inter-Institutional Working Group of Evaluation in Latin America has found that while countries may have different problems and different agendas, they face similar challenges in evaluation. Looking at partnerships and evaluation from another angle, a discussion-oriented session examining issues surrounding multi-stakeholder partnerships and evaluation suggested that evaluators need to be open to experimenting with less conventional tools and methods when evaluating multi-stakeholder partnerships, while being attentive to power dynamics, political complexities and the need for inclusive evaluation practices.⁷

In addition, the conference examined the critical issue of data. Many sessions discussed data-related challenges with reference to the SDG indicator framework and national

7 See part 3, chapter 8, Angela Bester and Leon Hermans, ‘Multi-stakeholder partnerships: Implications for evaluation practice, methods and capacities.’

monitoring and evaluation systems. One panel looked specifically at how new data and big data are altering evaluation, policy and programming. Examples from Europe and Africa animated the discussion, which demonstrated how alternative (user-generated, big and sensor) data can be a valuable and cost-effective source for measurement of selected SDG indicators.⁸

The following pages offer elements of response to the many questions outlined above. Part 2 of these proceedings includes papers discussing national evaluation systems and national evaluation capacities. Part 3 explores the SDGs and their implications for evaluation and national evaluation capacities. Part 4 points to new directions, including the themes of complexity, private sector evaluation, partnerships and new data. Finally, this report concludes with a chapter on lessons learned from the NEC conferences and provides some possible answers to the question, what's next for NEC?

8 See part 4, chapter 15, Dmitri Belan and Lejla Sadiku, 'The potential of new data to accelerate the SDGs'

2. Evaluation for an Inclusive, Equitable, Prosperous and Sustainable World

MICHELLE GYLES-MCDONNOUGH

Director, Sustainable Development Unit
Executive Office of the Secretary-General of the United Nations

Your Excellencies,

Deputy Minister of Foreign Affairs, Ambassador Ahmet Yildiz,
Assistant Secretary-General and UNDP Assistant Administrator, Cihan Sultanoğlu,
Director of the UNDP Independent Evaluation Office, Indran Naidoo,
President of the European Evaluation Society, Riitta Oksanen,
Ladies and Gentlemen,

Good Morning.

I would like to thank the organizers of this very important meeting—the fifth global National Evaluation Capacities Conference—for inviting me to share my perspectives. It is indeed my pleasure to be here and to contribute to discussions addressing the theme, People, Planet and Progress in the SDG Era.

The programme for the week raises pertinent questions for the way forward in evaluation for sustainable development that need to be considered not only by the evaluation community, but also by society at large.

I am sure that this dialogue among global and national experts and practitioners will make clear the additional steps that will be required to evaluate our progress towards achieving the 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs), and highlight any course corrections that may be required.

I hope that my observations this morning will provide insights for your discussions during the course of this week on how the evaluation community can build upon the progress it has made so far to accelerate action for achievement of the SDGs, particularly, in relation to measurement and evaluation approaches; strengthening national systems and capacities; improving data collection and analysis, including local level and better disaggregated data; expanding and deepening partnerships and stakeholder engagement; and, as well, ensuring funding for evaluation activities that are core to making the 2030 Agenda for Sustainable Development a reality.

My address this morning will speak to five key dimensions: (1) the context of the Sustainable Development Goals; (2) the complexities and challenges the SDGs present as an inter-related agenda; (3) the core principle of leaving no one behind and the data implications and requirements of this central principle; (4) the importance of strengthening national capacities and strategic partnerships; and (5) the collective national, regional and international responsibilities we will need to forge and strengthen to hold us to our global course.

Ladies and gentlemen,

Let me begin with the first key dimension and contextualize the transition from the era of the Millennium Development Goals (MDGs) to the Sustainable Development Goals (SDGs).

As we are all aware, the 17 Sustainable Development Goals are not merely a doubling of the number of goals that the global community seeks to undertake. Nor is it just about increasing the total number of targets and indicators by which we seek to benchmark ourselves.

The SDGs constitute a paradigm shift. Unlike the Millennium Development Goals that applied only to developing countries, the Sustainable Development Goals apply universally to all United Nations Member States, North and South alike, at all stages of development. The global community, in September 2015, pledged to carry on the work and complete the unfinished business of the Millennium Development Goals; and to build on it in a call to action for peace, prosperity, people, planet, and partnership to create this future that we want.

At its core, the SDGs are integrated and indivisible and balance the three dimensions of sustainable development: the economic, social and environmental. While the SDGs maintain the thematic work on poverty eradication targeted by the MDGs, they reflect a comprehensive perspective on international development and sustaining human life on this planet. By providing a set of integrated targets and progress indicators, the sustainable development goals are the key to the success of the 2030 Agenda and will guide the development agendas and national policies of United Nations Member States and their international cooperation over the remaining 13 years.

In reflecting, the fragile state of our planet and the impact on societies, the SDGs are linked to the need for the global community to adopt and implement integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters both natural and man-made, and to develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015–2030, holistic disaster risk management at all levels.

The SDG framework also includes goals on climate change and sustainable energy for all, and together with the Paris Agreement under the United Nations Framework Convention on Climate Change recognized that climate change represents an urgent and potentially irreversible threat to human societies and the planet, and thus requires the widest possible cooperation by all countries and requires an ambitious international response.

The 2030 Agenda and the Sustainable Development Goals are underpinned by the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, which establishes a strong foundation to support its implementation. It will take trillions of dollars to implement and monitor the 2030 Agenda, and the Addis Ababa Action Agenda

provides a new global framework for financing sustainable development by aligning all financing flows and policies with economic, social and environmental priorities. It includes a comprehensive set of policy actions, with over 100 concrete measures that draw upon all sources of finance—domestic and international, public and private—and on technology, innovation, trade, debt and data, in order to support achievement of the Sustainable Development Goals.

Another significant difference between the MDGs and SDGs is how they have been created: the Sustainable Development Goals emerged from an unparalleled participatory policy process, and this is reflected in their scale and ambition. In addition to United Nations Member States, business, civil society, academia and millions of ordinary citizens contributed to crafting the Goals.

This inclusive and participatory process resulted in this comprehensive, far-reaching and people-centred set of universal and transformative goals and targets, perhaps the global community's single largest developmental agenda, road map and hope for a more equitable, inclusive, resilient, peaceful and sustainable planet. Ownership is broad-based and strengthens the demand for accountability for results.

This is the context to which national evaluation practice and capacities must respond.

This brings me to my second key dimension. The integrated nature of the SDG agenda.

What we have set out to undertake is a bold and transformative journey. But is also presents to us a whole new and complex challenge that calls on us to begin to design, implement, monitor and evaluate development from a different *playbook*.

A key starting point is acknowledging the interdependent, interconnected nature of our world and of the relationships among the various stakeholders acting within it, and how this has direct and indirect impact on political, institutional, social, economic and environmental outcomes.

At the recent high-level political forum on sustainable development, 43 countries, including 11 developed and 32 developing countries, voluntarily submitted their national reviews. Through these voluntary national reviews and the statements during the general debate of the 72nd session of the United Nations General Assembly, it is clear that the 2030 Agenda demands the move away from business as usual.

The SDGs require governments to go beyond traditional development programmes to tackle the complexity of the 2030 Agenda through integrated approaches. To deal with the multidimensionality of the challenges, some countries are pursuing outcome-based approaches, grappling with the interlinkages across Goals and related synergies and trade-offs, as they try to find their own pathways to achieve the goals and mobilize the necessary financing to achieve it.

With budgets of government ministries allocated and measured on their contribution to overarching national outcomes and not confined to narrow ministerial portfolios, attempts are being put into place in some countries to take a whole-of-government approach towards achievement and measuring the Sustainable Development Goals. And they will also have to adjust their evaluation approaches.

We are pleased to take note of the emerging interest of supreme audit institutions to also play a critical role in assessing the development impact of the SDGs and the return on the investments through the budgetary allocations.

Supreme audit institutions are beginning to focus on: (1) assessing the readiness of national systems to report on progress toward the achievement of the SDGs, and subsequently to audit their operations and the reliability of the data they produce; (2) performance audits that examine the economy, efficiency and effectiveness of key government programmes that contribute to specific aspects of the SDGs; and (3) assessing and supporting, as appropriate, the implementation of SDG 16 which relates in part to transparent, efficient and accountable institutions, crucial to achievement of the Goals.

This process of implementation, monitoring, evaluation and performance audits is not only forcing us to comprehend the complexity of the development agenda, but also has placed much needed priority attention on addressing the root causes of the development challenges countries are facing.

Deepening the learning; stepping up the pace of implementation; building capacities for managing complexity, for futures thinking and for integrated analysis and programme development; aligning budget processes; leveraging innovation, technology and public and private finance; and strengthening national monitoring and evaluation capacities are essential for achieving this ambitious agenda.

These new approaches are welcomed. It also raises the question of how will this impact evaluation methodologies and approaches that are currently in place in many countries? Are current evaluation methodologies, mechanisms and institutional arrangements fit for purpose to be able to evaluate the inter-related nature of the development?

I am very pleased to note through the plenary and individual sessions that the conference will have a dialogue on how the agenda of eradicating poverty in all its forms and dimensions, combating inequality within and among countries, preserving the planet, creating sustained, inclusive and sustainable economic growth and fostering social inclusion are linked to each other and are interdependent.

Your expert insights on these interlinkages and interdependencies and their practical implications for evaluation systems and for evaluation practice and enhancement of national evaluation capacities will help move this agenda forward.

Ladies and gentlemen,

The third key dimension I would like to highlight is the core principle of leaving no one behind and the implications for the data requirements and the partnerships that will be required to make this a lived principle.

To achieve the aspirations of the SDGs, nothing short of a global data revolution must take place. It must move from buzz words to reality.

Without high-quality data, providing the right information on the right things at the right time, designing, monitoring and evaluating effective policies is almost impossible.

We will need to strengthen data systems, including through leveraging technology, and disaggregate data to address the challenge of invisibility (the gap in what we know) and the

challenge of inequality (the gap between the haves and have nots along multiple dimensions, and not just income). This is imperative if we are to leave no one behind.

Gender lens and rights-based approaches are essential ingredients of an inclusive approach.

Gender equality is both a Goal in itself and a key enabler of all other Goals if we are to unleash the full potential of our human community. The systematic mainstreaming of a gender perspective in the implementation of the whole 2030 Agenda is crucial.

To make this breakthrough, we have to go to the root of our social, economic and political constructs and invest in tearing down the constraints to empowerment, participation and progress. If we are unable to do so, the measures of our achievements are neither sustainable nor resilient to withstand political, socioeconomic and environmental shocks.

The data revolution will be the essential lynchpin to ensure programmes and interventions are targeting the poor and the most vulnerable and marginalized communities, and that we are able to measure and monitor progress and evaluate the effectiveness of outcomes.

The emphasis on real-time and credible data, and on their analysis and use in policy planning and programmatic responses and services delivery, cannot be overstated.

We have seen large volumes of data, collected at huge costs, remain unutilized as they were either not released for public consumption, made available months or years later, not well documented and harmonized, or not available at the level of detail required for decision-making and evaluations.

As we are all acutely aware, we are what we measure.

Individuals who are not visible on official data, will continue to remain unrepresented and their needs neglected. Their lack of progress will remain unreported, and living in the shadows will perpetuate the denial of basic rights and exclusion from the benefits of prosperity and growth. This will undermine the overarching ambitions of the SDGs.

We also will need to build a new social consensus on data use, underpinned by effective regulation, to protect people's rights. We need to put in place the reassurances that the new world of data will indeed be used to benefit and not to harm people.

Ladies and gentlemen.

The fourth dimension I would like to highlight this morning is strengthening national capacities and establishing strategic partnerships.

It is critical that the global data revolution is accompanied by proactive strengthening of the capacities of the national statistical institutions. This must be prioritized and funded adequately.

In the same vein, we need to be able to harness information into comparable analysis from all stakeholders—academia and the scientific community, private sector and civil society organizations.

We will need to develop new approaches and methodologies—essentially a new paradigm of national data partnerships and ecosystems. We need stakeholders to be active users

of data—in real time—and able to contribute to the analysis of the state of play. We also need to ensure that stakeholders have access to platforms to engage and provide feedback to shape policies and development action, and for course corrections, if required.

These platforms contribute as an important source of information for the evaluation of the development effectiveness of interventions for achieving national development objectives, including the Sustainable Development Goals.

At the same time, we need to acknowledge that there are significant and growing inequalities in access to data and information and in the ability to use it.

We must ensure that information is made available and open and that we do not widen or create new information divides. Data literacy is key.

We are encouraged by the actions and efforts of Member States to begin to establish and rationalize the data ecosystem at all levels of society; integrate different but comparable data sources; explore citizen-generated data to supplement national statistics; take longitudinal and multidimensional approaches; link evidence-based policy planning to financing the SDGs; and integrate data from the private sector, academia and civil society as a source for some SDGs, particularly where indicators are not available from existing data collection systems. These are all encouraging developments.

The fifth and final dimension I would like to highlight this morning is national, regional and international collective responsibilities.

With such a strong demand and high expectations to ensure the national evaluation capacities can undertake the necessary analysis of the vast amount of data, linked to assessments, reviews and course corrections, we will have to acknowledge that current constraints continue to be a challenge for many Member States.

The international development community is also increasingly linking development aid to performance measures of outcomes and development results, which changes the development dynamics and expectations.

Within this frame, we need to work together and more intensively as a community to identify the needed resources, support, capacity requirements and possible collaborative arrangements with international development partners to develop tools and skills that can facilitate data availability and access and strengthened use for SDG monitoring and evaluation.

Alongside the United Nations General Assembly-endorsed Cape Town Global Action Plan for Sustainable Development Data, the Global Indicator Framework for SDGs and Targets, adopted by the General Assembly just a few months ago in June 2017, and the Global Partnership for Sustainable Development are welcomed critical initiatives. We need to do much more.

The role of the United Nations system to fully leverage the assets, resources, networks and capacities of the global, regional and national community to address this agenda is vital.

The United Nations system has an important role to continue to support Member States to enable the engagement and acceptance of data from a wider spectrum of actors and stakeholders (private sector, academia, local governments and communities) and to harness new technologies and big data for effective policy planning and development response.

The United Nations' Secretary-General's June 2017 report on repositioning the United Nations development system to deliver on the 2030 Agenda, "Ensuring a Better Future for All", underlines this point clearly.

The Secretary-General, recognizing that the 2030 Agenda was designed to be comprehensive and integrated, has impressed upon the United Nations development entities the urgency to work closely together, in much more coordinated fashion, and to pool expertise to deliver better for countries. The United Nations will need a new and more integrated approach to capacity-building of national institutions—private and public—especially for SDG planning, implementation monitoring and evaluation. The Secretary-General is undertaking a comprehensive reform of the United Nations development system to ensure the United Nations is fit for the task to support countries to achieve the 2030 Agenda, including the Sustainable Development Goals and the Paris commitments on climate change.

Within this global collaborative framework, the international community, including the United Nations, needs to be able to support governments to make the right investments and take the right decisions to seize the promise of peace, prosperity and a healthy planet for all people. More funding and better partnerships between public and private sectors are essential.

The academic and scientific community are also key partners to develop new datasets and model development scenarios that will enable us to keep track of the socioeconomic and environmental trends and to enable course corrections.

Science, technology and innovation must be used to accelerate progress—to close inequality gaps along all dimensions, for example in health and education, ensure food security, make the energy transition and shift to more sustainable consumption and production patterns, and provide new opportunities for growth and jobs.

And as we progress, we must find new means to provide voice and visibility and durable solutions for the communities that are furthest behind, the most vulnerable, and improve transparency and accountability of all stakeholders.

The cost of not doing this is high. Persistent horizontal inequalities, social and economic exclusion, lack of societal cohesion and weak institutions threaten peaceful societies.

The evaluation community is key to keeping countries on track to make the promise of this most far-reaching global development agenda a reality.

In conclusion, let me end by saying I am hopeful that we can get to the future we want.

Since the world came together in September 2015 to adopt this truly remarkable framework for common progress, we have seen a transformative movement taking shape, globally. The SDGs have moved from the United Nations General Assembly Hall to countries and cities across the world.

The 2030 Agenda is now being implemented by multiple stakeholders at the global, regional, national, city and community levels, in developed and developing countries alike, reflecting its universality in ownership and scope.

We saw evidence of this movement forward during the high-level political forum in July this year.

We have been encouraged that in many countries, of all levels of development, Heads of State and Government are personally leading the charge. Governments are incorporating the Sustainable Development Goals into national plans and visions. In some cases, they are also incorporating sustainable development principles into legislative frameworks.

Parliamentary debates are taking place on how the governments' plans and budgets will ensure no one is left behind.

Strong leadership is also coming from state and city levels. In this respect, it is very encouraging to see mayors and representatives of local government actively being engaged and contributing to support the localization of the Sustainable Development Goals. In the end, it is a people's agenda.

Multi-stakeholder dialogues are taking place among state and municipal governments to adapt the goals to the specific contexts and development needs of communities and adjust budget prioritization and allocations as required.

At the same time, business, academia and civil society are taking their own actions. Businesses—primarily big business—are increasingly investing in sustainability and aligning their business approaches. Small and medium enterprises (SMEs) are also slowly coming on board. We must encourage and support small- and medium-sized businesses to step up their engagement as they play a major role in most economies.

SMEs contribute up to 60 percent of total employment and up to 40 percent of national income (GDP) in emerging economies, according to World Bank data. They also account for over 95 percent of firms and 60 percent-70 percent of employment and generate a large share of new jobs in OECD economies, according to OECD data.

Universities and schools are enhancing curricula to reflect the Sustainable Development Goals, and civil society are orienting their service delivery towards achievement of specific goals and targets, and are increasingly doing so with support of, and in partnership, with governments.

We look to new and ground-breaking approaches from the evaluation community so these actions can be sustained and countries can stay the course.

The 2030 Agenda calls on us to take new bold and transformative approaches, anchored in universal norms and values, with people and the planet at the centre of our concerns.

I am certain this conference will lay an excellent ground for us to build new partnerships, knowledge platforms, innovative solutions, evaluation approaches and strengthen national capacities for us to achieve our global ambition: an inclusive, equitable, prosperous and sustainable world.

Thank you.

3. Evaluation in the SDG Era: Opportunities and Challenges

RIITTA OKSANEN

Deputy Director General, Department for Development Policy,
Ministry for Foreign Affairs, Finland and
President (2016-2017), European Evaluation Society

The 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) put evaluation of public policies in a new operating environment. This implies both opportunities and challenges. In Finland, the Parliamentary Committee with the responsibility and lead on the 2030 Agenda is the Committee for the Future. Recently, the Committee stated that the 2030 Agenda has the potential to be the most significant commitment of our era for the future of humankind. For the first time, we have agreed on ambitious global and universal commitments to achieve sustainable development. The challenge, of course, is that even if the potential is there, achievement will not be automatic. To succeed, there is a need to move from unique global commitments to unique global implementation, or the potential won't be realized.

There are three major issues that need to be addressed and operationalized with new determination for success: universality, comprehensiveness and interlinkages and finally coherence.

To achieve universality, we need to move from an established mindset which divides the world into the global North and the global South, an old mindset of "from North to South". In too many cases, the SDGs are still only seen as a framework for development cooperation and relevant for aid relations. The sustainable development agenda is just as relevant in Europe. The 2030 Agenda is about our own national policies in addition to the external dimensions of our policies. The five "Ps" of the Agenda—people, planet, prosperity, peace and partnerships—are highly relevant on the European continent as well. Just a glance at news headlines of the last few years shows how relevant the five "Ps" framework is from a European perspective: migration, refugees, increasing inequalities, economic crises, terrorism, violence, Brexit, changes in trans-Atlantic relations. What is needed is implementation of the entire 2030 Agenda, everywhere. Success will require new and genuine partnerships between countries aiming to implement common commitments.

The SDGs can only be achieved if addressed comprehensively and respecting interlinkages, rather than a through narrow focus on fragmented elements. Success can be built only on coherent action. In Europe, implementation of the 2030 Agenda is typically seen as a matter of managing the internal and the national while balancing these elements with the

external and the global. In practice, this often means managing trade-offs and being prepared to compromise in the search for synergies. This has important implications for how processes are organized and implemented. What is needed is strong national leadership with the political power to coordinate. Success will be challenging in set-ups where the responsibility for sustainable development is given to a single sectoral ministry with inadequate power to coordinate others. In Finland, sustainable development issues were previously coordinated by the Ministry of Environment, emphasizing, given its mandate, environmental sustainability. After the adoption of the 2030 Agenda, in order to ensure adequate coordinating power, the role has been shifted to the Prime Minister's Office. This provides new opportunities to address coherence issues.

Multi-stakeholder cooperation is another prerequisite for sustainable development. In addition to public sector actors, civil society and private sector stakeholders need to come together in new ways to build consensus on the way forward. In the sustainable development game, we can only win together, we can only win if we all play on the same side. Many promising examples of this are already available, such as the voluntary national review mechanism which is an important source for learning lessons about innovations and successful new ways of doing things.

Turning to evaluation, we need to ask, what does this new operating environment imply for evaluation? What are the issues that cannot be tackled with traditional evaluation approaches?

Unique opportunities are before us. The 2030 Agenda definitions of review and follow-up include provisions for evaluation. After the frustration of the Millennium Declaration, which overlooked evaluation, the evaluation community has congratulated itself for paragraphs 74g and 74h in the General Assembly resolution—the two paragraphs where “evaluation” is mentioned. However, these words only become meaningful if we succeed in using them as a stepping stone to action. Action is needed now, not as an afterthought. The 2030 Agenda has already kept our statisticians, indicator experts and monitoring colleagues busy in meetings and work has been done at national, regional and global levels. Is there a similar buzz in the evaluation community? Is there adequate emphasis and action on the “E” of the “M&E” to ensure a sound foundation for evaluation evidence in the review and follow-up of the SDGs?

The 2030 Agenda implies unique challenges for evaluation. First, SDG evaluation is not business as usual. We need both new approaches and new capacities. We need evaluation approaches that don't fall into the trap of assuming linearity and logic where there is none. We need approaches that help to address complexity. A lot of innovation, testing and academic discourse has surrounded the question of complexity; the challenge now is to mainstream these approaches in evaluation, to apply and use the knowledge that we have. Systems approaches and a better understanding of different perspectives as a starting point for evaluations hold major promise, but these approaches have not yet been implemented comprehensively.

A new situation requires new capacities. Many more colleagues need to understand basic issues of evaluation and what added value independent evaluation can bring to decision-making. Quoting from work by EvalPartners, EvalSDGs and the International Institute

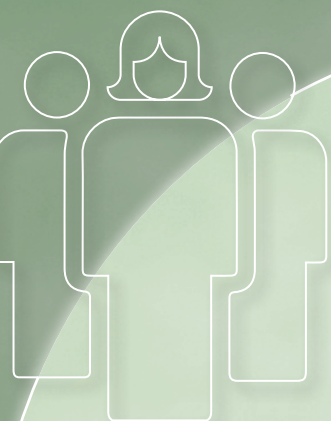
for Environment and Development which analyses the early voluntary national reviews, there appears to be very “little awareness of about just what evaluation is”⁹

Evaluators know, but for success, a much broader group of colleagues need basic capacity. Another type of capacity that is necessary is the capacity to break out of public policy silos. This means working with public sector colleagues in different ministries in a completely new way, and learning to work with new stakeholders, the private sector, academia and civil society.

Capacity challenges are not only technical, and the capacity needed for cooperation may prove to be a bigger challenge than that of adopting new methodologies. Fortunately, there have been encouraging and positive developments in recent years. For example, cooperation with parliamentarians who now promote evaluation has been a rapidly developing and successful area in breaking silos.

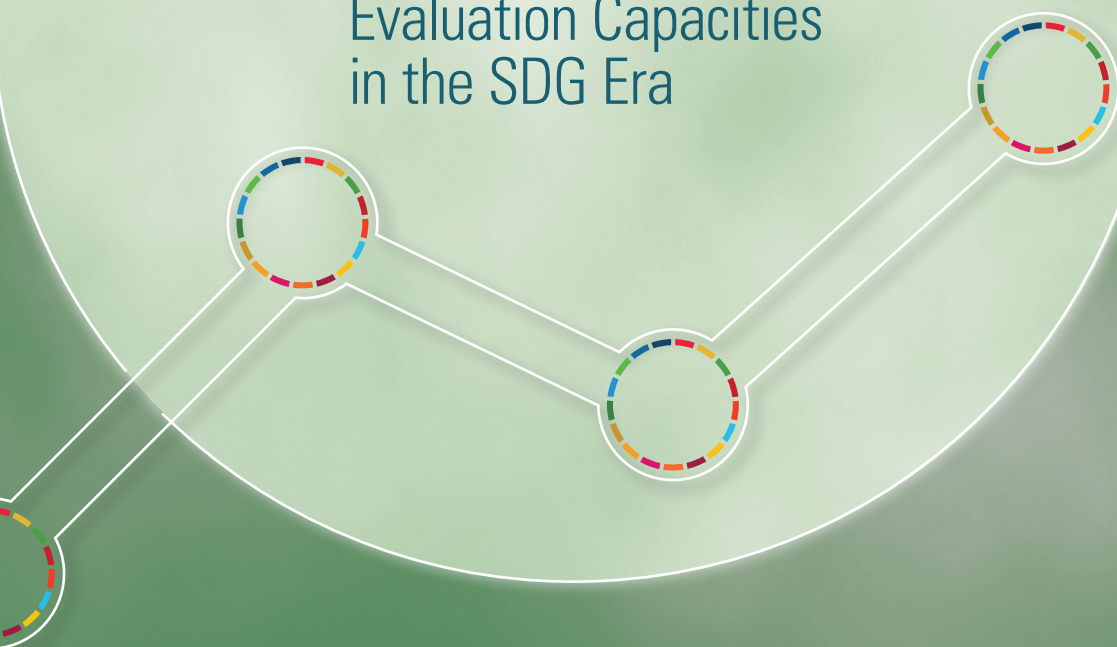
Leaving no one behind has become the mantra of the 2030 Agenda. In evaluation, many important approaches have been already adopted as safeguards: using disaggregated data; and employing participatory, empowering, human rights-based and feminist approaches in evaluation. The concept of leaving no one behind should also inspire further thinking on whom we as evaluators serve: who are the clients of evaluation evidence? Evidence-based decision-making has dominated this discussion in past years. It is important that evaluation serves political, policy and management decision makers. At the same time, it is necessary to think beyond a short-term focus on decision-making and think about evaluation as a public good. Evaluation can and should contribute to democratic and transparent governance, and support consumers of public and private services to hold decision makers accountable.

9 Benoit, Simon, et al. ‘Evaluation: a missed opportunity in the SDGs’ first set of Voluntary National Reviews’, IIED, London, 2017, <http://pubs.iied.org/17423IIED>.



PART 2

National Evaluation Systems and National Evaluation Capacities in the SDG Era



1. Overview



This section presents country, regional and global perspectives on progress and innovation in national evaluation frameworks, institutions, systems, capacities, capabilities, methods and tools since 2015. The first set of papers brings global and regional perspectives and the second set examines the progress made by individual countries on national evaluation capacities and localization of the Sustainable Development Goals (SDGs).

The first three papers note the importance of reviewing and assessing national evaluation capacities and systems, to understand the current gaps and to guide further actions. Key to this process are self-assessment tools to assist countries to develop a systematic approach to determining key areas, pathways and parameters for evaluating national development strategies and progress towards the SDGs. Similarly, voluntary national review exercises—part of the follow-up and review mechanisms of the 2030 Agenda for Sustainable Development—have been useful in reporting and tracking the status of monitoring and evaluation capacities and systems and for highlighting institutional and policy challenges.

The next set of papers is devoted to countries' perspectives on strengthening enabling environments, national evaluation policy frameworks and institutional set-ups. They reflect on the progress made and the ongoing needs to build and strengthen national evaluation capacities. All papers recognize the challenging task of evaluating progress towards the SDGs and the significant role of evaluation in enhancing achievement of the Goals. The papers also illustrate national efforts to integrating evaluation in national development strategies and plans, and countries' visions for monitoring and evaluation systems with adequate institutional, policy and human resources.

The examples of national monitoring and evaluation systems presented herein reflect various stages of implementation and readiness for evaluation of the SDGs. For example, the Philippines case discusses the building of sectoral monitoring and evaluation systems and the awareness of the role of evaluation of sectoral performance management. Tunisia's national monitoring and evaluation system aims to seize the opportunities offered by the SDGs to build a more robust national framework. In Burkina Faso, the findings of the systematic review of the national evaluation system are guiding the strategy for the development of national evaluation capacities.

One critical issue is the lack of capacities and capabilities and how to address them, and evaluation capacity development is a common thread in all papers. Papers from Morocco and Zambia share visionary strategies which include support to universities with training, a post-graduate diploma on evaluation, monitoring and evaluation training tailored to the SDGs, etc. The paper from Turkey identifies the need to deepen knowledge and share experiences and processes at the international level.

All papers recognize the various roles and contributions of different actors for enhanced national and global participation in review and implementation of the SDGs. The example from Zambia points the way to the possible roles and involvement of civil society in these processes. In the Philippines, strengthening multi-stakeholder partnerships was ranked as a priority followed by the engagement and the encouragement of elected officials to support evaluation. A paper from Zimbabwe values the contribution of development partners, calling for maximizing these partnerships through joint common results management and reporting framework.

The paper from Uzbekistan describes how efforts to strengthen national evaluation systems are challenged by the inadequacy of national data collection mechanisms to produce quantitative and qualitative data. Similarly, China lacks a comprehensive data collection system for quantitative evaluation. According to these papers, there is need for coordination between agencies for data collection; methodologies, tools and systems to facilitate data collection and maintenance; and international cooperation to share best practices in evaluation and use of information and communication technology tools for big data analysis.

Some of papers discuss voluntary national reviews, touching upon the preparation process and reporting on the status and use of evaluation capacities in the countries concerned. The paper on Guatemala's experience with the review illustrates how national evaluation findings can effectively feed into the preparation of the review. In the case of Finland, the review provided a starting point for the Government's plan for implementation of the 2030 Agenda and preparation for the evaluation of sustainable development policies. The paper discussing Turkey's review and related processes concludes that a starting point was to enhance the country's capacity for monitoring and evaluation for implementation of the SDGs.

Analysing methods and tools in current evaluation work, the paper from Morocco finds that SDG indicators are insufficient to evaluate public policies. The paper discussing China's experience points out that specific quantitative SDG indicators should both reflect a country's context and meet common international standards. The paper from Finland raises the question of how to evaluate sustainable development policies using the current evaluation criteria, and shares a revised evaluation matrix to better capture, integrate and assess national plans and priorities under the SDGs.

Several papers—from Bangladesh, Botswana, Cambodia, Côte d'Ivoire, Dominican Republic and Swaziland—discuss experiences in localizing the SDGs. These papers discuss systems and capacities for monitoring, with less focus on national evaluation capacities. Nonetheless, the discussion on the integration of monitoring systems and capacities is relevant for SDG review and evaluation, as it provokes reflections on the paths and opportunities for development of national evaluation capacities. The papers highlight efforts and lessons

learned in linking national monitoring and evaluation systems with the 2030 Agenda and the SDGs, and steps taken to operationalize the revised systems. Some of the shared challenges are the immediate need for: strengthening the capacities of institutions and introducing reform that links monitoring and evaluation with planning, budgeting and human resources; adequate national policy indicators; budgets for large-scale data collection; and articulating how to monitor and evaluate sustainability and effectively bridge the transition from the Millennium Development Goals to the SDGs.

2. Review of National Evaluation Systems and Capacities for Evaluating Progress Towards the Sustainable Development Goals: Emerging Lessons Learned from the Asia-Pacific Region

RICCARDO POLASTRO

Regional Evaluation Advisor
UNICEF East Asia and the Pacific Regional Office

MICHAELA PROKOP

Regional Programme Advisor
2030 Agenda, Bangkok Regional Hub, UNDP

CONTEXT

Many countries in the Asia and Pacific region have made significant progress in establishing the building blocks necessary to support implementation of the 2030 Agenda for Sustainable Development. Countries across the region have set up institutional arrangements to promote horizontal and vertical coordination to facilitate this implementation, have started to align their national (and sometimes subnational) development strategies and budgets with Sustainable Development Goal (SDG) targets¹⁰ and have assessed the availability of data and the capacities of data systems to monitor and evaluate progress. In this process, countries are also reviewing and adjusting their national monitoring and evaluation (M&E) systems. However, to date much of the attention has been on formulating targets and indicators as well as setting up systems for measuring progress against the SDGs and less on strengthening evaluation systems and capacities.

10 While the Millennium Development Goals focused mainly on monitoring, the 2030 Agenda has put evaluation at the centre, stating in paragraph 74 of General Assembly resolution 70/1 that: “Follow-up and review processes at all levels will be guided by the following principles: [...] They will be rigorous and based on evidence, informed by country-led evaluations and data which is high-quality, accessible, timely, reliable and disaggregated by income, sex, age, race, ethnicity, migration status, disability and geographic location and other characteristics relevant in national contexts. They will require enhanced capacity-building support for developing countries, including the strengthening of national data systems and evaluation frameworks. [...]” General Assembly resolution 69/237 on capacity-building for the evaluation of development activities at country level shows that Member States recognize that evaluation is a core component of development processes, and recognize evaluation as a country-level tool that can help strengthen and support development results.

The 2030 Agenda proposes a balanced approach, with a set of interconnected goals and targets, which requires an understanding of how different policies and interventions interact with each other and affect an entire system. This and the ambition of the agenda of “leaving no one behind” and “reaching the furthest behind first” poses significant challenges to development planners, policymakers and evaluators. It requires new approaches to planning and evaluating including mainstreaming equity-based evaluations and systems thinking-based approaches, and to learn what works best where, how, for whom, under which contexts and why to ensure value for money and enhanced efficiency and effectiveness.

Developing and strengthening systems and national capacities for evaluation and adopting new, more integrated approaches to institutional strengthening and capacity-building will be crucial to support this process. It will also need to be addressed as an integral part of the overall mainstreaming and implementation of the 2030 Agenda process. Figure 1 shows how evaluation and evaluative thinking inform a country’s planning and budgeting cycle and their importance in ensuring that progress towards a country’s development goals is equitable, that resources are allocated and spent efficiently and effectively and that it promotes a balanced approach to sustainable development.



Governments consider evaluation as an oversight function that captures results and lessons learned to improve national development policies and programmes which contribute to meeting performance standards such as relevance, effectiveness, sustainability and equity.

Evaluation can inform decision-making by putting the best available evidence at the centre of policy, planning and budgeting processes. However, this requires institutional arrangements and at times legal frameworks allowing for feedback loops, strong national evaluation capacity and a culture of evaluation. Exercising evaluation in an independent, credible and useful way contributes to good governance, public accountability and transparency in the use of resources and results.

REVIEW OF NATIONAL EVALUATION SYSTEMS AND CAPACITIES: A JOINT UNDP/UNICEF INITIATIVE¹¹

As mentioned above, the adoption of the 2030 Agenda and the SDGs provides new entry points and opportunities to create institutional mechanisms for better feedback loops linking planning, budgeting and monitoring and evaluation processes. There is increasing recognition globally and in the region of the importance of strengthening national evaluation systems and capacities to support this process.¹² Among stakeholders there is strong interest in learning from emerging experiences across the region and beyond on key enablers for national development strategies and for the review, follow-up and evaluation processes of the 2030 Agenda. In response to this interest, the United Nations Development Programme (UNDP) and United Nations Children's Fund (UNICEF) launched a joint initiative on reviewing national evaluation systems and capacities to evaluate progress towards the SDGs in the Asia and Pacific region.

The initiative aims to showcase successes, lessons and learnings from national evaluation systems, to foster peer learning among stakeholders and to inform global, regional and national evaluation capacity-development guidance through the production of readiness assessments at country level. Through an iterative process, outlined in Figure 2 below, country case studies are feeding into a regional synthesis report. A peer review group including members from the Asian Development Bank, UNDP, UNICEF and UN Women has been set up to provide overall guidance.

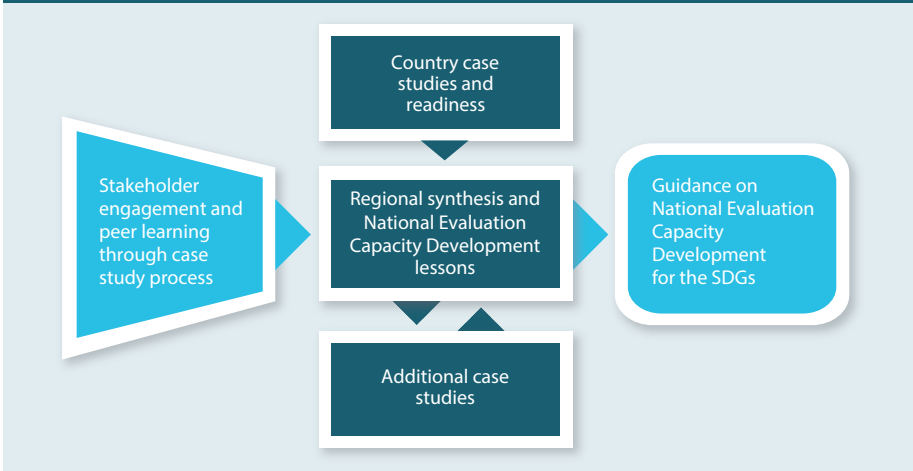
11 This section is based on the *Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs – Country Case Studies – Methodology for the Country Case Studies*, May 2017 (a report commissioned by UNDP and UNICEF).

12 At the regional level, several United Nations and government initiatives have contributed to this process including: *NEC Bangkok Declaration* from the Fourth International Conference on National Evaluation Capacities Conference 2015, organized by UNDP and the Government of Thailand in 2015; Parliamentarians Forum for Evaluations in Bangkok (2015), Kathmandu (2016) and Hanoi (2016) organized by EvalPartners in partnership with United Nations agencies; the first Asian Evaluation Week, co-sponsored by the Ministry of Finance of China, Asia-Pacific Finance and Development Institute and the Asian Development Bank Independent Evaluation Department; a regional training workshop on "Developing National Evaluation Capacities to Support the Implementation of the 2030 Agenda" organized by UNDP and the United Nations Institute for Training and Research (UNITAR) with support from EVALSDGs and UNICEF; and the Asian Pacific Evaluation Association inaugural conference, "SDGs: making a difference through evaluation".

Specifically, country case studies aim to:

- Map national evaluation systems including institutions, actors, relationships and processes;
- Identify lessons learned, good practices, challenges, gaps and success factors for evaluation capacity in each country;
- Produce assessments of the readiness of national evaluation systems, including both state and non-state elements, to support progress towards the SDGs; and
- Provide recommendations for strengthening systems and building national evaluation capacities to support SDG implementation.

FIGURE 2. REVIEW OF NATIONAL EVALUATION SYSTEMS AND CAPACITIES: PROCESS AND KEY MILESTONES



Source: *Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs – Country Case Studies – Methodology for the Country Case Studies*, May 2017 (a report commissioned by UNDP and UNICEF)

The regional synthesis will identify patterns and lessons emerging from the country cases related to strengths and weaknesses of the national evaluation systems, readiness to support evaluation for the SDGs and related trends and priorities in national evaluation capacity development needs. The first phase of country case studies covers Indonesia, Malaysia, Sri Lanka and Thailand. Additional country case studies are being initiated in Mongolia, Myanmar and the Philippines. Governments have stressed the importance of ensuring that the country case studies provide concrete recommendations and feed into road maps for filling capacity gaps.

The conceptual framework for the country case studies identifies key aspects of evaluation systems and capacity. It builds on the EvalAgenda2020 (see Figure 3) and other literature on national evaluation capacity-building.

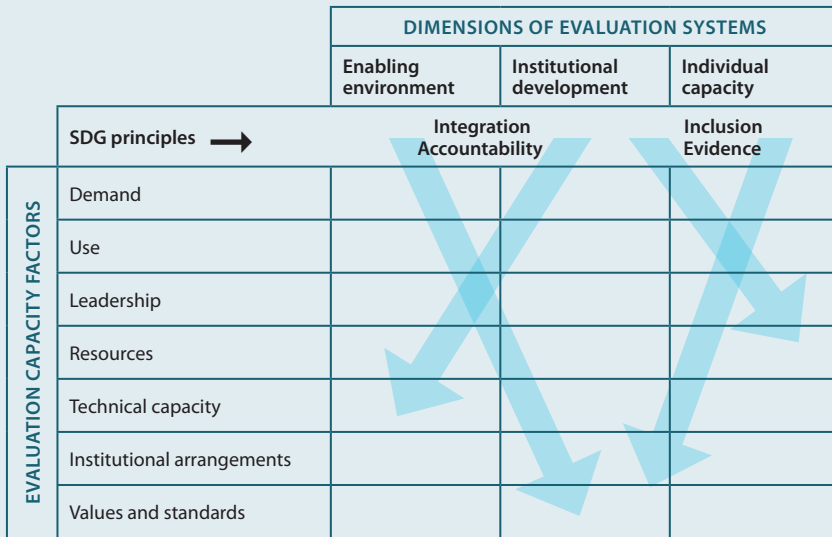


Source: Global Evaluation Agenda 2016-2020, (adapted from *Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs – Country Case Studies – Methodology for the Country Case Studies*, May 2017) p.7.

* Voluntary organizations of professional evaluators

The conceptual framework for the country case studies, shown in Figure 4 below, is structured around three core dimensions of evaluation systems—*enabling environment, institutional capacity and individual capacity*—and identifies seven key evaluation capacity factors: *demand; use; leadership; resources; technical capacity; institutional arrangements; and values and standards*. Cutting across these elements are four key principles of the 2030 Agenda: *integration, inclusion, accountability and evidence*.

FIGURE 4. CONCEPTUAL FRAMEWORK FOR COUNTRY CASE STUDIES



Source: *Review of National Evaluation Systems and Capacities for Evaluating Progress towards the SDGs – Country Case Studies – Methodology for the Country Case Studies*, May 2017 (a report commissioned by UNDP and UNICEF)

EMERGING LESSONS LEARNED FROM INITIAL COUNTRY CASE STUDIES¹³

From the first round of country case studies, a few initial lessons learned and regional priorities can be identified. While these are the subject of further refinement and discussion, a preliminary overview is provided below.

In most countries, there is limited awareness of the importance of evaluation for the process of mainstreaming and implementing the 2030 Agenda. As mentioned earlier, most efforts are focusing on indicators and data-gathering rather than on analysis and interpretation, particularly in relation to the key ambitions of the 2030 Agenda of “leaving no one behind” and “reaching the furthest behind first”. Similarly, integrated approaches that balance the three dimensions of sustainable development—economic, social and environmental—and a review of synergies and trade-offs across sectors, interventions and investments, remain a key challenge.

Evaluative thinking that feeds back into strategy and policy development remains a challenge in all countries in the region. Although most countries have set up institutional mechanisms for coordinating and implementing the 2030 Agenda, siloed approaches still predominate.

13 At the NEC 2017, only initial findings from Sri Lanka and Malaysia were presented.

Below is a list of emerging regional priorities using above-mentioned review framework.

	SUMMARY OF REGIONAL PRIORITIES
Enabling environment	<ul style="list-style-type: none"> • Support policy or legal commitments and guidelines on roles and responsibilities in policy development and implementation. • Engage parliamentarians more extensively in evaluation planning and use. • Strengthen instruments and mechanisms to ensure policy commitments: (1) finalization of monitoring and evaluation framework for SDGs if not already in place; (2) establishing mechanisms to allocate specific resources for evaluation; particularly in relation to SDGs; and (3) strengthening integrated data platforms.
Institutional development	<ul style="list-style-type: none"> • Standards, guidelines and good practices that countries can tailor to their needs and that contribute to high-quality evaluations to inform decision-making. • Horizontal and vertical linkages to support policy coherence and multi-stakeholder involvement. This should include building feedback loops into the development planning and budgeting process (at national, subnational and sectoral levels).
Individual capacity	<ul style="list-style-type: none"> • Training of trainers. Some countries are moving towards country-based certification. Regional support to standardized training of trainers could widen the pool of trained evaluators. • Continuation of peer learning activities and opportunities for regional knowledge exchange.

From three of the country case studies, the following are emerging as key priorities:¹⁴

Malaysia

- Establish evaluative policy feedback loops for the SDGs through the SDG Council.
- Improve data sharing through a new knowledge platform and portal for independent review and analysis of statistics and evaluation results for national learning for the SDGs.
- Build a more systematic approach to evaluation capacity development, drawing on existing institutional strengths.
- Strengthen and streamline the national evaluation system between government, private sector, academia and civil society organizations/non-governmental organizations.
- Reflect the voices of vulnerable groups in keeping with the principle of “no one left behind”.

Indonesia

- Central agencies need to take an oversight role and lead national evaluation capacity and national evaluation system efforts as a centre of excellence.
- Develop an overarching policy on evaluation.
- Develop a comprehensive capacity development plan.

¹⁴ For Malaysia and Thailand, findings are yet to be validated by key stakeholders, for Indonesia findings have been endorsed by the Government and for Sri Lanka recommendations are still being drafted.

- Strengthen data quality assurance of all data producers at national and subnational levels.
- Strengthen feedback loops through the utilization of tested and available social accountability tools.

Thailand

- Develop a stronger policy and strategic framework for values and standards for evaluation.
- Set up an independent body to oversee quality of evaluations and promote their use.
- Create opportunities for building awareness and capacity on the SDGs in general and evaluation in particular.
- Establish an independent evaluation unit staffed by well-trained evaluators, including in the areas of equity-focused and gender-responsive evaluation, to ensure that the voices of vulnerable groups are incorporated into evaluations in keeping with the principle of “no one left behind”.

Based on the emerging recommendations, the Governments of Indonesia and Thailand have indicated strong interest in developing national evaluation policies.

NEXT STEPS

In each case study country, a workshop will be held with multiple stakeholders to foster peer learning and to validate the recommendations. Governments have expressed keen interest in going beyond the country case studies to develop a road map with a set of prioritized and sequenced activities based on the findings. Following the validation workshop, consultations will be held with development partners to support capacity-building needs.

A synthesis report identifying national evaluation systems and capacity-building successes and lessons learned will be produced and shared with governments and other stakeholders in the region. The report aims to generate emerging good practices to guide national evaluation capacity development for the 2030 Agenda and will be shared with the United Nations Evaluation Group and other United Nations agencies. It aims to target policymakers and focal points for the 2030 Agenda and SDGs as well as members of the evaluation community to ensure that stronger linkages are being made.

Following bilateral consultations in 2018, additional country case studies including those for Mongolia, Myanmar and the Philippines will be conducted. There is also strong interest from other United Nations partners to join the initiative. In Malaysia, the initial assessment is being expanded to look at the subnational level. In Mongolia, the country case study could be linked to work on public finance and contribute to the follow-up to a recent Mainstreaming Acceleration and Policy Support (MAPS) mission.¹⁵

15 The mission included members from the Asian Development Bank, UNDP, UNFPA and UNICEF.

3. Online Tool for Self-Diagnosing National Evaluation Strategy Options¹⁶

ARILD HAUGE

Deputy Director, Independent Evaluation Office, UNDP

VIJAYALAKSHMI VADIVELU

Evaluation Advisor, Independent Evaluation Office, UNDP

Public policy evaluation helps to determine the merits, achievements and limits of national policies and programmes, of what governments chose to do or not to do. They have the potential to inform actions by the government and enable policymakers to act as responsibly and efficiently as possible. The performance management for the Sustainable Development Goals (SDGs) further underscores the continuing challenges facing national evaluation capacities and the need to develop national evaluation frameworks and to strengthen the linkages between evaluation and public policy processes. The online tool for self-diagnosing national evaluation strategy options is part of the ongoing work in support of national evaluation capacity development work by the United Nations Development Programme (UNDP) Independent Evaluation Office (IEO), in response to increasing demand for national evaluation capacities in key policy areas, both for accountability and for learning.

For over two decades, IEO has supported the building of national evaluation capacities, including particular efforts to strengthen evaluation as an instrument of accountability. The IEO facilitated the exchange of evaluation practices through forums such as the biennial NEC conferences and used joint evaluations with national programme counterparts to strengthen evaluation approaches and practices. Given that the 2030 Agenda calls for a systematic follow-up and review of the implementation of the SDGs and that country-led evaluations constitute a key element in this process, strengthening national evaluation

16 The National Evaluation Diagnostics Tool was discussed by a panel on “Country-led Evaluation in the Era of the Sustainable Development Goals: Guidance Note and On-line Assessment Tool”, which discussed country-level national evaluation challenges in the context of the SDGs. See <http://web.undp.org/evaluation/nec2017/> for further details. The authors of this paper would like to thank the panelists: Per Øyvind Bastøe, Director, Evaluation Department, Norwegian Agency for International Development (NORAD) and Chair of the Development Assistance Committee of the Organisation for Economic Co-operation and Development; Mr. Timothy Lubanga, Commissioner of Monitoring and Evaluation, Office of the Prime Minister, Uganda; Iye Moakofi, Principal District Plans Coordinator, Ministry of Local Government and Rural Development, Botswana; Nina Sarishvili, Head of Service, Policy Planning and Strategic Coordination, Administration of the Government of Georgia; and Mohd. Monirul Islam, Deputy Chief, General Economics Division, Planning Commission, Bangladesh.

capacities has assumed even greater importance. The Bangkok and Istanbul NEC conferences provided a platform to discuss how national evaluation frameworks could respond to development strategies in the context of the SDGs at the country level. The online tool for self-diagnosing national evaluation strategy options provides an easy-to-use framework for assessing existing evaluation capacities and developing an evaluation framework that reflects existing institutional capacities. The tool is intended to help governments to develop a concrete evaluation framework for ascertaining progress towards the goals of their national development strategies and in turn the SDGs.

The following sections address current challenges to national evaluations, provide an overview of the impetus for developing the diagnostic tool and an outline of the tool and its key elements, and summarize the need for a holistic approach to developing national evaluation capacity.

NATIONAL EVALUATION CAPACITIES ARE SLOWLY EVOLVING

The assessment of national capacities carried out by IEO out during the course of preparing the tool shows that evaluation capacity is evolving, but not at the required pace. There are three broad categories of evaluation capacity: (1) mature capacities, where national evaluation is well established, with evaluations mainstreamed across government institutions and sophisticated data systems; (2) evolving capacities, where countries show a level of commitment to evaluation, but the number of national programmes that are evaluated continues to be limited. Data systems generate information on a set of indicators; and (3) emergent evaluation capacities, in the process of creating enabling an environment for evaluation and generate only basic data. A majority of countries are classified as having evolving and emergent capacities.

What does strengthening national evaluation capacity mean for different institutional contexts? The evaluation of national development policies and programmes requires a holistic approach. Although this is not a new insight, the SDGs emphasize the urgency of pursuing such an approach. We are at a stage where there is a shared agreement that national evaluations should be country-led, inclusive and participatory and support public policy processes. The SDGs emphasize the need for an integrated perspective of institutions and development and to move away from a silo approach, because development processes cannot be pigeonholed into isolated projects or interventions if the goal is sustainable development. National evaluations should help to capture this. The other important element is how evaluations should address the focus on the poorest and most vulnerable and “leaving no one behind”. There are considerable expectations that the SDGs will accelerate a resolution to longstanding development data challenges, which is critical for data-driven national evaluations.

There are multiple factors slowing national evaluation progress in emergent and evolving capacity contexts.

First, there is a lack of emphasis on strengthening evaluation capacities. Countries have yet to prioritize evaluation; for example, limited resources are allocated for evaluations and evaluation budgets often are small, unstable, assigned but not disbursed or spent largely on monitoring activities. Even where centralized, designated evaluation entities do exist, they

often lack authority or are unable to work across sectors and levels of government, with a lack of clarity on institutional arrangements, roles, responsibilities and coordination. In large countries, there is limited attention to evaluation at subnational levels. There are various accountability and reporting arrangements, but with significant gaps in the assessment of development performance.

An issue in national evaluation capacity similar to capacity development in other institutions is the “capacity trap” of importing standard responses to predetermined problems when there is a lack of basic systems and processes. There is a mismatch between expectations and the actual capacity of prevailing administrative systems to implement even the most routine administrative tasks.

Second, challenges remain in the use of evaluations. Evaluation systems are not always well aligned with national planning processes. The timing and scope of evaluations often are not aligned with planning and budget cycles. Learning loops or formal processes for using or applying evaluation findings is an area that needs attention. Where data are available, it is official data that are often used for reporting and less so for public policy decisions or performance monitoring. While the Millennium Development Goals (MDGs) have improved the availability and use of data for reporting, data were not used for MDG monitoring.¹⁷

Countries use a variety of accountability and transparency mechanisms. While the demand for evaluation as a feedback loop is rising, many policymakers give more prominence to monitoring. There remains a certain level of apprehension relative to the notion of evaluation. Some policymakers are also not convinced of the necessity of evaluation because they are confident that they already know “what works” and what does not.

Third, persistent gaps in national development data and analysis remain an issue in public policy evaluations.¹⁸ Adequate resources are not assigned for data collection and analysis that would inform public policy. Holistic statistical capacity is an issue in several countries. National statistical offices do not have adequate resources and capacities, resulting in uneven quality of development data (both outdated data and poor usability and accessibility of data). National statistics have an uneven sectoral focus and there are several SDG areas with sparse data. While some international agencies support data generation and national statistical systems, coordination remains weak. Often there are multiple reporting arrangements rather than a strong national statistical system that coordinates development statistics. National statistical systems have yet to optimize available technology to improve the quality, availability and analysis of development data.

17 Joint Inspection Unit, ‘Evaluation of the contribution of the United Nations development system to strengthening national capacities for statistical analysis and data collection to support the achievement of the Millennium Development Goals and other internationally-agreed goals’, JIU/REP/2016/5; and UNDP Independent Evaluation Office, ‘Evaluation of the contribution of the global and regional Human Development Reports to public policy processes’, 2015.

18 UNDP Independent Evaluation Office, ‘Evaluation of the role of UNDP in supporting national achievement of the Millennium Development Goals’, 2015; and UNDP Independent Evaluation Office, ‘Evaluation of global and regional Human Development Reports’, 2015.

DEMAND FOR EVALUATION CAPACITY DIAGNOSTICS

The panel discussion on the tool, along with various studies, including one conducted recently by the IEO on national evaluation capacities and expectations at country level, found that countries are committed to the SDGs but are approaching them through the lens of their national development priorities.¹⁹ Although they are keen to integrate SDG specificities in national evaluations, evaluation for the SDGs per se is not a focus.

It is widely acknowledged that countries are interested in evaluation to strengthen their governance agendas and public-sector performance but start from very different levels of both evaluation capacity and overall government capacity and resources. Key challenges include capacity traps due to dysfunctional systems or practices and a mismatch between expectations and the actual capacity of prevailing administrative systems.

Strengthening systems takes time and is not a linear process. Governments face multiple demands and challenges on many fronts. Evaluation is important but needs to support development activity rather than being an additional burden. Countries with nascent evaluation functions cannot be expected to produce and use high-quality, cross-sectoral real-time evaluations within 3, 5 or even 10 years.

Because countries view the SDGs through the lens of their national development priorities, they are more interested in national evaluation diagnostics than in SDG evaluation diagnostics. Countries are interested in using evaluation to strengthen their governance agendas and public sector performance but start from very different levels of both evaluation capacity and general government capacity and resources. Moreover, there are different ways of organizing and developing national evaluation systems. There is more of a demand for evaluation diagnostic tools for national development strategies rather than for the SDGs. There are some diagnostic materials for national evaluation capacities but they are relatively dated and there is no indication that they are currently being used. There is demand for a flexible tool for use by governments at national, regional and local levels.

ONLINE TOOL FOR SELF-DIAGNOSING NATIONAL EVALUATION STRATEGY OPTIONS

Responding to the demand for a flexible and easy-to-apply national evaluation diagnostic and development framework, the IEO developed the *online tool for self-diagnosing national evaluation strategy options*, available at <http://web.undp.org/evaluation/guidance.shtml#dig>.²⁰ The tool details action points to be considered in developing a country's

19 See, UNDP Independent Evaluation Office, 'Towards a Baseline Study. Insights on National Evaluation Capacities in 43 countries', 2015, http://web.undp.org/evaluation/nec/baseline_study.shtml; Biscaye, Pierre et al., 'Evaluating Country-Level Government Monitoring & Evaluation Systems', Evans School of Public Policy & Research Group, 2015; Guzmán, Marcela, Ignacio Irarrázaval and Boris de los Ríos, 'Monitoring and Evaluation System: The Case of Chile 1990-2014', World Bank, 2014; DfID, 'Demand for and Supply of Evaluations in Selected Sub-Saharan African Countries', 2013.

20 UNDP Independent Evaluation Office, 'Self-Assessment Online Tool for National Evaluation Diagnostics and Strategizing', 2017, <http://web.undp.org/evaluation/guidance.shtml>.

evaluation framework both for its national development strategy and the SDGs and will facilitate identifying various steps in developing a country-level evaluation framework. The key objectives of this diagnostic process are to facilitate development or strengthening of a national evaluation framework for the SDGs and inform country-led evaluation processes and systems that are central to the follow-up and review of progress towards the SDGs. Its overall purpose is to enable governments to develop a systematic approach to determining key areas, pathways and parameters for evaluating national development strategies and achievement of the SDGs.

Providing a step-by-step mechanism to assess evaluation capacity, the tool enables users to determine needs and establish action points for developing a country's framework for the evaluation of national development strategies and the SDGs. It aims to augment national evaluation capacities in the SDG era and help countries to integrate, strengthen and connect three interlocking elements: national government systems, the 2030 Agenda for Sustainable Development and national evaluation systems and processes.

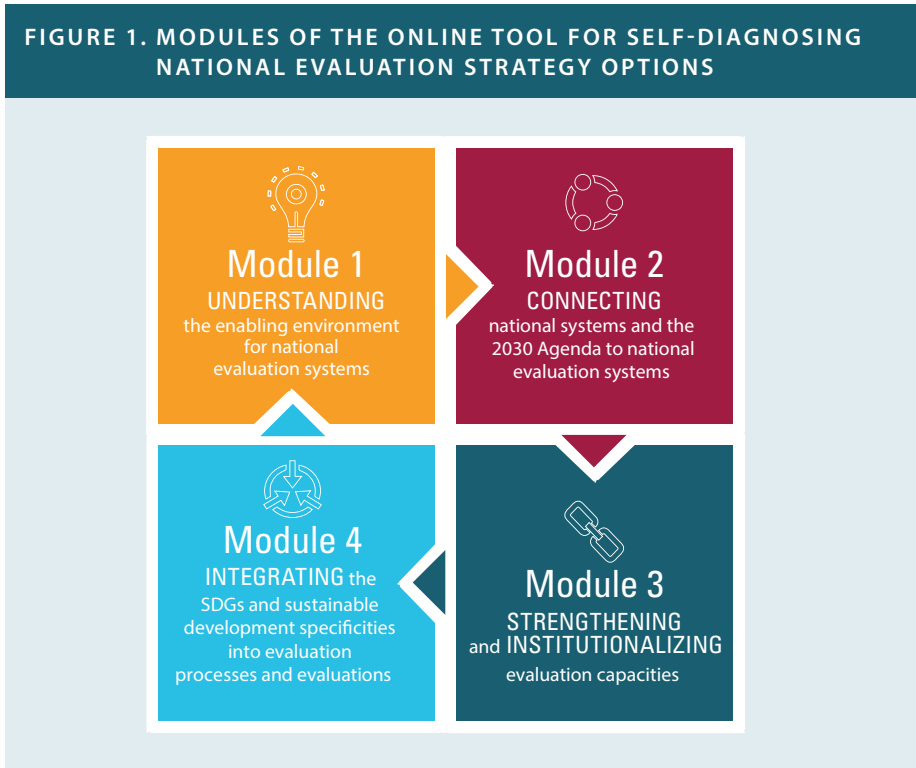
National institutions can use the tool for evaluation diagnostics to assess national development strategies and programmes as well as the SDGs. It provides a flexible and practical framework for a country to assess the evaluation capacities of the government or of specific government entities. It situates evaluation practices within the context of other public-sector feedback mechanisms and recognizes that an evaluation practice is built over time. The approach followed in developing the tool is to enable users to ascertain evaluation bottlenecks and priority areas for improving evaluation capacities. It also helps them to identify needs for critical institutional systems and processes and prepare evaluation frameworks.

The tool is for use by government entities, regardless of the level of their country's evaluation systems, processes and capacities. It can be used by evaluation systems that are mature, evolving or emergent. The main advantage is that the tool lends itself to the analysis of evaluation needs and bottlenecks and strategies to develop evaluation systems and processes at different levels of government. It can be used by the staff of the central evaluation entity, national government institutions, sectoral agencies and regional/state and local governments. It can also be used to develop evaluation processes for major national programmes where information on impact is critical. The self-assessment process is driven by the government entities and the tool is designed to be simple to use with minimal support from evaluation experts.

Consisting of a series of questions that enable countries to identify a requirement for building evaluation capacity, the tool helps users to understand the enabling environment for national evaluation systems and institutional capacities in different countries. It also connects national systems to the 2030 Agenda and enables integration of the SDGs and sustainable development issues into the evaluation process. Countries are expected to use the diagnostic results to develop and implement an evaluation action plan that identifies feasible priorities, clear targets, a timeline and required resources for building their national evaluation capacities.

Responding to countries' preference for national evaluation diagnostics as opposed to SDG evaluation diagnostics, the diagnostic processes outlined in the tool situates evaluative

practices within the context of other public-sector feedback mechanisms and recognize that evaluation is a practice that is built over time, rather than a set of outputs. The tool has four modules to help unpack evaluation requirements through a series of steps to assess key evaluation bottlenecks and specific needs and develop context-specific evaluation parameters (see Figure 1). The approach is non-prescriptive to account for differences in institutional and other development contexts.



MODULES

Because the modules are self-explanatory, limited technical expertise is needed to use them. The modules are based on the recognition that the need for structured evaluation practice cannot be universally assumed. Evaluations have benefits—such as informing and legitimizing decisions—but they also come with costs in time, money and effort. There is likely to be hesitance to invest scarce resources into formal evaluative practices if current arrangements satisfy countries' needs for information and legitimacy. In these cases, the modules enable users to explore different options and scenarios.

Module 1 is on understanding and building an enabling environment for national evaluation systems. It covers an assessment of contextual factors that shape the enabling environment for evaluation and helps to identify paths that would facilitate and accelerate

national evaluation capacities. It provides examples of accelerator paths for building an evaluation function. An area that is specifically addressed is the collaboration with constituencies with comparable objectives, for example audit systems. In many countries, the audit mechanism is fairly well developed compared to evaluation. Instead of creating boundaries, the national evaluation function can leverage collaboration with other accountability institutions.

Module 2 facilitates the taking stock of links between national systems and the SDGs. An understanding of these links is critical for framing national evaluations. While this module does not provide guidance for a comprehensive approach to integrating the SDGs, it does enable the identification of gaps, discrepancies and areas of convergence national and sectoral development objectives and indicators against the 17 SDGs. It enables an assessment of the national prioritization of the SDG framework (parts or more comprehensively) mainstreaming of the SDGs in ministries, departments, agencies and at subnational levels; balancing sectoral priorities vs. an integrated agenda; and setting up and empowering coordination mechanisms. “National systems” as used here implies a web of values, institutions, incentives, policies, plans and priorities that determine how decision-making, planning, implementation and accountability processes work in a country. Most countries operate through a multiplicity of systems and authorities, such as municipal, provincial, state/ regional and sectoral levels of governance.

An integrated approach to achieving the SDGs means that siloed, sector-based approaches to development solutions need to change. Much like the delineation of the 2030 Agenda into 17 sectoral or thematic goals, countries operate through a series of entities (ministries, departments, agencies) with sectoral or thematic responsibilities. However, the SDGs have interlinking targets that require a more holistic approach to development. To bridge this gap between a holistic approach and a traditional sectoral approach, some countries have established a high-level entity to lead and coordinate SDG implementation, follow-up and review. These entities are usually attached to central ministries of planning or finance or central political offices such as the prime minister’s or president’s office. In some countries, these entities are framed as sustainable development councils that oversee national sustainability planning. It is critical that evaluation systems be integrally linked to such coordination mechanisms.

Module 3 provides instruments and options for strengthening and institutionalizing evaluation capacities. It includes tools designed for integrating evaluation into national and subnational planning and implementation cycles. It also presents key steps in developing a national evaluation system. The module underscores that evaluation capacity should be phased, adapted to the local context and accompanied by a commitment of resources (centralized units versus subnational units). It also addresses how to avoid capacity traps and stresses the need for linkages with data systems and building on existing accountability systems.

Mainstreaming evaluation in national and subnational institutions consists of fully integrating evaluation activities into all relevant aspects of institutional practice. This includes: (1) updating mandates and policies; (2) assigning responsibilities and resources

for evaluation; (3) assigning responsibilities and resources for evaluation capacity development; and (4) assigning responsibilities for the use, dissemination and follow-up of evaluation recommendations. Ideally, where resources are plentiful, officials of various national government departments and provincial and municipal entities become familiar with and regularly conduct or commission evaluations. Where resources are lacking, however, mainstreaming can overburden decentralized institutions with additional tasks without providing the resources to fulfil them. Evaluation responsibilities should therefore be phased in over time, be adapted to the local context and be accompanied by sufficient resources.

Module 4 is on ensuring that evaluations integrate SDG principles and approaches. Integrating the SDG specificities into evaluation practices will be critical. Traditional areas of national evaluation capacity development efforts already cover country leadership, rigour, learning, etc. The 2030 Agenda, however, outlines key programming principles such as sustainability, resilience, equality, partnerships and leaving no one behind. Evaluations systems should capture progress in these areas. The module clarifies new expectations pertaining to some of the key demands that the 2030 Agenda places on national evaluation systems and proposes steps for updating evaluation approaches. After mapping national systems against the 2030 Agenda and building or strengthening the basis of a national evaluation system, the next step consists of updating existing evaluation systems to consider the SDGs. The 2030 Agenda outlines several key principles for evaluation related to achieving the SDGs. Many of these are areas that address strengthening of evaluation systems and processes in general, for example, institutional leadership, rigour in the conduct of evaluations, learning systems and partnerships.

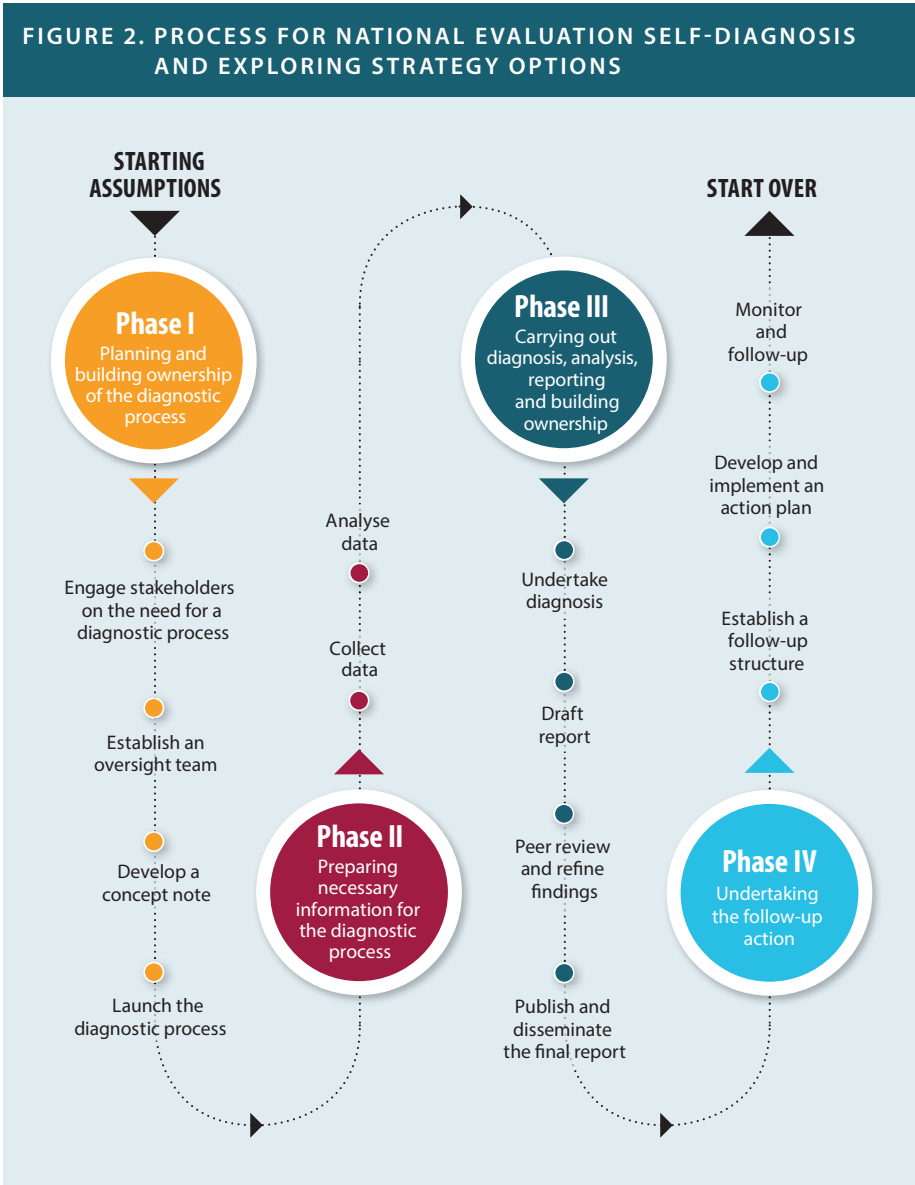
The 2030 Agenda places renewed emphasis on four key issues that national institutions generally emphasize, although with varying degrees of emphasis: universality, resilience, partnerships and equity. Evaluation policies, mandates, competency frameworks, standards and procedures should be updated to respond to new expectations and to ensure the integration of new evaluation approaches, questions and values into evaluation plans, terms of reference and methodologies. Updating these presents an opportunity to foster conversations among evaluation stakeholders about what is needed, desired and feasible.

NATIONAL EVALUATION SELF-DIAGNOSING PROCESS

The process of carrying out a national evaluation diagnosis matters just as much as its ultimate findings. An accurate and insightful analysis of national evaluation should be perceived as important, credible and useful by relevant stakeholders. Carrying out a diagnostic process, therefore, consists of much more than gathering evidence and disseminating a report.

The diagnostic process begins before the collection and analysis of information on evaluation systems and processes, and it does not end with the presentation of findings in a document. The tool emphasizes a carefully managed process that would add significant value to the diagnostic exercise. The diagnostic process is seen as part of a larger change-management process that builds on the following practices that apply to all phases of the diagnostic process:

- **Fostering ownership:** To facilitate change in national evaluation systems and processes, it is essential to build ownership throughout each phase of the diagnostic process, particularly at the planning and reporting stage. Ownership is built by consulting, involving and informing stakeholders, both through punctual engagements (workshops, presentations) and by formally assigning them responsibilities and powers (as reviewers, committee members, etc.).



- **Leveraging the process for capacity-building, raising awareness and sharing information:** The process of conducting a national evaluation diagnostic provides an opportunity to raise stakeholders' awareness of the utility of evaluative practices and to connect them to other stakeholders with shared interests. To do so, it is important to structure consultations not merely as a technical process but one that facilitates learning for all key stakeholders.
- **Focusing on stakeholder utility:** Ultimately, all steps of the diagnostic process should be oriented towards stakeholder utility. This includes using language, evidence and communication channels appropriate for the target audience; formulating findings that are relevant to decision-making; and ensuring that the process incorporates clear follow-up and review processes.

A sequential outline of steps to be taken for the four phases is outlined in Figure 2. This process is compatible with methodologies for sector capacity assessment and with various governance structures, and it can be led by a government. The main emphasis is on building ownership of the diagnostic process among key stakeholders. The process for conducting the diagnostics is built on two assumptions:

- A government/public sector entity has decided to launch the evaluation diagnostic process, either because of its own interests and incentives or because it needs to respond to demands and pressures.
- The entity has conducted a readiness assessment for evaluation capacity diagnosis and concluded it is worth proceeding.

PHASE I. PLANNING AND BUILDING OWNERSHIP OF THE EVALUATION DIAGNOSTIC PROCESS

The first phase of the evaluation diagnostic process has four steps. The objective of this first phase is to engage stakeholders and mobilize their support for the process and to decide who will carry it out and how. It is critical for strengthening national evaluation capacities to engage stakeholders at each stage of the national evaluation capacity diagnostic process. This starting point usually precedes the formal diagnostic process. Since the entities may not be well-resourced or powerful within the government architecture, the primary objective of this dialogue usually is to obtain support for the process from senior staff, such as ministers or the office of the president or head of the entity. This may require "selling" the evaluation to senior government stakeholders who may not fully recognize its purpose, may conflate it with monitoring or may fear or resent it. A secondary objective is to scan stakeholders to determine if there are interested actors elsewhere who will want to be involved and who might use the results. This might involve consultations with other agencies and levels of administration and with civil society, the private sector and international development partners. An exhaustive mapping is not necessarily required at this stage, as the emphasis remains on generating enough support for starting the process. However, at this stage it is worth considering possible interlinkages and cross-sectoral collaboration.

An oversight team for the diagnostic process should be established and assign responsibilities for the smooth conduct of the process. The precise structure of the team's responsibilities varies according to the approach taken. For decentralized evaluation diagnostics, the oversight team will likely lead, design and execute the diagnostic process. Where the process takes place at the national level, a broad-based collaborative review group should also be established. This group consists of higher-level stakeholders who support the process but lack the time to be significantly involved. For more involved processes, the oversight team should involve high-level stakeholders in an oversight and governance role, and delegate the actual assessment process to an assessment team. It is generally a good practice to have both a technical team (with a team leader) and a wider consultative group of stakeholders, which ideally should involve at least a senior government official supporting the process (an institutional sponsor, or several for a jointly-led model). For rapid assessments, a senior official should at least provide a letter of support or introduction to endorse the process and facilitate the team's access to stakeholders.

A draft concept note covering objectives, methods and resources needed should guide the diagnostic process. The concept note sets out key characteristics of the diagnostic process. It might include, for example, a list of key issues to be agreed on such as objectives/purpose, intended audience, the scope of the process (unit of analysis), management arrangements and roles of various stakeholders, financing of the assessment, an overview of the intended methodology and information requirements. The draft concept note should be shared with key stakeholders for review; this is an important step because the concept note defines the rest of the process. The note itself should be brief, rarely exceeding six pages. For quicker diagnostic processes, it may be considerably shorter or not formally be written at all (even when not written, however, the key questions should be addressed and key stakeholders consulted). An in-depth diagnostic process may involve launches across government entities and at different levels, while a decentralized process may be on a smaller scale.

PHASE II. PREPARING INFORMATION NECESSARY FOR THE DIAGNOSTIC PROCESS

The second phase of the diagnostic process involves preparing a preliminary diagnostic for each national evaluation capacity dimension outlined in the modules. Although this phase contains few steps, it is likely to be one of the most intensive phases and the one exposed to the most important risks, surprises and delays. This step includes collecting data for responding to the questions in the modules. Where back-up evidence is not readily available, the process of completing the modules may be take longer. For some areas, consultations with other entities and levels of government may be needed. Adequate time should be set aside for consultations and for substantiating answers.

Analysing the data requires triangulation of information collected (verifying that information from different sources coincides). For instance, stakeholder perceptions about the number and quality of evaluations can be checked against actual evaluation reports sampled. This analysis should also highlight data gaps requiring further data collection. This step

ensures that the diagnosis provides an accurate representation of the needs and challenges facing the programme or entity.

PHASE III. CARRYING OUT THE DIAGNOSIS, ANALYSIS AND REPORTING AND BUILDING OWNERSHIP OF THE DIAGNOSTIC FINDINGS

The third phase of the process consists of four steps: diagnosing evaluation capacities; drafting the diagnostic report; holding a peer review and refining the findings; and publishing and disseminating the final report. The objective of this phase is to provide a summary overview of national evaluation capacities and to disseminate this information in a useful way to key stakeholders. It also involves choosing actions for an evaluation framework.

Usually the draft report is prepared by the individuals involved in data collection and analysis. It summarizes the findings on the various dimensions of national evaluation capacity and the diagnostic and relevant contextual information. The report should respond to the objectives outlined in the concept note and be written with the target audience in mind. It should also include a section on recommended follow-up action. The draft report should be shared with stakeholders (e.g., the consultative review group, if one was established) to inform them of preliminary findings, give them an opportunity to provide feedback and ensure a degree of independent quality assessment. If time allows, a peer review can be conducted in several rounds, first by soliciting detailed comments from peers or technical experts and then by disseminating it more widely to higher-level reviewers. After the report is revised based on feedback, a formal launch event can be held if resources are available.

PHASE IV. UNDERTAKING THE FOLLOW-UP ACTION

The fourth phase of the diagnostic process consists of engaging stakeholders on the need for follow-up and establishing a follow-up structure; developing an action plan; and monitoring and following up on the action plan. The objective of this phase is to leverage the knowledge and momentum produced by the diagnostic process to build national evaluation processes and systems at the level where the diagnostic process will take place. This phase is closely tied to and likely to overlap with the previous phase, particularly if the diagnostic model chosen faces limited time and resources.

Establishing an entity to oversee the follow-up process is critical; this may be the same team as the one that oversaw the diagnostic process, but rather than taking on a technical role the team can now be thought of as a process enabler and can include an evaluation practice group on national evaluations. Membership can be flexible, but to facilitate the reform process it helps to include institutions affected by intended changes, as well as institutions spearheading or financing the process. To avoid diluting responsibility, the follow-up entity should have a structure for designating a team leader or chair who is formally responsible for the follow-up process. The evaluation practice group should lead the development of an action plan that identifies feasible priorities, clear targets, a timeline and required resources (financial, human and political). It is crucial to building ownership of the action plan by developing it in a consultative manner, to avoid presenting institutions with

priorities or reform actions they did not anticipate or do not support. Consultations can take place through a workshop or several rounds of feedback on a draft, depending on the resources available.

Once the action plan has been launched, focal points should be identified in key reform units/institutions to report on progress against the targets outlined in the action plan, and to identify challenges encountered and good practices established. Information on progress and issues should be reported regularly via the community of practice to key stakeholders who participated in the diagnostic process. The action plan can be updated as needed over time. Following an adequate period of monitoring and review (usually three to five years), a renewed diagnostic process should be considered to examine progress more comprehensively.

NATIONAL EVALUATION CAPACITY APPROACH NEEDS RECONSIDERATION

There are three issues which are worth considering in taking forward the discussion of national evaluation capacity in the context of SDG programming. First, national evaluation can no longer be seen in isolation and needs to be located within public-sector systems and governance processes. The evolution of evaluation systems is closely associated with the level of governance reforms and systems for accountability and transparency. Second, the SDGs are intertwined with national development strategies, so that evaluation of SDGs means an evaluation of national development plans. Third, the development of national evaluation capacities requires integrating, strengthening and connecting these three interlocking elements: national systems of government, the development agenda including the SDGs and evaluation.

At the country level, a more systemic approach to national evaluations is needed which entails taking a holistic view of development and looking at evaluations as an interaction between a complex set of actors and actions. Efforts of United Nations agencies and other actors should therefore focus on addressing institutional and process issues that can accelerate evaluation capacities. The tool can be one of the paths to enable countries to assess capacity needs and accelerate national evaluation capacities in a more coherent and holistic way.

4. The Use of Evaluation in Follow-up and Review Frameworks for the Sustainable Development Goals

STEFANO D'ERRICO

Monitoring, Evaluation, Accountability and Learning Manager
Strategy and Learning Group, International Institute for
Environment and Development

Since the adoption of the 2030 Agenda for Sustainable Development, 65 countries have submitted their voluntary national reviews to the high-level political forum on sustainable development to report about their progress towards the Sustainable Development Goals (SDGs). While important, voluntary national reporting is only one piece of the puzzle which risks remaining an artificial and bureaucratic exercise if it is not substantiated by ongoing evaluations, reviews and assessments conducted at the national and subnational levels.

As stressed in the 2030 Agenda, voluntary national reviews should build on evidence gathered by national monitoring and evaluation mechanisms that feed into policy planning and implementation. Reviews, assessments and evaluation can play a key role for achieving the SDGs only if they are used in country to accelerate achievements against all three sustainable development pillars: the economic, social and environmental.

The 2030 Agenda is a massive step forward from the Millennium Development Goals because it recognizes the interrelationships between human and economic development and the environment. However, in its complexity, the Agenda can become a burden for national governments. There exists a great need to digest the Agenda by developing simple narratives around its key principles: country ownership; universality; sustainability; partnerships; and no one left behind. In this effort, evaluators can play a fundamental role by facilitating the co-generation of value judgements about what works, for whom and under what conditions. These judgements must be based on rigorous evidence.

For evaluators, this means dealing with hard-to-predict, intricate and often volatile interactions between different interested parties. Ultimately it means brokering the values, views and needs of different stakeholders while new knowledge is generated. In doing this, evaluators have a responsibility to challenge monopolies of any kind—of problem definition, of issue formulation, of data control, of information use. For example, the interaction of the SDGs often leads to trade-offs and clashes between conservation policies and economic growth. Evaluators need to mediate different interests in the process of value definition.

Therefore, national and subnational evaluation is crucial for achieving the ambitions of the 2030 Agenda. To date much of the global community's attention has focused on monitoring of SDG indicators, national statistical capacity and global reporting mechanisms. While these are all key aspects for measuring progress towards the SDGs, simply monitoring by means of indicators is insufficient. Evaluation is needed to analyse and probe the results achieved, both positive and negative.

Two reviews²¹ of the 65 voluntary national reviews submitted to the high-level political forum in 2016 and 2017, conducted in partnership by the International Institute for Environment and Development, EvalSDGs and the United Nations Development Programme, found that there are numerous efforts to strengthen national monitoring architectures, but evaluation systems and processes often remain missing or misunderstood. Most voluntary national reviews do not entirely capture how evaluation can help report and guide SDG implementation and only three countries assign a clear role to evaluation. Lack of awareness and understanding about the role and use of evaluation can eventually result in partial evidence and poor value judgements about what has been achieved, how and why, by different policies and initiatives addressing the SDGs.

The two reviews therefore call for global guidance and national action to improve understanding and use of evaluation in follow-up processes of the SDGs and make the following recommendations:

1. The current voluntary national review guidelines should be revised by the United Nations Secretariat and General Assembly to clearly outline evaluation measures and review processes. These gaps should be filled in consultation with the United Nations Evaluation Group and the broader evaluation community.
2. National governments should engage with evaluation networks and professionals early in the voluntary national review process. They should also consider developing and harmonizing national evaluation policies.
3. National evaluation organizations should initiate dialogues with their governments on the role of evaluation and engage with institutions in charge of defining evaluation processes.
4. There is a need to strengthen evaluation capacity and use in all countries; this requires courageous political will, adequate resources and evaluation expertise.

21 See <http://pubs.iied.org/17423IIED/> and <http://pubs.iied.org/17446IIED/>.

5. Bangladesh: Linking Evaluation Systems and National and Local SDG (Development) Planning

MOHD. MONIRUL ISLAM

Deputy Chief, General Economics Division
Bangladesh Planning Commission

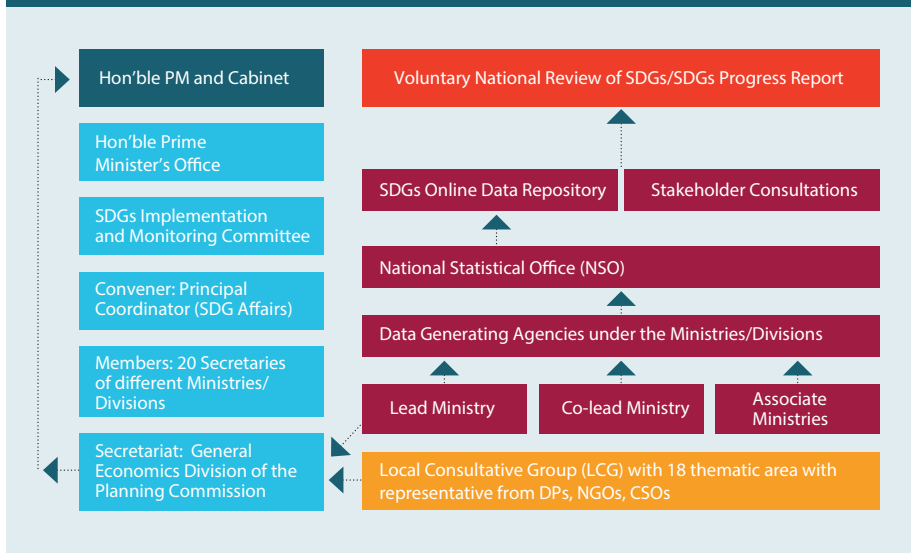
It is well accepted that government plans and policies need to address the complex and dynamic interactions required for implementation of the Sustainable Development Goals (SDGs). The Honourable Prime Minister of Bangladesh had a unique opportunity to be present at both the Millennium Summit held in 2000 and the Sustainable Development Summit held in 2015 where the Millennium Declaration and 2030 Agenda for Sustainable Development were adopted respectively at the United Nations. Bangladesh's success in achieving many of the Millennium Development Goal targets and the Prime Minister's dynamic leadership which was instrumental to this achievement were globally acclaimed. This in turn underlined her championship and ownership for the SDGs.

The Government has a long-term Perspective Plan (2010-2021), which envisions that Bangladesh will be a middle-income country by 2021. The plan is being implemented through two successive five-year plans, i.e., the 6th and 7th Five-Year Plans. The Government has also approved a National Sustainable Development Strategy (2010-2021) with a view to addressing the balance between the economic, social and environmental requirements of development.

The flagship planning document of the Government of Bangladesh at this moment is the ongoing 7th Five-Year Plan (2016-2020). In compliance with the request of the United Nations Secretary-General, Bangladesh participated in the process of formulating the post-2015 development agenda. In an inclusive and participatory manner, Bangladesh proposed 11 goals, 10 of which were incorporated in 2030 Agenda for Sustainable Development. So, while the 7th Five-Year Plan was in the process of finalization, Bangladesh could incorporate its proposals into its own national development plan. Hence, analysis reveals that 82 percent of the global goals are well aligned with the ongoing national plan. It is believed that Bangladesh will require three successive five-year plans for full implementation of the SDGs by 2030.

A 20-member SDG Implementation and Monitoring Committee has been formed, of which the secretaries of the most relevant ministries are the members. A new high-level post, that of Principal Coordinator of SDG Affairs, has been created in the Prime Minister's Office to spearhead the process and serve as the convener of the committee.

FIGURE 1. NATIONAL SDG COORDINATION AND MONITORING AND EVALUATION OF BANGLADESH



The first task of the SDG Implementation and Monitoring Committee was to approve the SDG mapping. It reflects concerted, well thought-out efforts by the Government following a “whole of society” approach (involving non-governmental organizations (NGOs), civil society and development partners) in delineating government responsibilities by the ministries for each of the SDG targets. The mapping (who is responsible for what in terms of targets) has given responsibility to 43 ministries acting as lead, along with 34 ministries acting as co-lead and 61 ministries/divisions/independent commissions earmarked as associates for the implementation of 169 targets of the 17 SDGs. The mapping also highlighted actions to be taken by the lead and co-lead ministries to achieve the SDG targets during 7th Five-Year Plan. It has also captured existing policies, strategies and regulations that will be instrumental for achieving the different targets.

Bangladesh has introduced the Annual Performance Agreement (APA), a results-based performance management system across the whole spectrum of the public sector with a view to improving efficiency and ensuring transparency and accountability. Under the APA system, each ministry enters into a memorandum of understanding with the Cabinet Division at the beginning of each financial year. The APA outlines the goals and targets of each ministry with corresponding performance indicators. The Government is in the process of integrating the SDG targets into the APA system so that the long-term objectives can be translated into the annual workplans of the ministries. The ministries have been instructed to incorporate SDG-related activities in their APAs so that they will be accountable in the implementation of the SDGs. All government training institutions have been directed to incorporate SDG-related issues in their training curricula.

The Government of Bangladesh has also undertaken an SDG data gap analysis with the assistance of all data-generating agencies including the National Statistical Organization of Bangladesh/Bangladesh Bureau of Statistics. The analysis revealed that out of 232 indicators, data related to 70 indicators are readily available in the existing system; data for 63 indicators are not available; and the rest are partially available (nine indicators are repeated two or three times in the 232 indicators). Since quite a few administrative data sources will be required, institutional linkages have to be established among the National Statistical Office and the administrative data-generating agencies of the different ministries to ensure the authenticity and accuracy of the data.

The Government of Bangladesh has finalized a web-based data repository system focusing on data disaggregation (“SDG Trackers”). The Government has also finalized an SDG Monitoring and Evaluation (M&E) Framework for the country. The framework has prioritized the SDG indicators based on the country context and availability of data and also benchmarked the base and target figures for the indicators up to 2020, 2025 and 2030 so that they can be well articulated in the upcoming five-year planning cycles.

The Government of Bangladesh has also conducted a study, “SDGs Needs Assessment and Financing Strategy: Bangladesh Perspective”, to assess the resources needed to achieve the SDGs and map out a financial strategy for successful implementation of the SDGs in Bangladesh. The study provides a well-defined framework that outlines the goal and target-wise additional estimated cost at 2015-2016 constant prices. It is estimated that gross domestic product (GDP) growth would be 8 percent in fiscal year (FY) 2020, 8.5 percent in FY 2025 and 9 percent in FY 2030. The report estimates that the additional amount required over the current provision of investment related to the SDGs by the public sector and external sources, would be US\$928.48 billion at 2015-2016 constant prices. This amount would be required for implementation of the SDGs over the period FY 2017 to FY 2030, which is 19.75 percent of the accumulated GDP under the extended growth scenario of the 7th Five-Year Plan. The annual average cost of the SDGs would be \$66.32 billion (at constant prices) for this period.

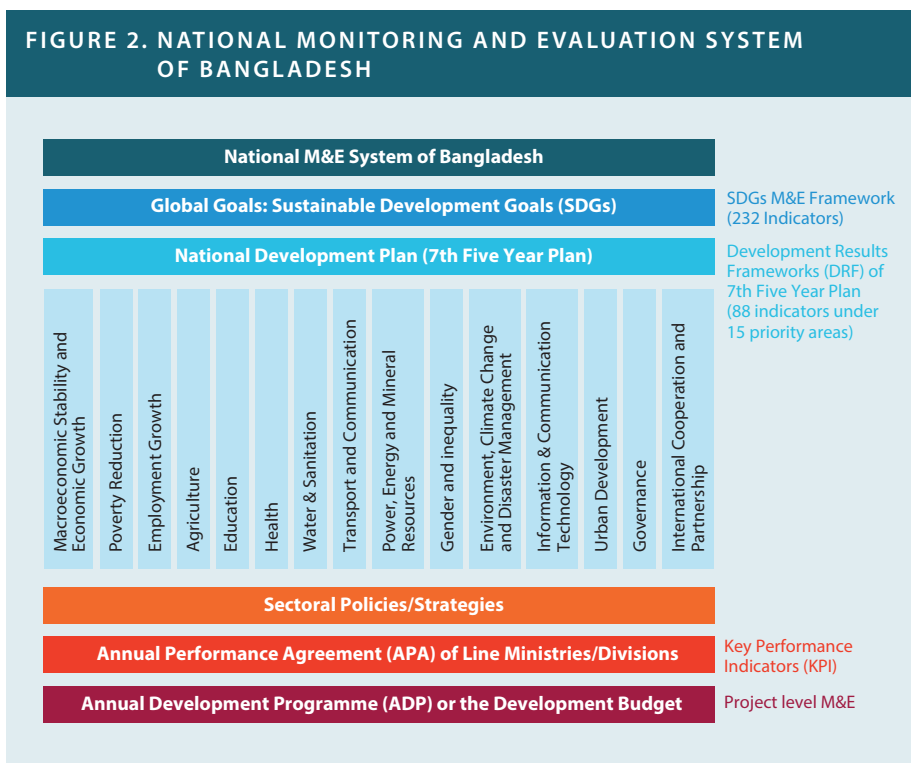
The study suggests five potential sources for meeting the financing gap: (1) public financing; (2) private sector financing; (3) public-private partnerships (PPPs); (4) external sources including foreign direct investment and foreign aid and grants; and lastly (5) NGOs. During the period FY 2017 to FY 2030, on average, the public sector would account for 34 percent of the financing requirement. The private sector would have to provide 42 percent of the investment through reenergizing of business activities. The average share of PPPs is determined to be 6 percent. The external source would have an average share of around 15 percent in the face of dwindling prospects for official development assistance. Finally, the contribution of NGOs is estimated to be around 4 percent of the total additional cost.

Based on the SDG mapping, the General Economics Division of the Planning Commission has drafted a National Action Plan for SDG Implementation in accordance with the objectives of the 7th Five-Year Plan, which will be instrumental for achieving the SDG targets. Once finalized, the National Action Plan for SDG Implementation will guide ministries in undertaking priority projects against the specific targets of the SDGs in the coming years, while

also taking special measures for their speedy implementation and giving greater impetus in parallel to monitoring and evaluation.

Bangladesh participated in the voluntary national review of the SDGs in 2017 at the high-level political forum of the United Nations. The focus of its report was to highlight activities for implementing the 2030 Agenda. Bangladesh submitted its report along with 42 other countries. The voluntary national review was prepared through a consultative process and presented to the high-level political forum on 17 July 2017 by the Planning Minister at the Ministry of Planning.

Data and evidence are the foundation of development policy and effective programme implementation, and countries need data to formulate policy and evaluate progress. Data are what drives resources towards development. The ongoing 7th Five-Year Plan of Bangladesh takes specific steps to move towards results-based M&E. This system is likely to bring about major political and cultural changes in the way governments and organizations operate, leading to improved performance, increased accountability, transparency, learning and knowledge. In the specific context of “Vision 2021” and the 7th Five-Year Plan, results-based M&E is recognized as critical to helping the Government track and monitor progress with implementation of the respective targets and take corrective actions when major gaps or divergences emerge.



The 7th Five-Year Plan has identified 15 priority areas: (1) macroeconomic stability and economic growth; (2) poverty reduction; (3) employment growth; (4) agriculture; (5) education; (6) health; (7) water and sanitation; (8) transport and communication; (9) power, energy and mineral resources; (10) gender and inequality; (11) environment, climate change and disaster management; (12) information and communication technology; (13) urban development; (14) governance; and (15) international cooperation and partnership. Figure 2 shows that all the priority areas of the 7th Five-Year Plan capture the SDGs. The 7th Five-Year Plan has identified a Development Results Framework (DRF) with 88 results against the 15 priority areas; each indicator has benchmark and target figures. Around 20 percent of the SDG indicators are reflected in the DRF.

The lack of capacity and broad-based awareness of the importance of results-based M&E is a major challenge. Data generation for the set of indicators and their useful analysis remains a formidable task. Most importantly, there is a clear lack of institutions and institutional coordination in terms of who will manage the overall M&E process which involves:

1. Ensuring that the necessary data are generated in a timely and reliable fashion;
2. The data are examined adequately to find insights on the progress;
3. The findings are disseminated to all relevant state and non-state actors so that better public policies are formulated and implemented to support the progress.

Thus, to mitigate such institutional, structural and policy deficits, which undermine the overall results-based M&E system within the public sector, the principle strategy of the Government of Bangladesh is to undertake major institutional reforms and implement a comprehensive set of activities that will create a conducive environment for an effective M&E culture.

As the National Statistical Organization, the Bangladesh Bureau of Statistics will assume the core responsibility for producing official national statistics. It will not only generate 101 data points related to SDG targets but also spearhead the process of coordination with other government data producers to generate the relevant data in a timely way. The commitment to “leave no one behind” has been a key feature of the SDGs and disaggregated data are the only means to identify who is being left out. It is believed that producing data at disaggregated levels will be challenging but initial efforts have to focus on generating high-quality, timely and reliable data disaggregated primarily by gender, age, income and geographic location. Globally enhancing capacity for data generation through financing, technology, logistics and human capital has been identified as a challenge that has to be resolved in a coordinated manner to get better outcomes.

In Bangladesh, the Government has already provided political support and interest in developing effective results-based M&E as articulated in the 7th Five-Year Plan and has developed the online SDG data repository. Even where political will prevails, technical capacity and data limitations will likely constrain the scope and approach to M&E. The assignment of the Planning Commission as the focal point for M&E strategy is a welcome development. Simultaneously with the adoption of the medium-term budgetary framework as the main instrument for coordination with national planning and fiscal management, the role of M&E

at the line ministry level also gains significance. While the Planning Commission rightly focuses on developing a nationwide M&E framework in coordination with the Ministry of Finance and the line ministries, its own M&E focus is on high-level outcomes related to the implementation of the national plans and major policies. Hence, to further strengthen the capacity of the Planning Commission in guiding the overall M&E process, more institutional reforms and capacity-building measures are required under the 2030 Agenda timeframe.

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6. Botswana: Progress on the National Monitoring and Evaluation System

FIDELITY KEPALETSWE

Chief Research Officer
Botswana National Strategy Office

INTRODUCTION

This paper has two objectives: (1) it gives insights as to how the 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) have been integrated in Botswana's national development frameworks such as the Vision 2036, the National Development Plan (NDP) and district and urban development plans; and (2) to present progress of Botswana's National Monitoring and Evaluation System (NMES) since the 2015 National Evaluation Capacities Conference (NEC 2015). The paper will also shed some light on the challenges encountered in the process of developing the NMES. Lessons learned and the next steps in the development of the NMES are also shared.

INTEGRATION OF THE SDGs INTO BOTSWANA'S DEVELOPMENT FRAMEWORKS

Botswana's National Development System is such that at the highest level (Figure 1), there is the National Vision which guides the country as to where it ought to be in the future. Botswana has developed its second national vision, dubbed Vision 2036, which has as its theme, "Achieving prosperity for all" and has four pillars that talk about the people, the environment, the economy and governance. The Vision 2036 is implemented at the national level through six-year NDPs and at the local level through the district and urban development plans.

The SDGs are integrated into Botswana's development frameworks in this manner:

1. When the Vision 2036 was crafted, development partners such as the World Bank and the United Nations were engaged to provide technical skills as well as ensure that global issues were taken into account.
2. The foundation of Botswana's national development agenda is sustainable development, that is, issues dealing with the people, the environment and the economy are taken into account and that none of these are developed at the expense of the other.
3. Each of these development instruments has indicators that are used to track Botswana's progress towards realization of the Vision 2036 and the SDGs. Figure 2 shows how the SDGs have been aligned to Botswana's development frameworks.

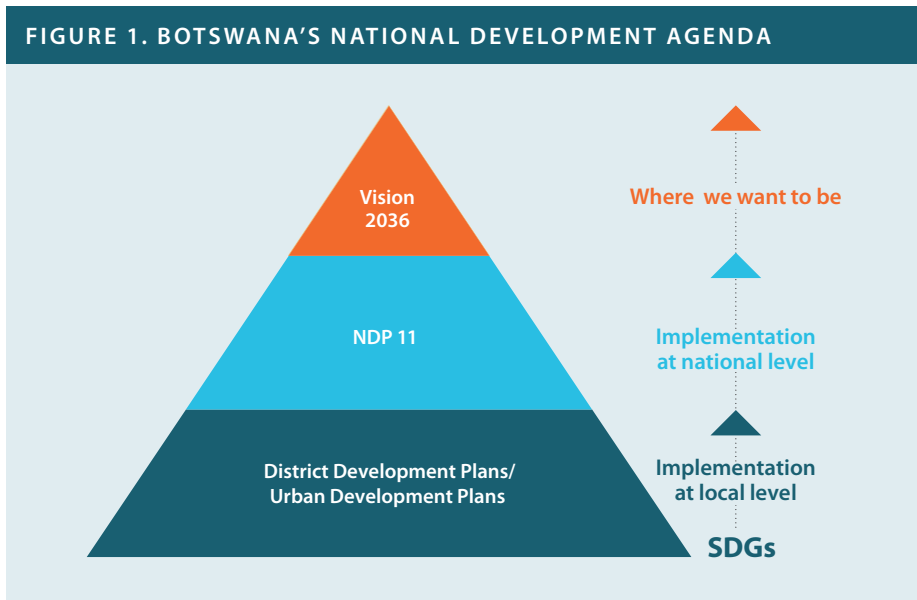


FIGURE 2. ALIGNMENT OF THE SDGs TO BOTSWANA'S DEVELOPMENT FRAMEWORKS

THE FIVE Ps	PROSPERITY Grow a strong, inclusive & transformative economy	PEOPLE Ensure healthy lives, knowledge, including of women and children Dignity End poverty & fight inequality	PLANET Protect our ecosystem for all societies & our children	PEACE (Justice) Promote safe & peaceful societies & strong institutions PARTNERSHIP Catalyze global solidarity for achieving sustainable development
Vision 2036 Pillars	Sustainable Economic Development	Human and Social Development	Sustainable Enviroment	Governance, Safety and Security
SDGs	7, 8, 9, 10, 11	1, 2, 3, 4, 5	6, 12, 13, 14, 15	16 & 17
Agenda 2063 Goals	1, 7, 8, 9, 10, 20	1, 2, 3, 4, 5, 17, 18	7	11, 12, 13, 14, 15, 19, 20
NDP 11 TWGs	Economy & Employment	Social Upliftment	Sustainable Development	Governance, Safety and Security

Figure 2 shows how the SDGs are aligned to Vision 2036 and the NDP. The Vision 2036 is aligned to the five transformative shifts of the SDGs: (1) leaving no one behind; (2) putting sustainable development at the core; (3) transform economies and jobs for inclusive growth; (4) build peace and effective, open and accountable public institutions for all; and (5) forge a new global partnership. These are captured through the four pillars of Vision 2036.

PROGRESS OF BOTSWANA'S NMES SINCE NEC 2015

The use of credible evidence in demonstrating results has never been more critical to winning public support and gaining credibility. With the commencement of Vision 2036 and the 11th NDP (NDP 11), the need for greater fiscal discipline and a review of government policies, programmes and projects to help accelerate progress on implementation and service delivery has become apparent. This has now given the Government of Botswana a new impetus to develop performance monitoring and evaluation (PM&E) as a way to strengthen public sector performance. The NMES is being developed to monitor and evaluate progress of the Vision 2036 and other national strategies. The development of the NMES is championed by the highest office in the country, the Office of the President.

The success of the NMES depends on all stakeholders understanding and playing their roles and assuming their responsibilities effectively. It also depends on the appropriate accountability mechanisms to ensure that PM&E is not only designed but also effectively implemented as planned. Figure 3 shows the key players in the development of the NMES and their roles are explained in Table 1.

- **Development of the M&E Policy.** This has been approved by Cabinet. The general objective of the PM&E Policy is to establish an effective PM&E System with the aim of strengthening the efficiency, effectiveness, accountability and transparency across government to support the achievement of national development goals.
- **Performance Framework for the 11th NDP (NDP11).** This has been completed. The Performance Framework outlines measurements that have been developed to

FIGURE 3. NATIONAL MONITORING AND EVALUATION SYSTEM STAKEHOLDERS

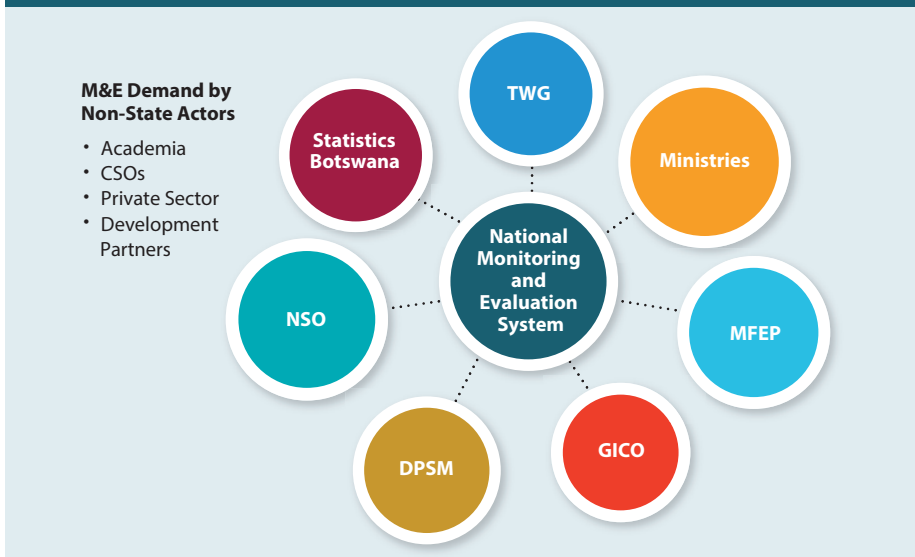


TABLE 1. ROLES AND RESPONSIBILITIES IN THE NATIONAL MONITORING AND EVALUATION SYSTEM

ENTITY	ROLE AND RESPONSIBILITY
Parliament	<ul style="list-style-type: none"> • Conducts oversight on implementation of the National Vision and NDPs. • Review and approve budgetary provision in line with NDP. • Use performance information to hold government accountable.
Cabinet	<ul style="list-style-type: none"> • Approval of Annual National Evaluation Plan. • Use performance information for decision-making.
Office of the Auditor General	<ul style="list-style-type: none"> • Conduct selective independent reviews of policies, programmes and projects. • Conduct regular performance audits.
National Strategy Office (NSO)	<ul style="list-style-type: none"> • Coordinate the design and implementation of the PM&E system, in collaboration with Ministry of Finance and Economic Development (MFED), Directorate of Public Service Management (DPSM), Government Implementation Coordination Office (GICO), Statistics Botswana and others key stakeholders. • Develop an evaluation policy, plan, tools and guidelines. • Coordinate evaluations. • Periodic review of the National Performance Monitoring and Evaluation Policy. • Conduct periodic ministerial performance reviews (MPRs). • Jointly with Public Enterprise, Evaluation and Privatisation Agency and respective ministries, conduct periodic review of performance of state-owned enterprises. • Set standards and coordinate the preparation of Ministry Strategic Plans.
Ministry of Finance and Economic Development (MFED)	<ul style="list-style-type: none"> • Provide overall leadership on development, implementation and review of NDPs. • Prepare annual budgets in line with the Medium-Term Expenditure Framework. • Monitor the performance of the budget in line with the NDP goals. • Produce quarterly, semi-annual and annual budget performance reports. • Conduct midterm and final reviews of NDPs in collaboration with National Strategy Office, Government Implementation Coordination Office and Statistics Botswana.
Thematic Working Groups (TWGs)	<ul style="list-style-type: none"> • Develop, implement and review NDPs. • Coordinate implementation of cross-cutting themes.
Government Implementation Coordination Office (GICO)	<ul style="list-style-type: none"> • Undertake performance monitoring of projects and produce annual and semi-annual reports to Cabinet. • Conduct citizen perception surveys on services delivery, in partnership with line ministries. • Monitor adherence to service standards.
Department of Public Service Management (DPSM)	<ul style="list-style-type: none"> • Coordinate establishment of PM&E function across government. • Incorporate performance information into regular staff assessments. • Periodically review human resource performance of ministries. • Lead monitoring and evaluation (M&E) capacity-building initiatives across government. • Implement the M&E Human Resource Management Strategy in collaboration with MDAs.

(Continued)

(Continued)

TABLE 1. ROLES AND RESPONSIBILITIES IN THE NATIONAL MONITORING AND EVALUATION SYSTEM

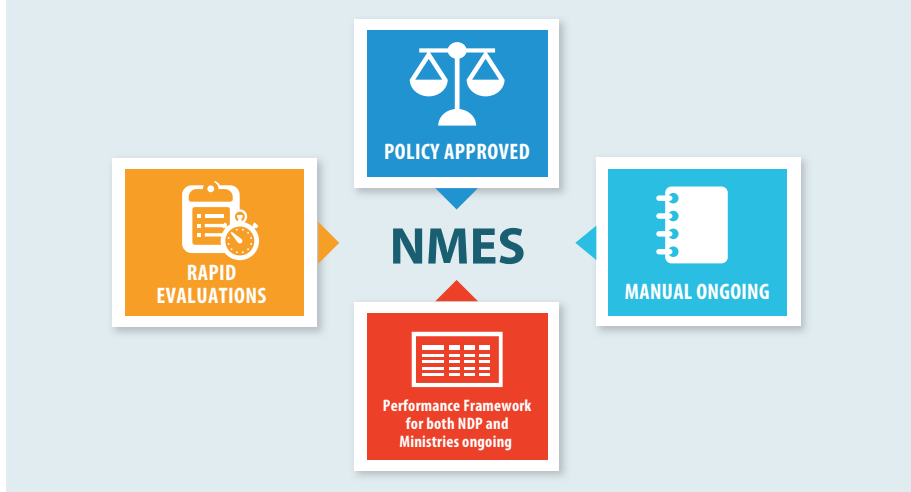
ENTITY	ROLE AND RESPONSIBILITY
Ministries, Departments and Agencies (MDAs)	<ul style="list-style-type: none"> • Regular monitoring and evaluation of the performance of ministerial policies, programmes and projects. • Periodically prepare ministerial /sectoral strategic plans. • Monitor and submit to NSO performance reports, as required by the MPR system. • Monitor implementation of sector projects and submit reports to GICO. • Create M&E unit within their organizational structures and staffing complements. • Use performance information for decision-making.
Ministry of Local Government & Rural Development (MLG&RD)	<ul style="list-style-type: none"> • Provide overall leadership on development, implementation and review of district development plans and urban development plans. • Monitor the performance of the local government-level performance framework. • Receive and analyse quarterly performance reports from local authorities and provide feedback to key stakeholders. • Convene development forums at local authority level and follow up recommendations. • Monitor and evaluate local authority budgets in relation to performance goals and targets.
Local Authorities	<ul style="list-style-type: none"> • Ensure that the design and implementation of district development plans and urban development plans become increasingly performance-based. • Develop progress reports on implementation of district development plans and urban development plans.
Statistics Botswana	<ul style="list-style-type: none"> • Timely development and production of data. • Quality assurance of data including data generated directly by line ministries (administrative data).
Non-State Actors (citizens, civil society organizations, media, academia, private sector, development partners)	<ul style="list-style-type: none"> • Participate in the NDP development, implementation and review through TWG structures. • Conduct participatory monitoring by providing feedback on policy, programme and project implementation through different instruments.

Source: Botswana M&E Policy (2017)

monitor and evaluate the implementation of NDP11. It includes a mix of indicators ranging from national to high-level ministerial outcomes and outputs and is aligned to the Vision 2036, the SDGs and the African Union Agenda 2063. The NDP11 Performance Framework features a mixed hierarchy (different levels) of indicators clustered by thematic working groups to reflect the cross-sectoral approach of NDP11. It also includes more actionable indicators (such as intermediary outcomes) linked to ministry activities (programmes).

- **M&E Manual.** This is being finalized and will guide ministries and other stakeholders on how M&E should be carried out.

FIGURE 4. PROGRESS OF THE NATIONAL MONITORING AND EVALUATION SYSTEM (NMES) SINCE NEC 2015



- **Rapid Evaluations.** These are ongoing and their main purpose is to build capacity on evaluation. These rapid evaluations are carried against the background that Botswana has limited experience and capacity in carrying out evaluations. The three sectors have that been identified for rapid evaluation are the health, education and tourism sectors.

CHALLENGES IN NMES

Although Botswana is on the right track in terms of the development of its National M&E System, it faces a number of challenges as well as opportunities, as shown in Table 2.

TABLE 2. CHALLENGES AND OPPORTUNITIES

CHALLENGES	
Capacity issues	Botswana is not well capacitated especially when it comes to evaluation. Botswana has vast experience in monitoring but a limited capacity in evaluation.
Data Issues	Data availability is an issue in Botswana which makes it difficult to monitor and evaluate the progress of programmes and projects.
OPPORTUNITIES	
Buy-in from leadership	There is a strong political will in terms of M&E in Botswana. The NMES is being championed by the President of the country.
Partnership with all stakeholders	There are opportunities to partner with different stakeholders in terms of evaluation. These include development partners as well as local stakeholders.

CONCLUSION

The overall objective of the NMES is to strengthen the efficiency, effectiveness, accountability and transparency of the public sector, with a view to enhancing service delivery and ultimately contribute to the achievement of national goals. Botswana is on the right path towards establishing a strong M&E system. The development of the NMES is evidence that Botswana is indeed serious about ensuring that it transforms, sustainably, into a high-income country without leaving anyone behind. To improve performance, there is need for Botswana to link M&E with planning, budgeting and personnel management as part of the whole public policy cycle, and the NMES provides Botswana with this opportunity. What is also key is capacity strengthening on M&E both at institutional and individual levels.

NEXT STEPS

- Rapid evaluations for the tourism, health and education sectors will be carried out first. These will be the first step towards building capacity in evaluation.
- Development of the National Data Management Strategy, to deal mainly with data issues.
- Development of the M&E Human Resource Strategy, to address capacity issues.

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7. Burkina Faso: Assessment, Strategy and Action Plan to Strengthen National Capacity for Evaluation

MAHAMADOU BOKOUM

Director of Economic and Social Policy
Monitoring and Evaluation

ACHILLE R. YAMEOGO

Deputy Secretary-General of the Burkina Faso
Monitoring and Evaluation Network (RéBuSE)

SALIF ZOUNGRANA

Monitoring and Evaluation Specialist, UNDP²²



INTRODUCTION

Despite progress, evaluation of public policies remains relatively rare in Burkina Faso. There is often confusion between monitoring, inspection and evaluation. This is partly due to the absence of a legal and regulatory framework governing the practice of evaluation and the weakness of national evaluative capacity and of demand for and use of the results of evaluations.²³ Thus, with the financial and technical support of the United Nations Children's Fund (UNICEF), the Government of Burkina Faso launched a study to assess national evaluative capacity and serve as a basis for a strategy and action plan.

The objectives of this study, conducted in two phases, were twofold:

Phase 1: Conduct a stocktaking assessment of national evaluative capacity and the national evaluation system to know what is currently being done on a practical level in Burkina Faso. This consisted of taking stock of the state of the national evaluation system.

Phase 2: Support the development of a sustainable evaluation system that is integrated into national development objectives and complementary to existing structures, through the participative development of a strategy and action plan for the development of national evaluative capacity.

22 Also contributing to this paper were: Soukeynatou Fall, Monitoring & Evaluation Specialist, UNICEF, Burkina Faso; Ian C. Davies, Accredited Evaluator, and Albine Guitard, Evaluator, Ian C Davies Conseil Inc.; and Michel Ouédraogo, President of the Burkina Faso Monitoring and Evaluation Network.

23 Extract from the terms of reference of the study.

METHODOLOGY

The methodology was built around four major axes:

- Approach: participative and inclusive, involving the various stakeholders;
- Method: literature review and analysis; formal and informal interviews;
- Meta-analysis: report on evaluations conducted in Burkina Faso;
- Analysis framework: strengths, weaknesses, opportunities and threats (SWOT) method.

DIAGNOSIS

The purpose of the diagnosis is to serve as a basis for the development and consideration of possible strategic directions for the initiative to develop national evaluation capacity and institutionalize evaluation of public policies in Burkina Faso.

Before conducting a strategic and operational diagnosis of evaluative capacity in Burkina Faso, we shall review the evaluation system.

EVALUATION SYSTEM

Stakeholders in the Burkina Faso national evaluation system include a wide range of actors: the executive branch of the Government (central, regional and local administrations); Parliament; universities and educational institutions; external technical and financial partners; civil society; and consultancy firms. See Table 1 below.

TABLE 1. STAKEHOLDERS IN THE EVALUATION SYSTEM IN BURKINA FASO

State	Supports the monitoring and evaluation of the National Economic and Social Development Plan (Plan National de Développement Économique et Social (PNDES)). Creates an enabling environment. Mobilizes necessary resources (financial, material and human).
Local authorities	Participate in the monitoring and evaluation process at local level.
Private sector	Participates in monitoring and evaluating implementation of the PNDES.
Civil society	Participates in monitoring and evaluating implementation of the PNDES and promotion of the evaluation culture.
Institutions and universities	Participate in educating actors in the evaluation system and also in research into evaluation.
Technical and financial partners	Participate in monitoring and evaluating implementation of the PNDES. Contribute to the mobilization of the necessary resources.

The evaluation system was examined and analysed to identify its internal strengths and weaknesses and its external opportunities and threats as illustrated below.

TABLE 2. SWOT ANALYSIS OF THE EVALUATION SYSTEM

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> • Institutional structures exist within Government and, in particular, in the various ministries, to conduct evaluations. • There is professional availability at national level, by a range of experts (consultancy firms, educational institutions, etc.), to support the conduct of evaluations. • The practice of evaluation for programmes conducted with external funds (i.e., contributions from technical and financial partners) is quite well developed. • There is a political reference framework, particularly the PNDES, that strongly emphasizes evaluation as an essential tool for its implementation. 	<ul style="list-style-type: none"> • While there is administrative authority, there is no specific conceptual or terminological framework for the evaluation of public polices or frame of reference for understanding who is responsible for what with regard to both monitoring and evaluation. • Not all the actors in the system have a clear understanding of what evaluation is and there is a lack of specific capacity. • The evaluation reports that are produced are usually of quite low quality, particularly due to the lack of specific capacity. • There is little coordination of practices and approaches to monitoring and evaluation, including by technical and financial partners. There appear to be no systems for the evaluation of public polices at local level.
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> • The PNDES requires evaluations to be performed; a mid-term evaluation is expected, as is a final evaluation. • Projects, platforms and organizations to support the development of evaluation practice and capacity are in place in Africa (African Evaluation Association, Twende Mbele, Francophone Evaluation Network, etc.) and it is possible to connect to them. • At local level, evaluations systems could be connected to local projects and mechanisms for social accountability and citizen control to create or strengthen a public culture of evaluation. 	<ul style="list-style-type: none"> • Evaluation tends to remain a “paper” exercise in Burkina Faso. • In general, there is a risk of “waiting and seeing”, i.e., evaluation may never be implemented in the end or may be solely subject to the opportunity to see funds specifically allocated for this purpose. • Political will and efforts to strengthen the evaluation system may not endure when there are changes in government and/or administrations.

DIAGNOSIS

The diagnosis addresses both strategic and operational aspects of the evaluation system as captured by the study.

At the strategic level, among the elements considered essential for good development of the national evaluation system in Burkina Faso, the study identifies the existence of:

1. A dynamic and clearly expressed conceptual framework, anchored in a theoretical and practical reference framework that is adapted to the realities of the country;
2. An available and accessible suite of educational resources on the theory and practice of evaluation;

3. Professional leadership in evaluation;
4. A permanent organization to develop and manage a strategy for operation of the national evaluation system at a mature stage.

At the operational level, the diagnosis concludes that there seems to be little mastery of evaluation methodology, as evidenced by the fact that what is generally presented as evaluation is more performance measurement and the reports produced are descriptive rather than analytical. As a result, analysis is often weak or non-existent and in most cases, there is no evaluative reasoning or appropriate conclusions.

THE STRATEGY

Strategic planning was conducted in a participative manner through working sessions. These sessions were used to develop a strategy which was then used to anchor reflections and discussions for the development of an action plan to institutionalize evaluation and develop national evaluation capacity. The strategy that follows is based on an analysis of the internal and external environment and on the vision, values, tasks and strategic priorities identified for evaluation in Burkina Faso and formulated in a participatory way.

Vision

“By 2022, Burkina Faso will have an independent national evaluation system that is inclusive, effective, coherent and dynamic.” Stakeholders considered it essential that evaluations should be independent, that is, that they should be the responsibility of an organization other than those responsible for the implementation of the projects and programmes that are evaluated.

Values

Based on the PNDES, the values underlying the exercise are: social equity; poverty reduction; the choice of a bold and realistic approach; development that draws on the legitimate and deeply-felt aspirations of the people; satisfying basic needs; democracy, social justice and freedom of opinion; and solidarity and the responsible participation of all in development and the management of public affairs.

Tasks

The tasks identified to address the principal weaknesses of the national evaluation system were coordination; institutional and organizational strengthening; and professional development.

Strategic priorities

1. Develop a conceptual and terminological framework;
2. Strengthen evaluation practice at national level (both order and execution);
3. Establish a mechanism for the coordination of evaluations;
4. Develop a legal and regulatory framework for evaluation.

Action Plan

1. Development of a conceptual framework and a common terminology to promote:
 - Understanding of what evaluation of public policy is, to distinguish it from other types or related or complementary activities and thus be able to use it correctly.
 - Applying the same concepts and the terms to the evaluation of public policies, in order to facilitate communication and the conduct of evaluation processes, from commissioning an evaluation through to use of the ensuing results.
2. Strengthening evaluation practice at the national level to ensure that:
 - Actors who commission evaluations and are to use the results have the tools, knowledge and skills needed to conduct high-quality evaluations (from commissioning to production of reports to use of the findings).
 - In broader terms, those involved in the system—at least some key actors initially—have increased awareness of evaluation and are thus able to make relevant contributions to the process.
3. Coordination of evaluations, to:
 - Allow better use of the resources dedicated to evaluation, through better management of processes and the articulation of different actions, for example to avoid duplications, or through sharing needs and resources for the conduct of certain processes.
 - Encourage the use of evaluation findings through, for example, better mobilization of stakeholders.
4. Development of a legal and regulatory framework to frame government action in respect of evaluation.

The detailed timetable for the action plan is set for the next 18 months.

LESSONS LEARNED

1. The open collaboration between the General Directorate of the Economy and Planning, the Burkina Faso Monitoring and Evaluation Network and UNICEF as part of the study was a positive development that resulted in the mobilization of actors.
2. The strong enthusiasm for evaluation and growing interest in evaluation on the part of the administration, Parliament and civil society should be encouraged and built upon.
3. There is a need for an evaluation when a policy is completed and for an evaluation of the Strategy for Accelerated Growth and Sustainable Development and sectoral policies.
4. The Parliamentary Network for Evaluation is an absolutely key player for the monitoring and evaluation of public policies.
5. There is a need for a critical mass of persons trained in evaluation.

CONCLUSIONS AND PROSPECTS

At the end of this diagnostic study of national evaluation capacity in Burkina Faso, we note the strong engagement of actors from various spheres of public life towards support for the national evaluation system. We also highlight that fact that the country is not starting from zero; it has a number of strengths, such as the existence of professional capacity for evaluation, the existence of some structures within government, existing practices in projects and programmes and a political reference framework. Nevertheless, the existing system does have certain weaknesses, such as a lack of coordination, and a lack of rules and standards and lack of capacity on the part of stakeholders.

The work done by all stakeholders has enabled the production of a planning and strategic management framework and an action plan that is appropriate to the needs stated, through the terms of reference, reflecting the aspirations and objectives of the main stakeholders in the national evaluation system.

Finally, this study and the successful collaborative work have laid the foundation for the sustainable institutionalization of evaluation and strengthening of national evaluation capacity in Burkina Faso.

Anticipated future milestones include passing of a law on the management of development; establishment of a National Evaluation Commission to coordinate evaluation actions; development of a guide to the evaluation of public policies; formation of a critical mass (14) of leaders through the International Program for Development Evaluation Training; and a third Burkina Faso evaluation day, in 2018.

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8. The SDGs and the Commitment of the Government of the Kingdom of Cambodia

POCH SOVANDY

Deputy Director General
General Directorate of Planning, Ministry of Planning

INTRODUCTION

The Sustainable Development Goals (SDGs) are the global agenda continuing from the Millennium Development Goals (MDGs). Since late 2015, the Government of the Kingdom of Cambodia has been committed to localizing the post-2015 agenda into the national context even before the list of global SDGs was finalized. At the same time, the Prime Minister has added one more goal for the context of Cambodia related to demining/removing explosive remnants of war and victim assistance.

The SDGs are similar and yet different compared to the MDGs. It is the same global agenda but with a different mandate (the mandate of the MDGs was from 2000 to 2015 and they mostly covered the social sector, but the SDGs are from 2016 to 2030 and cover social, economic, environment and also culture). No one is to be left behind in the era of the SDGs.

PROCESS OF SDG LOCALIZATION IN THE CAMBODIAN CONTEXT

In the case of Cambodia, we have applied the existing mechanism to localize the SDGs into our national context. The Ministry of Planning is the central government agency responsible for leading and facilitating this process. In a letter dated 2 February 2016, the Prime Minister delegated this work to the Ministry of Planning.

The process of localization included a kick-off meeting of line ministries and line agencies to review the list of global goals and targets, followed by an inter-ministerial meeting to select goals, targets and indicators for the national context. The process also identified the responsible agency, data source, cycle of data, definition and method for calculating target values for each indicator. In addition, baseline and targets were set for each indicator for every year, depending on the availability of data. Having a baseline and target for each indicator between 2016 and 2030 is very important for monitoring and evaluation of the progress towards achievement of the Cambodian Sustainable Development Goals (CSDGs) Framework.

In the context of Cambodia, a separate action plan will not be prepared; the National Strategic Development Plan (NSDP) will be the framework for implementing the CSDGs, which will be integrated into next NSDP (2019-2023) in early 2018. Because the mandate of the NSDP is for five years, the CSDGs Framework will cover three successive NSDPs (2019-2023, 2024-2028 and 2029-2033).

M&E PRACTICE AND COMMITMENT TO SET UP A STANDARD M&E SYSTEM IN CAMBODIA

Cambodia has prepared economic development plans since 1995, but only since 2006 have they included a chapter identifying the role and modality of monitoring and evaluation (M&E) in the implementation of the plans. However, M&E practices follow the modalities of the supporting projects and activities of individual donor agencies, so that different M&E modalities are used. The Government is endeavouring to manage M&E activity and is committed to set up a national standard for the M&E system in Cambodia. All partners will be encouraged to use the system including development partners, nongovernmental organizations (NGOs) and civil society organizations (CSOs).

In 2012, the Ministry of Planning set up a National Working Group on M&E consisting of members of core line ministries. In 2015, with technical and financial support from the United Nations Children's Fund (UNICEF) Cambodia, the Ministry of Planning conducted an assessment of M&E practices in government agencies. Based on the result of the assessment, the Ministry has prepared guidelines for M&E as part of the implementation of the NSDP, including the CSDGs. The guidelines provided a road map for developing an M&E system consisting of four core components and activities: the M&E policy; M&E capacity-building; institutional arrangements for managing M&E activities; and an information system to support M&E work.

For the first component, M&E policy preparation, the Ministry of Planning drafted the policy in late 2016 and discussed it with the Ministry of Economy and Finance, Supreme National Economic Council and the Cambodian Rehabilitation and Development Board. The Ministry of Economy and Finance requested that the process be delayed to allow finalization of the Budget System Reform Strategy 2017-2025, and that the title be changed from National M&E Policy to National M&E Strategy. Preparation of the strategy will start in December 2017 and it is expected to be finalized in the first quarter of 2018.

In terms of institutional arrangements, three levels are proposed to manage M&E work. The M&E Steering Committee will provide high-level management for M&E and comprise representatives of the Ministry of Economy and Finance, Supreme National Economic Council, Cambodian Rehabilitation and Development Council and the Ministry of Planning. The committee has the role of supervising and providing guidelines to technical staff working in M&E, and also of approving the workplan and reporting on M&E activities. The second level is the National Technical Working Group on M&E, an extension of the National Working Group on M&E set up in 2012, and responsible for implementing daily M&E work and consisting of representatives of various ministries. The third level is the M&E Secretariat located in the Ministry of Planning. The secretariat services the Steering Committee and ongoing daily work in the field of M&E activities.

In order to strengthen M&E activities in Cambodia, the Government, through the Ministry of Planning and with support from UNICEF, conducted a course on M&E capacity-building from January to March 2016. The course, provided by the IDEA International Institute and Laval University, consisted of three modules (Module 1: Public Programme Implementation and Results Monitoring; Module 2: Management of Evaluations of Development Policies, Programmes and Projects; Module 3: Information Systems for Monitoring and Evaluation). Each module took three weeks (two weeks online and one week onsite). The course had 30 participants from the Ministry of Planning, Ministry of Economy and Finance, Ministry of Education Youth and Sport, Ministry of Civil Servant, Ministry of Interior, Ministry of Social Affairs, Veterans and Youth Rehabilitation, Ministry of Rural Development and UNICEF. The knowledge gained from the training is being applied in the establishment of the M&E system and to improve M&E activities.

Data and information are very important to support M&E activities. The National Institute of Statistics, under the Ministry of Planning, is responsible for setting up an information and data collection system to support this work. According to a rapid integration assessment conducted in 2016 with technical assistance from the United Nations Development Programme (UNDP), only 36 percent of SDG indicators have existing data support, assuming that the current mechanism for collecting data will continue in the future. Cambodia is facing a lack of data support for the SDG indicators because of declining budget support from development partners and the national budget is limited.

In the SDG era, development and environment must be balanced. Six of the SDGs focus on the environment on the earth, in the fresh and sea water, underground, in the air. According to the draft CSDGs, more than 60 indicators related to the environment have been selected, created and included in the Cambodian context. The indicators will be included in the CSDG Framework and be integrated into the next NSDP.

The Government of the Kingdom of Cambodia has taken account of the role of gender in all levels of society. While all sectors of the Government have mainstreamed gender, it is most important to focus on the decision-making level. Gender needs to be considered in both the monitoring of activities and the evaluation of the results of implementation, including of efforts to achieve the SDGs.

CHALLENGES

Evaluation in Cambodia in the SDG era still faces many challenges. As mentioned above, the information system to support M&E is the responsibility of the National Institute of Statistics, under the Ministry of Planning. There are two sources for data: administrative data, which can be collected through administrative structures; and primary data, which can be compiled through censuses and surveys. Data collection is very costly, as the quality of data depends on the size of the survey sample. A larger sample will have a higher cost but the accuracy will be greater, and a smaller sample will have a lower cost but the quality of the data will also be lower.

In the past, the budget for primary data collection was supported by development partners but the trend of support seems to be declining and the Government does not have

adequate resources in the national budget to cover the cost. In addition, additional surveys and data will be needed for M&E of the CSDGs. The United Nations Statistical Division, Paris²¹ (Partnerships in Statistics for Development in the 21st Century) and the United Nations Economic and Social Commission for Asia and the Pacific have provided technical support to the Ministry of Planning for data compilation to support M&E of the CSDGs. We hope that this support will continue.

THE WAY FORWARD

As already mentioned, the National Strategy for M&E will be finalized, the three levels of institutional arrangements will be set up and the information system for M&E will continue to compile and store data to support M&E work.

The CSDG Framework will start to be integrated into the NSDP 2019-2023 during the preparatory process beginning in early 2018. The progress reports on the NSDP and CSDGs will be prepared jointly, with one report focusing on the national context of implementation of the NSDP and progress towards the CSDGs. A separate report on achievement of the CSDGs will be sent to the United Nations for global progress reporting on the SDGs.

9. China: Practices and Insights on Innovation and Evaluation for the SDGs

WANG RUIJUN

Director General
China National Center for Science and Technology Evaluation

SHI XIAOYONG

Head of Department of Strategy Evaluation and Research, Associate Researcher
China National Center for Science and Technology Evaluation

NAN FANG

Assistant Researcher
Department of International Cooperation and Research,
China National Center for Science and Technology Evaluation

YANG YAO

Assistant Researcher
Department of Strategy Evaluation and Research,
China National Center for Science and Technology Evaluation

CAO WEIXIAO

Assistant Researcher
Department of Strategy Evaluation and Research,
China National Center for Science and Technology Evaluation



CHINA'S EFFORT TO IMPLEMENT THE SDGs

On 28 September 2015, Chinese President Xi Jinping in his first address to the United Nations endorsed together with other Heads of State, *Transforming Our World: the 2030 Agenda for Sustainable Development*. He referenced three Chinese obligations: to continue participation in building world peace, to contribute to global development and to commit to the implementation of the Sustainable Development Goals (SDGs). In fact, China attaches great importance to the 2030 Agenda for Sustainable Development, integrating it into the 13th Five-Year Plan for Economic and Social Development and other mid- and long-term development strategies. In addition, China's National Plan on Implementation of the 2030 Agenda for Sustainable Development has also been released. With the concept of innovative, coordinated, green, open and shared development, China has worked vigorously to promote all-round

economic, political, cultural, social and ecological progress through alignment of strategies, institutional guarantees, social mobilization, resource input, risk management, international cooperation and oversight and review. On the benefits of implementing the 2030 Agenda for Sustainable Development, noticeable progress has been achieved in all sectors.

In the economic field, China's gross domestic product (GDP) reached 74.4 trillion yuan, boasting an increase of 6.7 percent; and contributed to more than 30 percent of global growth in 2016. With the background of great economic progress, a total of 13.14 million additional urban jobs were created and the registered urban unemployment rate stood at 4.02 percent at the end of the year, the lowest level in years.

People's living conditions have been improved as along with the excellent economic performance. In 2016, per capita disposable income increased by 6.3 percent in real terms; the number of rural people living in poverty was reduced by 12.4 million; the maternal mortality ratio was reduced to 19.9 per 100,000 live births; and the infant mortality rate and under-five mortality rate were reduced to 7.5 and 10.2 per 1,000 live births respectively, reaching the relevant SDG targets ahead of schedule.

All-round progress has been made in green development. China has implemented three major action plans on tackling air, water and soil pollution in an effort to strengthen prevention and control of pollution. In 2016, China's energy consumption and carbon dioxide emissions per unit of GDP fell by 5 percent and 6.6 percent respectively, over-fulfilling the yearly targets; water consumption per 10,000 yuan of GDP dropped by 5.6 percent; commercial logging of natural forests was fully banned; and a wetland protection system was put in place.







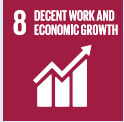










In 2016, remarkable achievements were made in deepening international development cooperation. The Chinese Government provided foreign aid for about 250 engineering and materials projects of various types, and dispatched approximately 5,000 managerial and technical personnel, medical team members, volunteers and other foreign aid experts, benefiting 156 countries, regions and international organizations. In addition, China's international activities such as the G20 Hangzhou Summit, Belt and Road Forum, South-South Cooperation and China's Symposium on the 2030 Agenda for Sustainable Development at United Nations Headquarters (19 September 2016) shared China's wisdom and contributed solutions to global implementation of the 2030 Agenda.²⁴

SCIENCE, TECHNOLOGY AND INNOVATION FOR SUSTAINABLE DEVELOPMENT IN CHINA

Sustainable development has become an important part of China's national Science, Technology and Innovation Plan. In July 2016, China issued the 13th Five-Year Plan for Science, Technology and Innovation, which mainly included the measures shown in Figure 1.

24 Ministry of Foreign Affairs of the People's Republic of China, 'China's Progress Report on Implementation of the 2030 Agenda for Sustainable Development', August 2017.

FIGURE 1. CHINA'S SCIENCE, TECHNOLOGY AND INNOVATION FOR THE SDGs

17 SDGs	THE 13TH FIVE-YEAR PLAN FOR SCIENCE, TECHNOLOGY AND INNOVATION
 	<p>To establish a sustainable modern agriculture system by 2020 to develop an environment-friendly modernization production with high output efficiency, promising product safety, and resource saving.</p>
   	<p>To establish and improve technological system for livelihood improvement and sustainable development including:</p> <ul style="list-style-type: none"> • Ecological and environmental protection, • Highly efficient resource mobilization and recycling, • Public health, • New urbanization, • Public security and social governance.
   	<p>To promote sustainable regional development:</p> <ul style="list-style-type: none"> • 156 national sustainable development experimental zones • SDG innovation demonstration area for 2030 Agenda • Shenzhen, Guangdong province • Guilin, Guangxi Zhuang Autonomous region • Taiyuan, Shanxi Province • Cluster of 5 cities in northern Jiangsu province
 	<p>National Science and Technology:</p> <ul style="list-style-type: none"> • Water pollution control and treatment • New medicine research and development • Prevention and control of infectious diseases
   	<p>National Key R&D Programs:</p> <ul style="list-style-type: none"> • The Ministry of Science and Technology has launched 14 programmes in the field of social development, seven of which are in the field of resource and environment.
	<p>Green Technology Bank:</p> <ul style="list-style-type: none"> • Established in 2015 an important platform for implementing the 2030 Agenda in the green development area.

Establish a Sustainable Modern Agriculture System

China will establish leading information and prioritize biological technology, intelligent production and sustainable development in a modern agricultural technology system by 2020, supporting the agricultural industry to develop in an environmentally friendly modernization process with high output efficiency, promising product safety and resource-saving strategies. This includes specific goals such as raising wheat, rice and maize yields by 5 percent, reducing loss by more than 5 percent, improving fertilizer water efficiency by more than 10 percent, improving the efficiency of light and temperature resource use by 15 percent, improving production efficiency by 20 percent and improving the efficiency of agricultural biomass use to 80 percent.²⁵

Establish and Improve Technological Systems for Livelihood Improvement and Sustainable Development

Focusing on the urgent demand for improving livelihoods and promoting sustainable development, China is improving the core technology research and application process in the areas of resources and environment, population health, new urbanization and public security, in order to promote a green development strategy and living habits, thus providing technological support for improving people's quality of life in all aspects. The core technologies include the ecological environmental protection technology, resource efficient recycling technology, population health technology, new urbanization technology and reliable and efficient public safety and social governance technology.²⁶

Promote Regional Sustainable Development

Because of the imbalance of regional development, China has initiated the following measures to promote regional sustainable development: improve the cross-regional collaborative innovation mechanism; guide the accumulation and flow of innovative elements; build a trans-regional innovation network; focus on improving the development of science and technology for poverty alleviation; and fully stimulate innovation at the grass-roots level. To implement the idea of green development as the core of all development strategies, the Government has planned to establish national innovation demonstration areas of sustainable development, striving to form innovation models and mechanisms at the regional level on modern green agriculture, resource saving and recycling, new energy development and utilization, pollution control and ecological restoration, green urbanization, population health, public safety, disaster prevention and mitigation and social governance.²⁷

25 Ministry of Science and Technology of China, 'The national plan for science and technology innovations as part of the China's 13th 5-year National Development Plan'.

26 Ibid.

27 Ibid.

Initiate SDG Innovation Demonstration Areas for the 2030 Agenda

During the 13th five-year plan period, 10 innovation demonstration zones are to be established, many sustainable development plans formulated and the constraints of sustainable development (communicable diseases, energy, environment, etc.) addressed.²⁸ The Chinese Government will explore new mechanisms for the integration of science, technology and innovation and social undertakings, and share the experience of sustainable development of science and technology innovation services.²⁹ So far, four regions (Guilin, Taiyuan, Shenzhen and northern Jiangsu) have achieved short-term achievements in the construction of demonstration zones.³⁰

Implementation of “Three Action Plans” for the Atmosphere, Water and Soil Pollution Control

The in-depth implementation of the “three action plans” will strengthen pollution control and resource conservation. By 2020, the amounts of water consumption, energy consumption and carbon dioxide emissions per unit of GDP will fall by 23 percent, 15 percent and 18 percent respectively, and the forest coverage rate will reach 23.04 percent. The efficiency of energy and resources exploitation and utilization will be greatly improved, and the ecological environment quality will be improved overall. In particular, the improvement of air quality targeting atmospheric smog will be achieved, and the proportion of days with healthy air quality in the prefecture-level cities is over 80 percent.³¹

Major National Science and Technology Projects

Since 2006, China has set up three major projects attracting the country’s leading scientific research teams to tackle the scientific and technological needs and issues in these areas. One project is “control and treatment of water pollution”, aiming to develop a technical system for water pollution through major projects, which can lead to the construction of a large data platform for water condition monitoring and governance. Another project is “research and development of significant new drugs”, the purpose of which is to build a world-class national drug innovation system. The last one is “prevention and control of major infectious diseases”, aiming to make breakthroughs in technology for prevention and control of sudden acute infectious diseases and enhance the level of prevention and treatment of infectious diseases in China.³²

28 The State Council of China, ‘Program for establishing the innovation demonstration zones to implement the 2030 Sustainable Development Agenda.’

29 The State Council of China, ‘China implements the 2030 Agenda for Sustainable Development’, 13 December 2016.

30 Sai-Nan Zhang, Pengpai News, ‘Five cities from the North of Jiangsu Province jointly apply to establish the innovation demonstration zones: 10% reduction in total fuel consumption’, 15 August 2017.

31 Ke-Qiang Li, ‘Plan to further implement actions to prevent air, weather and soil pollution’ (<http://finance.sina.com.cn/stock/t/2016-03-05/doc-ifxqafm6966938.shtml>).

32 Ministry of Science and Technology of China, op. cit.

National Key Research and Development Programme

The Ministry of Science and Technology has 14 major ongoing projects in the field of social development, seven of which are in the field of resource and environment, including: key deep sea technology and equipment; marine environmental security protection; deep resources exploration and mining; research on the causes of and technology to control air pollution; typical fragile ecosystem restoration and protection research; efficient development and utilization of water resources; and monitoring, early warning and prevention of major natural disasters. Currently, 393 projects have been approved, with a total funding of 8.34 billion yuan. These special projects will play an important role in the sustainable development of the country's marine, ecological and other environment-related fields.³³

Green Technology Bank

The Green Technology Bank was established in 2015 to promote green technology industrialization and transfer and to promote social development. It has become an important platform for implementing the 2030 Agenda in the green development area. The Green Technology Bank serves as an integrated service platform for gathering leading practical technology in three key areas of sustainable development: first, strengthen the integration of technology and finance to promote capitalization of the implementation of scientific and technological achievements; second, speed up the transfer of scientific and technological achievements; and third, promote cooperation in the field of national sustainable development and green technology.

TWO CASES OF EVALUATION OF SCIENCE, TECHNOLOGY AND INNOVATION FOR THE SDGs IN CHINA

Evaluation of National Precision Poverty Alleviation Action

China has an uneven regional development and the central Government has the objective of reducing the number of people in poverty by 70 million from 2015 to 2020. The National Precision Poverty Alleviation Action was established to achieve the objective. During his visit to Southwest China's Guizhou province in June 2015, President Xi Jinping stressed the importance of poverty alleviation and development and said the key to successful poverty alleviation is to ensure it helps those that need to be helped. As a result, "targeted poverty alleviation" has become a hot phrase. These people are the key group China should show concern for in building an overall well-off society.

Although China has made great economic achievements in the more than three decades since the reform and opening-up policy was initiated, it still faces great challenges in lifting people out of poverty. There are around 82 million people living in poverty in China. New and effective measures are required to help this impoverished population shake off poverty.

33 Relevant materials provided to the Second Committee of the United Nations General Assembly agenda item 22 (b) Science, Technology and Innovation for Development.

Since Xi's comments about poverty alleviation in June 2015, 16 provincial Party leaders have said they are paying great attention to helping people living in poverty in their provinces, and "targeted poverty alleviation" has become a popular phrase in their statements.

Most of poverty-stricken counties and impoverished villages are in remote locations with poor natural conditions and poor public services. The local governments should tackle these issues and focus their poverty alleviation efforts on establishing a long-term mechanism to eliminate poverty. Local governments need to merge poverty alleviation resources to make better use of them and take targeted measures to ensure that assistance reaches poverty-stricken villages and households.

To ensure the realization of the objective, an evaluation of the National Precision Poverty Alleviation Action was implemented by the Center for Assessment and Research on Targeted Poverty Alleviation. The evaluation took place from June 2016 to August 2017. It used big data and remote sensing to accurately target the poor and used a geographic information system to follow the alleviation process. The big data platform for evaluating the National Precision Poverty Alleviation Action was built. It not only used remote sensing to locate the target poor group, tracking related files but also to monitor and update data on the new roads, schools, and facilities related to poverty alleviation.

Evaluation of National Sustainable Development Experimental Zone

Started in 1986, the National Sustainable Development Experimental Zones are local pilot initiatives jointly pushed forward by 19 governmental bodies, including the Ministry of Science and Technology, the National Development and Reform Commission and the Ministry of Environmental Protection. Over the past 30 years, the zones have used public education, science and technology support and institutional innovation to promote the popularization of the sustainable development concept; push forward the local application of a large number of advanced and applicable technologies in the fields of energy conservation, emission reduction and public health; explore a number of innovative regional models in the areas of industrial transformation and upgrading and coordinated urban and rural development; and play an active role in pushing forward China's implementation of its sustainable development strategy. Currently, China has established 189 experimental zones in 31 provinces (autonomous regions and municipalities) around the country.

The evaluation of the zones took place from February 2014 to March 2015, covering 156 national sustainable development experimental zones, distributed across 30 provinces in the nation, with administrative levels across prefecture-level cities, urban areas (or suburbs), county level and township levels.

The evaluators carried out 5,860 interviews with structured questionnaires on the street and 3,046 valid questionnaires were returned, which covered 22 provinces and 41 cities and districts. Statistics showed that the interviewees were 65.3 percent male and 34.7 percent female, ranged in age from 18 to 70 years old and held a variety of jobs.³⁴

34 Assessment of progress with constructing sustainable development pilot areas, 2015.

TABLE 2. EVALUATION OF NATIONAL SUSTAINABLE DEVELOPMENT EXPERIMENTAL ZONES

PROVINCE	NAME OF EXPERIMENTAL ZONE	ADMINISTRATIVE LEVEL	STREET VISIT	ONLINE SURVEY	TOTAL
Jiangsu	Jiangyin city (county), Wuxi	county-level	150	57	207
Shanghai	Xuhui	prefecture-level	72	133	205
Zhejiang	Wenling city (county) Taizhou	county-level	137	104	241
	Yangxunqiao town, Shaoxing	township-level	160	100	260
	Hengdian town, Dongyang, Jinhua city	township-level	177	84	261
Beijing	Huairou district	county-level	165	101	266
	Xicheng district	prefecture-level	82	177	259
Hebei	Zhengding county, Shijiazhuang	county-level	68	143	211
Henan	Linzhou, Anyang city	county-level	173	35	208
	Mengzhuang town, Huixian, Xinxiang city	township-level	163	38	201
	Zhulin town, Gongyl, Zhengzhou city	township-level	128	74	202
Shanxi	Zenzhou county, Jinzhou city	county-level	125	84	209
Anhui	Maoji Sustainable Development Experimental Zone	county-level	193	37	230
	Baohe District, Hefei city	prefecture-level	196	54	250
Hubei	Zhongxiang city (county), Jingmen city	county-level	177	26	203
	Jiangan District, Wuhan city	prefecture-level	73	142	215
Shaanxi	Huayin city (county), Weinan city	county-level	173	30	203
	Weibin district, Baoji city	prefecture-level	172	32	204
Sichuan	Deyang city (county), Guanghan city	county-level	166	36	202
	Jinniu district, Chengdu city	prefecture-level	67	136	203

The experimental zones provide theoretical and practical support for the implementation of the national development strategy and the formation of development goals in different stages. The construction work of the experimental zone actively explores the implementation mechanism of local sustainable development in China. The construction of experimental zones has promoted regional sustainable development, economic development and social harmony, and generated social and economic benefits for local residents.

The evaluation team has put forward 18 specific suggestions from four aspects. For example, the zones should strengthen the overall design, coordinate innovation resources, promote the tilt of the science and technology plan to the experimental area, promote the government and the market mechanism of organic integration, actively expand the funding security channels, make clear summary requirements and strengthen information exchange and process accumulation.

China's construction of innovation demonstration zones (IDZs) for the implementation of the 2030 Agenda for Sustainable Development ("IDZs for 2030") does not start from scratch. These demonstration zones are created based on existing National Sustainable Development Experimental Zones. China's IDZs for 2030 will grant a more important mission to those regions which have accomplished great achievements in building national sustainable development experimental zones. They are the upgraded versions of the national sustainable development experimental zones. In the future, the demonstration zones and the experimental zones will go hand in hand to support mutual development.³⁵

CHALLENGES OF SDG EVALUATION

Although the SDGs have been given enough attention in national strategy and policies, and reflected in the actions, the evaluation of the SDGs is still a challenge for the Chinese evaluation community.

Insufficient Evaluation Capacity

The SDGs, including 17 Goals and 169 indicators, are much more extensive than any of those in China's strategies or programmes. The Chinese evaluation community needs time to fully understand them. Second, despite the fact that China's evaluation practice has made considerable progress over the past 20 years, the evaluation capacity, especially the number of qualified evaluation organizations and professional evaluators, is relatively inadequate.³⁶ There is no evaluation course in Chinese colleges or universities, and there are very few training courses and unified standards regarding evaluation.³⁷

Lack of a Comprehensive Data Collection System

Since the 17 Goals and 169 indicators are involved in all aspects of Chinese development, a synthesized and synergistic data collection system is needed. China's current data collection

35 Ministry of Science and Technology, background materials for 'Program for establishing the innovation demonstration zones to implement the 2030 Sustainable Development Agenda', 2016 http://www.china.com.cn/zhibo/zhuantu/ch-xinwen/2016-12/21/content_39956777.htm.

36 Chen Qiang, Hu Huanhuan, and Bao Yuehua, 'Evaluation Criteria of Science and Technology: Foreign Experience and its Enlightenment'. Forum on Science and Technology in China, 2012(5).

37 Chun-Ge Xu, 'Analysis of progress made with the evaluation function since China joined WTO', *Guide for Trade and Commerce*, vol. 5, 2010.

system has not been able to support such a huge evaluation exercise.³⁸ In the Chinese system, there are two main ways to collect data. One is through the national statistical system. The other is the reporting system. However, many SDG indicators are not in the existing statistical system. Also, many data need to be reported from the village level to the central level, which results in high cost and poor timeliness of data collection.³⁹

Challenges for Quantitative Evaluation

Comparing the SDG targets with SMART standards, that is specific, measurable, achievable, realistic and time-based and efficiency-oriented,⁴⁰ it is reported that more than 50 percent of the indicators are not in line with the SMART standards,⁴¹ thus posing great challenges for their evaluation. For example, SDG 7 is to ensure access to affordable, reliable, sustainable and modern energy for all. Because there is a lack of specific evaluation indicators for this goal, it is hard to measure its activity.

SUGGESTIONS AND WAYS FORWARD

Joint Policy Evaluation is Essential

Since sustainable development has become an important global issue and the areas involved, such as environment and health, are common problems facing the world, realization of the SDGs by developing countries, including China, will be the key to the successful implementation of 2030 Agenda. The 2030 Agenda sets the course for national development endeavours and international development cooperation.

In order to achieve the SDGs, policy support is one of the most important aspects and evaluations will greatly improve the effectiveness of policies, thus contributing to the achievement of the SDGs.^{42 43 44} In many cases, joint evaluations from different countries will be more useful. For instance, joint evaluation of finance and talent management policies could promote mutual coordination and references. An in-depth joint impact evaluation on efficiency, effectiveness and impact of innovation policies of all countries would also be useful. A successful policy will be beneficial to the innovation development of all countries;

38 Zhu Yanhua, Sun Liran, Hu Lianglin, and dLi Jianhui, 'Searching after Estimate of S&T Data Management and Sharing Service Effect', *China Science & Technology Resources Review*, (4): 12-17, 2013.

39 Jing Tian, 'Reflections on data quality', *Statistics and policies*, vol. 11, 2005.

40 Liu Sheng, Sun Zong-Rui, Yang Yu, and Zhao Xiao-Hua, 'Based on the SMART principle of scientific and technological achievements assessment index system research', *Machinery*, 38(7), 2011.

41 Chinese Journal of Science, Scientists critiqued that the sustainable development goals are too vague. <http://news.sciencenet.cn/htmlnews/2015/2/313633.shtm>.

42 Shapira, Philip and Stefan Kuhlmann, 'Learning from Science and Technology Policy Evaluation: Experiences from the United States and Europe', Scientific and Technical Documents Publishing House.

43 Fischer, Frank, *Evaluating Public Policy*, China Renmin University Press, 2003.

44 Li Ying, Kang De-Yan, Qi Er-Shi, 'The model and application of stakeholder to policy evaluation', *Science Research Management*. 2006, 27(2).

a medium policy will benefit only its own country; and an unsuccessful policy will benefit no countries and need to be altered or stop immediately.

International Cooperation is Necessary

It is necessary to carry out international cooperation and promote the coordination and information exchange in achieving the SDGs. Three approaches could be used. First, set up an international cooperation network and working mechanism for evaluation of science, technology and innovation, provide decision-making advice to national Governments, based on international vision and national conditions. Second, conduct joint evaluations of existing bilateral and multilateral cooperation mechanisms and actions. Summarize experience, find deficiencies, make recommendations and promote the quality and efficiency of cooperation. Third, conduct evaluations on issues of international common interest, present evidence-based and practical solutions.

Evaluation Capacity-Building and the Use of Technology Tools

In order to overcome the challenges of evaluation of the SDGs, we have several suggestions. First, strengthen evaluation capacity-building, share best practice of evaluation of the SDGs and help national evaluators to understand the SDGs better. Second, make full use of information and communication technology tools to develop infrastructure for big data analysis. This could solve the data problems of SDG evaluation. This could be a long process but will be of great use once done. Third, countries could develop specific quantitative indicators about the SDGs, which should reflect a country's context as well as be accepted by common international standards.

10. Côte d'Ivoire: SDG Issues in an Emerging Country

MAMADOU COULIBALY

Development Socio-economist, Permanent Secretary of the Ivorian Monitoring and Evaluation Network

Côte d'Ivoire, like every nation of the world, is a stakeholder in the 17 Sustainable Development Goals (SDGs), whose achievement is a vast project that also requires prioritization in terms of vision. The desire to make Côte d'Ivoire into “an industrial power, united in its cultural diversity, democratic and open to the world” is not incompatible with the challenges of the SDGs.

FIVE STRATEGIC AXES OF THE NATIONAL DEVELOPMENT PLAN TO TAKE ACCOUNT OF THE SDGs

The mixed nature of the outcomes of the Millennium Development Goals is undeniable. With the SDGs, the programme for the post-2015 period under a new global pact for development is already judged to be out of reach. Hardly had the SDGs been adopted when the issue of taking better account of agendas for 2020, 2030 and 2040 in national development policies emerged. This raises the question of how Côte d'Ivoire, which plans to become by 2040 “an industrial power, united in its cultural diversity, democratic and open to the world”, will meet the national and international challenges of sustainable development.

These challenges include strengthening the quality of institutions and governance, accelerating the development of human capital and social well-being, speeding up the structural transformation of the economy through industrialization, the development and harmonious distribution of infrastructure across the country, the preservation of the environment and the strengthening of regional integration and international cooperation. Since 2015, the Government has committed to the success of this mission.

The Government's commitment to and leadership of the SDGs were reaffirmed at the United Nations Sustainable Development Summit at which the SDGs were adopted. Côte d'Ivoire was represented at that Summit by an official delegation of the Government, the country's Economic and Social Council, local authorities and civil society. At the end of the Summit, Côte d'Ivoire adopted the SDGs for 2030 and resolutely committed to their realization. This commitment was reflected in: (1) the establishment of a framework for a multi-party national consultation; (2) high-level participation in the Summit; and (3) account being taken of the SDGs in the 2016-2020 National Development Plan (NDP). The NDP serves as a

reference guide to public and private initiatives in the country working towards the emergence of Côte d'Ivoire by 2020 and is organized into five strategic areas that closely cross-reference with the SDGs.⁴⁵

Strategic Area 1: Strengthening the quality of the institutions and governance (SDG 11: Sustainable cities and communities; SDG 16: Peace, justice and effective institutions; SDG 17: Partnerships for the achievement of objectives);

Strategic Area 2: Acceleration of the development of human capital and promotion of social well-being (SDG 1: No poverty; SDG 2: "Zero" hunger; SDG 3: Healthy lives and well-being);

Strategic Area 3: Acceleration of the structural transformation of the economy through industrialization (SDG 8: Decent work and economic growth; SDG 12: Responsible consumption and production);

Strategic Area 4: Development and harmonious distribution of infrastructure across the country and the preservation of the environment (SDG 6: Clean water and sanitation; SDG 7: Affordable, clean energy; SDG 9: Industry, innovation and infrastructure; SDG 13: Fight against climate change; SDG 15: Terrestrial ecosystems);

Strategic Area 5: Strengthening regional integration and international cooperation (SDG 10: Reduce inequality; SDG 17: Partnerships for the achievement of objectives).

HAVING STRONG INSTITUTIONS IS KEY TO THE SUCCESS OF THE SDGs

The SDGs set challenging targets, but it falls to governments or regional organizations to take matters in hand and deploy strategies to achieve them. Measuring the results obtained against the indicators chosen will be the only way of assessing the state of advancement and progress made in a country.

This is why the Ivorian Minister of Health, the Environment and Sustainable Development, Anne Désirée Ouloto, at a meeting organized by the Food and Agricultural Organization of the United Nations in Abidjan on 27 July 2017 on the theme of "Evaluation of indicators for implementation of the Sustainable Development Goals", explained that with regard to the institutional mechanism established and the commitment of stakeholders, Côte d'Ivoire must be able to achieve these commitments for a better world on the basis of the 17 SDGs that cover a multitude of areas ranging from the protection of the planet to building a more peaceful world, and including a guarantee to all to be able to live with security and dignity. The Government is strongly committed to integrating the SDGs into sectoral and local policies, confirmed by strengthening the capacities of actors involved in the process, including public administration, civil society, local authorities, the private sector, Parliament and the media.

According to a well-defined road map, the *Government* is responsible for implementing public sectoral and local policies that are aligned with the NDP and integrate the SDGs. It will ensure the mobilization of specific internal and external resources for financing the

45 Source: 2016-2020 National Development Plan.

SDGs and will empower the national system for the collection and dissemination of statistical data. *Parliament, which now plays an important role in the evaluation of public policies, will pass the State budget, paying particular attention to monitoring the amounts allocated to funding the SDGs. It will also inventory existing laws, taking the SDG targets into account. The Economic and Social Council will organize referrals to thematic commissions for advice to the Executive on the process of following-up on the SDGs. Local authorities will revisit regional and municipal development plans in light of the NDP integrating the SDGs. They will improve the framework of local governance and the targeting of interventions in favour of the poorest. Civil society organizations will exercise citizen control over public policy to support effective implementation of the 2016-2020 NDP and particular monitoring of the SDGs. They will contribute to the establishment of a framework for inclusive dialogue, exchange and debate involving the State, civil society, the private sector, local authorities, the National Assembly and the Economic and Social Council. The private sector will ensure implementation of a corporate social responsibility approach that supports the SDGs and the positioning of the private sector as a leader in innovation and feedback with regard to the SDGs.*

It should be noted that Côte d'Ivoire has a model for implementation of the SDGs developed by the Ministry of the Environment and Sustainable Development. This is the "*Road map for implementation of the SDGs*".

THE INSTITUTIONALIZATION OF EVALUATION IS KEY TO THE SUCCESS OF THE SDGs WITHIN NATIONS

The role of evaluation is crucial to the process of observing work that has been done, measuring results, reassessing, proposing new directions and improving practices for progress towards the SDGs in order to meet expectations for sustainable development by 2030.

Formerly, it was the pathway that preceded development; now, it is evaluation as a philosophy and practice that precedes it. This is why I consider that "*To evaluate is to develop*". That said, in the current context of implementation of the SDGs, the principles and practices of evaluation, which have already proved their worth in Côte d'Ivoire and elsewhere in the world in terms of good practice, should be used to their full benefit. Evaluative practice, especially self-evaluation as a method and value, should now be at the heart of public action. To achieve this, every citizen should be their own evaluator and inspector in their living space. Policymakers should place the evaluation of public, private and semi-public actions at the heart of development issues, accompanied by support measures.

To do so will require the strong involvement of the nation at every level. This should be done through: (1) the promotion of actions to support a change of public mindset for a better understanding and acceptance of the SDGs; (2) building the capacities of the public; (3) creating experimental pilot, political and citizen SDG frameworks; and (4) funding the production of high-quality statistical data for stronger tracking and evaluation of defined high-importance programmes and priority areas for achievement of the country's SDGs and those making an important contribution to the global SDGs.

IT IS POSSIBLE TO GET ON BOARD THE GLOBALIZATION TRAIN AND TO ACHIEVE THE SDGs

As a development socio-economist, planner and evaluator, aware of the very real issues of sustainable development based on strong industrialization in a space that is respectful of the environment and led by a healthy, well-nourished and competitive human capital, we consider it relevant for our country, Côte d'Ivoire, to orient its national capacity for support for the SDGs towards the implementation, monitoring and rigorous evaluation of research programmes with strong development potential. These include programmes to develop more resilient agriculture, the climate-change adaptation programme, the health system improvement programme making greater use of natural substances, the technological development programme, the renewable energy research programme and the programme for development of mathematics in the service of social and natural sciences.

Also, since Côte d'Ivoire as a country is engaged in the dynamic of globalization, it would be useful, opportune and relevant for it to:

1. Define a bank of indicators for monitoring and measuring progress made on SDG issues;
2. Anchor national, regional and municipal plans in the SDGs;
3. Translate the SDGs into local languages to make their message accessible to all;
4. Raise public awareness of more citizen-like and responsible practice with regard to SDG issues;
5. Support civil society initiatives and actions for the promotion of good practice with regard to the SDGs;
6. Create five pilot or experimental "SDG towns", one in each of the areas of Centre, North, South, East and West.

11. Implementation of the 2030 Agenda and the Sustainable Development Goals: How the Dominican Republic Addresses Monitoring and Evaluation Challenges

IVETT SUBERO ACOSTA

Director of United Nations System Monitoring
General Directorate of Multilateral Cooperation,
Ministry of Economy, Dominican Republic⁴⁶

INTRODUCTION

The Millennium Development Goals (MDGs) led to great achievements in the fight against poverty and its various manifestations, including lifting over 1 billion people out of extreme poverty,⁴⁷ reaching the global target of halving the proportion of people living in these conditions, facilitating access to improved drinking water sources for 2.6 billion people and improving access to schooling for a greater number of girls. These and other achievements show that the setting of global targets and the mobilization of global leaders can drive major changes towards saving and improving people's lives.

In light of the remaining challenges and based on the will of countries to continue mobilizing efforts drawn from the lessons learned from the MDGs, the new 2030 Agenda for Sustainable Development driven by the Sustainable Development Goals (SDGs) aims to end poverty and guarantee that societies become more egalitarian and resilient to the effects of climate change via systemic, comprehensive solutions to ensure that no one is left behind.

For the Dominican Republic, the 2030 Agenda will facilitate the addressing of deficiencies and inequalities that weigh on its population by means of systemic solutions constructed jointly among all the development agents that cooperate in the country. Monitoring of the SDGs, embraced by the Dominican Republic with the highest commitment from all sectors to ensure the identification of solutions and innovative mechanisms for achieving the formulated targets, presents new opportunities for synergy to maximize effectiveness in the elimination of poverty and the reduction of inequalities.

46 Sócrates Barinas and Cesar Iván González also contributed to this paper.

47 United Nations, 'Millennium Development Goals Global Report', New York, 2015.

IMPLEMENTATION, MONITORING AND EVALUATION OF 2030 AGENDA RESULTS

The Dominican Republic has made the 2030 Agenda a national priority, integrating the SDGs as a key element of national planning for achieving the country's vision for the future: the National Development Strategy (Estrategia nacional de desarrollo (END)). To this end, the country has taken the following steps forward:⁴⁸

Creation of the High-Level Inter-institutional Sustainable Development Commission and the SDG Indicator Monitoring Commission

A High-Level Inter-Institutional Sustainable Development Commission was established⁴⁹ with the mandate of marking out the pathway towards effective implementation of the 2030 Agenda. To this effect, entities that exercise stewardship or carry out public policies coordinate the establishment of implementation paths for the 2030 Agenda in line with the END. Additionally, a systematic monitoring mechanism was created: the SDG Indicator Monitoring Board. This contributed to comprehensiveness across different levels of government and sectors and among the different participating agents, including civil society, organized by the category of SDG targets or spheres on which they have input. This instrument, created during the MDG compliance period and validated by the Decree for the Creation of the High-Level Commission (National Commission for Sustainable Development, or Comisión Nacional para el Desarrollo Sostenible (CNDS)), shall serve as a platform for promoting the Commission, including courses of action for increasing the pace of execution by institutions, systematizing monitoring and performing diagnostic evaluation of the country's statistical capacity to provide the data required, among other aspects.

Alignment of the National Planning documents with the SDGs

In order to ensure localization of the 2030 Agenda, the degree of alignment between the SDGs and the Dominican Republic's END planning framework was reviewed at both target and indicator levels. This involved mapping out plans and objectives and incorporating decision-making elements required for their implementation, as well as strategies for closing the gaps identified.

To this end, the Dominican Republic's planning framework—consisting of the END and the 2013-2016 Multi-Year Public Sector Plan—was simultaneously compared with the SDGs, producing a clear picture of medium- and long-term priorities. Additionally, the analysis entailed identifying the gaps presented in different sectors (education, health, the environment, water, agriculture, gender focus) in order for strategic plans to comply with national regulatory frameworks. The alignment analysis identified those targets that were fully aligned, in addition to those that were partially aligned or not aligned. It was thus verified

48 Rapid Integrated Assessment (RIA), Dominican Republic. Diagnosis requested from the United Nations Development Programme by the Government, August 2016.

49 Created under Presidential Decree No. 23-16 and its renovation by Decree 26-17, February 22, 2016.

that the END and the Multi-Year Public Sector Plan show suitable alignment in relation to all targets or axes of the SDGs and sufficiently contribute to the four strategic spheres at aggregate level:

SPHERES	SDGs GOAL	2030 END STRATEGIC AXIS
People	1, 2, 3, 4, 5	2, 3
Planet	6, 12, 13, 14, 15	2, 4
Prosperity	7, 8, 9, 10, 11	2, 3
Peace	16	1

The country's overall alignment percentage in relation to global targets is 72 percent on average, with 74 of 102 targets aligned in relation to the spheres or areas of intervention proposed in the 2030 Agenda.

Analysis of the first 16 SDGs identified alignment of all the specific targets of the END for the following goals: SDG 1. No poverty; SDG 2. Zero hunger; SDG 4. Quality education; SDG 5. Gender Equality; SDG 6. Clean water and sanitation; SDG 7. Affordable and clean energy; and SDG 13. Climate action.

On the other hand, the results indicated that there are gaps in relation to strategic alignment of the national plans with the following SDGs:

SDGs	TOTAL TARGETS CONSIDERED	ALIGNED TARGETS	TARGETS ALIGNED WITH THE INDICATORS	% OF ALIGNMENT
1. No poverty	4	4	3	100%
2. Zero hunger	5	5	2	100%
3. Good health and well-being	9	6	6	67%
4. Quality education	7	7	5	100%
5. Gender equality	5	5	5	100%
6. Clean water and sanitation	6	6	5	100%
7. Affordable and clean energy	3	3	3	100%
8. Decent work and economic growth	9	8	7	89%
9. Industry, innovation and infrastructure	5	4	3	80%
10. Reduced inequalities	5	4	3	80%
11. Sustainable cities and communities	7	6	4	86%
12. Responsible consumption and production	8	0	0	0%
13. Climate action	3	3	3	100%

(Continued)

(Continued)

SDGs	TOTAL TARGETS CONSIDERED	ALIGNED TARGETS	TARGETS ALIGNED WITH THE INDICATORS	% OF ALIGNMENT
14. Life below water	7	1	1	14%
15. Life on land	9	4	3	44%
16. Peace, justice and strong institutions	9	8	5	89%
Total	30	27	21	72%

These results provide a first overview of compliance with strategic objectives as a way to identify areas of opportunity for reinforcing strategies for implementing new initiatives that will contribute to providing data as well as statistics with the aim of successfully monitoring the evolution of the SDGs, as is the case for SDGs linked to environmental sustainability, where indicators can be only be 40 percent complied with and new statistical operations and increased investment are clearly required for monitoring purposes.

Furthermore, the first revision of the END is due this year. The END will thus be adjusted to the country's new challenges, its presidential targets and, of course, the SDG targets, for the purpose of adapting the 2030 Agenda to the national context.

Inter-institutional coordination

Compliance with the new 2030 Agenda and the need to integrate different sectoral institutions so that no one is left behind represent a challenge for countries. In turn, ensuring the inclusion of specific populations that do not have equal access to rights and opportunities creates challenges for its undertaking, since it involves the coordination of different sectors and strategic agendas and the redistribution of resource priorities. The aim of the CNDS and the Monitoring Commission is to untangle these knots, improving intersectoral coordination, linking actions to avoid duplication of efforts and improve cost efficiency, and facilitating the incorporation of priorities into budgetary frameworks.

Link to statistical capacity

The National Statistics Office can currently measure 30 percent of the 231 SDG indicators. However, 40 percent of indicators will require the creation of new data sources or the complete transformation of existing ones, especially for the area of the environment. For this purpose, the possibility of creating an innovation laboratory for data collection has been proposed, with the aim of seeking out viable solutions, including designing tools conducive to defining methodology and calculating indicators. Likewise, the country is heading towards the compilation of data in a single matrix of national indicators that will be published on an SDG monitoring portal.

CONCLUSIONS

As a starting point, with the support of the United Nations Development Programme the country conducted a rapid integrated assessment that served to develop an initial evaluation

of the country's level of preparedness for monitoring and implementing the SDGs and drawing up a road map, by reviewing national and sectoral development plans in order to determine the degree of alignment of the country's development strategy with the SDG targets and goals.

Furthermore, the monitoring and evaluation process for key indicators was launched, so as to gather an overview of the country's contribution to sustainable development, which will be voluntarily presented at the 2018 high-level political forum, as proof of the country's high degree of commitment to implementing the 2030 Agenda.

The Ministry of Economy, Planning and Development is the State body which oversees the Sustainable Development and SDG Indicator Monitoring Commissions; its main responsibility lies in establishing a public policy coordination mechanism that promotes links, coherence and consistency with the goals, targets and indicators of the END and the SDGs, together with other ministries and institutions of the Dominican Republic and of the country's civil society.

For the purpose of faithfully complying with the 2030 Agenda, the Sustainable Development Commission was created to conduct the target and indicator prioritization exercise, through a mechanism that integrates the existing indicators for monitoring national public policy and conducting an inclusive measurement. To this end, the creation of an innovation laboratory for data collection has been proposed, the purpose of which is to design tools that can define methodologies and calculate indicators.

Likewise, this Commission must seek out awareness-raising mechanisms aimed at local governments and communities, so that civil society organizations, the private sector (small, medium and large enterprises), academia and other community-based organizations that play a significant part in raising awareness among citizens and communities take ownership of the 2030 Agenda and their role in the achievement of SDGs at a local level, so that no one is left behind.

12. Finland: Preparing for the First National Sustainable Development Policy Evaluation after the Adoption of the 2030 Agenda

SAMI PIRKKALA

Senior Specialist on Sustainable Development
Prime Minister's Office, Finland

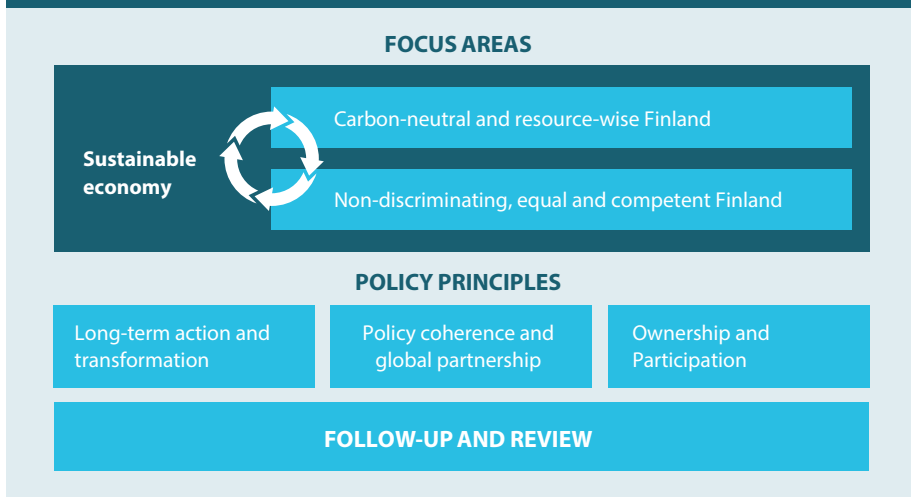
INTRODUCTION

Finland has a long tradition in promoting sustainable development. The National Commission on Sustainable Development (NCSD) was established in 1993 and has worked uninterruptedly since then, most of the time chaired by the Prime Minister. The NCSD made its first national strategy in 1995 and has updated the strategy several times over the years. The most recent update was made in early 2016, along with the adoption of the 2030 Agenda for Sustainable Development by United Nations Member States. The national strategy, “The Finland we want by 2050”, includes eight national goals for 2050 and is well in line with the global 2030 Agenda.⁵⁰

As the 2030 Agenda was adopted at the United Nations, the Government of Finland commissioned an independent gap analysis to identify the Sustainable Development Goals (SDGs) that require the most improvement in Finland, and also to identify themes where Finland could lead the way and share its expertise. The gap analysis assessed Finland in the light of international indicator comparisons, in relation to other member countries of the Organisation for Economic Co-operation and Development (OECD) and in the light of index-based international comparisons. It also included a consultation of stakeholder groups' views on Finland's situation. As a result, the gap analysis identified a strong education system and the related competencies and the general stability of the country's social systems as Finland's particular strengths. Combating climate change and the overuse of natural resources, as well as promoting economic development and employment, were identified as key challenges.⁵¹

50 'The Finland we want by 2050—Society's Commitment to Sustainable Development', adopted at the meeting of the Commission on Sustainable Development held on April 20, 2016. <http://kestavakehitys.fi/en/commitment2050>.

51 Lyttimäki and Lähteenoja, 'Finland aims to become a sustainable development leader', Government's analysis, assessment and research activities, Policy briefs, October 2016. https://www.demoshelsinki.fi/wp-content/uploads/2016/08/PolicyBrief_en_Finland_aims_to_become_a_sustainable_development_leader.pdf.

FIGURE 1. FINNISH GOVERNMENT'S IMPLEMENTATION PLAN FOR THE 2030 AGENDA

The gap analysis was an essential element of the Finnish Government's report to the high-level political forum at the first voluntary national review in 2016.⁵² It was also the starting point for the preparation of Government's 2030 Agenda implementation plan, which was submitted to the Parliament as a government report in February 2017.

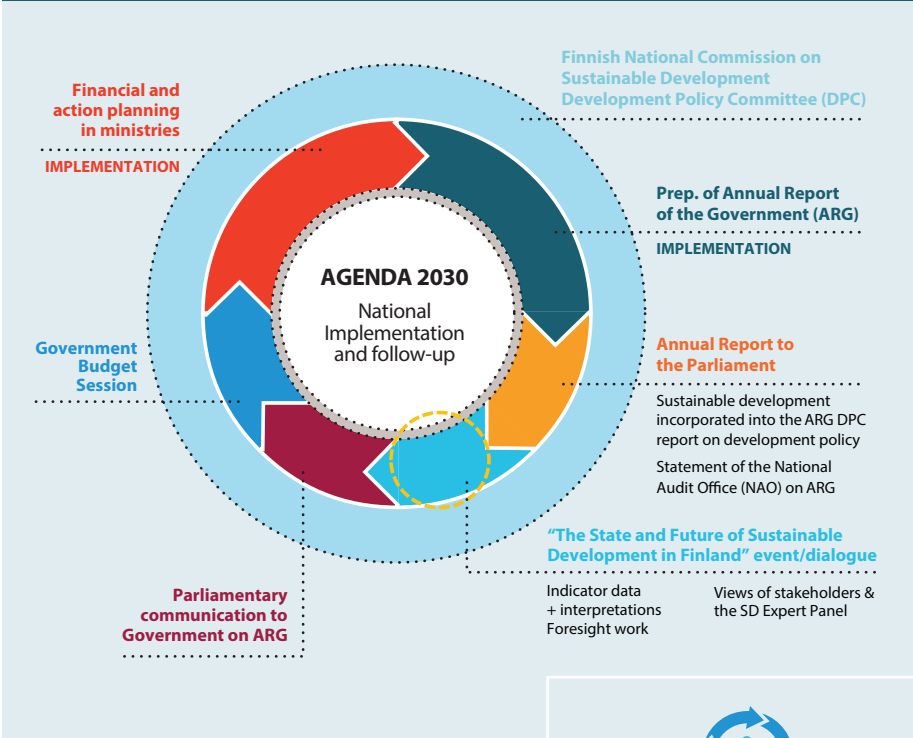
The Government's implementation plan for the 2030 Agenda is based on the vision, principles and goals set forth in the NCSD "Society's Commitment to Sustainable Development". The implementation plan consists of two focus areas, a set of policy principles and a specific chapter on follow-up and review. The focus areas are a carbon-neutral and resource-wise Finland, and a non-discriminating, equal and competent Finland. Policy principles include long-term action and transformation; policy coherence and global partnership; and ownership and participation. Both focus areas and policy principles include several concrete actions for all ministries.⁵³

The implementation plan includes a specific chapter on follow-up and review. This chapter specifies how the 2030 Agenda implementation and the promotion of sustainable development will be integrated in the existing processes and procedures of parliamentary and governmental decision-making. The key idea is that the implementation of the 2030 Agenda should not be approached as a separate policy issue, but as an integrated element of all

52 Prime Minister's office, 'National report on the implementation of the 2030 Agenda for Sustainable Development', Finland, October 2016. http://kestavakehitys.fi/documents/2167391/2186383/VNK_J1016_National_report_net.pdf/48be3fcf-d40c-407a-8115-e59b2c0683ee/VNK_J1016_National_report_net.pdf.pdf.

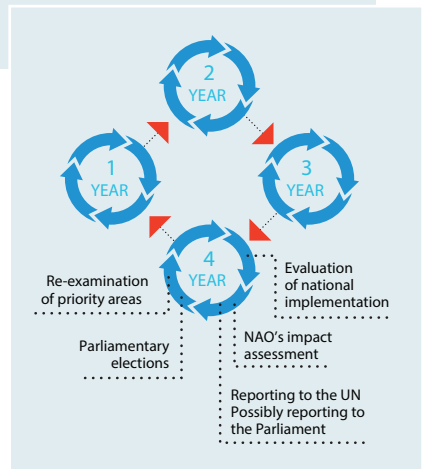
53 Prime Minister's Office, 'Government report on the implementation of the 2030 Agenda for Sustainable Development', Helsinki, 2017 https://julkaisut.valtioneuvosto.fi/bitstream/handle/10024/79455/VNK_J1117_Government_Report_2030Agenda_KANSILLA_net.pdf?sequence=1.

FIGURE 2. INTEGRATION OF THE 2030 AGENDA IMPLEMENTATION IN THE EXISTING PROCESSES AND PROCEDURES OF PARLIAMENTARY AND GOVERNMENTAL DECISION-MAKING



policymaking. This chapter also includes a commitment to report on the state of sustainable development in Finland every four years, and to commission an external evaluation on national sustainable development policy once in every parliamentary election period, starting in 2019.

In the spring of 2017, the Parliament had an active discussion on the 2030 Agenda implementation in Finland, based on the Government’s implementation plan. The discussion included hearings of experts and representatives of civil society organizations in several committees. As a result, the Parliament gave a set of recommendation to the Government. Among the recommendations was a demand that the Government’s implementation plan for the 2030 Agenda should guide the government programme. These parliamentary recommendations are of specific importance since they extend over election periods and thus also guide the work of next Government.



Among the recommendations was a demand that the Government’s implementation plan for the 2030 Agenda should guide the government programme. These parliamentary recommendations are of specific importance since they extend over election periods and thus also guide the work of next Government.

PREPARATION OF THE FIRST NATIONAL EVALUATION OF THE 2030 AGENDA IMPLEMENTATION

During the negotiations on the 2030 Agenda at the United Nations, specific emphasis was placed on follow-up and monitoring of the implementation. The high-level political forum was established to annually follow-up global progress, and global indicators were identified for that purpose.

The role of Parliaments was underlined to ensure the accountability of the work of Governments. To match these global ambitions, the Government of Finland deemed it necessary to include strong language on monitoring, follow-up and review in the national implementation plan. Thus, the implementation plan (Government's report to Parliament) includes the following chapter on evaluation:

"A comprehensive and independent assessment of Finland's sustainable development policy and the national implementation of the 2030 Agenda will be conducted every four years, starting in 2019. The implementation plan will be updated to ensure consistency with the recommendations made."⁵⁴

Now, based on this paragraph, the Government began preparation of the evaluation in the beginning of 2018. The national implementation plan includes also a chapter on conducting an assessment of the coherence of Finland's external policies in the light of the 2030 Agenda:

"An overall assessment will be drawn up of the different ways in which Finland's foreign policy can contribute to the achievement of goals across all administrative branches, and ways in which the coherence of practices and procedures to drive sustainable development outside Finland could be developed."⁵⁵

A decision was made to conduct this assessment as part of the overall evaluation. Thus, these two paragraphs constitute the mandate of the national evaluation.

The rationale behind conducting an evaluation every four years starting in 2019 comes from the national election cycle. Parliamentary elections are held in Finland in April every four years, and the next elections are scheduled for April 2019. The evaluation report will be published in February 2019, which will give political parties time to reflect its findings in their election campaigns. The key findings of the evaluation should also guide the next Government in the preparation of its programme and in the update of the national 2030 Agenda implementation plan. Further, the evaluation report works as an important reference as Finland prepares its next voluntary national review report to the high-level political forum in 2020.

54 Prime Minister's Office, 'Government report on the implementation of the 2030 Agenda for Sustainable Development', Chapter 4.5. Evaluate national implementation in 2019, Helsinki, 2017. https://julkaisut.valtioneuvosto.fi/bitstream/handle/10024/79455/VNK_J1117_Government_Report_2030Agenda_KANSILLA_netti.pdf?sequence=1.

55 Ibid. Chapter 4.5. Evaluate national implementation in 2019, Chapter B.1 Enhance policy coherence to support sustainable development. https://julkaisut.valtioneuvosto.fi/bitstream/handle/10024/79455/VNK_J1117_Government_Report_2030Agenda_KANSILLA_netti.pdf?sequence=1.

SCOPE AND CRITERIA

The evaluation will be conducted by an external evaluation team which will be contracted by the Government during the spring/summer 2018. Currently the Prime Minister's Office is drafting the terms of reference for the evaluation, with the support of a group of national evaluation experts. The NCSD expert panel on sustainable development has also supported the preparation of evaluation by providing recommendations.⁵⁶ The insightful briefing papers of the International Institute for Environment and Development (IIED) and EvalSDGs on the 2030 Agenda evaluation have also provided theoretical backbone for the preparation of the evaluation.⁵⁷

At the moment the key issues under discussion are the scope of evaluation and the evaluation criteria.

Defining the scope of the evaluation has turned out to be more difficult than initially thought. The Government's implementation plan states that the evaluation should focus on Finland's sustainable development policy and the national implementation of the 2030 Agenda. Basically, this could be interpreted narrowly to mean only the policies and actions of the Government. However, taking into account the very idea of the 2030 Agenda, that the participation of the private sector, civil society and academia is a prerequisite for success (the whole-of-society approach), limiting the evaluation only to the work of the Government would do an injustice and even harm our understanding of what national implementation is about. The historically central role of the NCSD in Finland, and the fact that the Government's implementation plan is built on the strategy of the NCSD, also underline this point.

The NCSD strategy "The Finland we want by 2050" includes a practical tool for increasing ownership and engaging the whole of society in the promotion of sustainable development. This operational commitment tool should also be included in the scope of the evaluation.

Including the assessment of Finland's foreign policy's contribution in the 2030 Agenda implementation and the assessment of coherence of external policies add another dimension to the scope of the evaluation. The national 2030 Agenda implementation consists of three dimensions: national activities that aim at achieving the SDGs in Finland (internal implementation); Finland's activities that support the realization of the 2030 Agenda abroad (external implementation, mainly through foreign policy); and the effects (intended or unintended) of our policies to sustainability elsewhere (spillover effects / externalities). In a way the assessment of foreign policy's contribution and the coherence of external policies are linked to the issues of external implementation and externalities, but this relationship needs to be further clarified in the terms of reference.

One more issue that needs to be included in the evaluation is the national follow-up and review system, including national indicators. The system has been updated recently and it would be important to get information on its performance.

56 'Impact pathways and shared evaluations as drivers of change', 2018, <https://www.sitra.fi/en/publications/impact-pathways-shared-evaluation-drivers-change/>.

57 See <https://www.iied.org/effective-evaluation-for-sustainable-development-goals>.

TABLE 1. PRELIMINARY SCOPE AND EVALUATION CRITERIA

PRELIMINARY SET OF CRITERIA (based on OECD DAC criteria + national sustainable development policy principles)	SCOPE OF EVALUATION: Finland's sustainable development policy and the national implementation of the 2030 Agenda (consists of following elements)					
	National strategy, "The Finland we want by 2050"	Operational commitments tool	Government's implementation plan	Contribution of foreign policy	Spillover effects/externalities (global responsibility)	National follow-up and review system
Relevance	Evaluation questions					
Efficiency						
Sustainability						
Coherence						
Principles of the NCSD strategy <ul style="list-style-type: none"> • Cooperation and commitment • Creative use of knowledge and expertise • Broad-based cross-generational thinking and global responsibility • Capacity for renewal and good governance 						
Principles of Government's implementation plan <ul style="list-style-type: none"> • Long-term action and transformation • Policy coherence and global partnership • Ownership and participation 						

As comes to evaluation criteria, the OECD Development Assistance Committee (DAC) lists five criteria for development evaluation: relevance, effectiveness, efficiency, impact and sustainability. Relevance refers to the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor, and effectiveness measures the extent to which an aid activity attains its objectives. Efficiency measures the outputs—qualitative and quantitative—in relation to the inputs. Impact relates to the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.⁵⁸

Even though these criteria are primarily used for development policy evaluation, it has been taken as a starting point in defining the criteria against which to evaluate Finland's sustainable development policy. However, since at the time of evaluation only three years had passed since the adoption of the 2030 Agenda, and less than two years since the adoption of the Government's implementation plan, it might not make sense to evaluate effectiveness and impact, but to concentrate on the relevance, efficiency and sustainability of national policies.

Since incoherence of policies in different sectors can have a significant detrimental effect on the overall national performance, inclusion of coherence in the evaluation criteria might be appropriate. In addition, the NCS strategy "The Finland we want by 2050" includes some principles such as cooperation and commitment, creative use of knowledge and expertise, broad-based cross-generational thinking and global responsibility and capacity for renewal and good governance that could be used as evaluation criteria. The Government's implementation plan includes another useful set of policy principles, namely long-term action and transformation; policy coherence and global partnership; and ownership and participation. Some or all of these principles could be used as evaluation criteria, but this needs further reflection. Table 1 is a preliminary version of the evaluation matrix, illustrating the possible evaluation criteria and the potential elements of the object of the evaluation.

DEVELOPMENTAL EVALUATION APPROACH AND PARTIALITY CHALLENGE

The importance of feedback and learning during the evaluation process has been considered as an important aspect of the 2030 Agenda evaluation. The evaluation should not be regarded as a process in which there is communication between evaluators and policymakers only at the time of publication of the evaluation results. Instead, the evaluation should be a communicative process where learning happens at all stages.⁵⁹

58 OECD DAC networks on development evaluation, 'Evaluating development co-operation. Summary of key norms and standards', second edition, OECD 2010, <http://www.oecd.org/dac/evaluation/summaryofkeynormsandstandards.htm>.

59 See e.g., the report of the national sustainable development expert panel at <https://www.sitra.fi/en/publications/impact-pathways-shared-evaluation-drivers-change/> and the IIED and EvalSDG briefing, 'Five considerations for national evaluation agendas informed by the SDGs' at <https://www.iied.org/effective-evaluation-for-sustainable-development-goals>.

According to BetterEvaluation, developmental evaluation is an evaluation approach that can assist social innovators to develop social change initiatives in complex or uncertain environments. Developmental evaluation originators liken their approach to the role of research and development in the private sector product development process because it facilitates real-time, or close to real-time, feedback to programme staff, thus facilitating a continuous development loop.⁶⁰

Developmental evaluation might be a suitable approach in the evaluation of national sustainable development policies and the 2030 Agenda implementation, but this issue needs further discussion among national evaluation experts.

The question of approach relates to the question of partiality and the relationship between evaluators, commissioners of evaluation and the object of evaluation. When the Government commissions an evaluation of national sustainable development policy, the issue of partiality need to be considered. One way to approach this would be to minimize the role of government officials in steering the evaluation. However, the evaluation process can offer key officials and other key stakeholders significant information and insights on how to develop national sustainable development policy, so that isolating them from the evaluation process might just act against the very purpose of the evaluation. The developmental evaluation approach might help in tackling this challenge. Ideally the evaluation would be commissioned by the Parliament or the NCS.

THE NEXT STEPS

The Government of Finland is committed to realizing the vision and the goals of the 2030 Agenda. Evaluation of existing policies provides information on what works, and what does not, and makes it possible to adjust the policies accordingly. Further discussion is still needed over the issues of the scope, criteria and approach of the evaluation. Once these issues have been further clarified, the terms of reference will be prepared and the evaluation assignment put out to tender.

The results of the evaluation should help the next Government in adjusting national sustainable development policy to better match the challenges of the 2030 Agenda. The evaluation will help in developing comprehensive evaluation culture for the 2030 Agenda in Finland and continues the Finnish tradition of having open and evidence-based dialogue on sustainable development policy and its improvement.

60 See http://www.betterevaluation.org/en/plan/approach/developmental_evaluation.

13. Guatemala: Approaching Different Types of Evaluation with the SDG Voluntary National Review. A Point of Debate against “Evaluations: a Missed Opportunity for the SDG Voluntary National Review”

LUZ KEILA VILCHEZ

Coordinator, Sustainable Development Goals in Guatemala



We have dogmatized statistics as a way to scrutinize achievements, forgetting the value of individuals and the planet evaluating their own progress.

In paragraph 72 of the “Transforming Our World” declaration, governments highlighted that a follow-up and review framework would be a vital contribution to its implementation, agreeing that this framework should be characterized by self-evaluation and countries’ measurement of their own progress. In line with this, the National Council of Urban and Rural Development—the highest authority for development in Guatemala which monitors the Sustainable Development Goals (SDGs)—led the production of the voluntary national review following the guidelines emanating from the United Nations Economic and Social Council.

Guatemala’s aim when producing this review was to show the world, in a very honest way, “where the country stands on its journey and how much is still required for the implementation of the 2030 Agenda for Sustainable Development”. By doing so, it allowed for self-evaluation to reveal the challenges and areas upon which the country must focus its efforts, in order to speed up implementation and meet the targets established within the framework of the aforementioned Agenda.

The Government identified some major challenges prior to preparation of the voluntary national review, mainly related to the limited availability of data, in particular itemized data. Additionally, there is a challenge involved in ensuring the participation of various interested parties with an open data platform and a responsible, transparent reviewing process, as well as in evaluating progress in implementation by measuring the contribution of all interested parties, since the monitoring and evaluation systems are designed only for the Government’s actions, and now that we have an agenda with multiple agents, we ask ourselves how to account for the actions of enterprises and of civil society under the same umbrella. In this regard, it was decided to conduct different types of evaluation, including consulting with citizens themselves in order that they evaluate their own progress.

The Agenda evaluation process was carried out along four lines. The first involved assessment of the conditions generated in the country by the process of adjustment of the Agenda to the national context. The consultation was carried out with the different levels and sectors of the Government, civil society, academia and the entrepreneurial sector in 2016 and the first quarter of 2017, alongside the prioritization process,⁶¹ the integration of SDG targets with the national targets already established by the current long-term development plan and even the development of a logo and a national campaign for the harmonized Agenda.

The second type of evaluation is a more typical “impact or results” format, revealing information on each of the indicators prioritized by the country and accounting for the “state of play of the indicators”. It was drawn up based on the available statistical information, placing focus on the national situation and the different degrees of progress observed at the level of social groups and different parts of the country, which led to the identification of development gaps and the need to attend to the needs of the most vulnerable in a differentiated way.

Furthermore, the process for producing the report added value for the country by prompting the exploration of a specific strategy for generation of statistics for indicators for which no statistical information is available, as well as signaling the main challenges involved in their monitoring.

In parallel, intersectoral workshops were held to define statistical information for the SDGs, including the statistical series for each indicator and the systematization of any reference to challenges contemplated in the current public policy frameworks, thus defining the proposal for data sheets that would be presented to the representatives of Guatemalan society in the sectoral workshops for feedback and validation. It could even be said that these workshops saw an initial or diagnostic assessment for considering the value closest to 2015 and, for the target, the one approved by consensus by all the representatives of Guatemalan society. The voluntary national review allowed for the setting of 33 baselines for measuring the SDGs and the K’atun National Development Plan. It is important to note that, depending on the case, the target may or may not be the same as that proposed in the declaration, given that it was aligned with the national planning framework to respond to the specific context and reality of the country.

Subsequently, sectoral workshops were held to reflect on the process of Guatemala’s appropriation of the SDGs and the statistical capacity of the region and the country at aggregate level. Likewise, there were discussions about the state of play of the indicators for which there was statistical information, alongside the baselines, targets and data sheets in accordance with the work carried out in the statistical research workshop. The sectoral debate allowed for definition of and agreement upon the baselines, targets and data sheets for the SDG indicators for which there was statistical information and the approach strategies for those for which there were not. Furthermore, for the indicators lacking statistical information, the competent institutions for leading the approach strategy were analysed.

61 The SDG Agenda prioritized by the country comprises 17 goals, 129 targets and 200 indicators.

Section 2 of each SDG heading, “alignment of the State’s response with the achievement of the SDG”, attempts to carry out evaluation during implementation, highlighting the most important actions and interventions conducted by the private sector, civil society, international cooperation and the public sector. Gathering of contributions from each of the sectors of the Guatemalan State was compiled through questionnaires about the actions and interventions that the various public institutions, entities, agencies or bodies have implemented and are implementing and which contribute in some way to successfully eradicating poverty, ending hunger, guaranteeing a healthy life, reaching gender equality, building resilient infrastructure, creating inclusive industry, promoting innovation and conserving oceans and life below water.

Section 3 of the SDG heading discusses “young people’s perception of the targets prioritized”. Given that Guatemala is a country with a large demographic dividend—adolescents and young adults (13 to 29 years old) make up 33 percent of the total population—it was decided to include the perception of adolescents and young people to demonstrate the population’s opinions. It was an ex-post type evaluation, produced jointly with the United Nations Children’s Fund via seven perception questionnaires for adolescents and young people regarding the problems linked to the SDGs, promoted via the U-Report platform. The questionnaires were jointly prepared and reviewed by the Adolescents and Young People Executive Committee and they were voluntarily completed by the U-Report users.

This consultation with adolescents and young people regarding the SDGs contributed to raising awareness and allowed the Government to compare the main results of the indicators with the perception of Guatemalan society and, to the surprise of many, the results of much information from the young people’s perception questionnaire are consistent with official statistical data.

With the information from the diagnoses and from statistical and sectoral workshops, alongside what was gathered in each of the above-mentioned sections, the SDG headings were put together by each thematic team and reviewed and revised prior to their being shared with the sectoral representatives.

Finally, the preliminary results from the voluntary national review were presented at validation workshops, including the results from the sectoral workshops where the base-lines, targets and data sheets of the indicators were defined, as well as the implementation strategy for the generation of information for the indicators lacking data, the alignment of the State’s response and young people’s perception of prioritized targets. After the presentation of the SDG preliminary report, a space was opened for the validation of and feedback on the report.

The recommendations and remarks of the sectoral representatives were included in the assessment presented to the Alignment, Monitoring and Evaluation Commission, as the body designated by the National Council of Urban and Rural Development, which ultimately approved the final content of the report.

In summary, the voluntary national review was a timely exercise that was able to take advantage of current conditions and experiences. In the case of Guatemala, the review also served to bring the various actors (civil society, the private sector, international cooperation

and the Government) to the same reviewing table, encouraging the country to assess its own progress.

The voluntary national review allowed for an overview of the country's situation in terms of "sustainable development" to be obtained through indicators with official statistical information, but moreover (and more importantly, in the author's view), consultation with adolescents and young people regarding the SDGs contributed to raising awareness and allowed the Government to compare the results of the main indicators with the perception of Guatemalan society, which proved to be very much consistent with one other, and we should ask ourselves why, given that each result uses different types of evaluation.

14. Morocco: SDG Implementation, Development of the Information System and Evaluation of Social Programmes

EL MANSOUR EL HASSAN

General Secretary

Moroccan National Observatory of Human Development

INTRODUCTION

The 2030 Agenda for Sustainable Development is a universal, integrated and transformational plan that will lead to a world that is safer, more equitable, more just and free from poverty. It is based on an ambitious framework of results (17 Sustainable Development Goals (SDGs) and 169 targets) and it differs substantially from the 2000-2015 agenda, given the universal, integrated and interdependent nature of the economic, social and environmental dimensions of sustainable development. The positive synergies expected from this new agenda are intended to promote the emergence of a new, more inclusive and more equitable development model rooted in solidarity.

With regard to Morocco, it would be reasonable to expect that, through this comprehensive approach to sustainability, the 2030 Agenda is likely to underpin the country's commitment to adapting its development model to the requirements of sober growth, respectful of the ecological balance and the values of social justice and human dignity.

In this respect, it augurs well that Morocco volunteered at the July 2016 session of the high-level political forum on sustainable development to present a situation report on the integration of the SDGs into its development programmes and strategies. This voluntary act, which forms part of the Kingdom's commitment to the process of implementation of the SDGs, followed a national consultation held in Rabat from 3 to 5 May 2016 on the contextualization of the 2030 Agenda for Sustainable Development in Morocco.

This consultation, which was marked by the participation of several ministries and government departments, national institutions, private sector actors, civil society, academia and United Nations system agencies and funds, served to highlight the importance of national ownership to the success of the process. This ownership would be dependent on a continuous effort to adapt the content of the SDGs to economic, social, cultural and institutional realities and an appropriate promotional campaign directed at the broadest sectors of public opinion.

The national consultation also underscored the challenges of aligning the global agenda with national priorities and of operationalizing it at local level, while placing the accent on

the need for the monitoring and evaluation of progress made in its implementation. This, of course, posed challenges to the national statistical system, but it was also an opportunity for strengthening evaluation in our country which is, incidentally, an undertaking that is written in to the new Constitution of the Kingdom.

THE CHALLENGES POSED TO THE STATISTICAL INFORMATION SYSTEM

Indicators are of crucial importance for the implementation and monitoring of the SDGs. They occupied a central place during negotiations on the SDGs. For the monitoring and evaluation of the 17 SDGs, the United Nations proposed 229 indicators, classified into three levels. These global indicators are no more than a reference framework for States, which are called upon to establish their own national statistical frameworks, in accordance with their national realities and capacities, for national-level monitoring of the SDGs.

Official statistics will constitute the essential source for informing SDG indicators. The use of other sources of statistical data requires their compliance with the fundamental principles of United Nations statistics. The development of metadata is needed to guarantee the clarity of the indicators and ensure international comparability for the indicators, which are very commonly used.

The national statistical system is able to monitor and provide indicators with a high degree of relevance. Morocco has a statistical system able to evaluate the progress made in SDG programmes after 2015. Of the SDG indicators, 60.8 percent can be easily informed using data from the National Human Development Observatory (Observatoire National du Développement Humain (ONDH)), the Higher Planning Commission or different sectoral departments. The missing data are most frequently for Goals related to governance and the environment.

Currently, the national statistical system can produce, bearing in mind the classification established to date by the report by United Nations and foreign experts responsible for indicators in respect of the SDGs:

- 75.6 percent of all the Tier 1 indicators, that is, the 98 indicators that are conceptually clear, have existing definitions and an available methodology;
- 41 percent of the Tier 2 indicators, that is, the 50 indicators that have non-or barely-existent standards and data;
- 9.5 percent of Tier 3 indicators, that is, the 81 indicators that do not have methodology, standards or data.

Most of the indicators for measuring progress made after 2015 are currently available or may be made available relatively easily. In this respect, the data produced by the ONDH are able to inform 30 SDG indicators (see Table 1 below), that is, 35.7 percent of the indicators capable of being informed.

Similarly, to permit national ownership of global SDGs, the sustainable development targets for 2030 have been adapted to suit particular national circumstances. In this case, since

TABLE 1. LIST OF AVAILABLE INDICATORS

GOAL	NUMBER OF TARGETS	NUMBER OF INDICATORS AVAILABLE	PRODUCED BY THE ONDH
Goal 1: End poverty in all its forms everywhere.	5	6	6
Goal 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture.	5	11	4
Goal 3: Ensure healthy lives and promote well-being for all at all ages.	9	25	6
Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.	7	8	4
Goal 5: Achieve gender equality and empower all women and girls.	9	14	4
Goal 6: Ensure availability and sustainable management of water and sanitation for all.	8	10	3
Goal 10: Reduce inequality within and among countries.	7	10	3
Total	50	84	30

government policies to combat poverty have led to a marked national decline in the absolute poverty rate and the virtual elimination of extreme poverty, the accent must be more on the measurement of other indicators in order to support and realize sustainable development in Morocco by 2030. This being so, the ONDH has developed the measurement of other indicators, such as those relating to vulnerability, multidimensional poverty, subjective poverty, access to programmes against poverty and the economic distribution of wealth.⁶²

62 These are the indicators:

- Vulnerability rate by residence setting;
- Multidimensional poverty rate by residence setting;
- Subjective poverty rate by residence setting;
- Proportion of the population with per capita spending below the national average by residence setting;
- Share of the poorest fifth quintile of the population in final consumption;
- Share of the richest fifth quintile of the population in final consumption.
- Share in total spending of the poorest 50 percent of the population;
- Share in total spending of the richest 10 percent of the population;
- Share in total spending of the poorest 10 percent of the population;
- Proportion of the population benefiting from RAMED medical insurance by setting, sex and region;
- Proportion of households benefiting from the Tayssir conditional cash transfer programme by setting, sex and region;
- Proportion of the population benefiting from social protection programmes.

Nevertheless, additional efforts will be needed to calculate and account for certain indicators and to collect additional information, particularly in the areas of environment, governance and global partnership, where there are more gaps in the data. Thus, SDG implementation is an ideal opportunity to produce the other SDG indicators with a view to the periodic evaluation of their achievement. Of course, the indicator system chosen will also have to be relevant at international level to ensure better comparisons between countries and to facilitate debate, especially with multilateral and bilateral bodies.

TOWARDS TERRITORIAL INDICATORS FOR THE SDGs

Since 2011, Morocco has been engaged in an advanced regionalization process that places a major emphasis on decentralization, devolution and the participation of local authorities, local economic and associative stakeholders and State services in public affairs.

To ensure societal commitment in support of implementation of the SDGs, it is useful to have tools such as indicators at different regional scales to monitor the results of public action to promote sustainable development. Similarly, it is equally necessary, from the national point of view, to have a reading of the regions in all their diversity, in order to adjust national priorities to suit local situations.

Also, to support local actors in their work for sustainable development, innovative tools have been developed in our country that provide it with additional indicators to better measure the progress of achievement of the SDGs at local level. Thus, the ONDH has established a territorial information system and a regional-level survey of a panel of representative households.

With regard to spatial information technology, its purpose is to combine mapping and database management to offer optimized representations of space, to conduct territorial analyses on the basis of more than 75,000 geo-localized human development projects and to map human development performance at different territorial levels.

Spatial information technology can be used to evaluate the needs (or deprivations) of populations as well as territorial disparities and fragilities. It can also be used to equip local actors with a complete tool for advocacy and decision-making support. To this end, the ONDH organized training sessions for the benefit of all local actors in the prefectures and provinces of the Kingdom, with a view to ensuring the best use of the functionalities that spatial information technology offers and to enable them to conduct studies and analyses related to the potential and specific features of territories and the social interactions that exist in them.

As part of this effort, the ONDH established partnership agreements with the two regional universities (Meknès and Oujda) to enable elected officials, representatives of external services and other actors to better understand issues related to territorial diagnostic assessments, social observation and the monitoring and evaluation of sustainable development policies. These agreements will be gradually extended to the other Moroccan universities.

Turning to the ONDH household panel survey, as this simultaneously and regularly collects relevant data, it can be used to track progress in Morocco in respect of the principal

dimensions of human development (demographics, education, health, employment, housing, standard of living, quality of life, participation, subjective poverty, etc.). In addition, and unlike cross-sectional surveys, it can be used to understand the processes involved and to contribute to improving the effectiveness of integration of the SDGs into public policy evaluation programmes

In Morocco, action is not solely focused on the issues of data collection and choice of indicator to provide tracking of progress against targets. This laborious work is certainly necessary for ensuring better understanding of accomplishments for each SDG, but it is insufficient for answering classic evaluation questions to assess the merits of the policies implemented.

The explanation of product changes and their real impacts on the various stakeholders remain largely dependent on capacity to go beyond monitoring the indicators established to making informed judgements of the relevance, efficiency, effectiveness, impact and sustainability of the SDGs and the policies and programmes related to them.

For several years, and thanks to the new Constitution, Morocco has strengthened its evaluation mechanisms, which should enable it to support the SDGs and ensure coherence between public policies and strategic directions for 2030.

In this respect, ONDH has conducted several evaluations of public policies that support the SDGs, such as the National Initiative for Human Development, the RAMED national health insurance programme for low-income individuals and the social support programmes of the Ministry of Education. A national human development report is also in the process of finalization. This will offer an in-depth analysis of the different dimensions of human development, an examination of their territorial dynamics and a thematic study of inequality.

In conclusion, it is undeniable that the 17 SDGs and their targets have been a clear opportunity for ONDH and its partners to develop their evaluation practice.

This is demanding practice insofar as methodology is concerned. It is still young in our country and is expected to develop further in light of the new constitutional context that enshrines it.

This poses new challenges related to the profile of evaluators and their training to respond to the development of evaluation. Also, the ONDH, which acts in line with the Bangkok Declaration, has chosen to support the Moroccan universities, two of which will this year be offering academic courses in evaluation. The ONDH is also going to begin to develop a monitoring and evaluation framework for the coordination of public policy and will continue to produce statistical data to inform the SDGs, through the introduction of specific modules in its household panel survey. Many ministerial departments have expressed needs in this regard.

15. The Philippines: National Monitoring and Evaluation Systems, Social Protection and the SDGs: Experiences, Challenges and the Way Forward

RHODORA G. ALDAY

Officer in Charge – Director of the Policy Development and Planning Bureau of the Department of Social Welfare and Development, the Philippines

MARIA DANIELLE FRANCESCA V. SEBASTIAN

Planning Officer of the M&E Division of the Policy Development and Planning Bureau of the Department of Social Welfare and Development, the Philippines

The Department of Social Welfare and Development (DSWD)⁶³ is one of the first national government agencies in the Philippines to develop and implement a department-wide policy on results-based monitoring and evaluation (M&E) to guide the various levels of the organization in designing and implementing their M&E systems. Since its institutionalization in 2014, DSWD has crafted its organization-wide results framework that logically integrates into one framework all of its development outcomes as a result of the implementation of its programmes, projects and services. The results framework is being utilized as the management tool for department-wide M&E, especially as basis for identifying priority areas for systematic evaluations.

Setting up and implementing a results-based M&E system was not without its own fair share of challenges. The initial years were met with resistance and even indifference as officials were yet to be convinced and human capacities and processes were not yet developed to implement such reforms. Results-based thinking had to be integrated not just into M&E, but more so into the DSWD management processes from planning to budgeting and performance management, to be able to sustain the reform. International development partners played an important role but political will from officials and staff was most critical. In the advent of the Sustainable Development Goals (SDGs), new challenges arise not just for the DSWD M&E system but for the whole of national Government.

63 This agency aims to contribute to poverty alleviation and empowerment through the development of social welfare and development policies, programs, projects and services implemented with or through various government and private intermediaries.

This paper describes a national government agency's journey in setting up and implementing a department-wide M&E system for social welfare and development. It focuses on the lessons learned from the challenges during its initial years and the perceived systemic changes with the shift to results. Moving forward, the paper looks into the expected challenges and opportunities ahead for evaluation especially with the introduction of the SDGs. With a fairly young M&E system, an abundance of challenges still remains in integrating results-based principles into existing frameworks and processes, especially in making evaluation a systematic part of programme and performance management, and in utilizing evaluations to influence political decisions. But there are a lot of opportunities to be taken advantage of, including an enabling national policy environment supportive of evaluation and the growing consensus in the international and national development arenas on the importance of evaluation in societal change.

CONTEXT OF REFORM

The DSWD is the agency mandated to provide social protection and promote the rights and welfare of poor, vulnerable and disadvantaged individuals, families and communities. The agency aims to contribute to poverty alleviation and empowerment through the development of social welfare and development policies, programmes, projects and services implemented with or through various government and private intermediaries.

The impetus for setting up a results-based M&E system was in the context of an organization-wide reform initiative then called the DSWD Reform Agenda (2008-2012). The agenda sought to articulate the direction of DSWD as it took on the leadership role for the social protection sector in the country, after the enactment of the 1991 Local Government Code that devolved basic social welfare services to local government units. The agenda had four key reform areas: (1) leading in social protection; (2) providing faster and better service delivery of social protection programmes; (3) implementing financial reforms to sustain the reform process; and (4) improving systems for service delivery.

This agenda required the DSWD to establish structures and policies for coordinated social protection response within the organization and across all agencies. It also demanded that the DSWD expand and improve its own programmes and services, secure sustainable financing for the reform and strengthen stewardship over its financial resources. It also required strengthening internal systems, including M&E within the organization. Whatever became of the reform initiative, M&E was a crucial component in determining what will come out as a result of the reform.

Years after the crafting of the reform agenda, DSWD has rapidly expanded the scope and coverage of its programmes for the poor, vulnerable and marginalized individuals and communities. From a budget of only 3.5 billion Philippine pesos in 2007, the DSWD budget increased to 128 billion Philippine pesos a decade later (2017). The increase in funding was driven by the scaling-up of the conditional cash transfer programme, community-driven development programme, sustainable livelihood programme and social pension, among others. The increasing frequency and intensity of major natural and human-induced disasters

also demanded more emergency and early recovery services from DSWD. Stewardship over the vast amount of resources allotted for social welfare and development demanded a strong M&E system to ensure efficiency, accountability and process excellence for the delivery of results.

Alongside these developments within the DSWD, reforms at the national government level were also underway. The Government of the Philippines adopted results-based management within the framework of public sector management to improve transparency, accountability and efficiency. These were done through reforms in the budget preparation and execution (starting in 2007), in the financial management system (starting in 2009), in the performance management system (starting in 2011) and in national government planning (2010). These reforms included linking performance information to budgeting, streamlining planning, monitoring and budgeting processes, linking performance to employee incentives, and the introduction of sector-specific results matrices in the medium-term plan of the national Government. The more recent reforms include the National Evaluation Policy Framework crafted by the budget and planning departments.

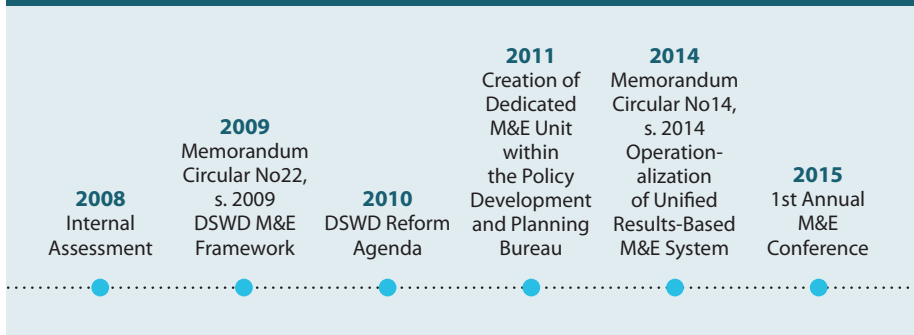
SETTING UP THE UNIFIED RESULTS-BASED M&E SYSTEM: EARLY BEGINNINGS

Through a foreign grant, an assessment of the existing DSWD systems, processes and protocols was conducted in 2008. While a lot has already been accomplished for monitoring progress of programmes and projects, some gaps still remained. These were: (1) reports mainly enumerated outputs and were not able to generate conclusions on the effectiveness of programmes implemented; (2) the data infrastructure was incompatible with the devolved structure of the programmes; (3) delays in producing data sets and differing quality and quantity of local-level administrative data resulting in limitations for matching data; (4) the absence of a research agenda for evaluating changes, resulting in fragmented efforts to outline key questions that need to be answered; and (5) the programmatic nature of M&E resulting in the absence of basis for comparing and differentiating results and determining overall impact of the DSWD on poverty and vulnerability. For this reason, strengthening the DSWD M&E system was a key component of the reform agenda.

In response to the results of the assessment, a policy on the DSWD M&E framework was issued in 2009. The framework described the DSWD M&E system as two-pronged: organizational and programme and project-based. The policy highlighted the importance of monitoring and evaluation as two different but interrelated concepts. Objectives and performance indicators were also identified for organization-wide M&E.

To support this policy issuance and in alignment with the reform agenda, an M&E Unit within the Policy Development and Planning Bureau was created in 2011 through a programme loan from the World Bank. The M&E Unit, which subsequently became a Division in 2014, was tasked to oversee and implement the organization-wide M&E of DSWD with the establishment of the Unified Results-Based M&E System (URBMES). Various capacity-building activities and technical assistance were conducted to capacitate technical staff and officials on M&E.

FIGURE 1. TIMELINE OF MAJOR EVENTS IN ESTABLISHING THE RESULTS-BASED MONITORING AND EVALUATION SYSTEM



To jumpstart the implementation of the URBMES, the DSWD developed its Overall Results Framework (2014-2016) that incorporates the Organizational Outcomes of DSWD. The Overall Results Framework serves as a reference to all offices within DSWD in the crafting of their own results frameworks/programme logic. Later on, the Overall M&E Plan was developed, capturing the consolidated targets on all DSWD programmes, projects and outcome indicators. The M&E Plan serves as the basis for the 1st Overall Assessment Report, a report containing statistical and narrative accomplishments and analysis of DSWD performance every semester.

Through the installation of the URBMES, the DSWD was encouraged to shift its orientation to results, focusing on the outcomes and impact of its programmes and services, as well as of the overall organization. This is a big step forward from the practice of monitoring only programme-level outputs and activities.

INITIAL CHALLENGES AND LESSONS LEARNED

Setting up and implementing URBMES was not without its own fair share of challenges. As in any organization, the initial years were met with some resistance as human capacities were not yet developed and the staff complement was not yet established. A conscious effort was required to oversee or supervise activities on M&E. The adoption of new technologies or tools took time and capacity-building activities had to be consistent and sustained. The level of knowledge, skills and attitudes on M&E was unequal within the organization, with foreign-funded projects having more advanced M&E and other parts of the organization lagging behind. The fast turnover of staff also hampered continuity of learning in the organization.

In addition, the lack or absence of credible data and integrated information systems was also a challenge. Additional challenges include the inability to come up with realistic targets, errors in manual encoding of reports, timeliness of reporting and overlapping systems/frameworks that cause confusion and duplication of efforts.

The DSWD initiated strategies to overcome such challenges and these form part of the lessons learned from the installation of the M&E system, namely:

Importance of ownership. Conducting consultations with the concerned offices and stakeholders is necessary to impart to them their significant role in the process. The more that key personnel and management are involved, the more they take accountability for their actions and the better they perform to produce the outputs the Department is trying to deliver.

Major role of technical assistance and capacity-building. For organizations that would want to install a new system or update/enhance their existing systems, provision of relevant technical assistance and the conduct of useful capacity-building activities are a prerequisite. Through these efforts, the stakeholders will feel the support they need in terms of skills and knowledge enhancement/development which in turn will be helpful in performing the tasks assigned to them. The conduct of capacity-building activities is an investment in the key personnel which tries to address not only the low level of skills/competencies but also the level of dedication and motivation of staff to the M&E work as they come to appreciate the new functions designated to them.

Value of partnerships and knowledge transfer. The DSWD actively pursues partnerships with various organizations in order to broaden its network towards becoming an environment that supports a culture of evidence-based public service. Through these partnerships, M&E activities such as trainings/workshops, evaluation studies and knowledge-sharing forums are conducted. Local and international partners provide resources and technical assistance for various M&E activities such as in the conduct of evaluations. In pursuit of constant learning, hired consultants work with DSWD personnel for knowledge transfer.

Good documentation is also necessary for knowledge transfer among peers and continuous learning. (DSWD-PDPB, 2016). Through these lessons, the Department has been able to continue moving forward to where it is today on M&E.

CHALLENGES MOVING FORWARD FOR RESULTS-BASED M&E

With a fairly young M&E system, abundant challenges still remain in integrating results-based principles into existing frameworks and processes, especially in making evaluation a systematic part of programme management and in utilizing evaluations to influence policy decisions. The following are the challenges moving forward for results-based M&E:

Integrating results-based principles in management processes. While much has been done in promoting and implementing results-based M&E, principles of results-based management have to permeate other management processes such as planning, budgeting, implementation and performance management in order to achieve intended outcomes and impact. At present, while M&E systems are already in place, there is a growing awareness that they are not linked to processes for strategic and operations planning, budgeting and performance management. Oftentimes, results frameworks are used just as a basis for reporting progress but are not utilized as a key tool for analysis.

In past years, indicators for performance management were not the same as those in the DSWD results framework. This disconnect lowers the accountability of management and staff to their commitments in the DSWD medium-term targets as indicated in the results framework.

For the first time, the DSWD medium-term strategic plan has a results framework and it will be accompanied by a results matrix providing the organization's outcome and output indicators and targets for the medium term. The results matrix will be the basis for the annual planning and budgeting of each office. The targets and indicators in the results matrix will also form part of the performance contracts of each office, cascaded down into the individual officials and staff for accountability and incentives.

Existing platforms gathering management officials on a regular basis will also be influenced to become the venue to discuss M&E findings so that they can immediately respond.

Embedding evaluation in social welfare programmes. Evaluation is still not embedded in a majority of social protection and social welfare programmes. Programmes with embedded evaluations are mostly those with funding support from development partners. A lot of long-standing programmes have yet to articulate their theories of change, let alone set up an effective M&E system. And because some social welfare programmes have no project "end" like foreign-funded projects, the motivation for such programmes to show "results" are low (especially if they are not a priority of the current administration).

While an internal policy document is already in place, emphasis on results-based M&E can be further pushed by planning and budgeting oversight authorities through policies and processes that will require all government programmes to have a theory of change, results frameworks and M&E systems.

Low demand for evaluations and communicating evaluations. Demand for evaluations from the public is still low. Results of evaluations or the lack of evaluations to provide evidence of results is not commonly discussed in budget deliberations where parochial concerns still dominate the discussion. But in some instances when impact evaluation results are actually available, the credibility of the statistics are sometimes questioned. This is a challenge when communicating evaluation results, especially in light of the abundance of opinions in social media, alternative facts and fake news that evaluation results have to compete with in public discourse.

Moving forward, the DSWD has to learn how to be strategic with the conduct of evaluations to support decision-making, especially in using results as leverage against decisions driven by mere political propaganda. While there exists a National Evaluation Policy Framework, the criteria as to which programmes should be prioritized for evaluation are not yet available.

Capacity for evaluation. Individual and institutional capacities for evaluations still need to be strengthened. The DSWD is fortunate to have received support from various development partners for capability-building opportunities for officials and staff on M&E and social protection. However, there is no systematic strategy for capability-building for the whole of government for M&E. Sustaining and expanding the role of M&E in development requires having to hire and train additional human resources for M&E. Graduate courses on evaluation are only starting to be developed in a few universities in the country.

CHALLENGES MOVING FORWARD IN EVALUATION OF THE SDGs

The DSWD works with the National Economic Development Authority (NEDA), the planning ministry, to ensure that policies and programmes on social welfare are aligned with the SDGs. NEDA coordinates the political process of SDG implementation in the Philippines. In cooperation with the statistical authorities, it is developing the localized version of the SDG indicators that will be relevant to national priorities while considering availability of data sources.

A strong feature of SDG implementation is the clear identification of the national government vision and strategy aligned with the 2030 Agenda for Sustainable Development and the SDGs. The long-term vision is called *Ambisyon Natin 2040* (Our Ambition 2040) that was a result of a series of national and local consultations and surveys. The long-term vision has three pillars—“*Matatag, Maginhawa at Panatag na Buhay*”— meaning “strongly-rooted, comfortable and secure life.”

The Philippine Development Plan 2017-2022 is the first medium-term plan anchored on this long-term vision. It seeks to lay a stronger foundation for more inclusive growth, a high-trust and resilient society and a globally competitive knowledge economy. The Plan has an accompanying results matrix with performance indicators and targets to measure progress.

In line with the Philippine Development Plan, the DSWD as an implementing agency of the national Government developed its own medium-term strategic plan. The role of DSWD in the Philippine Development Plan is in reducing vulnerability of individuals and families and ensuring their inclusion in efforts to accelerate human capital development.

The Philippine Statistical Authority Board has enjoined all government bodies to provide the necessary data support to monitor the country’s performance vis-à-vis the SDGs based on the indicator framework that was determined by NEDA, Philippines Statistical Authority and other government agencies.

After a series of workshops and meetings led by NEDA and the statistical authorities, the Philippines was able to identify 155 indicators for 97 targets of the 17 SDGs. Of these, 73 out of 155 indicators are in the Philippines Development Plan Results Matrix, 14 out of 155 indicators are tagged under gender and 7 out of 155 indicators are tagged under social protection.

While much has been achieved, some challenges still remain for national government agencies such as DSWD in ensuring the achievement the SDGs.

Fragmented national development planning and programming. Unlike other countries, in the Philippines, the 2030 Agenda was not coordinated by a strong political power such as the President. The job of ensuring political commitment and implementation of the SDG agenda became the responsibility of NEDA, which was mostly concerned about how to measure the SDGs.

There was no strong vision on social protection as a means to achieve the SDGs, especially in “leaving no one behind”. This resulted in fragmented planning among implementing agencies concerning social protection and poverty reduction. The absence of clear strategic direction for social protection poses a challenge not only in ensuring that “no one is

left behind” but also for evaluating the contribution of social protection policies and programmes in achieving the SDGs. The integrated nature of the SDGs and the complexity of problems requires a whole of government approach. Some Philippine SDG indicators are programmatic and do not capture the real essence of the Goals.

Absence of a national M&E framework as basis for systematic and institutionalized conduct of evaluations. Another symptom of fragmented planning is the absence of a coherent national M&E framework. While there have been public financial reforms in terms of linking budgets to performance information in agencies, there is no clear guidance for implementing agencies as to how M&E systems should be developed, implemented and aligned with that of the whole national Government.

The M&E framework should also be a basis for a national evaluation policy detailing the evaluation priorities of the national Government. Evaluation results should be available in time for planning and budgeting. The Government should evaluate whether it is doing the right things, not just if it is doing things right in its own programmes and services. As an implementing agency, we want to know if we are delivering the right combination of outputs, and whether we have the right mix of policies and services that will contribute to national development.

Linking budgets to results. Because social protection is a cross-cutting concern that spans several SDG goals and targets, evaluating the effectiveness and efficiency of social protection policies and programmes poses a challenge. One of the questions that can be raised is, does the Philippines have enough resources to achieve its 2030 goals?

Improving capacity to meet the SDG challenge. Evaluating the SDGs relies heavily on the ability of all levels of government to effectively plan, implement, monitor and evaluate within their own organizations. This challenge needs to be addressed as we aspire to meet the demands of the SDGs. Unless the capacities of national government agencies for results-based management improve, the same challenges will continue to permeate in the bureaucracy.

OPPORTUNITIES AND WAYS FORWARD FOR M&E AND THE SDGs

As we progress towards evaluating the SDGs, especially the role of social protection, the following is an opportunity to strengthen evaluation: the upcoming review of the social protection operational framework and the development of a medium-term social protection plan. An M&E plan should be in place for the social protection plan to ensure that social protection efforts can be evaluated against the SDGs.

Ongoing support from development partners for M&E. There are existing networks and partnerships that provide opportunities for knowledge transfer and capability-building between development partners and the agency. These can be maximized by agencies to continuously improve their capacities, although we should also be strategic in our partnerships with them.

Increasing awareness of the importance of evaluation in development among national government agencies and civil society organizations (CSOs). More national government agencies and CSOs are taking notice and demanding evidence of outcomes

and impacts of government policies, programmes and projects. Hopefully this will translate into more resources for evaluation and more evaluations will be used for policymaking.

The SDGs as a strategy to make political leadership prioritize evaluations to measure results and show accountability. The SDGs can be the starting point for influencing elected officials and government executives to become more accountable to their constituents. The private sector can play a critical role in demanding evidence of impact.

Moving forward, we have learned that beyond M&E we also have to institute reforms in organizational processes in order to implement effective results-based management. These are in the areas of performance management, budgeting, and of course the way we do monitoring and evaluation, and feedback. Policies and processes have to be streamlined and enhanced to be inclusive and gender-responsive.

Given the complexity and interrelatedness of the SDGs, the DSWD will have to strengthen its multi-stakeholder partnerships as part of the needed systemic reforms. Some partnerships are already in place, however most of them have to be reinvigorated to focus on SDGs. People's organizations will have to be empowered to demand more evaluations for accountability in government. What will success look like for our various stakeholders?

And lastly, there is the need to engage elected officials for their role in implementing the 2030 Agenda but also encouraging them to support evaluation as a tool for development and good governance. The international community will have to be engaged as well for continuous technical assistance for building institutional capacity for evaluation. We have to admit that the role evaluations play in national development relies heavily on how we interact and make use of the powers at play within our scope of work. How do we bring our Government closer to the standards of evaluation of the international community while making it relevant to our nation's people?

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16. Swaziland: Sustainable Development Goals Indicator Framework, Data and Evaluation

PHINDILE MASANGO

Economist
Ministry of Economic Planning & Development,
Poverty Reduction, Monitoring and Evaluation Division

SWAZILAND'S PERFORMANCE DURING THE MILLENNIUM DEVELOPMENT GOAL ERA

The adoption of the Millennium Declaration in 2000 by 189 Member States of the United Nations marked a defining moment for global cooperation in the twenty-first century. Briefly, the Declaration set out a single framework on the key challenges facing humanity, outlined a response to the persistent challenges and established concrete measures to address them consciously through international solidarity.

As a member of the international community, the Government of Swaziland signed the Millennium Declaration of 2000. The country embraced the tenets of the Millennium Development Goals (MDGs) as a practical and systematic strategy particularly to fight poverty and related human development challenges.

The obligations embodied in that commitment provided the momentum to drive growth and development in the country. Swaziland took significant strides towards achievement of the MDGs through greater commitment and political will to implement the internationally agreed development programme. With unflinching resolve and determination, the Government introduced a number of measures aimed at safeguarding the lives and livelihoods of the poor and vulnerable groups in the society, namely children, women and the elderly.

Among the measures were the establishment of:

- Grants for orphans and vulnerable children and for the elderly;
- Free primary education;
- Free antenatal care for women;
- Phalala Medical Referral Fund;
- Rural Development Fund.

With these measures in place, the Government of Swaziland was optimistic that it would meet the targets and achieve the MDGs by 2015. The country made significant inroads in the fight against poverty by reducing poverty from its highest level of 69 percent in 2001 to 63

percent in 2010. Although this reduction has taken over a decade to achieve, the quantum reduction of 6 percent is considered comparatively appreciable.

During the era of the MDGs, the country produced five MDG reports, in 2003, 2007, 2010, 2012 and 2015. As a terminal report, the 2015 MDG report showed the biggest and cumulative achievements towards meeting the pre-set targets of the MDGs.

The country remained on track for five of the MDGs, namely:

- Goal 2 (Universal primary education);
- Goal 3 (Gender equality and empower women);
- Goal 6 (Combat HIV/AIDS, malaria and other diseases);
- Goal 7 (Ensure environmental sustainability);
- Goal 8 (Develop global partnerships for development).

However, the country lagged behind for Goal 1 (Eradicate extreme poverty and hunger), Goal 4 (Reduce child mortality) and Goal 5 (Improve maternal health). Progress has however been made towards the achievement of these three lagging Goals. The implementation status of some MDG targets was limited and thus further efforts are required to finish the unfinished MDG agenda. The remaining MDGs were integrated into the Sustainable Development Goal (SDG) agenda.

The implementation of the MDGs was not without challenges as might be expected particularly when seen from the difficulties the country faced including the adverse effects of the global financial and economic meltdown, HIV/AIDS and natural hazards and droughts.

THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT

The SDGs were born at the United Nations Conference on Sustainable Development in Rio de Janeiro in 2012. The objective was to produce a set of universal goals that meet the urgent environmental, political and economic challenges facing our world. The SDGs replace the MDGs, which started a global effort in 2000 to tackle the indignity of poverty. The MDGs established measurable, universally-agreed objectives for tackling extreme poverty and hunger, preventing deadly diseases and expanding primary education to all children, among other development priorities.

The SDGs are a bold commitment to finish what was started, and tackle some of the more pressing challenges facing the world today. All 17 Goals interconnect, meaning success for one affects success for others. Dealing with the threat of climate change impacts how we manage our fragile natural resources, achieving gender equality or better health helps eradicate poverty, and fostering peace and inclusive societies will reduce inequalities and help economies prosper. In short, this is the greatest chance we have to improve life for future generations.

The SDGs affirms other global agreements such the Paris Climate Conference (2015) and the Sendai Framework for Disaster Risk Reduction, signed in Japan in March 2015. These agreements provide common standards and achievable targets to reduce carbon

emissions, manage the risks of climate change and natural disasters and build back better after a crisis.

The SDGs are unique in that they cover issues that affect us all. They reaffirm our international commitment to end poverty, permanently, everywhere. They are ambitious in making sure no one is left behind. More importantly, they involve us all to build a more sustainable, safer, more prosperous planet for all humanity.

LAUNCH OF THE SDGs

The SDGs were launched in Swaziland in June 2016 by the Honourable Minister for Economic Planning and Development in a high-level meeting. To ensure continued national ownership in monitoring the implementation of global targets, the SDG Technical Working Team was established. Its role was to guide the production of SDG country reports. In 2016 the team developed a draft SDG baseline report using global indicators. The team also played a pivotal role in the interpretation of the SDGs.

LOCALIZATION OF SDG INDICATORS

In collaboration with the technical team, SDGs indicators were localized taking cognizance of the country's development. Localizing was assumed to be the process of taking into account subnational contexts of development in the achievement of the 2030 Agenda, from the setting of goals and targets to determining the means of implementation and using indicators to measure and monitor progress.

During the localization process, participants were categorized as follows:

1. Poverty sectors (Goals 1, 2, 10);
2. Social sectors (Goals 3, 4, 5, 16);
3. Environment (Goals 6, 7, 11, 13, 14, 12, 15);
4. Economy sector (8, 9, 17).

The localized SDG indicators were validated in April 2017. The detailed results of the four consecutive workshops on the prioritized SDGs on sectoral bases were consolidated and saved as a localization report.

PRIORITIZATION

In a world with limited resources, there is strong need to prioritize development issues and efforts so that maximum results could be attained in a cost-effective manner considering multiplier effects and means of implementing the Goals. The country prioritized and ranked the SDGs giving due attention and consideration to domestic contextual realities and future potentialities in a consultative process in February 2017. During the prioritization process, stakeholders considered thematic areas of the National Development Strategy, a list of Government priorities and the SDGs, targets and indicators. Participants were divided randomly

into five groups and were asked to rank the first five Goals to be implemented in the medium term. The table below depicts the result of their deliberations.

PRIORITIZED GOAL	CROSS-CUTTING ISSUES	ENABLERS
2. Zero hunger	1. No poverty	10. Reduced inequalities
3. Good health and well-being	5. Gender equality	13. Climate action
4. Quality education	11. Sustainable cities and communities	14. Life below water
6. Clean water and sanitation	12. Responsible consumption and production	15. Life on land
7. Affordable and clean energy		16. Peace justice and strong institutions
8. Decent work and economic growth		17. Partnership for the goals
9. Industry innovation and infrastructure		

The consultation revealed that the SDGs had the potential for overall growth including possibilities for generating better backward- and forward-linkages, diversification of the economic base and domestic supply capacity, export and trade promotion.

As a result, some SDGs were viewed as “enablers” that would create an environment conducive for implementing and achieving other SDGs and thus are given more priority in terms of their relative importance. Others were considered in terms of their cross-cutting connections, cause and effect or spill-over multipliers.

ADVOCACY

Advocacy on the SDGs was focused on two special groups, namely the youth and disabled persons and on development teams. The youth were addressed in August with the aim of getting their views on the new development agenda and how it should be driven going forward as a future driver of economic development. The youth shared how the SDGs would impact their socioeconomic status.

The commemoration of the International Day of the Disabled Persons in December offered a platform to advocate the SDGs to persons living with disabilities. Participants included children from special schools such as the School for the Deaf for both primary and high-school students, School for the Visually Impaired and children with other forms of disabilities. Also present were parents of children living with disabilities and the Federation of Disabled Persons in Swaziland representing adults living with disabilities.

Regional advocacy was undertaken in June 2017 when the SDGs were advocated to the regional development teams and constituency development teams. Each region has a regional development team made up of various sector experts working within that region. These include government and private sector experts coordinated by the Ministry of Tinkhundla Administration. Each region is made up of various constituencies, so the chairpersons

of the various constituencies were met. They perform the role of project manager in the different communities. Since there are four regions in Swaziland, advocacy meetings were scheduled such that each week was dedicated to a region. The purpose of the workshops was to create awareness of the SDG agenda and emphasize the importance of aligning development projects and programmes with the prioritized SDGs.

MONITORING AND EVALUATION

The country has engaged a consultant to develop the automated national monitoring and evaluation system to monitor the indicators of the National Development Strategy, SDGs, African Union Agenda 2063 and Regional Indicative Strategic Development Plan of the Southern African Development Community. The system will be web-based, linking the Ministry of Economic Planning and Development with the different sectors. Economists in the various line ministries will be responsible for updating SDG indicators. The system is envisioned to ensure availability and use of accurate, timely and relevant data to monitor and evaluate the national development programmes and to inform policy decisions.

CONCLUSION

Attending the National Evaluation Capacities Conference 2017 and sharing of country experiences contributed substantially to mapping Swaziland's way towards the SDGs. Going forward, the country would appreciate assistance towards capacity-building on evaluation and impact analysis.

17. Tunisia: Developing a Monitoring and Evaluation System

GHOFRAN AJIMI

Director, General Authority for Monitoring and Evaluation of Public Policies and Programmes, Presidency of the Government

INTRODUCTION

After the adoption of the 2014 Constitution and parliamentary and presidential elections, Tunisia entered a new period in its history, that of participatory democracy. Tunisia is the sole model of its kind in the African and Arab regions. It is undergoing a remarkable evolution in various domains: the political, the economic and the social. A new political system is in place, the society is in metamorphosis and the economy is seeking to find its place. This context requires a migration towards a new method of public administration, a new Administration and even a new conception of public action ever more closely based on performance. The challenge is to regain public confidence in the State and Administration.

The 2014 Constitution strengthened the rule of law and human rights. The current political situation is characterized by political pluralism, active civil society and citizens who are both demanding and vigilant, suggesting real participation in public life. The various public authorities are now accountable to one another and to the citizenry.

Nevertheless, migration towards participatory democracy faces the challenge of finding a balance between the need to democratize the decision-making process and the scarcity of financial resources. This is a situation that is propitious towards the establishment of reforms, such as monitoring and evaluation. Monitoring and evaluation (M&E) enables the Government to improve its outcomes by creating a system to measure and understand its performance. This M&E system is used to measure the quantity, quality and targeting of goods and services—the outputs—that the State provides and also the results and impacts arising from these outputs. This system is also a tool for facilitating understanding of the causes of good and poor performance.⁶⁴

The practice of monitoring and evaluation does not have a long history in Tunisia; it is only in recent years that it has begun to be developed. With Tunisia's signing of the 2030 Agenda for Sustainable Development and the adoption on 25 September 2015 of the 17 Sustainable Development Goals (SDGs), the establishment of M&E is more and more becoming a necessity.

64 Mackay, Keith., 'Comment mettre en place des systèmes S&E pour améliorer les performances du secteur public' (Title of English edition: "How to Build M&E Systems to Support Better Government"), IEG World Bank, 2007, p 3.

Tunisia has a legal and institutional framework that is favourable to M&E, a considerable effort is being made by the General Public Programme Monitoring Body (Instance Générale de Suivi des Programmes Publiques (IGSPP)), but considerable work remains to be done.

A FAVOURABLE LEGAL AND INSTITUTIONAL FRAMEWORK

Analysis of the legal⁶⁵ and institutional frameworks confirms the migration towards new governance in Tunisia.

The legal framework

The Constitution of the Second Republic is the first reference to study. It gives us all the elements necessary for the development of new methods of governance. In its Article 12, it provides that “The State shall act to ensure social justice, sustainable development and balance between the regions, taking account of development indicators and the principle of compensatory inequalities...”. More specifically, in its Article 15 on the administration desired by the citizen, it states: “Public administration *shall be at the service of the citizen and the public good*. Its organization and operation are subject to principles of neutrality, equality and continuity of public service, in accordance with the rules of transparency, integrity, effectiveness and accountability”. Thus, public administration must adhere to the principles quoted, which are the same principles to be respected when establishing a M&E system.

It is also important to mention Government Decree 2017-394 of 29 March 2017, on the creation of a unified framework for the evaluation and management of public investment, through the activation of its monitoring and evaluation.⁶⁶ This decree also laid down “the establishment of criteria and methodologies for the ex-ante and ex-post economic, social and technical evaluation of public projects on the basis of objectively verifiable indicators for development and public investment, in addition to requests to public bodies for economic, social and technical evaluations of public projects”.⁶⁷ While the scope of this text is limited to public projects, it illustrates the public authorities’ awareness of the importance of monitoring and evaluation, an awareness that is confirmed by the institutional framework.

The institutional framework

A general overview confirms that the institutional framework is varied and evolving. Emphasis is placed on the IGSPP, which has been greatly developed since 2015.

A general overview

The current system concentrates monitoring and evaluation functions in the executive and judicial powers, but there is nothing to prevent Parliament from using M&E. With regard to

65 We are limiting ourselves here to the Constitution and a Decree published in 2016. Other texts will be mentioned as appropriate.

66 Article 1 of Decree 2017-394 of 29 March 2017.

67 Article 5 of Decree 2017-394 of 29 March 2017.

the judiciary, the Constitution grants the Court of Auditors an evaluative role, stating in Article 117 that the Court shall evaluate modes of governance. In the Executive, there are many bodies involved in monitoring and evaluation.⁶⁸

The IGSP

The IGSP is currently the only body with the sole specialization of M&E. Its creation went through three stages. In 2012, the Presidency of the Government created a monitoring and inspection unit for the implementation of government programmes.⁶⁹ Just one year later, the need for a body responsible for M&E appeared in Decree 1333 of 12 March 2013, on the creation of the IGSP. However, the actual creation of the IGSP did not take place until September 2015 with the orientation of its role towards the monitoring and evaluation of public policies. It is currently attached to the Office of the Chief of Government.

The IGSP has set itself three strategic objectives:

- Decision-making assistance for the Government: this is the ultimate objective of every evaluation exercise. Specifically, the body aims to support government decision-making on a scientific basis and using rational techniques. The Government needs to convince the various stakeholders and secure their support for implementation of its actions. Participative evaluation enables stakeholders to reach agreement on the difficulties and interests related to decision making.
- The contribution to the institutionalization of evaluation: the body works to strengthen the existing institutional framework. It seeks to support third-party evaluation and not to centralize it within itself; rather, the objective is to help the various central and regional bodies to use M&E as a routine practice. It should be noted that the results of a small diagnostic assessment carried out by IGSP confirmed that the concept of M&E existed in various bodies' organizational structures and texts, but its practice and awareness of its usefulness were limited.⁷⁰
- Improvement of administrative methods: Current administrative methods permit neither the easy establishment of the desired reforms nor achievement of the model of administration provided in Article 15 of the Constitution. At the same time, the use of M&E requires a gradual change in day-to-day management and planning to reconcile it with results-based management. Evaluation missions will make it possible to determine failings in the administration system and will present the necessary recommendations in this regard.

68 Mr. Mahmoud Ghoul gives further detail on the institutional situation in Tunisia in his article: 'le suivi et l'évaluation des politiques et programmes publics en Tunisie: Réalité et perspectives,' published on the Réseau Francophone de l'Evaluation website: <http://portail-rfe.org/node/185>.

69 www.legislation.tn.

70 Such as the ministries of education, higher education, observatories, etc.

These objectives are covered in greater detail in the IGSPS logical framework and communication plan.

The process of an evaluation exercise

As it aims for supported third-party evaluation, the IGSPS has developed the process for the conduct of an evaluation exercise. In testing, this process comprises three main phases:

The evaluation phase: This covers preparation for the evaluation mission and conduct of the evaluation through selection of the policy to evaluate, preparation of the evaluation mission order, which must be issued by the Presidency of the Government, drafting the terms of reference, creation of a Steering Committee, choosing the evaluators and validation of the deliverables. This phase is carried out jointly by the IGSPS and the sectoral structure responsible for the policy to be evaluated. The goal is to introduce bodies to evaluation and participatory work. The IGSPS role, at this level, goes no further than support and advice. It also facilitates coordination between the structural sector responsible for the policy to be evaluated and its partners. It also ensures respect for the principles of evaluation and the use of the participatory approach.

The decision-making phase: Once the evaluation has been completed, what is then needed is to implement the evaluation findings through taking the necessary decisions. The IGSPS role is more important at this level, given its institutional closeness to the decision-making centre. On the basis of the mission order, it feeds the evaluation findings up to the Head of Government. The goal is to use the evaluation as a decision-making tool and not merely to evaluate for the sake of evaluating.

The follow-up stage: Decision-making alone is not sufficient for recommendations to be put into action, especially if there are many stakeholders. For this reason, the IGSPS will ensure that the expected outcomes are secured and will support the ministry responsible for the policy evaluated.

THE EFFORTS OF THE IGSPS⁷¹

During its first two years of operation, the IGSPS made awareness and training actions a high priority. Indeed, the text establishing the IGSPS gave it the role of disseminating the culture of evaluation.

Raising awareness of M&E

As it commenced its activities in 2015, the IGSPS chose the celebration of the International Year of Evaluation as its first awareness-raising activity. More than 100 senior officials from the Government, academia, international organizations and civil society attended and confirmed the need to use evaluation in their structures.

71 IGSPS is not the only organization to be making this effort. Civil society too works a great deal on the design of public policies and has introduced an evaluation component.

In March 2016, the IGSPP organized its first international seminar on public policy evaluation mechanisms and, together with participants, developed a road map for the implementation of M&E. Attendees representing the legislature, the central and regional administrations, academia, international organizations and civil society emphasized the need to build capacity and provide reliable information, as well as the use of management by objectives.

In September 2016, the IGSPP held its second international seminar, focusing more on technical aspects of evaluation and the conduct of evaluation missions.

The IGSPP also attended events held by civil society and other administrative structures. It led a project with the International Academy for Good Governance that enabled it to take part in eight regional seminars to raise the awareness of regional stakeholders, among others, on the importance of follow-up.

Currently, the IGSPP is a member of several major project steering committees to ensure that M&E is taken into account.

These activities are carried out in parallel with training actions.

Training sessions⁷²

After having its staff attend short training sessions on evaluation of public policies, the IGSPP extended training beyond its own officials to those of other administrations through the national evaluation capacity-building programme.

This programme began in September 2016. The idea was to create an initial nucleus of evaluators in the IGSPP and the different administrative bodies. It was composed of six sessions of intensive training (theory course and practical exercises), each session lasting one week. Twenty-five young officials took part in this programme, from the central and regional administrations.

With its partners,⁷³ the IGSPP organized the international training programme in development evaluation, which was attended by 30 people from the Court of Auditors (magistrates), the *Contrôle Général des Services Publics* (public inspectors) and six ministries (managers). Results-based management and results-based budgeting were included in this programme. Thus, participants will have a university certificate from the Canadian National School of Public Administration in managing performance in the public sector.

IGSPP also led two training sessions for parliamentarians in partnership with the Parliamentary Academy.

Learning by doing

Given the importance of technical aspects of evaluation, learning by doing is an essential way of confirming theoretical knowledge. The IGSPP conducted its first evaluation exercises

72 Conducted with the support of the United Nations Development Programme (UNDP) Tunisia.

73 École nationale d'administration publique Canada and UNDP.

in 2017, when It carried out four functional review missions.⁷⁴ Its first order to evaluate a public policy was in the social field.⁷⁵ The mission order issued by the Presidency of the Government required that the evaluation be accompanied by a strategy for the field and an action plan, in order to comply with the process described above.

THE PATH AHEAD

Before addressing future steps, it is important to present current reforms. These have a direct and indirect impact on the implementation of M&E.

Current reforms

These are mainly administrative reforms that will enable the creation as well as the dissemination and use of information. Some of the reforms were designed before 2014 and others form part of the five-year development plan. It should be noted that this plan covers the period 2016-2020.

The reforms in the development plan are primarily focused on:

- The establishment of a mechanism for the monitoring and evaluation of administrative performance;
- Development of the statistical system and dissemination of a culture of statistics;
- Development of a national E-ID (electronic citizen identification) application.

The five-year development plan is composed of five pillars that reflect the spirit of the SDGs. These are a tool for the monitoring and evaluation of the plan.⁷⁶

The reforms designed before the development plan that encourage the use of M&E are the following:

- Budget reform: the organic law of results-based budgeting has already been passed by Parliament; from now on, allocations of appropriations are conditional on the achievement of objectives;
- Interoperability of computer applications: many computer applications are in use but they cannot communicate with one another. This project will reduce transaction costs, accelerate the performance of public services and consequently offer better follow-up;
- The general roll-out of the INJEZ⁷⁷ application, currently managed by the Presidency of the Government. The purpose of this application is to ensure the monitoring and

74 Financed by the European Commission.

75 October 2017.

76 The five axes are: Governance and major reforms; From a low-cost economy to an economic hub; Human development and social inclusion; Realizing the ambitions of the regions; The green economy, driver of sustainable development.

77 "INJEZ" is an Arabic word that means "performance".

evaluation of public projects. It provides for the monitoring of physical and financial performance as described in the project's logical framework.

Further work on M&E in Tunisia

Monitoring and evaluation are not two isolated functions. They are part of an all-encompassing results-oriented cycle for public action, while the Administration is accustomed to managing by resources. Notwithstanding the efforts described above, it remains necessary to insist on the fact that this evolution requires:

- The development of a vision that will enable the State to determine its objectives and its expectations of such a system. It facilitates the coordination of reforms and optimizes their results;
- The performance of a diagnostic M&E assessment that covers every State structure to identify strengths and weaknesses;
- The development of an action plan based on a participatory approach, that the IGSP will be responsible for implementing.

These activities need to be managed at the level of the Presidency of the Government.

In parallel, it is crucial to build national capacity in results-based management, through:

- Establishment of a national strategy for capacity-building, in order to disseminate the culture of public performance to cover central and regional administrations. It is time to involve universities and specialized schools in training on this topic;
- Develop tools that are accessible to different users: procedural manuals and a conceptual framework.

CONCLUSION

Beyond the above, M&E is not the business of the State alone but is rather a joint effort by the State and its technical and financial partners, civil society, international organizations, citizens and the media. It is simultaneously the condition for and the result of the decision-making process. That is why adoption of the SDGs is an opportunity to be seized to support Tunisia in its transition.

18. Turkey: Steps for the Implementation of the SDGs

IZZET ARI

Head of Department of Environment and Sustainable Development
Ministry of Development, Turkey

INTRODUCTION

The concept of sustainable development has a long history in Turkish development policies.⁷⁸ It has been reflected in legislation, policy documents including national development plans, sectoral strategies and action plans. The 2030 Agenda for Sustainable Development with 17 Sustainable Development Goals (SDGs) offers an ambitious framework that urges countries to take action to further sustainable development issues at all levels.⁷⁹ This new global agenda provides a unique opportunity for governments to increase their efforts to realize sustainable development. Turkey closely followed and contributed to the international processes on the SDGs throughout the Open Working Group and intergovernmental negotiations. Turkey is one of the 22 countries that presented voluntary national reviews during the first high-level political forum.⁸⁰ In this forum, Turkey basically focused on the initial steps taken to implement the SDGs.⁸¹

Turkey aims at realizing the SDGs in line with its national policies. In this regard, the Ministry of Development, as the national focal point on sustainable development, develops policies and guides the implementation on this issue. In order to do so, the Ministry initiated a stocktaking analysis on the SDGs in early 2017.⁸² This study identified the existing situation of Turkey as regards the SDGs through an in-depth analysis of past and current policies, programmes and projects as well as legislation in order to further SDG implementation. It is expected that the stocktaking analysis will provide important inputs for national development policies.

78 Ministry of Development, 'Turkey's Sustainable Development Report, Claiming the Future', Ankara, 2012.

79 United Nations, 'Transforming Our World: The 2030 Agenda for Sustainable Development', General Assembly, A/RES/70/1, October 2015. <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

80 United Nations, 'High-level Political Forum 2016: Sustainable Development Knowledge Platform', 2016, <https://sustainabledevelopment.un.org/hlpf/2016>.

81 Ministry of Development, 'Report on Turkey's Initial Steps Towards the Implementation of the 2030 Agenda for Sustainable Development', 2016.

82 SDGs-Turkey, Sürdürülebilir Kalkınma Türkiye, 2017, <http://www.surdurulebilirkalkinma.gov.tr/#top>.

TURKEY'S STEPS FROM MDGs TO SDGs

The SDGs replaced the Millennium Development Goals (MDGs) adopted during the Millennium Summit in 2000. Turkey has made significant progress in achieving the MDGs over the last 15 years, particularly on reducing poverty, increasing the quality of education, addressing inequalities, reducing maternal and infant mortality rates and increasing environmental sustainability and access to basic services (MoD, 2010).⁸³ Between 2010 and 2015, Turkey accelerated its efforts to achieve the MDGs.⁸⁴ Turkey reached the MDG targets in the area of maternal and infant health, registering sharp reductions in infant, under-five and maternal mortality rates with ease by the year 2015. Under MDG 8, Turkey has considerably increased its official development assistance to developing countries.

During the MDG process, the Ministry of Development also was the primary institution that coordinated responsibilities for integrating, monitoring and reporting progress on the MDGs. Turkey demonstrated its full engagement to the global intention made by the world leaders in the Millennium Summit by aligning the MDGs with its national development priorities. Turkey's first MDG report contributed significantly to the country's development policies and provided valuable input for the 9th National Development Plan (NDP). Despite not being able to reach the same level for each Goal, Turkey has advanced in all MDG indicators, particularly in the area of social development. The 2010 MDG report significantly demonstrated Turkey's progress with regard to the achievement of these development goals.⁸⁵

Building upon the MDG experience, Turkey is determined to continue this success in achieving the SDGs with the same pace and path. Given its mandate, the Ministry of Development plays the key role in coordinating the implementation of the SDGs as it did during the MDG process. A task force composed of experts from all sectors was established within the Ministry for integrating the SDGs into all key public policies. Through the guidance of the task force, the SDGs are reflected in policies, programmes and implementation of all public institutions. The success of the task is highly correlated with the active involvement and ownership of all relevant institutions having responsibility to achieve the SDGs. This requires strong and effective cooperation and coordination among all stakeholders.

Turkey is currently in the process of preparing its 11th NDP. As the coordinator of the NDP, the Ministry of Development ensures stakeholder involvement in the process. In line with the principle of "no one is left behind", ad hoc committees are established as part of the preparation process (MoD, 2018).⁸⁶ A wide range of stakeholders participating in these committees evaluate the current situation and recommend policies for the upcoming NDP. These

83 Prime Ministry Undersecretariat of State Planning Organization, 'Millennium Development Goals, Report', Turkey 2010.

84 Ministry of Development, 'Report on Turkey's Initial Steps Towards the Implementation of the 2030 Agenda for Sustainable Development', Ankara, 2016.

85 Prime Ministry Undersecretariat of State Planning Organization, 'Millennium Development Goals, Report', Turkey 2010.

86 Ministry of Development, Ad-Hoc Committees of 11th National Development Plan, 2018, [http://onbirinciplan.gov.tr/oik-ve-calisma-grubu-listeleri](http://onbirinciplan.gov.tr/oik-ve-calisma-grubu-listelери).

committees refer to the SDGs and related national studies for their own policy recommendations. These concrete steps for nationalizing the SDGs will be followed by integration of the SDGs into other sectoral strategies and action plans.

MONITORING AND REPORTING

The MDGs proved the importance of thinking through indicators. Therefore, more importance is given to the follow-up and review process based on indicators during the SDG process. However, the SDGs are more complex and broader to measure. The high-level political forum under the auspices of the United Nations Economic and Social Council provides a mechanism for regular follow-up and review to share countries' progress. Indicators are the most essential elements of this follow-up and review mechanism.

Turkey has a strong statistical infrastructure in terms of producing and disseminating indicators.⁸⁷ The Turkish Statistical Institute (TurkStat) has the central role for monitoring of SDG indicators. Since 2000, Turkey has been using its national sustainable development indicator set, composed of 132 indicators under 10 categories (MoD, 2016). TurkStat has contributed to the whole global process that was started in 2014 for adopting a global sustainable development indicator list. In Turkey, official statistics are produced and issued by TurkStat and related institutions specified in the Official Statistics Programme. Data compilation, evaluation and dissemination responsibilities of the institutions are also defined in that programme. TurkStat, the official body for the coordination of production and publication of official statistics, is authorized to publish and disseminate the official statistics compiled by related institutions. The Official Statistical Programme is prepared every five years in order to define the principles and standards regarding the production and dissemination of official statistics; and to ensure the production of up-to-date, reliable, timely and unbiased statistical data at national or international levels. TurkStat is planning to coordinate the monitoring process by cooperating with other institutions through the Official Statistics Programme, which will be shaped by the Statistical Council. Thematic working groups composed of TurkStat and other data producing institutions are responsible for conducting the Official Statistics Programme. In 2016, existing working groups for the forthcoming Official Statistical Programme 2017-2021 will address the needs for SDG indicator gaps.⁸⁸ Moreover, a new Official Statistical Programme working group which is dedicated to the monitoring of SDGs will be established, in order to operate for a five-year period between 2017 and 2021.

Turkey's first voluntary national review report submitted at the first high-level political forum in 2016 focused mainly on the initial steps taken to implement the SDGs (MoD, 2016). Besides focusing on the policymaking processes and initial steps, the report highlighted the importance of monitoring and indicators. Following the voluntary national review, more

87 Ministry of Development, 'Report on Turkey's Initial Steps Towards the Implementation of the 2030 Agenda for Sustainable Development', Ankara, 2016.

88 TurkStat, Official Statistics Portal, 2017, http://www.resmiistatistik.gov.tr/misc/Official_Statistical_Programme_2017-2021.pdf.

than 15 round-table meetings were organized as part of the stocktaking analysis. One of the key findings of these meetings was that there is a need to enhance Turkey's monitoring and evaluation capacity in terms of implementation of the SDGs.

To conclude, capacity-building and training activities are valuable to deepen knowledge and to learn new tools for monitoring and evaluation of the SDGs. The Istanbul National Evaluation Capacities Conference 2017 with its many productive workshops provided opportunities to the participants to broaden the understanding of monitoring and evaluation processes.

19. Uzbekistan: The Importance of National Evaluation Capacities for the SDGs

ODILJON MAMADALIEV

Deputy Head of Analytical Department
State Statistics Committee, Republic of Uzbekistan

YULDUZ ABDUGANIEVA

Ministry of Economy
Republic of Uzbekistan

INTRODUCTION

By adopting the 2030 Agenda for Sustainable Development, world leaders committed their countries to mobilize efforts to end all forms of poverty, fight inequalities and tackle climate change while ensuring that no one is left behind. This entails the formulation of development pathways of countries until 2030 with a solid framework of indicators and statistical data to monitor progress, inform policy and ensure accountability of all stakeholders. The role of statistics and reliable data in this regard, especially in ensuring that decisions are based on evidence that consider the needs of different population groups for leading a decent life, cannot be underestimated.

Statistical data provision gains the central position in monitoring the efficiency, impact and progress in implementing the Sustainable Development Goals (SDGs) both at national and international levels. Analysis of the current stance and prospects of any country is built on the basis of reliable, complete and comparable data. Commonality in the structure and composition of indicators across countries facilitates clear and proper cross-country national evaluation capacities.

Developing the national evaluation capacity has a broader meaning from an international perspective. All countries “crossed fingers” to achieve the Goals in the 2030 Agenda for Sustainable Development. To succeed in adopting the SDGs and to introduce the elements of the 2030 Agenda, countries should develop national evaluation capacities. Governments must have the ability to set, use and improve evaluation in order to make clear-cut and prudent decisions in development policymaking. Current trends in the introduction of national evaluation policies show that countries face certain barriers in developing evaluation capacities at national level. Qualitative and quantitative evaluations are based primarily on the institutional and structural aspects of data provision. In international practice, statistics authorities engage in consolidated data provision with centralized data collection structures. The reliability, relevance and timeliness of statistical data are seen as a clue or evidence

of appropriate national evaluation capacity. One of the key issues in developing national evaluation capacities is the provision and comparability of data. But the clue is easy to track and tackle. The key reason and core solution is the introduction of a unique methodology for each SDG indicator, which is seen as a purely practical issue by many governments. Another key challenge is in establishing properly functioning statistical mechanisms for data collection and evaluation processes. An appropriately designed evaluation links data to findings and assesses the achievement (or not) of intended outcomes. It also seeks to identify causes of any major differences between intended and actual outcomes.

Uzbekistan is actively taking actions towards implementing the SDGs consistent with its national development strategy. As a key component of the SDG adoption procedure, the Government took measures to ensure the alignment of national development indicators with SDG indicators. Comparisons and systemic analysis revealed differences between the two sets of indicators. Further efforts resulted in the establishment of national SDG indicators, which are a tailored mix of SDG indicators and a group of indicators in national practice which are widely used in national evaluations.

It must be stressed that methodological differences in statistical data are unavoidable. Country-specific aspects sometimes do not allow common aspects and principles in data collection and comparative analysis. However, in view of the three tiers of SDG indicators, it is also important to understand the limitations that governments are facing in developing country-specific indicator frameworks. The purpose of this paper is to share the experience of Uzbekistan in adopting the global SDGs and corresponding indicators in the local context, with an analysis of current limitations in terms of data and statistics and the planned way forward.

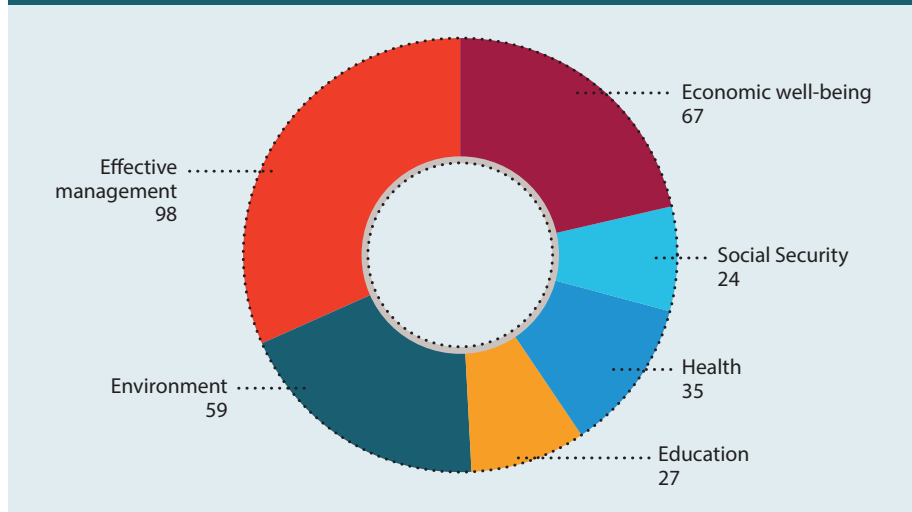
UZBEKISTAN'S APPROACH TO ADAPTING SDG INDICATORS

Following the endorsement of the 2030 Agenda for Sustainable Development by the General Assembly in September 2015, the Government of Uzbekistan elevated the SDG localization agenda to a strategic level through a government resolution issued in February 2016. The resolution has formalized the institutional set-up for the SDG localization process by: (1) setting up a high-level coordination committee, the SDG Steering Committee; (2) establishing six joint thematic working groups; and (3) formalizing an action plan to take forward the SDG localization in the country.

As a result, there are six SDG working groups in the thematic areas of economic well-being, social protection, health, education, environment and governance, comprised of 108 experts from 40 organizations including key ministries and government committees, non-governmental organizations, think tanks and law enforcement structures who were assigned to consult, prioritize and adapt the global SDG framework to the country context.

The government action plan on SDG localization envisaged intensive consultations for each Goal. Thematic working groups engaged with wider stakeholders, including development partners, and conducted thematic research and analysis for baseline setting. This approach was to ensure that the process is evidence-based, well grounded, participatory and inclusive.

FIGURE 1. BREAKDOWN OF PROPOSED NATIONAL SDG INDICATORS BY THEMATIC AREA



The SDGs and Uzbekistan’s new “Strategy on five priority directions of development of the Republic of Uzbekistan in 2017-2021”, launched by President Shavkat Mirziyoyev, possess common features in orientation and objectives. The essence and core aims of the SDGs match the development orientation and proposed pathways to the targets of the new national development strategy. Working groups and coordinating expert group are working to match the national SDGs with the national development strategy, which outlines the key development areas and program of measures to obtain targets.

The most significant step in enhancing national capacity was the launch of a new joint project titled “Support for strategic research for the SDGs” by the Government of Uzbekistan and the United Nations Development Programme in May 2017. The joint project includes components to enhance national capacity in monitoring and assessing progress towards the SDGs. Approaches to the existing issues of enhancement of national capacity from different standpoints were clearly defined and well substantiated in terms of applicability, essence and prudence.

Several rounds of consultations, with the engagement of national think tanks, included mapping of the global SDGs against national priorities, strategies and programmes and in-depth analysis of the relevance of the SDGs and identification of national goals and targets, resulting in the formulation of draft national SDGs comprising 16 goals, 159 targets and 311 indicators. The grouping of indicators by thematic areas is shown in the figure above.

The availability of sufficient methodologies, mechanisms and capacities for collection of high-quality data across all three tiers of indicators is important to ensure the evidence-based setting of targets and regular monitoring of progress towards the SDGs. Preliminary analysis revealed that data on 50 percent, or around 150 of the 311 proposed indicators, are

collected by the State Statistics Committee and other ministries. Considering the relevance of all of SDG indicators, the methodology and practice for collecting and processing data are to be introduced. The data collection and corresponding methodologies for remaining indicators need to be developed further. Therefore, the Government has taken several measures to incorporate these indicators to the statistical workplan for the subsequent collection of relevant data within one government institution. Centralization of data sources for SDG indicators facilitates the collection and use of complete, timely and comparable data to monitor and evaluate national capacities in meeting the targets of the SDGs.

Acknowledging the important role of the State Statistics Committee for data collection and in ensuring access, timeliness and comparability of data at the global level, a Presidential Decree on “Measures to improve the activities of the State Statistics Committee of the Republic of Uzbekistan” has been issued. Under this decree, statistical data provided by government authorities will be compiled by the State Statistics Committee and will be released for public disclosure. Following the decree, a separate department on the national SDGs was established in the State Statistics Committee. The department is tasked to collect, consolidate and publish data related to the national SDGs and to coordinate in this process with other ministries.

THE WAY FORWARD

In line with taken measures and achieved results, further actions will be taken for the full-fledged adoption of SDG indicators and national evaluation capacity practices. As a key data provider for SDG indicators, the State Statistics Committee has identified the following further actions:

- Government authorities collect, monitor and analyse data related to their jurisdictions for control and decision-making purposes. Strong linkages in inter-agency data exchange are crucial for collecting data for all important indicators. Therefore, conducting additional consultations with ministries and government agencies on the availability of data for the remaining unavailable indicators paves the way for a full-fledged set of SDG indicators.
- Coordinated approach to collecting data on the SDG indicators enables monitoring of progress towards the SDGs. Mechanisms for coordination of data collection for the indicators for the national SDGs should be developed.
- Cooperation with international organizations on the development of methodologies and tools for collecting data for Tier III indicators of the national SDGs and their incorporation to the national statistics system.
- Establishment of an online database to track progress towards the achievement of national SDGs, which enables remote access and permanent availability for all stakeholders.

20. Zambia: The SDGs and Developing National Evaluation Capacities

JOHN T. NJOVU

Independent consultant, former Chairperson
Zambia Evaluation Association

BACKGROUND

A brief introduction to Zambia

Zambia is a landlocked country in Southern Africa. It has borders with the United Republic of Tanzania and Democratic Republic of the Congo (formerly Zaire) to the north, Malawi and Mozambique to the east, Zimbabwe, Botswana and Namibia to the south and Angola to the west. It measures 752,618 square kilometres. The latest statistics show that Zambia has 15.9 million people (2016),⁸⁹ a gross domestic product (GDP) of US\$19.55 billion (0.03 percent of the global economy) (2016),⁹⁰ GDP growth of 2.9 percent (2015)⁹¹ and an inflation rate of 8.8 percent in November 2016.⁹² It is rich in minerals, especially copper. It is classified as a lower middle-income country. Zambia became independent from the United Kingdom on 24 October 1964.

Zambia's focus on the SDGs

The 17 Sustainable Development Goals (SDGs) of the 2030 Agenda for Sustainable Development were adopted by world leaders in September 2015 and came into force on 1 January 2016. Members of the United Nations are to mobilize efforts to end all forms of poverty, fight inequalities and tackle climate change, while ensuring that no one is left behind. The SDGs are not legally binding but governments are expected to take ownership and establish national frameworks for the achievement of the 17 Goals. In Zambia, the Ministry of National Development Planning (MNDP) has been spearheading the process of implementing the SDGs by focusing on indicators that are related to priority areas of development for the country. Zambia's developmental priority is to reduce the high poverty among its citizens; especially among its youth. According to 2015 data,⁹³ 54 percent of the population live below the poverty line and in rural areas, 76.6 percent of the population live in poverty. The three main

89 Ministry of National Development Planning, 2017, p.20.

90 <https://tradingeconomics.com/zambia/gdp>.

91 Ministry of National Development Planning, 2017, p.18.

92 Ministry of National Development Planning, 2017, p.19.

93 Ministry of National Development Planning, 2017, p.20.

pillars of the SDGs are also covered by the country's long-term development framework, the Vision 2030 of Zambia.

Post Paris Declaration Development of National Evaluation Capacity

Attaining the Millennium Development Goals (MDGs) and the implementation of the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008) were priorities for Zambia. However, though much had been done in Zambia before and after the Paris Declaration to implement some of its principles, there have been a number of challenges. Modalities for implementing the Paris Declaration principles in Zambia seem not to have been clearly formulated. The Sector Advisory Groups formed based on the Paris Declaration did not perform as expected.⁹⁴ These groups are now being replaced by Cluster Advisory Groups in line with the integrated approach of the 7th National Development Plan (7NDP). Zambia's lessons of implementing the Paris Declaration and MDGs should be used to enhance the effectiveness of implementing and monitoring the SDGs. It is important that the majority of Zambians should own the process of implementing and evaluating the SDGs, and that challenges related to national evaluation capacities are overcome.

Partners in developing National Evaluation Capacity

The MNDP is coordinating the domestication of the SDGs, working with many national stakeholders including professional associations like the Zambia Monitoring and Evaluation Association (ZaMEA) and Economic Association of Zambia.

The MNDP is also being assisted by United Nations agencies such as the United Nations Development Programme (UNDP), United Nations Children's Fund (UNICEF) and United Nations Population Fund (UNFPA). The Government seeks the assistance of cooperating partners to cover mostly priority programmes for Zambia. These are programmes within established bilateral agreements and partners' specialization. A number of charitable organizations such as the Bill & Melinda Gates Foundation are also interested in assisting Zambia to develop its national evaluation capacity.

Context for strengthening of partnerships between the Government and ZaMEA

Apart from the desire to successfully implement the SDGs, the partnership between the Zambian Government and ZaMEA is being driven by the rising demand by Zambian citizens and other stakeholders for enhanced service delivery and an integrated results management approach to development in Zambia. The new 7NDP takes these demands into consideration as well as the vision of Zambia's long-term development framework (Vision 2030) of becoming a "prosperous middle-income country by 2030",⁹⁵ as well as the SDGs, the African Union Agenda 2063 and other national and international plans, programmes and agreements.

94 Ministry of Finance and National Planning, 2011.

95 Ministry of National Development Planning, 2017, p. i.

Major factors in national evaluation capacity development

there are several factors influencing the development of national evaluation capacities, as follows.

Leadership for national evaluation capacity development: In Zambia, the state President, his Excellence Edgar Chagwa Lungu, and Vice President, the Honourable Mrs. Inonge Wina, are champions of monitoring and evaluation (M&E). The State Cabinet is in charge of implementing all government programmes and plans. It is answerable to the national Parliament. The coordination of the process is being carried out by MNDP.

Good theory of change: The achievement of the SDGs requires a good theory of change. The MNDP, with cooperating partners, is developing a theory of change for Zambia's national evaluation capacity development. The 7NDP itself is premised on theories of change.⁸

Integrated approach: Many of the developmental issues that the ministries deal with are cross-cutting and need to be dealt with in cooperation with various ministries and public agencies. Therefore, the integrated approach is reflected in the new 7NDP.

Speed of evaluation and reporting: It is a waste of time, funds and other resources to produce evaluation reports that are not timely and do not help decision makers to be effective in making decisions and management.

In developing national capacities for evaluation, there is also a need to consider national and international complexities and national specificities; the interests of all stakeholders; the need to enhance the competencies of evaluators, e.g., for SDG implementation and policy evaluations; cooperation between nations in achieving the SDGs and developing evaluation capacities; and continued support by development agencies and cooperating partners to support nations to develop national evaluation capacities.

PARTNERSHIP BETWEEN THE GOVERNMENT AND ZaMEA FOR INSTITUTIONAL CAPACITY ENHANCEMENT

The Government of Zambia has engaged development partners to provide institutional capacity-building and financial resources to ZaMEA. In 2015, the Government arranged for joint participation with ZaMEA in a regional conference on evaluation hosted by the South African Monitoring and Evaluation Association, and the Government collaborated with ZaMEA to commemorate the International Year of Evaluation (2015). In 2017, ZaMEA participated in the review of the draft M&E policy, which is now (2017) under consideration for adoption by the Cabinet. The Government collaborated with the African Development Bank (AfDB) to engage with ZaMEA as a community of practice to promote the principle of managing for development results in Zambia. With support from AfDB, ZaMEA conducted training for senior government officials and other stakeholders in managing for development results. ZaMEA also supported the Cabinet Office's Reforms Coordination Division in capacity enhancement and coaching in effective monitoring of reform areas. The Government also partnered with ZaMEA to develop an Evaluation Advocacy Strategy.

ZaMEA also collaborated with the Government to convene a Research and Evaluation Coordination Forum in October 2017, the aims of which were to conduct independent

evaluations and research relevant to national development plans and the SDGs, and to coordinate stakeholders in order to develop the evaluation agenda for the national development plan and the SDGs.

South-South partnerships have also been pursued, through which the MNDP cooperates with its South African counterpart, while ZaMEA cooperates with other voluntary organizations of professional evaluators and other development institutions across Africa through the African Evaluation Association (AfrEA) and directly.

ADDITIONAL EFFORTS TO ENHANCE NATIONAL M&E CAPACITY

The MNDP has embarked on an exercise of ensuring that M&E courses taught in Zambia reflect the SDGs. A regional institution, Centres for Learning and Results-Anglophone Africa, was contracted to develop an evaluation training curriculum in 2017. The new curriculum is to be implemented in 2018. ZaMEA is to take leadership in the promotion of the new evaluation course's curriculum, which has been designed to strengthen identified evaluation capacity gaps among stakeholders and leverage capacity enhancement for SDG evaluation.

There are also plans by the University of Zambia to introduce a postgraduate diploma in M&E methods, a Master's degree in M&E methods and a doctoral degree (Ph.D.) in evaluation studies (Moyo, 2016).

CHALLENGES IN DEVELOPING NATIONAL EVALUATION CAPACITY FOR SDG EVALUATIONS

Lack of interest and involvement of most citizens in M&E

Despite the above-mentioned efforts, there is not much interest and involvement of most citizens in M&E. Only one non-governmental organization in Zambia seems to be engaged in tracking national budgets and scoring the performance of civic leaders. This is the Society for Poverty Reduction. This should be of concern to the Government as in a democratic system, citizens should be able to participate actively in the formulation of public policies and government programmes and plans. They should also participate in their evaluation. The main challenge that many citizens face in participating in public business is that of language and literacy (reading and writing). The official language in Zambia is English but it is just one of the 73 languages spoken in the country. The majority of citizens speak only their native languages. Some English speakers do not even know how to read or write.

Externally driven M&E initiatives

After Zambia's return to multi-party politics in 1991, much of the formulations of socioeconomic programmes were externally driven. The political system had changed from a socialist to a Western-oriented one. Though the Government has been showing interest in fostering an evaluation culture, it has not been developing a national evaluation system "made in Africa". There is a need for the Government to drive national evaluation capacity development and indigenize M&E in Zambia.

The economic downturn in some countries of cooperating partners, the pull-out from the country of some development agencies and the closure of many of the programmes that depended on such agencies have shown the adverse effects of reliance on external assistance. Also, the terms of reference for most major M&E assignments tend to favour external and a few local consultants since Zambia has still to develop the evaluation profession. Most consultants lack the decades of experience and required financial liquidity status to meet the terms of reference. Partnerships between local and foreign consultants have been one way of solving the capacity challenge. The external firms or consultants will choose to work mainly with experienced locals. However, some of the partnerships end up with teams being supervised by young and less experienced expatriates while assisted by very experienced locals. These locals are usually well-known consultants from universities, academic research institutions and think tanks. Therefore, emerging young and inexperienced local professional do not tend to have many opportunities to build their evaluation skills. Evaluation assignments are not daily occurrences and there is high youth unemployment. Therefore, such practices do not help in reducing unemployment in the country and developing national evaluation capacities.

Even the payments to local independent consultants, where they are lucky to win a contract, tend to be lower. Some of the external commissioners of evaluation assignments tend to drastically lower consultancy fees offered to locals. They tend to offer a small subsistence-level fraction of international rates while still demanding the same high standards of outputs and commitment. The local evaluators having full-time jobs taking part in such assignments think of them as supplementing their incomes and will not vigorously negotiate for better pay with commissioners. Thus, they perpetuate the vicious exploitation of labour in the country. Therefore, local evaluators need the help of the global community of evaluators in order to overcome some of the above challenges.

Lack of financial and technical capacity

Zambia like many developing nations has constraints of local resources to develop the institutional capacity to evaluate the SDGs. Academic institutions have yet to reflect the SDGs and their evaluations in their training courses. Some of Zambia's global traditional development partners are facing economic and social challenges that have adversely affected their assistance to Zambia. They also lack resources and SDG expertise. Therefore, developing the required national capacity is a priority for the Zambian Government.

Other challenges

The management for results approach is not yet linked to the national budget and financial disbursement. Though the MNDP is in charge of national development planning, it is not in charge of the financial management for the public sector; the Ministry of Finance is.

Zambia has still to coordinate academia and think tanks in national research. The integrated management and development advocated in the 7NDP to foster ease of implementing the SDGs has still to be applied.

ZaMEA is a voluntary association and lacks institutional capacity and especially a spirit of volunteering and commitment among its members and leaders.

The African Community of Practice in Zambia is headed by a middle-management official at MNDP without much budgetary and policy influence.

CONCLUSION

Zambia has made much progress in developing national capacities to evaluate the SDGs. The MNDP is tracking the links between the 7NDP and the SDGs. Zambia's lessons from the implementation of developing national evaluation capacities during the MDG era and post Paris Declaration could be used for effective development of national capacities to evaluate the SDGs. Ownership by most Zambians of the process of indigenizing national evaluation capacities to evaluate the implementation of the SDGs is important.

The Government's partnership with all stakeholders is a major factor in national evaluation capacity development. It needs to enhance the participation of all citizens in M&E processes. This can be done by the Government through communicating in major indigenous languages apart from English. Apart from professional evaluation associations, there are many community based-organizations that can be used for national M&E. More needs to be done to understand indigenous methods of evaluation and incorporate them in mainstream evaluation methodologies. This would enable more people to participate in governance.

Further South-South cooperation is also required. Sharing of lessons between associations such as AfrEA and the Latin-American and Caribbean Monitoring, Evaluation and Systematization Network is being encouraged by EvalIndigenous.

Zambia's Government should further enhance cooperation with academia, civil society (ZaMEA), development agencies and the private sector in developing national evaluation capacities. Due to fundamental constraints of resources faced by Zambia in national development, Zambia will still depend on the assistance of cooperating partners like UNDP, UNICEF and UNFPA to help fill the gap areas where there is no local capacity.

Priorities for Zambia's national development are being identified. Each nation has its complexities and constraints and should be allowed to have its own priorities for SDG implementation.

There is need to scale up the uptake of evaluation evidence by decision makers. AfDB supports parliamentarians in other countries to develop a culture of evaluation. It has formed the African Network of Parliamentarians. Hopefully, it would help parliamentarians in Zambia to develop a culture of evaluation.

The Government has already established an M&E unit in the Parliament. Although still in its infancy, it is greatly assisting Members of Parliament to source the data required for major decisions. There is high demand for its services. Technical and financial support are required for the unit to make it more effective.

ZaMEA and the M&E Division at the MNDP are also new. The Government recognizes their enormous potential for meeting actual, potential and latent demand for M&E in Zambia from various stakeholders. It also recognizes the institutional challenges face in meeting the demand. All stakeholders require institutional capacity-enhancing support to overcome their challenges.

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21. Zimbabwe: Building the Foundations for Sustainable National Evaluation Capacities in the SDG Era

IRENE MOLLY DOROH

Director for Implementation, Monitoring and Evaluation
Office of the President and Cabinet

INTRODUCTION

The adoption of the Sustainable Development Goals (SDGs) in 2015 is clear testimony that the world shares a common vision for the planet, that of sustainable development. The pursuit for improvement in the quality of life has remained a global priority and indeed a national priority for Member States and more evident now than before, as Member States take bold steps to focus on implementation of the SDGs and move away from commitments. The implementation of the 2030 Agenda for Sustainable Development comes with a follow-up and review mechanism to ensure that the SDGs are systematically monitored and evaluated to ensure “no one is left behind”. Country-led evaluations and strengthened national evaluation capacities therefore become the pillars on which the progress of the SDGs will be premised moving into the future. Mahatma Gandhi puts it well by indicating that the future depends on what you do in the present.

This therefore calls for need to increase the momentum of the global commitment that “no one is left behind” in the quest to end poverty, hunger, protect the planet as well as fulfilling the aspirations of SDG 16 of ensuring peace, justice and strong institutions for all. The role of evaluation becomes key in contributing to improving development policies, considering whether to continue or discontinue a project or programme and accounting for public expenditure and development results to stakeholders and tax payers. Hence the declaration and endorsement of the year 2015 by the United Nations as the International Year of Evaluation which advocates for stronger evaluation functions and enhanced national evaluation capacities in the post-2015 development agenda came at an opportune time.

BACKGROUND

Then United Nations Secretary-General Ban Ki-moon noted that implementation of the post-2015 development agenda will require renewed efforts by all Governments to strengthen public institutions by enhancing their responsiveness and accountability in order to meet the growing demand for service delivery. This means that Governments should be ready to innovate and develop effective, accountable, participatory and transparent institutions at all

levels to ensure efficient and effective use of public resources for the services and benefits of all citizens.

As highlighted above, governments should therefore take a deliberate stance to put in place all-inclusive evaluation systems linked to integrated results-based management principles with clearly stated organizational design, vision for how and when evaluations will be undertaken and the stakeholders who will be involved. The intensifying public demand for greater accountability and transparency as well as production of tangible results by governments are growing in the rapidly changing global development environment. Governments, especially in Africa, find themselves responding in diverse ways to establish systems of evaluation that respond to growing demand for good governance. The need to undertake evaluations and strengthen national evaluation capacities becomes more apparent, more so in the era of the SDGs and the African Union Agenda 2063 and other regional economic obligations. Impediments such as lack of a systematic approach to creating, using and retaining capacity which encompasses individual, institutional and an enabling policy, legal and regulatory environment could derail the implementation of these agendas and other national obligations. To this end, most African countries are engaged in deep reforms, as part of their overall management process towards transformation of their economies through the domestication of the SDGs and Agenda 2063 among other commitments.

COUNTRY FRAMEWORK FOR SDG IMPLEMENTATION: IMPLICATIONS FOR NATIONAL EVALUATION CAPACITIES

In order to bring out the priorities that I find relevant in Zimbabwe in terms of developing national evaluation capacities to support the SDGs, this paper will focus on Zimbabwe's position on the SDGs in terms of the implementation modalities, institutional framework, progress to date and lessons learned and then highlight the gaps that need to be filled going forward.

The Government of Zimbabwe adopted an integrated results-based management system in 2009 with all its components including results-based monitoring and evaluation and rolled it out across the Government to guide implementation of policies, development programmes and projects. In 2013, the Zimbabwe Agenda for Sustainable Socio-Economic Transformation (2013-2018) (Zim-ASSET) came on board as the national's economic development blueprint to stabilize and accelerate economic growth. A midterm review of the medium-term plan has since been undertaken and to complete its lifespan it will further be informed by the SDGs adopted in 2015.

Furthermore, in 2015 the country developed the National Monitoring and Evaluation Policy, also highly anchored on integrated results-based management. The policy is an integral instrument in developing the monitoring and evaluation system in the country. It provides a clear framework to support the institutionalization of monitoring and evaluation in the Government, thus ensuring a systematic, coordinated, simplified, results-oriented, reliable and effective mechanism. This flows from the dictates of the Zimbabwe Constitution adopted in 2013 which provides for the adoption and implementation of policies and legislation that ensure efficiency, competence, accountability, transparency, personal integrity and financial probity in all institutions and agencies of Government at every level and

in every public institution. In further strengthening the monitoring and evaluation system in the country, the Government is developing National Monitoring and Evaluation Guidelines which are gender-responsive, with support from UN Women. There is consensus that gender-responsive evaluations are central to the Government's policy formulation, planning, programming and resource allocation and enable achievement of national priorities and the ambitious targets of the SDGs. The need for disaggregated data is also key for targeted policies in this regard. To this end, the Government continues to provide a platform for coordination of development cooperation through implementation of the four effectiveness principles of country ownership, results, inclusiveness and transparency and accountability.

The SDGs are being implemented within the context of an economic recovery following the El Niño-induced drought of 2015/2016 which left over 4 million people food-insecure, 51 percent of whom are women. The rate of growth of the gross domestic product declined from 1.1 percent in 2015 to an estimated 0.6 percent in 2016. The projections have since been revised upwards to 3.8 percent in 2017 due to the good performance registered in the 2016/2017 agricultural season, and improvements in the mining, construction, manufacturing and financial sectors.

The post-2015 development plan is therefore being implemented within our development plan, Zim-ASSET, and its architecture of four core clusters, namely food security and nutrition, social services and poverty eradication, infrastructure and utilities, and value addition and beneficiation, plus three enabling clusters that include the fiscal and monetary reform measures, aid coordination and public administration, and governance and performance management. All SDGs have been integrated into these clusters for ease of implementation and ensuring synergies between the SDGs and the country's development plan as depicted in Table 1 below.

For reporting and ease of data collection and consistency in reporting, 2015 was adopted as the base year in the implementation of the SDGs. Given the breadth of the 2030 Agenda which now incorporates the three pillars of sustainable development, that is economic, social and environmental, and given the magnitude of the resources both human and financial that are required to implement the programmes, a multi-stakeholder approach

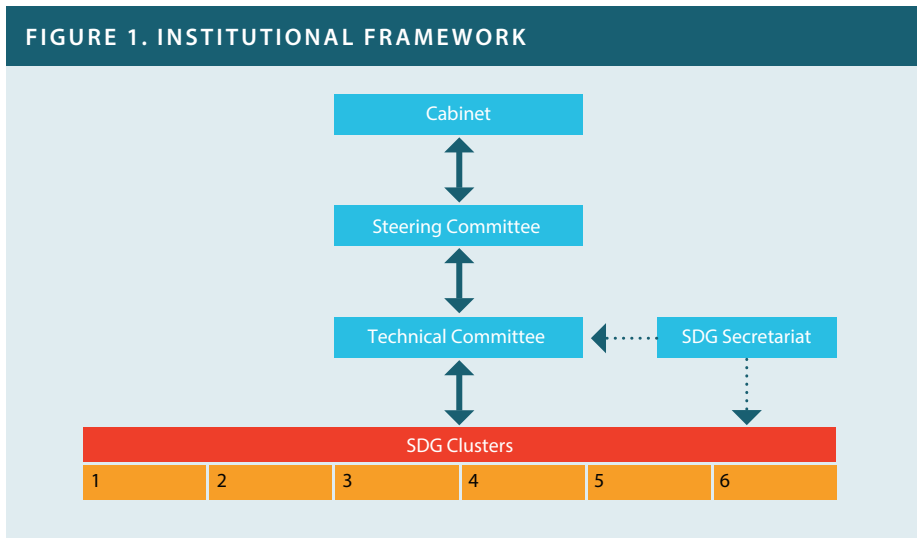
TABLE 1. ALLOCATION OF THE SDGs INTO EXISTING CLUSTERS

CLUSTERS	RELEVANT SDGs
Food security and nutrition	1,2,3,6,12,13,14 and 15
Infrastructure and utilities	3,7 and 9
Value addition and beneficiation	9 and 10
Social services and poverty eradication	3,4,5 and 6
Public administration, governance and performance management	8,19,11 and 16
Fiscal and monetary reform measures/aid coordination	8,10 and 17

has been adopted to augment government efforts. As stated in the post-2015 development agenda, governments alone especially in the developing world will not be able to implement the 2030 Agenda on their own. Therefore, key partners will also be involved in the financing, implementation, monitoring and evaluation of the SDGs. These stakeholders include the Government (national and subnational structures); parliamentarians, chiefs, parastatal organizations, the private sector (both domestic and foreign); civil society organizations; development partners; youth organizations; women’s organizations; local authorities; faith-based organizations; and organizations representing persons living with disabilities, the elderly, academia and the general citizenry.

The Government of Zimbabwe has put in place a clear and robust institutional framework to guide the implementation of the SDGs consisting of a Steering Committee, Technical Committee and SDG Clusters as illustrated in Figure 1.

- At the apex is the Cabinet, which is the supreme policymaking body in the country responsible for considering policy issues pertaining to the SDGs in the country as well as reports from the Steering Committee including the SDG annual country report before its submission to the United Nations.
- Below the Cabinet is a Steering Committee which comprises Permanent Secretaries, cluster chairs and co-chairs, heads of United Nations task force agencies, the private sector, parastatal organizations and donors and is chaired by the Chief Secretary to the President and Cabinet or his designate. This committee meets twice per year to consider reports from the Technical Committee and give policy guidance in the implementation of the SDGs in the country. It is also responsible for preparing reports to Cabinet.
- The Technical Committee is made up of the cluster chairs and co-chairs, SDG focal persons and representatives of all key stakeholders in the cluster; it is chaired by the



Secretary for Macro-Economic Planning and Investment Promotion. This committee is seized with receiving the quarterly reports of the clusters and in turn prepare reports for submission to the next committee in the hierarchy. This committee also directs and works closely with the Secretariat to ensure that the events and activities necessary for the smooth implementation of the 2030 Agenda are undertaken.

- The SDG Clusters are working groups consisting of all institutions responsible for the implementation of policies, projects and programmes key in the attainment of the SDGs, targets and indicators. Included in the SDG Clusters are SDG ministry focal persons. The clusters are made up of the representatives of all above-mentioned stakeholders who have interest in the topical issue/s dealt with by that group or cluster.
- The Secretariat, constituting the Office of the President and Cabinet, Ministry of Macro- Economic Planning and Investment Promotion, United Nations Development Programme and Zimbabwe Statistical Agency, is responsible for organizing and coordinating key SDG activities and production of the necessary documentation.

The main sources of financing the sustainable development agenda include inter alia domestic resource mobilization, domestic and international private business, official development assistance, debt and debt sustainability and global partnerships.

The Government of Zimbabwe decided that it would implement all 17 SDGs as they are deemed important to the country. However, in terms of emphasis and guided by the country's vision, the need to concentrate on enabling Goals, resource availability and the unfinished business of the Millennium Development Goals, the Government decided that its focus would be on the following 10 Goals: SDG 8, SDG 7, SDG 2, SDG 9, SDG 6, SDG 13, SDG 17, SDG 3, SDG 4 and SDG 5. The rationale for the focus SDGs is given in Table 2.

TABLE 2. PRIORITIZATION OF THE SDGs

SUSTAINABLE DEVELOPMENT GOAL	RATIONALE
Goal 8: Economic growth	Sustained and inclusive economic growth is necessary if we are to create wealth which can be channeled to the social sectors, create economic opportunities for citizens to go into business or to become gainfully employed.
Goal 7: Energy	Energy is critical for all sectors of the economy to be fully functional and productive.
Goal 2: Agriculture, food security and nutrition	Sustainable agriculture is the bedrock of our economy [agro-based economy] and the bulk of our population derive their livelihood from this sector. Also critical are the attendant food security and nutrition aspects. Agriculture is the mainstay of the economy as espoused in Zim-ASSET.
Goal 9: Infrastructure	Resilient infrastructure, industrialization and innovation are key in promoting sustainable economic growth. Zim-ASSET and the Ten Point Plan emphasize the importance of infrastructure.

(Continued)

(Continued)

TABLE 2. PRIORITIZATION OF THE SDGs

SUSTAINABLE DEVELOPMENT GOAL	RATIONALE
Goal 6: Water and sanitation	The availability and sustainable management of water and sanitation are key in supporting all sectors of the economy. These are key enablers in Zim-ASSET and the Ten Point Plan.
Goal 17: Partnerships	Means of implementation and revitalized partnerships are key in the implementation of the 2030 Agenda since there is outright acknowledgement that domestically mobilized resources will not be enough to finance the Agenda. Financing will require much more players than Government alone. The country needs both foreign and domestic investment for it to grow. Private sector participation is critical in the Ten Point Plan.
Goal 3: Health	For the economy to grow it will require healthy people. The relationship between a healthy nation and economic growth is pivotal. Health is key in improving labour productivity and hence economic growth.
Goal 4: Education	Quality education is key in imparting the necessary skills required in all sectors of the economy and enhancing labour productivity.
Goal 13: Combating climate change	The economy, including the anchor sector of agriculture, depends on the environment. There is therefore an urgent need to combat climate change and its negative impact on the environment.
Goal 5: Gender and women's empowerment	The achievement of full human potential and sustainable development is not possible if one half of humanity continues to be denied its full potential of sustainable development. Economic empowerment of women and girls is therefore imperative for them to participate in all sectors of the economy.

Focus on the above-mentioned Goals will trigger activity in the remaining seven, leading to the ultimate goal of eliminating poverty in all its forms everywhere. The implementation of policies, projects and programmes on all SDGs continues in collaboration with development partners and the private sector. Progress to date in terms of implementation of the SDGs includes continued government participation in several local, regional and international seminars on the SDGs; the indicator framework has been finalized; the Government produced a report on the voluntary national review which was presented at the high-level political forum held at the United Nations in New York in July 2017; SDG focal persons in all line ministries are coordinating issues at the ministerial level; and engagement with the Parliament is ongoing.

LESSONS LEARNED

As the country increases momentum in the implementation of the SDGs, there have been key lessons as follows:

- Prioritization is key as it enables achievement of greater development outcomes;
- Integration and alignment are essential to effective implementation of the SDGs hence mainstreaming of the SDGs into development plans and budgets ensures implementation;

- Parliament has a pivotal role to play in terms of domestication and ownership of the SDGs;
- Strong partnerships are essential to progress on the SDGs;
- Targeted interventions can pay huge dividends; for instance, the Government's special maize production for import substitution programme has strengthened resilience to economic and climate-induced shocks.

Building on the lessons learned and following the lessons drawn from the experiences of other countries in terms of SDG implementation shared in the 2017 voluntary national reviews, the country will focus on embracing the SDGs in the national budgeting formulation process; enhancing private sector involvement to bridge the huge financing gap that exists; strengthen multi-stakeholder participation in all processes at all levels, urgently addressing structural barriers to gender equality and the empowerment of women and girls to enhance their participation in the economic development process; and recognition of children, adolescents and the youth as important agents of change, underlining the necessity of investing in them with a view to addressing multidimensional deprivations, reducing poverty, harnessing the demographic dividend and empowering them to build a more prosperous future.

The defining parameter for the successful of implementation of the 2030 Agenda, African Union Agenda 2063 and all other development programmes is capacity development, both individual and institutional. Priority areas for national evaluation capacities could entail the following:

- Statistical capacity: capacitation of the National Statistical Agency to effectively address the data requirements of the 2030 Agenda. Because data gaps are evident in the system to monitor progress of the SDGs, developing capacities to collect, analyse and disseminate high-quality and reliable timely data, disaggregated by sex, ethnicity, disability, region and other relevant variables is needed, together with the development of SMART indicators;
- Evidence-based policymaking;
- Peer review support;
- New technologies to deal with emerging data;
- Integrated systems tools.

Evaluation has the capacity to go beyond compliance into engagement in performance assessment, learning, strengthening of accountability mechanisms as well as feeding into policymaking and decision-making. Therefore, to ensure that evaluation enhances progress towards the SDGs and responds to the 2030 Agenda for Sustainable Development the following are important:

- Document and share information on good practices relating to the evaluation of the SDGs across countries;
- Strengthen the knowledge base on what works and assist in disseminating good practices and lessons from evaluations;

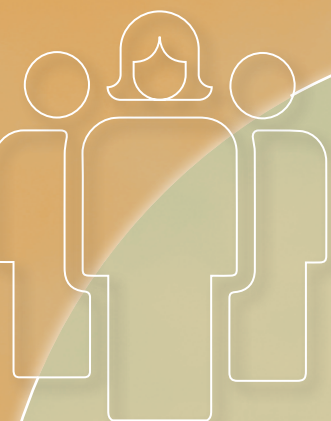
- Embrace new technologies such as remote sensing and satellite data systems;
- Integrate new methodologies, practices and sources of data into evaluations relating to the SDGs;
- Promote effective evaluation practices as an important way to improve evidence-based or participatory processes;
- Encourage governments to further strengthen national evaluation systems and policies in support of SDG implementation and review;
- Work with partners on data generation and evaluation methods relevant to the SDGs.

CONCLUSION

The next steps for governments to take in the implementation of the 2030 Agenda is to optimize the value of contributions by development partners to national capacity development through enhanced common results management and reporting frameworks as well as coordinated support to the overall development mantra. There is also need to continue joint efforts with partners and such investments and efforts should have a long-lasting impact on eradicating poverty and reducing inequality, on sustainable development, on promoting inclusive growth and on enhancing national capacities, aligned with national priorities and policies.

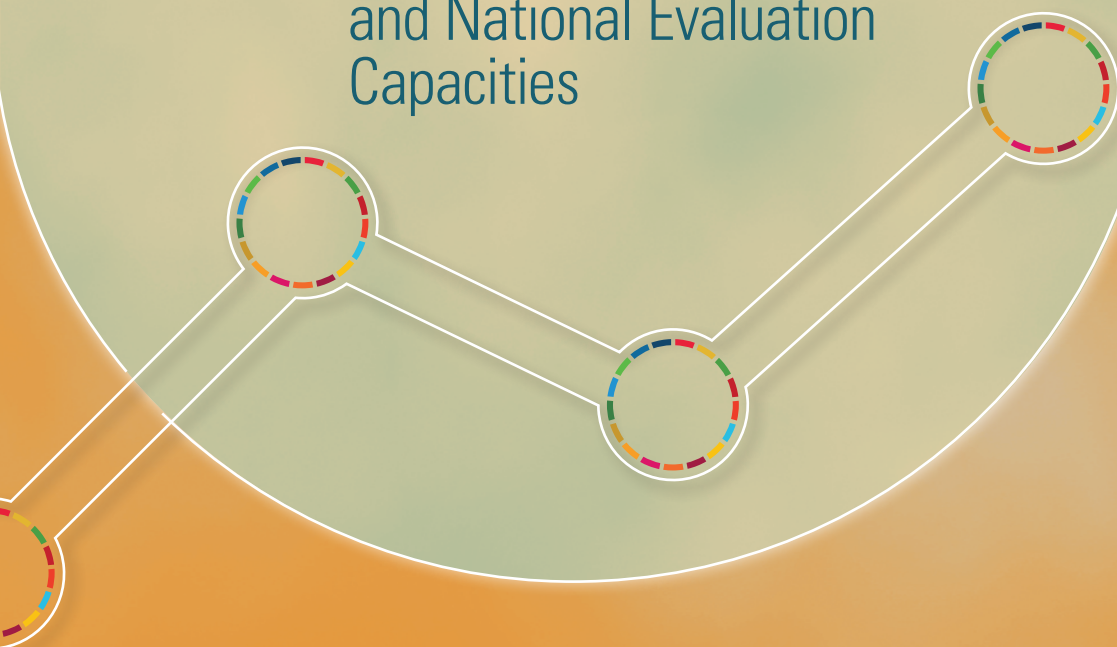
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PART 3

The Implications of the
SDGs for Evaluation
and National Evaluation
Capacities



1. Overview

The first strand of the Istanbul National Evaluation Capacities Conference 2017 looked at evaluation and the Sustainable Development Goals (SDGs) from the perspective of national evaluation frameworks and systems. The second strand, the focus of this section, examined the 2030 Agenda for Sustainable Development and its implications for evaluation practice and in turn for national evaluation capacities.

Leaving no one behind is at the heart of the 2030 Agenda, and the first set of papers in this section discuss experiences and lessons in integrating gender perspectives in evaluation, the importance of examining spatial inequalities and regions that may be “left behind”, and how civil society participation in SDG implementation can help to ensure that no one is left behind. One important message from this set of papers is that for the evaluation practice to better fulfil its role in supporting the achievement of more equitable development through the SDGs, national evaluation capacities need to better recognize and integrate the principle of “no one left behind” by learning from the past and expanding beyond traditional evaluation practice and methods.

The second set of papers reflects on the need for new tools and skills to ensure that the environment is not left behind and to effectively assess interventions in the context of growing climate risks and uncertainty. Evaluations need to account for the dynamic nature of natural and human systems in which interventions take place, as well as the greater uncertainties introduced by climate change.

The last set of papers in this section examines evaluation in the context of SDG 16 (promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels). The first paper notes that producing national data on peace, justice and the effectiveness of institutions is a relatively new area of engagement for national and international actors, and effective monitoring and evaluation of SDG 16 require investments to improve the availability of quality, relative and timely, disaggregated data. Political sensitivities in these areas are often greater than with respect to other Goals. Evaluation is therefore critical for understanding results, intended or otherwise, and to guide future reforms. The next paper shares experiences from Liberia where the realization of the complex nature of SDG 16 has led to selection of data collection methodologies that capture both the qualitative and quantitative aspects of the governance-related Goal. The final paper shares experiences measuring public confidence in governance institutions in Kyrgyzstan. It highlights the importance of SDG 16 indicators in laying the ground for the fight against corruption and improving the quality of the public services, while recognizing that indicators by themselves are not enough and that evaluation can help us to understand the bigger picture and challenges facing government institutions and the population.

2. Gender-responsive Evaluation for Accelerating Progress on the SDGs

INGA SNIUKAITE

Director a.i.
UN Women Independent Evaluation Office

MESSAY TASSEW

Evaluation Specialist
UN Women Independent Evaluation Office

ISABEL SUAREZ

Regional Evaluation Specialist, Europe and Central Asia
UN Women Independent Evaluation Office

MONA SELIM

Regional Evaluation Specialist, Arab States
UN Women Independent Evaluation Office

INTRODUCTION

The issues we face in the current global context, such as poverty, protracted conflict, climate change and intersecting inequalities, are complex and multifaceted—as are their solutions. The 2030 Agenda for Sustainable Development tackles these global challenges by proposing a comprehensive political framework to guide global and national policy actions. The Agenda makes it very clear that gender equality is critical for achieving sustainable development. The interconnections and linkages of the Sustainable Development Goals (SDGs), the solidarity in addressing intersecting global inequalities and the emphasis on the 2030 Agenda as accountability tool are important dimensions and driving factors for the gender-responsive implementation of the SDGs.

WHAT ROLE CAN GENDER-RESPONSIVE EVALUATION PLAY IN ADVANCING THE SDGs?

UN Women is the United Nations organization dedicated to gender equality and the empowerment of women. To support the mission of UN Women, its Independent Evaluation Office (IEO) has a mandate to promote gender-responsive evaluation in the United Nations system and with national partners. UN Women defines gender-responsive evaluation as an evaluative lens that helps to reduce inequalities and reach out to those who are traditionally most marginalized and left behind. Gender-responsive evaluation considers the structures that contribute to gender inequalities, challenges these structures and aims to advance the realization of women's empowerment, gender equality and women's human rights. This

approach is particularly promising to the implementation of the SDGs as two specific goals, Goal 5 and Goal 10, are dedicated to gender equality and reducing inequalities.

Gender-responsive evaluations are not something completely new. A gender lens is more and more often deployed in national evaluation systems and evaluations of United Nations agencies and other actors. Several lessons could be drawn from this experience. First, to unpack the nature of gender and social inequalities, it is critical that evaluators deploy gender analysis and human rights analytical tools and treat gender and social inequalities as systemic. Second, in line with the “no one left behind” principle, evaluators should break the hierarchy between the evaluator and the “evaluated”, respect the knowledge of both and bring the voices of those left furthest behind to the evaluation process. Third, we should view evaluation as a political activity, not a value-free assessment, and use it as part of the change process. Finally, the use of mixed-method approaches to understand systemic and complex change has proven to work well for gender-responsive evaluations.

Despite progress made during the last two decades, gender disparities persist in many countries. According to the UN Women report, *Turning Promises into Action: Gender Equality in the Agenda for Sustainable Development*,⁹⁶ globally there are 122 women aged 25-34 living in extreme poverty for every 100 men of the same age and group. Up to 30 percent of income inequality is due to inequality within households, including between women and men. In 18 countries, husbands can legally prevent their wives from working; in 39 countries, daughters and sons do not have equal inheritance rights; and 49 countries lack laws protecting women from domestic violence. Therefore, the gender-responsive evaluation that keeps an eye on inequalities can play an important role in supporting achievement of the SDGs for everyone. It is an approach that can accelerate progress, as it goes beyond measurement of indicators and helps to answer the questions: Are we doing the right things for gender equality? And are we doing those things right?

WHAT NEEDS TO BE DONE TO ENSURE THAT GENDER-RESPONSIVE EVALUATIONS ENHANCE VOLUNTARY NATIONAL REVIEW PROCESSES?

With two years now having passed since the adoption of the 2030 Agenda, several countries around the world have instituted a system to conduct regular and inclusive national reviews of progress. The voluntary national reviews are serving three purposes. Primarily, they facilitate the sharing of experiences and lessons learned, with a view to accelerating the implementation of the 2030 Agenda. Second, they seek to strengthen policies and institutions of governments and to mobilize multi-stakeholder support and partnerships. Third, the national reviews assess how the principle of leaving no one behind has been mainstreamed in the implementation of the SDGs.⁹⁷

96 UN Women, ‘Turning Promises into Practice: Gender Equality in the Agenda for Sustainable Development’, 2018, pp 20 -21.

97 United Nations Division for Sustainable Development and Department for Economic and Social Affairs, High-level political forum on sustainable development, ‘Handbook for the preparation of voluntary national reviews’, 2018.

Forty-three countries presented their voluntary national reviews to the high-level political forum in 2017. A brief internal analysis by UN Women showed an encouraging trend in terms of the integration of gender perspectives in the reviews. Although the level and depth of treatment of gender issues varied among countries, over half of the countries referenced SDG 5 and 25 countries referred their use of sex-disaggregated data. Gender equality was also stressed as a cross-cutting issue in most reviews. However, most of reports did not provide information on how gender perspectives would be mainstreamed in the implementation of national sustainable development strategies. Negative social norms and gender stereotypes, violence against women and girls, including harmful practices, women's unemployment, the gender pay gap and unpaid care and domestic work, have been mentioned as key impediments for progress towards achievement of gender equality at the national level.⁹⁸

The adoption of the voluntary national reviews created an opportunity to further advance national monitoring and evaluation systems and address more systematically the challenges of availability and quality of disaggregated data and evidence-based information across the SDGs. As such, if undertaken properly and supported by robust evidence and quality data, the reviews can serve as drivers of progress through furnishing relevant information on the impact of national development plans and policies across a range of social, economic and political domains. Nonetheless, the success of these reviews hinges largely on the quality of data and evidence, the inclusiveness and participation of all relevant stakeholders and the ability of countries to regularly monitor and periodically evaluate the implementation of the SDGs. This involves, among many other factors, a strong national evaluation system with a strong human rights and gender lens.

Inclusion of evidence generated from evaluations in voluntary national reviews would provide critical information about which strategies worked and which did not, and how these could be adjusted for greater impact. Evaluations with a gender and human rights lens can also assist in the triangulation of information to increase the reliability and validity of national review processes. Gender-responsive evaluations allow for the voices of the most vulnerable to be heard and understand what the barriers are, what the issues are and what policy issues needs to be tackled. An effective follow-up and review architecture should therefore have a gender lens at its heart to accelerate and advance gender equality and social justice in the context of the implementation of the SDG agenda.

In a nutshell, to keep gender equality at the center of implementation efforts, the evaluators should frame their critical inquiry around the following strategic questions:

- What is the availability of gender data, statistics and analysis to effectively monitor progress for women and girls?

98 UN Women Internal Note, Summary of 2017 voluntary national reviews to the high-level political forum.

- How do national policies align with the gender equality and “no one left behind” principles and values of the 2030 Agenda? And how could the gender-responsive investments in national policies be prioritized?
- Who is accountable for gender-responsive processes and institutions? And how could accountability be strengthened through reporting, stakeholder participation and voluntary national reviews?

WHY GENDER-RESPONSIVE NATIONAL EVALUATION CAPACITY DEVELOPMENT?

As pointed out by the United Nations Evaluation Group (UNEG), the concept of national evaluation capacity development has been evolving from a historical pattern of evaluation being carried out primarily in the context of development cooperation, towards a new paradigm where evaluation is nationally owned and an intrinsic part of good governance.⁹⁹ In this context, the development of national capacities to demand and conduct high-quality gender-responsive evaluations is a key contributor to achieving more effective development for women, men, boys and girls.

Nonetheless, the challenge often faced in many developing country contexts is that national policies and programmes are not always substantiated with findings and evidence gathered through evaluations. From a gender-equality perspective, even in countries that have well-developed national evaluation policies and systems, it has been shown that these often neglect a direct reference to gender equality and women’s empowerment.¹⁰⁰ This is in contrast to the near universal ratification of the key international normative frameworks and the presence of policies and action plans for gender equality and the empowerment of women in many countries.

The SDGs need to be adapted to national contexts, per specific sets of constraints and opportunities. As such, initiatives to strengthen evaluation systems need to be tailored to the situation and context of a given country. Further, a strategy for developing national evaluation capacities must be comprehensive and integrate strategies that address both technical and political considerations.¹⁰¹ As illustrated by UNEG, the effective development of national evaluation policies and systems depends on a number of overriding influences such as: (1) political will for change; (2) the rate of development of monitoring and evaluation frameworks and systems; (3) leadership vision on the potential use of monitoring

99 UNEG, in partnership with UNICEF, UN Women, UNDP, United Nations Volunteers and UNAIDS, ‘National Evaluation Capacity Development: Practical Tips on How to Strengthen National Evaluation Systems’, 2012, p. 8.

100 Bamberger, M., M. Segone and S. Reddy, ‘National Evaluation Policies for Sustainable and Equitable Development: How to Integrate Gender Equality and Social Equity in National Evaluation Policies and Systems’, 2015, p. 27.

101 ESTEP, ‘Final Report on the Framework to Analyse the Development of Evaluation Capacity in the EU Member States’, 2nd edition, 2007, p. 5.

and evaluation for public decision-making; and (4) an enabling environment.¹⁰² This type of systemic approach takes into consideration individuals, the institutional framework and the enabling environment. The focus should therefore be on strengthening existing institutional capacities and fostering an enabling environment rather than focusing solely on the training of individuals.¹⁰³

HOW TO IDENTIFY ENTRY POINTS TO BROADEN THE BOUNDARIES OF THE GENDER-RESPONSIVE EVALUATION IN SDG REVIEW AND EVALUATIONS?

A growing number of countries are developing monitoring and evaluation (M&E) policies and systems to more systematically and holistically assess progress towards their development objectives. As gender equality and women's empowerment are central to delivering on economic, environmental and social development, it is critical that they be considered as part of these systems. As defined by Bamberger, Segone and Reddy,¹⁰⁴ national evaluation policies provide a normative framework for the commissioning and conduct of evaluations, while national evaluation systems operationalize the principles outlined in the national evaluation policy. Embedding gender, a cross-cutting issue, in that normative and operational framework ensures that countries will consider and better understand whether economic, environmental and social development is being achieved for women, men, girls and boys.

These countries have adopted different approaches with respect to integrating gender into national evaluation policies and systems. A mapping of national evaluation policies conducted in 2015 estimated that of the 16 countries with a formal national evaluation policy and system, only two made explicit reference to gender.¹⁰⁵ The mapping found that national evaluation policies and systems tended to focus on process and did not include cross-cutting issues. When gender equality was addressed, the focus was generally narrow and did not consider issues of power, access and participation. Nonetheless, while only two countries refer directly to gender, a greater number of countries have integrated gender into their evaluation practice formally and informally.

These different experiences generated a number of good practices and lessons learned for integrating gender equality into national evaluation policies and systems, specifically:

- Linking to national gender policies, gender action plans or gender-related legislation;
- Highlighting international conventions on gender and women to which the country is a signatory;

102 UNEG 2012, p. 8.

103 Segone, M. and J. Rugh (Eds.) *Evaluation and Civil Society: Stakeholders' Perspectives on National Evaluation Capacity Development*, 2013.

104 Bamberger, Segone and Reddy 2015.

105 Ibid.

- Integrating gender in national development strategies, as well as indicators to measure progress on gender equality and women's empowerment;
- Integrating a gender lens into poverty analysis;
- Incorporating gender into social accountability systems, e.g., social observatories, citizen report cards.

HOW DOES UN WOMEN WORK IN PARTNERSHIPS?

The 2030 Agenda for Sustainable Development calls for global partnership and international support for implementing effective and targeted capacity-building and to mobilize and share knowledge, expertise, technology and financial resources. The global multi-stakeholder partnerships are based on the assumption that everyone has a part to play: governments, parliamentarians, volunteer organizations for professional evaluation, the United Nations, universities, women's organizations and other interested groups. Only by their working together can change be achieved in the interconnected domains of enabling environment and institutional and individual capacities for evaluation.

Starting from the assertion of EvalPartners, the Global Parliamentarian Forum for Evaluation and EvalGender+ that partnership is a key working strategy for wider impact and transformative results in the evaluation field, the UN Women IEO actively engages in developing and supporting evaluation partnerships to strengthen gender-responsive evaluation.

From 2013 to 2015, UN Women was co-lead of EvalPartners with the International Organization for Cooperation in Evaluation (IOCE). EvalPartners made significant contributions in driving the global evaluation agenda by declaring 2015 as the International Year of Evaluation. This was reinforced when the United Nations General Assembly adopted resolution 69/237 on evaluation capacity-building for the achievement of development results at country level, which further energizes the global evaluation community around evaluation of the SDGs. In the context of EvalPartners, UN Women also contributed to launch of the Parliamentarian Forum to ensure that women parliamentarians are at the table in debating and developing national evaluation agendas. EvalPartners, UN Women and the African Development Bank also played an important role in supporting the establishment of the African Parliamentarians Network for Development Evaluation and a women parliamentarians group for evaluation in the Arab States region.

By co-leading EvalGender+, the multi-stakeholder partnership to promote the demand, supply and use of gender-responsive evaluation in the context of the 2030 Agenda, the UN Women IEO helps leverage existing initiatives to strengthen gender-responsive national monitoring and evaluation systems. Within the EvalGender+ "no one left behind" initiative, UN Women provided technical support to 11 countries or regional networks on how to evaluate SDGs with an equity-focused and gender-responsive lens. These include Burkina Faso, Cambodia, Colombia, Kenya, Kyrgyzstan, Nepal, Sri Lanka, Tunisia, Zimbabwe, the Asia-Pacific Evaluation Association and the EvalMENA network.

By facilitating peer mutual support programmes and South-South initiatives, UN Women works to strengthen the institutional capacity of voluntary organizations for professional

evaluation. The capacities of individual evaluators, including on gender-responsive evaluations, are also improved through innovative and cost-effective e-learning programmes and open knowledge management systems.

With the purpose of providing guidance on how to integrate gender equality issues into national evaluation policies and systems, a guidance note, “National Evaluation Policies for Sustainable and Equitable Development: How to Integrate Gender Equality and Social Equity in National Evaluation Policies and Systems”, was published by EvalPartners, UN-Women and the IOCE. UN Women in partnership with UNEG, EvalPartners, the United Nations Children’s Fund (UNICEF), United Nations Population Fund (UNFPA) and the Swiss Agency for Development and Cooperation also published “Evaluating the Sustainable Development Goals with a ‘No one left behind’ lens through equity-focused and gender-responsive evaluations”. Several other toolkits and guidance were developed to support partners and the evaluation community at large to effectively advocate for national evaluation policies and systems that are equity-focused and gender-responsive.

CONCLUSION

A key principle that guides gender-responsive evaluation is national ownership and leadership, which means that evaluation should be country-driven and ensure leadership of evaluation processes by both rights holders and duty bearers. To this end, the development of national capacities to demand and conduct high-quality gender-responsive evaluations is a key contributor to achieving more effective development for women, men, boys and girls, a key priority of the 2030 Agenda for Sustainable Development.

The National Evaluation Capacities Conference 2017, which was organized under the auspices of the United Nations Development Programme (UNDP) Independent Evaluation Office in collaboration with various partners, provided a great opportunity to advance and amplify the importance of gender-responsive evaluation in the implementation of the SDGs. The pre-conference training and the various presentations by different partners including UN Women not only facilitated the creation of a critical mass of gender advocates but also helped to leverage partnerships for maximum impact. Such collaboration among UNEG members and national and non-State partners needs to be sustained to ensure that evaluation is front and centre in national review processes and M&E systems, which is key for advancing the commitments of the 2030 Agenda into actual results.

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3. No Region/Space Left Behind: Assessment of the SDGs from a Socio-spatial View

HABIB JABBARI

Ph.D. in Economic Sociology and Development,
Deputy of Planning, Spatial Planning and Environment Affairs,
Plan and Budget Organization of the Islamic Republic of Iran

AREZU ANVARI

Ph.D. candidate in spatial planning, Kharazmi University
Islamic Republic of Iran

INTRODUCTION

We all know that the global agenda has seen fundamental differences from the early discussions of sustainable development and the Millennium Development Goals to the Sustainable Development Goals (SDGs). The deepening thinking on sustainability stresses the necessity of integrated, results-based planning and budgeting in order to achieve the SDGs. The 2030 Agenda for Sustainable Development pays bold attention to different dimensions of sustainability including social sustainability (with 5 Goals, 47 objectives and 77 indicators), economic sustainability (with 5 Goals, 54 objectives and 72 indicators) and environmental sustainability (with 6 Goals, 56 objectives and 69 indicators).

As we know, “no one left behind” is one of the core principles of sustainable development. This raises some questions: What is the meaning of “no one”? Who is “no one”? It can apply to women, children, the elderly, people with special needs, women-headed households and all deprived and excluded persons. Is this enough to cover the “no one left behind” principle? Briefly, our answer is no, because many persons may have been left behind and excluded from development intervention processes because of the lack of or weakness in the spatial pillar of the SDGs. Our main proposal is that no region, space or place must be left behind, from the local community to the global community.

First of all, we insist on the fact that the spatial location of persons or settlements in or between countries may be a major determinant of whether or not they are left behind. We also believe that sustainability of development in all spaces/places within a given territory or between countries is a function of spatial equality of development. Therefore, we must not only consider spatiality as a one of the pillars of sustainability but spatial capital as critical for sustainable development.

During the Istanbul National Evaluation Capacities Conference, we heard repeatedly about the three pillars of sustainability but it is worth mentioning that sustainable

development requires two additional pillars: the institutional and particularly the spatial pillars. For developing countries, these two may be more important than the first three, the social, economic and environmental pillars.

However, while these two dimensions have been raised in the SDGs, both of them, particularly spatial and territorial sustainability, have been neglected in the determining of the indicators. This may change the principle of “no one left behind” to “someone left behind”! And some regions within countries like ours may be neglected. It should be noted that although SDG 10 has considered inequality within or between regions, in terms of inequality within regions which refers to spatial inequality, proper indicators have been not defined. We believe that this lack of attention may come from neglecting the spatial dimension of justice.

While reviewing and evaluating the goals, objectives and indicators of the SDGs, this paper proposes that along with social, economic and environmental sustainability, a focus on the institutional and spatial/territorial bases of sustainability is essential, especially in developing countries. *Paying little attention to them in thinking about, planning and evaluating sustainable development can cause serious damage to the whole of development.*

THEORETICAL FOUNDATIONS: SPATIAL JUSTICE

The term “justice” is rooted in political philosophy and political thought. From ancient Greece, most political philosophers and thinkers would have explained and understood it. Also, in the eighteenth and nineteenth centuries, most of the scholars and pioneers of the Age of Enlightenment tried to explain the position of their thinking in relation to the idea of justice. At the same time, they provide a means for critics to measure and expand the idea of justice from their own point of view point.¹⁰⁶ The concepts of equality and justice have attracted thinkers, planners and politicians in recent years. David Harvey, in his discussion of “Social Justice and the City”, considers social processes and spatial forms as indivisible realities of each other which are analytically separable. With awareness of various perceptions of justice, Harvey extrapolates the principle of “fair distribution of the fair way”.¹⁰⁷

Edward Soja discusses the issue of spatial justice in “Seeking spatial justice”. According to Soja, distribution disparities are the most fundamental and explicit form of injustice in space.¹⁰⁸ Peter Roberts, in his work entitled “Sustainable Development and Social Justice”, does not consider spatial justice independent of other forms of justice (social, economic, and environmental). He places spatial justice at the core of all the movements for justice. Roberts believes that reducing social exclusion, promoting solidarity and achieving social justice are basic goals that play an important role in achieving sustainable development as a response to economic progress and effective management of the environment.¹⁰⁹

106 Popper, Karl, *The Open Society and Its Enemies*, Princeton University Press, 2013.

107 Harvey, David, *Social justice and the city*, Edward Arnold, London, 1973.

108 Soja, Edward, *Seeking Spatial Justice*, University of Minnesota Press, 2010.

109 Roberts, Peter, *Sustainable Development and Social Justice*, University of Dundee, 2003.

Spatial justice is likely an unfamiliar term to political theorists. Even in its parent discipline, geography, the term is something of a fringe concept. It likely calls to mind the much more familiar “environmental justice”. One might rightly wonder, what is spatial justice? Geographer Edward Soja, the concept’s most visible proponent, is a good starting point: “Guiding the exploration [of spatial justice] from the start is the idea that justice, however it might be defined, has a consequential geography, a spatial expression that is more than just a background reflection or set of physical attributes to be descriptively mapped”.¹¹⁰ Spatial justice is first and foremost an analytical framework that foregrounds the role of space—a set of material and ideological relations that act on, yet are formed by, social relations—in producing justice and injustice.¹¹¹

The opposite of spatial justice is spatial injustice, which itself is derived from wider social injustice. Spatial injustice has been expressed in two forms: (1) segregation; and (2) unequal allocation of resources in space, including unjustly limited access to jobs, political power, social status, income and wealth as the forms of unjust resource allocation. Justice here does not mean absolute equality, but rather inequality not based on need or other rational distinction.

One possible definition of a rational distinction is one agreed up by open, informed, democratic processes, one based on legitimate authority rather than relations of power.¹¹² The main purpose of spatial justice is improving the prospects of life in all spatial arenas.

JUSTICE-CENTRED PLANNING

The motto of justice was considered as the central axis of any kind of social and political act by leftist thinkers, whom politicians and communist systems considered as the most qualified people to justify human societies. As a consequence of these conditions, in political systems, socialist thinkers in the area of planning also regarded themselves as having the most compassion for deprived social groups and as leading the implementation of justice.

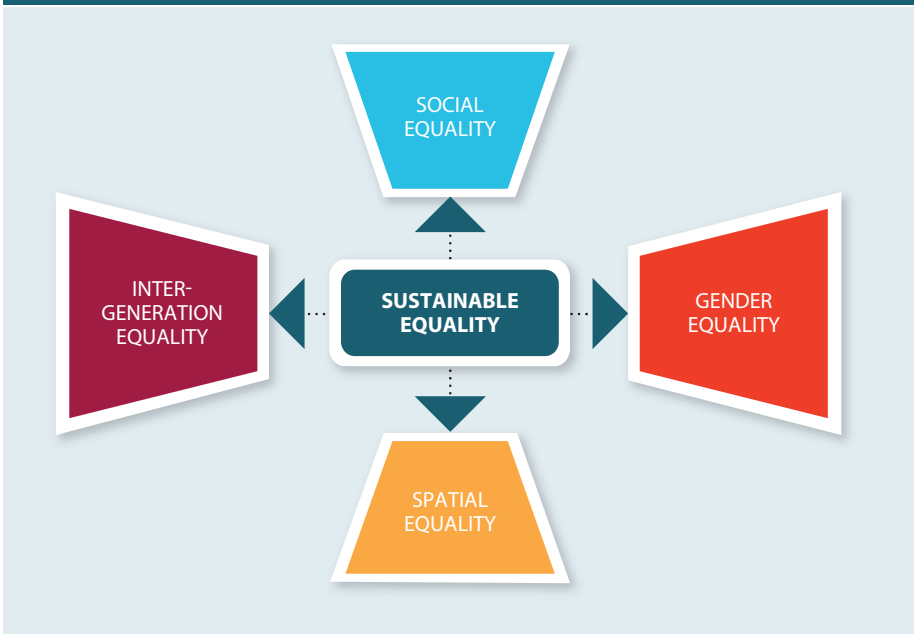
By the 1980s, most thinkers in planning that considered justice as the central subject of their studies belonged to the realm of socialist ideas, and often believed that justice in the political system of liberal capitalism was not possible and this system must be abolished in order to achieve justice. But since then, with the weakening of the political system of the Eastern bloc led by the Soviet Union and then its collapse, and the efforts of prominent scholars such as Rawls and Habermas who are non-socialist thinkers, the debate on justice was included in the form of liberal philosophical tradition and then liberal planning. Since

110 Soja, 2010, p. 1.

111 Williams, J., ‘Toward a Theory of Spatial Justice’, Paper presented at the Annual Meeting of the Western Political Science Association Los Angeles, CA, 2013, p. 1.

112 Marcuse, Peter, (2010). “Spatial justice: derivative but causal of social injustice” [« La justice spatiale : à la fois résultante et cause de l’injustice sociale », traduction: Sonia Lehman, justice spatiale | spatial justice | n° 01 septembre | September 2009, p. 4.

FIGURE 1. PROCESS OF JUSTICE PLANNING



the beginning of the twenty-first century, the subject of justice has flourished in the minds of planners.¹¹³

Planning is an activity that is selected by choosing between bad and good, right and wrong. It judges issues that are sometimes very controversial. Hence, planning is deeply related to justice and in thinking about issues related to justice, planning is essential.

The figure above shows the process of justice planning, which originates from the planning and review of spatial justice.

In the figure, the cycle of planning stages in the justice-centred planning process is shown. In fact, this process consists of two cores, the first focusing on injustices and the second focusing on the realization of spatial justice. This figure indicates the importance of spatial justice and spatiality in planning for sustainable development.

113 See Campbell, Heather, 'Just Planning: The art of situated ethical judgment', *Journal of Planning Education and Research*, no. 26; 2006, p.92-106; Fainstein, Susan S., 'New directions in planning theory', in S. Fainstein and S. Campbell (eds.), *Readings in planning theory*, Blackwell, Malden and Oxford, 2003; Fainstein, Susan S., 'Planning and the Just City', in *Searching for the Just City*, edited by Peter Marcuse, James Connolly, Johannes Novy, Ingrid Olivo, Cuz Potter and Justin Steil, Routledge, New York, 2009; Fainstein, Susan S., *The Just City*, Cornell University Press, Ithaca and London, 2010; Sandercock, Leonie, *Cosmopolis II: Mongrel Cities in the 21st Century*, Continuum, London, 2003.

REVIEW THE SDGs FROM THE PERSPECTIVE OF SPATIAL JUSTICE

Table 1 lists the 17 Goals and reviews them from a spatial perspective.¹¹⁴

TABLE 1. THE 17 SDGs VIEWED THROUGH A SPATIALITY LENS

SDGs	OBJECTIVES	SUSTAINABILITY PILLAR	EQUALITY PILLAR
Goal 1	No poverty	Social	Social
Goal 2	Zero hunger	Social	Social
Goal 3	Good health and well-being	Social	Social
Goal 4	Quality education	Social	Social-gender
Goal 5	Gender equality	Social	Gender
Goal 6	Clean water and sanitation	Social	Social
Goal 7	Affordable and clean energy	Environmental/economic	—
Goal 8	Decent work and economic growth	Economic	—
Goal 9	Industry, innovation and infrastructure	Economic	—
Goal 10	Reduced inequalities	Socio-spatial	Spatial
Goal 11	Sustainable cities and communities	Socio-spatial	Spatial
Goal 12	Responsible consumption and production	Environmental/economic	Inter-generation
Goal 13	Climate action	Environmental	Inter-generation
Goal 14	Life below water	Environmental	Inter-generation
Goal 15	Life on land	Environmental	Inter-generation
Goal 16	Peace, justice and strong institutions	Institutional	—
Goal 17	Partnerships for the Goals	Institutional	—

114 A complete list of the SDGs with the targets framed under each Goal is available at <https://sustainabledevelopment.un.org/sdgs>. A list of monitoring indicators is available at [www.http://unstats.un.org/sdgs/](http://unstats.un.org/sdgs/).

What is being discussed in this paper are SDG 10 and SDG 11. Tables 2 and 3 consider them from a spatiality view. The findings indicate that spatiality has low status in the SDG indicators, even though spatiality must be regarded as an important pillar of sustainable development.

TABLE 2. CONSIDERING SDG 10—REDUCE INEQUALITY WITHIN AND AMONG COUNTRIES—FROM A SPATIAL EQUALITY VIEW

TARGET	TARGET STATEMENT	SPATIAL SENSITIVITY
10.1	By 2030, progressively achieve and sustain income growth of the bottom 40 percent of the population at a rate higher than the national average	Neutral
10.2	By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status	Implicitly/ partially sensitive
10.3	Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard	Neutral
10.4	Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality	Neutral
10.5	Improve the regulation and monitoring of global financial markets and institutions and strengthen the implementation of such regulations	Neutral
10.6	Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions	Implicitly/ partially sensitive
10.7	Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies	Implicitly/ partially sensitive
10.a	Implement the principle of special and differential treatment for developing countries, in particular least developed countries, in accordance with World Trade Organization agreements	Implicitly/ partially sensitive
10.b	Encourage official development assistance and financial flows, including foreign direct investment, to states where the need is greatest, in particular least developed countries, African countries, small island developing states and landlocked developing countries, in accordance with their national plans and programmes	Implicitly/ partially sensitive
10.c	By 2030, reduce to less than 3 percent the transaction costs of migrant remittances and eliminate remittance corridors with costs higher than 5 percent	Neutral

TABLE 3. CONSIDERING SDG 11—MAKE CITIES AND HUMAN SETTLEMENTS INCLUSIVE, SAFE, RESILIENT AND SUSTAINABLE—FROM A SPATIAL EQUALITY VIEW

TARGET	TARGET STATEMENT	SPATIAL SENSITIVITY
11.1	By 2030, ensure access for all to adequate, safe and affordable housing and basic services, and upgrade slums	Sensitive
11.2	By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons	Neutral
11.3	By 2030 enhance inclusive and sustainable urbanization and capacities for participatory, integrated and sustainable human settlement planning and management in all countries	Neutral
11.4	Strengthen efforts to protect and safeguard the world's cultural and natural heritage	Implicitly sensitive
11.5	By 2030 significantly reduce the number of deaths and the number of affected people and decrease by y percent the economic losses relative to GDP caused by disasters, including water-related disasters, with the focus on protecting the poor and people in vulnerable situations	Implicitly sensitive
11.6	By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality, municipal and other waste management	Implicitly sensitive
11.7	By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, particularly for women and children, older persons and persons with disabilities	Implicitly sensitive
11.a	Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning	Implicitly sensitive
11.b	By 2020, increase by x percent the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, develop and implement in line with the forthcoming Hyogo Framework holistic disaster risk management at all levels	Implicitly sensitive
11.c	Support least developed countries, including through financial and technical assistance, for sustainable and resilient buildings utilizing local materials	Implicitly sensitive

CONCLUSION

Some comments arising from this review are as follows:

Leave “no one behind” is a core principle of the SDGs.

- Many of the SDGs have addressed this principle with a focus on social justice, socio-economic equality, gender equality and intergeneration equality. However, the attention paid to spatial equality is not transparent and is inadequate.
- The implementation of the SDGs thus has to ensure that development gains are equitably distributed across all territories and demographic groups. Localization recognizes that different territories have different needs and priorities that can be better achieved through bottom-up approaches for development planning, and context-based implementation strategies. It helps to address specific gaps in development and has the potential to reduce territorial inequalities between places/spaces.
- Only two of the SDGs acknowledge the spatial aspects of development. SDG 11 embeds the territorial dimension of sustainable development within the 2030 Agenda. One of the primary concerns raised by the creation of SDG 11 is that it may promote separation between urban and rural areas. However, SDG 11 is geared not only towards cities but towards all human settlements, and SDG localization advocates a territorial approach in which local governments work with each other and with other partners to define, plan and implement the SDGs based on the unique local context, resources, challenges and opportunities of their territories.¹¹⁵ However, given the lack of national and regional spatial planning, the success of SDG 10 and SDG 11 cannot be guaranteed.
- The other Goal that acknowledges the spatial aspects of development is SDG 10, reduce inequality within and among countries. But the indicators for both Goals do not cover the spatial pillar of sustainable development, particularly within countries. It should be noted that although SDG 10 considers the inequality within and between regions, in terms of inequality within regions that refers to spatial inequality, proper indicators have not been defined. This may be due to the neglect of the spatial pillar of justice. The most important point is that given the lack of nation/regional spatial planning, success cannot be guaranteed.

To ensure that “no one is left behind”, leave no space or region behind.

- Although SDG 10 and SDG 11 have a more or less spatial approach, they do not guarantee the spatial thinking, planning and monitoring and evaluation of sustainable development.

115 See for example <https://sdgcities.guide/chapter-1-cities-and-a-territorial-approach-to-the-sdgs-22c2660644e3>.

- SDG 10 is “Reduce inequality within and among countries” but the indicators for this Goal do not cover the spatial pillar of sustainable development, particularly within countries. As mentioned above, only one indicator for this Goal is about the spatial pillar.
- The other issue is that the spatial pillar of sustainable development must be considered over the others, so that guaranteeing the success of the other pillars of sustainable development requires thinking/acting within the country in a spatial manner.
- The evaluation process must be equipped to include the spatial view (thinking spatially, spatial assessment of policies, planning spatially, monitoring and evaluating spatially). Also, spatial equality requires proactive evaluation, not traditionally passive cost-benefit evaluation.
- Therefore, future evaluations must consider the following: sensitivity to space and spatiality as one of the main planning principles; development interventions are responsible for proactive assessment and have the power to bring about change based on defined principles, particularly on local/community interests; in assessing impacts, spatial differences and spatial justice need to be taken into account.

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4. Evidence and Social Accountability from Civil Society to Ensure No One is Left Behind

HANEEN MALALLAH

Knowledge, Learning, and Accountability Advisor
Oxfam

Social accountability approaches to governance have been celebrated as complementary and supportive of interventions focused on public accountability, civil service reform and public financial management. The approach involves several actors in public decision-making: citizens and civil society actors (civil society organizations (CSOs)) as well as the State. Successful integration of these actors leads to a more transparent, participatory, and accountable State. While social accountability mechanisms can be initiated by any of the actors in the sphere, they are usually demand-driven, initiated by CSOs and/or citizens.

Oxfam led a session to bring out examples and showcase work of various actors in the space, mainly from the African continent. The main presenters for this session were Seble Tweldebirhan, Oxfam in Ethiopia; Mohammad-Anwar Sadat Adam, Oxfam in Ghana; Stefano D'Errico, International Institute for Environment and Development (IIED); and Sully Gariba, Innovations for Poverty Action, Ghana.

FEMALE FOOD HERO, ETHIOPIA

Ethiopia continues to be severely affected by food insecurity and high poverty rates, in spite of the fact that Ethiopia met its Comprehensive African Agriculture Development Programme obligations by allocating more than 10 percent of the national budget to the agriculture sector. Women face gender-specific constraints that reduce their productivity and limit their contributions to agricultural production, economic growth and the well-being of their families and communities. Elimination of gender inequality and closing the gender gap in the agriculture sector are essential factors in improving development and food security. Oxfam in Ethiopia is leading a number of programmes to address these issues, including advocacy efforts aimed at influencing agriculture policy and implementation, narrowing the gender gap in agriculture and improving budget tracking systems.

Oxfam's advocacy efforts focus on two key tactics, allowing the work to take place within the restricted civil society space of Ethiopia: (1) research and analysis, including a gender-disaggregated agriculture expenditure analysis and a budget tracking study; and (2) the "Female Food Heroes Award" initiative, which includes annual awards recognizing 11 female small-scale food producers for their contributions to addressing food insecurity, raising

government and public awareness of the contributions and challenges faced by women farmers, and creating a space for women farmers to advocate for themselves.

The data and key findings of the budget analysis research are shared with civil society partners and key stakeholders, incorporated in a week-long training provided for the award winners and part of dialogues with the media and policymakers. Both of these streams of work involve close engagement with the Ethiopian Government. The efforts have been underway for several years now and Oxfam outlines lessons learned and challenges faced in developing the budget-tracking and gender-disaggregated analysis data, educating target stakeholders and engaging women farmers, other members of civil society and key members of the Government in using this data to contribute to improved policy and implementation.

SLUM DWELLER MAPPING, KENYA

Slum dwellers have mapped and documented their informal settlements, including the people and businesses, to make themselves matter to city authorities and negotiate better living conditions within the slums. The urban poor are often better able than city and government departments to produce relevant, up-to-date, detailed data about their settlements through surveys and mapping. This kind of activity means the poor get their voices heard and respected and can work with governments to help solve the problems they face. People living in informal settlements often lack formal addresses and identification documents. Because of this situation, they are not considered legal citizens by governments and are denied public services such as health care, education, sanitation and the rule of law. Therefore, producing data and evidence about people living in slums and their living conditions is of paramount importance to make city governments accountable.

SOCIAL IMPACT OF PROTECTED AREAS, KENYA

The social impact of protected areas in terms of both benefits and costs has been a matter of fierce debate for a long time. This is also due to the use of different approaches to assess impact and reference to different standards. IIED, together with the International Union for Conservation of Nature, has reviewed around 30 different tools and methods that have been or could be used to assess the social impacts of protected areas. Thus, they have developed a relatively simple low-cost methodology to assess both the positive and negative effects of protected areas on the living communities living within and around it: the Social Assessment of Protected Areas (SAPA). The assessment is designed to help managers of protected areas and other key stakeholder groups, including community groups, to increase and more equitably share benefits and reduce costs. The methodology can be applied to any type of protected area, including those owned and managed by communities themselves and private sector actors, as well as those that are state owned or managed. The SAPA methodology manual has been downloaded more than 1,000 times from the IIED website and has been widely used by stakeholders managing and living in protected areas. The evidence produced with this cost-effective and robust method has been used to make local authorities accountable to the principles endorsed by the World Parks Congress in 2003: that protected areas

should strive to reduce poverty—and certainly in no way exacerbate it—and that their costs and benefits should be equitably shared.

The session reported the findings emerging from the use of SAPA and highlighted in the paper, “Understanding the social impact of protected areas: a community perspective”.

OIL4AGRICULTURE, GHANA

In Ghana, Oxfam has been working together and in collaboration with organized civil society and non-governmental organization partners aimed at catalysing increased public investment in agriculture to secure, improve and sustain the productivity, resilience and well-being of women and other smallholder farmers, their households and communities. The programme has over the last four years contributed to the emergence of a vibrant and highly capable community of civil society working on budget monitoring and social accountability issues within the agriculture sector in Ghana. Drawing on the experience of the Oil4Agriculture initiative, the presentation provided evidence on the work of Oxfam partners in monitoring critical aspects of petroleum revenue allocation and management, connecting to public budget monitoring and social accountability efforts, and the results achieved in the broader agriculture advocacy work in Ghana.

The presentation outlined the processes, strategies, results, promising practices and lessons learned in relation to the Oil4Agriculture initiative. It concluded with recommendations on how to integrate lessons and promising practices from civil society evaluations into national systems. Some questions were also raised on how national systems and monitoring and evaluation can cope with the advocacy dimensions which are central to organized civil society evaluations.

PARLIAMENTARY OVERSIGHT AND DEMAND FOR ACCOUNTABILITY, GHANA

The interface between community aspirations and public policy oversight often seems a far-fetched proposition. However, recent development interventions and the use of social accountability techniques have fostered a growing trend of CSOs building solidarity with representative Parliaments to hold governments and service providers accountable for their performance in improving service delivery to the poor.

In Ghana, a baseline conducted by civil society revealed that services to selected marginalized groups (i.e., women, children and persons with disabilities) are generally weak in rural poor districts. Moreover, most of the marginalized citizens who are the prime targets for these services are unable to exercise their demand for service improvements due to lack of capacity to gather and present credible evidence about their needs and the quality and the appropriateness of services they receive. Even where demand for service improvements are placed, the service delivery agencies are unresponsive to these demands due to poor attitude, knowledge and practices of service providers towards the most marginalized citizens.

CSOs can improve the capacity of marginalized people to collect and analyse evidence; triangulate and verify these with duty bearers who provide basic services, such as health

care; and establish partnership with parliamentary committees that have oversight for the rendering of these services. Evidence supports this work, detailing that in five of Ghana's poorest districts, performance in delivering quality health services has been impaired on the one hand by the lack of common standards/benchmarks for service providers to assess service quality; and on the other by marginalized groups and socially-excluded groups lacking the skills to generate and analyse evidence on the quality and appropriateness of services they receive from duty bearers, so that they are unable to engage these service providers for necessary improvements.

By sharing skills in evidence-gathering and advocacy with local government bodies and parliamentary committees responsible for health, the increased awareness of these three groups raised the issues of services for the poor to the highest levels of decision-making, through the use of the civil society-generated evidence for parliamentary oversight of National Health Insurance in Ghana.

CONCLUDING REMARKS

An exploration of how social accountability strategies can further equitable development policy and practice is an important pathway to strengthen our overall development practice. Social accountability sits at the intersection of civil society, government performance-based accountability systems and evaluation. There are lessons and challenges emerging from processes that have used robust evidence and advocacy strategies to inform and engage the public, scale up citizen voice, influence policymaking and reform and build robust feedback loops. There are strategies that can empower social accountability actors, including focusing on more collaborative and constructive engagement methods rather than utilizing confrontational strategies only.

5. Sustainable Development Evaluation: Is the Environment Being Left Behind?

JUHA UITTO

Director, Independent Evaluation Office
Global Environment Facility

INTRODUCTION

The Sustainable Development Goals (SDGs) stand upon three pillars: the social, economic, and environmental. Like a three-legged stool, the construct will collapse should any one of the pillars break. Integration is a key to the SDGs.¹¹⁶ Yet, it appears that the environmental dimension of sustainable development is receiving far less attention in the international development discourse than the two others.¹¹⁷ The same goes for development evaluation. There has been a shift away from an exclusive focus on economic growth, as it has become clear that mere growth in gross domestic product does not by any means guarantee better development outcomes, let alone sustainability. There is now a renewed focus on inclusive and equitable development that is aimed at reducing disparities in society when it comes to different groups. Development evaluation has actively contributed to the discourse through equity-focused evaluation that embraces gender and human rights perspectives. These are positive developments.

Despite its fundamental importance, the environmental pillar has been relatively ignored both in the development discourse as well as in evaluation. In fact, a better analogy than the three-legged stool is a three-layered cake in which the natural environment forms the bottom layer upon which the social and economic layers lay. Of the 17 SDGs, only some are directly environmental, including Goals 6 (clean water), 7 (clean energy), 11 (sustainable cities), 13 (climate action), 14 (life below water) and 15 (life on land). However, most others are dependent on the natural environment for their fulfilment, including Goals 1 (no poverty), 2 (zero hunger) and 3 (good health). Similarly, Goal 5 relating to gender has a strong environmental dimension.

Should the bottom layer break, the upper layers will necessarily collapse. All human endeavour is dependent on the natural environment, although it is easy to miss the connection in our daily lives which have become increasingly urbanized and dominated by technology. Still the fundamentals of life—food, water, the air that we breathe—are provided by the

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natural environment. Furthermore, ecosystem services stretch much further and are not even fully understood. Environmental economics has emerged as a field that is receiving increased attention. However, although quantifying the economic value of the services that nature provides is illustrative in a world where everything tends to get measured in monetary terms, it is important to bear in mind that in most cases other forms of capital cannot substitute for natural capital that is being destroyed. It can also be convincingly argued that nature—both living and inanimate—has intrinsic value that goes beyond its instrumental value to humans.¹¹⁸

In this paper, I argue that we ignore environmental degradation at our own peril. As a central function for understanding what works, for whom and under what circumstances, and for improving the design and performance of our policies, strategies and programmes towards sustainable development, evaluation carries a responsibility to fully incorporate the environmental dimension into our analysis.

TRENDS IN THE GLOBAL ENVIRONMENT

Human-driven climate change has emerged as a defining theme for our time. As important as it is for the future of humankind, climate change in recent years has largely overshadowed other critical environmental issues. It is also easy to conclude that economic development automatically leads to a better environment: after all, cities in rich countries tend to be cleaner than in poorer countries. While local environment often does get cleaner—and this is not always the case, as the massive health-threatening air pollution in rapidly developing cities such as Beijing and Delhi starkly demonstrates—the global environmental trends still mostly point downwards.

An analytical framework developed with the leadership of the Stockholm Resilience Centre identifies “planetary boundaries” defining a safe operating space for humanity within the limits of the Earth system.¹¹⁹ The analysis suggests that the three of the nine interlinked planetary boundaries have already been breached: (1) biodiversity loss; (2) climate change; and (3) human interference with the nitrogen cycle. Critically, what has been termed the “sixth extinction” is leading to huge population declines and species loss with irreversible consequences for ecosystem functions and services.¹²⁰ All of this may lead to catastrophic consequences for humanity.

The driving forces of all of these ecological stresses are directly related to human activities. A fundamental factor is the growing human population. According to United Nations projections, the population on Earth is expected to reach 9.8 billion by 2050, up from the

118 Washington, H., B. Taylor, H. Kopnina, P. Cryer and J.J. Piccolo, ‘Why ecocentrism is the key pathway to sustainability’, *The Ecological Citizen* 1: 35-4, 2017.

119 Rockström, Johan, ‘A safe operating space for humanity’, *Nature*, Vol. 461 (24 September 2009), pp. 472-475.

120 Caballos, G., P.R. Ehrlich and R. Dirzo, ‘Biological annihilation via the ongoing sixth mass extinction signaled by vertebrate population losses and declines’, *Proceedings of the National Academy of Sciences* 114(30): doi: 10.1073/pnas.1704949114, 2017.

current 7.6 billion.¹²¹ Most of this growth takes place in areas with the least capacity to cope with it and which are already facing major stresses on water, land and other natural resources. Environmental stress can already be seen as a driver behind migration and refugee flows. In addition, consumption is a fundamental driver of environmental degradation and depletion of natural resources. As people and countries get richer, their consumption levels will inevitably go up. Three quarters of tropical deforestation is caused by the production of three commodities in great demand: soy beans, beef and palm oil.¹²² Virtually all oceanic fisheries are overfished, leading to reduced yields and utilization of less desirable species. Climate change adds stresses to all of these sectors and increased energy use associated with economic development leads to increased greenhouse gas emissions, barring a rapid and profound shift in energy production, which does not seem likely.

Despite the increased international attention, public funding for environmental conservation remains meager, estimated at some \$10 billion per year. In contrast, governments spend about \$1 trillion on subsidies that lead to overexploitation and unsustainable use of natural resources.¹²³ Given the scarcity of funding, it is of utmost importance that the interventions are relevant and carefully targeted, are effective in reaching their impacts, are sustainable and provide value for money in a cost-efficient way. Evaluation must play a key role in information policymaking, intervention strategy, design and implementation.

IMPLICATIONS FOR EVALUATION

Effectively incorporating the environmental dimension into sustainable development evaluation poses certain challenges and requires the adjustment of approaches and methodologies. There are specific issues that must be tackled, such as differing geographic and time scales.¹²⁴ Environmental phenomena often do not adhere to political units, as watersheds and ecosystems cross borders and pollution flows without consideration to administrative boundaries. Moreover, the time scales are often incompatible. Environmental changes take long to materialize, while projects typically span over a period of only a few years. A recent evaluation we at the Independent Evaluation Office (IEO)¹²⁵ of the Global Environment Facility (GEF) conducted on land degradation projects found that the on-the-ground environ-

121 <https://www.un.org/development/desa/publications/world-population-prospects-the-2017-revision.html>.

122 Brack, D., A. Glover and L. Wellesley, 'Agricultural Commodity Supply Chains: Trade, Consumption and Deforestation', Research Paper, Chatham House, The Royal Institute of International Affairs, London, 2016.

123 GEF IEO, 'Fifth Overall Performance Study of the GEF. Final Report: At the Crossroads for Higher Impact', Global Environment Facility Independent Evaluation Office, Washington, DC, 2014.

124 Bruyninckx, H., 'Environmental evaluation practices and the issue of scale', in: Matthew Birnbaum and Per Mickwitz (eds.), *Environmental Program and Policy Evaluation: Addressing Methodological Challenges. New Directions for Evaluation* 122: 31-39, 2009, and Hildén, Mikael, 'Time horizons in evaluating environmental policies. In: Matthew Birnbaum and Per Mickwitz (eds.), *Environmental Program and Policy Evaluation: Addressing Methodological Challenges. New Directions for Evaluation* 122: 9-18, 2009.

125 <http://www.gefio.org>.

mental impacts typically only become visible between 4.5 and 5.5 years after the project is complete.¹²⁶

No intervention takes place in a vacuum and every intervention interacts in a complex dynamic system that changes over time. Evaluation design must therefore start with understanding the broader system in which an intervention is located.¹²⁷ It is not sufficient for an evaluation to focus solely on an intervention in isolation. Therefore, static logic models do not adequately allow for evaluations to take into account the dynamic nature of the system in which the intervention operates, account for its interplay with other actors and the external environment, which itself changes over time, and to identify unintended consequences. Theory-based evaluation is still very useful, but the theories must encompass the broader system, take into account the specificities of the geographical scales and time horizons and incorporate the dynamic nature of such systems. Climate change in particular has introduced elements of uncertainty and risk into systems. There may be feedback loops, discontinuities and tipping points that are unexpected and that disrupt linear change. Evaluation in coupled natural and human systems may require constructing a dual evaluand that distinguishes between the speed of change in the different systems.¹²⁸

A number of evaluations conducted by the IEO attempted to systematically address the effectiveness, results and impact of the GEF in the nexus between the environment and human and societal factors.¹²⁹ In this work we explored new approaches and methods, such as using remote sensing and geospatial methods to measure environmental outcomes on biodiversity conservation, land degradation and international waters. It was found that these methods provide reliable and cost-effective tools for measuring baseline information, detecting changes in environmental conditions over time and tracking progress towards achieving the targets of projects and programmes.

An evaluation of the multiple benefits of GEF support assessed the portfolio focusing on multifocal area projects, mostly targeting results in land degradation, biodiversity conservation, sustainable forest management and climate change and carbon sequestration.¹³⁰ In addition to the global environmental benefits that are the focus of GEF programming, the projects also targeted local environmental and socioeconomic benefits that indirectly generate and sustain the global benefits. Using a mixed methods approach, the evaluation found that the projects have the potential to create synergies for focal area mainstreaming and institutional learning. The evaluation also highlighted that the trade-offs from increasing

126 GEF IEO, 'Land Degradation Focal Area Study', Global Environment Facility Independent Evaluation Office, Washington, DC, 2017.

127 Garcia, J.R. and A. Zazueta, 'Going beyond mixed methods to mixed approaches: a systems perspective for asking the right questions', *IDS Bulletin* 46 (1): 30–43, 2015.

128 Rowe, A., 'Evaluation of natural resource interventions', *American Journal of Evaluation* 33(3): 383–392, 2012.

129 Uitto, J.I., 'The environment-poverty nexus in evaluation: implications for the Sustainable Development Goals', *Global Policy* 7(3): 441–447, 2016.

130 GEF IEO, 'Evaluation of the Multiple Benefits of GEF Support through Its Multifocal Area Portfolio', Global Environment Facility Independent Evaluation Office, Washington, DC, 2017.

integration need to be addressed and include the increase in number of stakeholders who need to be consulted and coordinated with at different levels, and whose interests need to be reconciled.

Evaluating GEF work on international waters¹³¹ produced a case study of the Facility's long-term engagement with the Lake Victoria basin, which again clearly highlighted the challenges of dealing with a large transboundary ecosystem. While the lake (the second largest in the world) is directly bordered by three countries—Kenya, Uganda and United Republic of Tanzania—it became evident that to effectively address the pollution and eutrophication problems, one needed to include the upstream countries of Burundi and Rwanda in the programme. Recognizing the time horizon was another important conclusion: it took three consecutive projects and more than a decade before actual environmental status improvements could be detected. These cases demonstrate the need to deal explicitly with the differing time and geographical scales between natural and human systems.

CONCLUSION

Sustainable development evaluation requires taking a holistic view. In the first place, this implies the need to take into account the social, economic and environmental dimensions of sustainability. At the very least, every evaluation should carefully assess the environmental impacts of the intervention being evaluated. Just doing this would oftentimes lead to different assessments of the costs, benefits and sustainability of the intervention. However, it is important to move beyond the “do no harm” approach to proactively evaluate interventions on the criteria of whether they will provide environmental benefits and advance sustainability.

Secondly, the holistic look requires scoping the evaluation so that it does not look at an intervention in isolation, but rather as part of a complex adaptive system, recognizing that any intervention takes place in a broader and dynamic environment. Risk and uncertainty need to be built into evaluations and their logic models. Similarly, every evaluation must assess unintended and unforeseen consequences that the intervention will produce.

To achieve the above will require evaluation capacity development at different levels. Not only do evaluators have to be sensitized to the need for assuming a holistic perspective, they will need to adequately understand the dynamics of natural systems so that they are competent to incorporate the environmental perspectives into evaluations. This may often imply engaging a team rather than relying on a single evaluator. Equally importantly, the users and commissioners of evaluation must understand these needs. In cases where the evaluation function is not independent enough to set the parameters for evaluation, commissioners of evaluation must have the vision to scope the evaluation in broad enough a manner to place the evaluand in a wider system and to identify factors, risks and unintended consequences beyond the internal intervention logic.

131 GEF IEO, 'International Waters Focal Area Study,' Global Environment Facility Independent Evaluation Office, Washington, DC, 2016.

6. Evaluation in a World of Risk and Uncertainty: How to Evaluate Resilience?

ARMEN GRIGORYAN

Team Leader, UNDP Climate and Disaster Team
Istanbul Regional Hub

NATALIA OLOFINSKAYA

Regional Technical Specialist, UNDP Climate and Disaster Team
Istanbul Regional Hub

This paper is based on the contributions by the Istanbul National Evaluation Capacities Conference (NEC) panelists: Karen Ortega, United Nations Framework Convention on Climate Change (UNFCCC) secretariat (on the Transparency Framework under the Paris Climate Agreement); Magda Stepanyan, Risk Society (on measuring progress under the Sendai Framework for Disaster Risk Reduction); Alan Fox, United Nations Development Programme (UNDP) Independent Evaluation Office (on the challenges and pathways to evaluating resilience); Krunoslav Katic, CONSEC-Consulting in Security (on social vulnerability assessment tools); Ala Druta, Moldova Climate Change Office (on the national monitoring and evaluation (M&E) framework for climate change adaptation in the Republic of Moldova); and Olga Atrashchanka, UNDP Belarus (on the application of social, economic, environmental determinants for programme and project M&E).

In the past decades, our planet and societies have been experiencing unprecedented impacts related to climate change and climate-induced disasters, transforming our conventional understanding of resilience and risk management. These impacts are expected to become more intense and occur more frequently as a result of current and future climate change. Over the past decades, each succeeding year is setting a record as the warmest. Sea levels have been rising three times faster in the past two decades, putting more communities, cities and nations across the globe at risk. Glaciers have been in retreat almost everywhere in the world. More people are becoming climate migrants, having lost their homes and livelihoods. By 2030, nearly half of the world's population will be living under severe water stress. All continents are affected by increasing desertification and intensified droughts. Climate-related hazards such as floods, mudflows, landslides and hailstorms have been intensifying across the world. In the past 20 years, disasters cost more than \$2 trillion, killed over 1.3 million and affected more than 4.4 billion people, including a

disproportionately high number of women, children and other vulnerable groups.¹³² Climate change has been threatening food security, health and ecosystems integrity.

Climate change and disasters have been setting the new context of increasing risks and uncertainty for the development agenda at the global, national and local levels. In this new context of volatility, communities and nations are facing increasing, multiple and interconnected risks that can reverse decades of development progress. Development planners, practitioners and evaluators need to be equipped with the new tools and skills in order to ensure effective investment into the sustainable and resilient development and to measure the progress towards the Sustainable Development Goals (SDGs).

The “traditional” understanding of resilience in the context of disaster preparedness and recovery needs to be reconsidered in the face of the growing climate risks and uncertainty. The introduction of climate change adaptation and resilience to “slow-onset” disasters brings many more issues to the table. Climate change adaptation and disaster risk reduction (DRR) projects include aspects of weather forecasting, climate information management, risk-informed financial planning and development zoning, government policy and regulatory change for enhanced resilience and modifications to sectoral planning, as well as new early warning and emergency response systems. Furthermore, all development projects and programmes need to be risk-informed and mainstream climate and disaster risks in the design, implementation, sustainability and exit strategies. In this new context of volatility and increasing risk, the evaluators are facing multiple challenges related to the lack of definitions, tools, data, evaluation and attribution criteria, and competency to measure the change in vulnerability and resilience.

The NEC conference session, “Evaluation in a world of risk and uncertainty: How to evaluate resilience?”, set the stage for this discussion by presenting the monitoring, evaluation and progress tracking frameworks under the Paris Climate Agreement and the Sendai Framework for Disaster Risk Reduction. Further, the session participants looked at specific country examples and discussed technical tools for monitoring and evaluating resilience-building activities.

PARIS CLIMATE AGREEMENT AND ITS TRANSPARENCY FRAMEWORK

The Paris Agreement is the new, global treaty under the UNFCCC, which entered into force in November 2016 and under which *all countries* agreed to take action on climate change. At the heart of the agreement are the nationally determined contributions (NDCs) that define national action on climate change (both mitigation and adaptation) and must increase in ambition over time. One hundred eighty-nine initial NDCs have been submitted to the UNFCCC by the member countries. The Paris Agreement aims to strengthen the global response to the climate change by:

132 United Nations Office for Disaster Risk Reduction, ‘Tackling future risks, economic losses and exposure’, 2013.

1. Holding the increase in the global average temperature to well below 2° C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5° C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change;
2. Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience and low greenhouse gas emissions development, in a manner that does not threaten food production; and
3. Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.

There is a significant gap between the current mitigation pledges and what is needed to hold the increase in the global average temperature below 2° C above pre-industrial levels; there is a need for a strong mechanism to leverage an increased national action towards the global ambition. Part of it is the global stocktaking envisaged to periodically track the implementation of the Paris Agreement and to assess the collective progress towards achieving its long-term goals. The global stocktakings will be conducted every five years starting from 2023 with the view to updating and enhancing actions and support. The specific modalities of the global stocktakings are to be adopted at the end of 2018 in order to set up monitoring over the overall effect of the NDCs, the state of mitigation and adaptation efforts, support, experiences and priorities from the national communications to the UNFCCC.

The Paris Agreement introduces the new modalities, procedures and guidelines for a Transparency Framework for action and support. It will cover monitoring and reporting on actions on climate change mitigation, adaptation and the means of implementation and support. It aims to provide clarity and to track the progress towards achieving individual NDCs and support provided and received. The Transparency Framework would integrate the previously agreed reporting mechanisms under the UNFCCC, including national communications, biennial update reports, international assessment and review process and international consultations and analysis. The countries are requested to provide the following information on a regular basis: national inventory report; information to track progress of achieving NDCs; information related to climate change impacts and adaptation; and information on finance, technology transfer and capacity-building support provided and received. The information submitted will be subject to a technical expert review process which includes assistance in identifying countries' capacity-building needs. The countries can receive support with their reporting through a Capacity Building Initiative for Transparency, delivered by the Global Environment Facility (GEF).

An example of setting up a national monitoring and evaluation system for climate change adaptation action has been presented by the Climate Change Office of the Republic of Moldova. The country's National Climate Change Adaptation Strategy (2014) provides for an integrated vision on how to build the resilience of the country's development goals to the impacts of climate change. The Climate Change Adaptation Coordination Mechanism (CCACM) has been established as a sustainable cross-sectoral multi-stakeholder institutional

mechanism. The CCACM is chaired by the National Commission on Climate Change whose mandate includes monitoring progress of the adaptation action. The goal of the national M&E system is to ensure tracking and reporting of progress across sectors, geographic and time scales, and to enable determining whether, as a result of its successive plans, the Republic of Moldova is less vulnerable to the impacts of climate change. The M&E system and the national institutional and coordination mechanisms for the national adaptation planning has been developed through a UNDP project supported by the Government of Austria. The M&E system will assess and track progress under the national adaptation plans (NAPs) and sectoral adaptation plans (SAPs) in order to:

1. Create a set of overarching adaptation goals to which each sector will contribute;
2. Measure and monitor the outcomes and impacts of activities, investments and programmes, including from a gender-responsive perspective;
3. Track and monitor progress against individual sectoral objectives, targets and indicators;
4. Enforce the gradual integration of adaptation priorities in development planning;
5. Ensure transparency of adaptation process and data collection;
6. Allow for iterative and continuous, evidence-based adaptation planning.

An indicator-based monitoring system is operated through the information system that consists of an online portal intended for presenting the public information, and a monitoring platform designed to facilitate data management and monitoring. The indicator-based

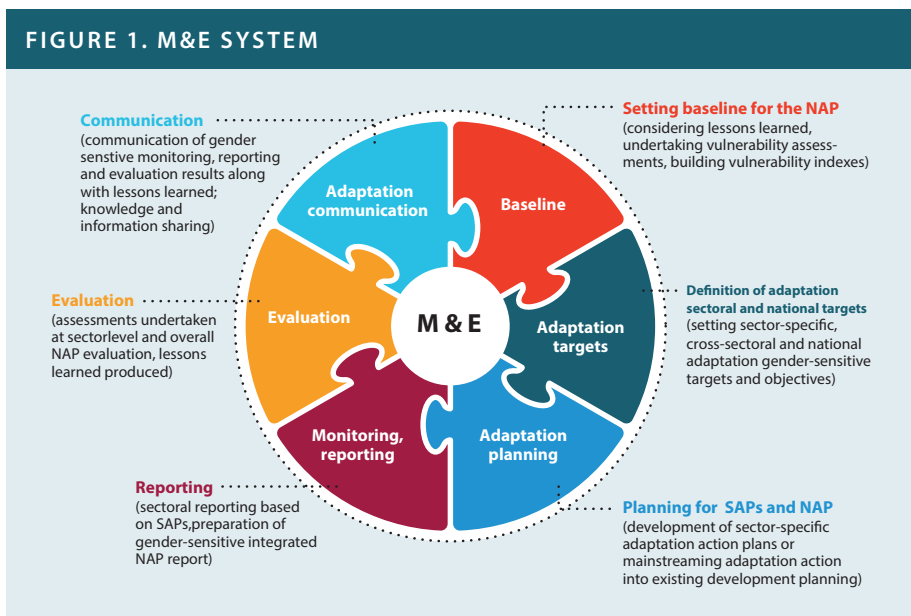


TABLE 1. M&E COVERAGE AND LEVELS

M&E COVERAGE:	M&E LEVELS:
<ul style="list-style-type: none"> • Progress and impacts of implemented policies; • Implementation of adaptation-related planning; • Development and dissemination of adaptation-related knowledge and research, including guiding material, methodology, tools and instruments; • Implementation of adaptation technologies and practices; • Adaptation-related financing and investments, including adaptation-related external support received. 	<ul style="list-style-type: none"> • Micro-level monitoring targeted at assessing the adaptation result of individual actions; • Meso-level monitoring allows for the tracking of adaptation achievements at the outcome level; • Macro-level monitoring is conceived to evaluate or periodically assess the global, cumulative impact of all sectoral adaptation actions.

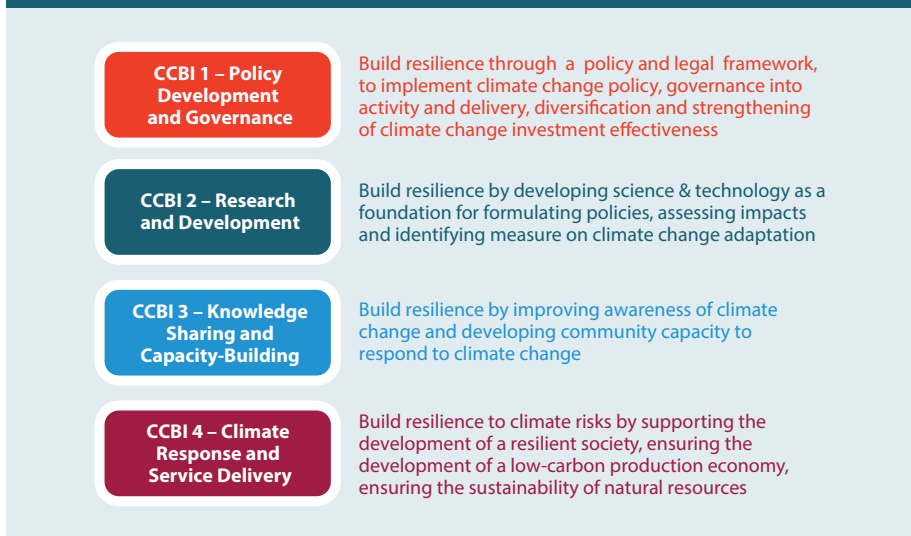
M&E consists of indicators for tracking and evaluating the success of adaptation planning and interventions:

1. Driver indicators: measure the result of actions targeting the drivers of change, including: (a) resources mobilized; (b) capacity to plan adaptation; and (c) deep knowledge on climate risks, impact, and vulnerabilities;
2. Output indicators: measure the result of adaptation actions included in sectoral adaptation plans;
3. Outcome indicators: measure the result of sectoral adaptation, reduced sectoral vulnerability and advancing in adaptation;
4. Objective indicators: measure the aggregate result of a national adaptation plan cycle, the impact on the vulnerability of the Moldovan economy and progress in adaptation.

An important innovative element of the Moldovan M&E system which is currently in the design and piloting phase is the climate change budget and expenditures tracking system. The purpose of tagging climate-related public expenditures is to provide a systemic and replicable process to identify and prioritize climate-related programmes, activities and projects (PAPs) in budget proposals and allocations. The method supports the capacity of the national ministries, including the Ministry of Finance and the Ministry of Agriculture, Regional Development and Environment to track climate change expenditures and improves their ability to secure progress on climate action in the broader context of national development goals and international commitments. The system supports the development of the financial records to build a climate finance framework. The process includes three steps:

- Step 1 establishes what the PAP and its components will do to address climate change;
 - Step 2 determines which PAP components have climate relevance;
 - Step 3 determines the appropriate climate change budget indicator (CCBI) for each PAP.
- See Figure 2 below.

FIGURE 2. CLIMATE CHANGE BUDGET INDICATORS (CCBI) AND ACTIVITY CATEGORIES



SENDAI FRAMEWORK FOR DISASTER RISK REDUCTION AND ITS INDICATOR FRAMEWORK

The Sendai Framework for Disaster Risk Reduction 2015-2030 was adopted by 187 countries in March 2015 and subsequently endorsed by the United Nations General Assembly to effectively promote and guide progress towards a substantial reduction in disaster risk and losses in lives, livelihoods and health, and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries. In doing so, ambitious targets were established for both 2020 and 2030.

A predecessor of the Sendai Framework, the Hyogo Framework for Action (HFA) 2005-2015, set up a monitoring framework (HFA Monitor) with 22 core indicators against five priorities for action:

1. Ensure that DRR is a national and a local priority with a strong institutional basis for implementation.
2. Identify, assess and monitor disaster risks and enhance early warning.
3. Use knowledge, innovation and education to build a culture of safety and resilience at all levels.
4. Reduce the underlying risk factors.
5. Strengthen disaster preparedness for effective response at all levels.

HFA Monitor was based on an online self-assessment monitoring and reporting tool that was applied by 133 countries in 2009-2011 but only 96 countries in 2013-2015. A peer review

process was established to cover Africa, Americas and Europe. A global DRR information repository was established—the single largest repository of the worldwide state of play in DRR (<http://www.preventionweb.net/english/hyogo/hfa-monitoring/?pid:223&pil:1>).

HFA monitoring revealed a disconnect between progress in the five HFA priority areas reported by countries and a simultaneous increase in physical damage to health and education facilities and economic loss from disasters.

A number of issues were encountered in the process of HFA progress monitoring:

- Core indicators were focused on inputs rather than outputs or outcomes;
- There was a focus on reducing existing risks rather than on the generation of new risks or resilience;
- Subjective, not allowing for international benchmarking;
- Core indicators relate to multiple policies and stakeholders, with unclear responsibility and accountability;
- No clear link to the Millennium Development Goals and UNFCCC.

The HFA experiences were incorporated into the design of the monitoring framework under the Sendai Framework for Disaster Risk Reduction:

1. Seven global targets have been established, four of which are outcome-focused;
2. The Framework focuses not only on reducing existing risks but also on preventing new risks and strengthening resilience;
3. The reduction of disaster losses is assessed relative to the size of a country's population and economy;
4. Outcome targets are objective and measurable, allowing international benchmarking of progress relative to a quantitative baseline 2005-2015;
5. Input targets include national and local DRR strategies, international cooperation, multi-hazard early warning systems and disaster risk assessments;
6. Priorities for action refer to specific public policies for disaster risk management;
7. Explicit links to the 2030 Agenda for Sustainable Development and to the Paris Agreement (UNFCCC).

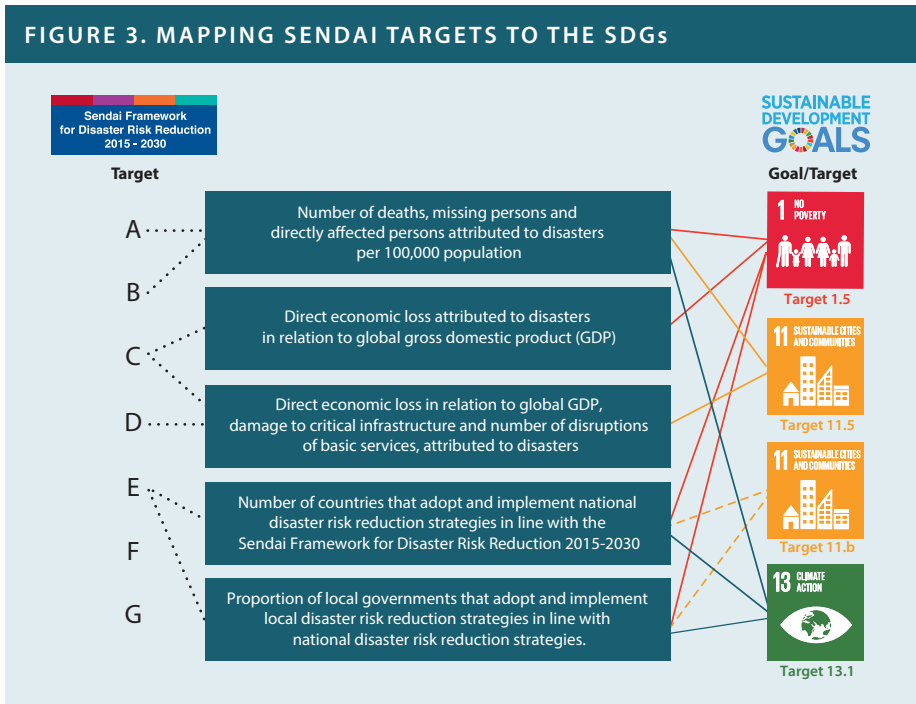
Seven Sendai Framework targets are supported with specific measurable indicators for reduction in disaster mortality, number of affected people, economic loss and infrastructure damage and for enhanced DRR strategies, international cooperation, risk assessment and multi-hazard early warning systems by 2030. The chart of the Sendai Framework can be accessed at https://www.unisdr.org/files/44983_sendaiframeworkchart.pdf.

Progress in implementing the Sendai Framework will be assessed biennially by the United Nations Office for Disaster Risk Reduction (UNISDR) at regional platforms. Analysis and trends will be presented in the Sendai Framework progress report and validated

at successive global platforms. Key outcomes of the global platforms can contribute to the review undertaken by the high-level political forum for sustainable development for which countries are expected to collect data and report on an annual basis. DRR indicators have been included in the monitoring framework under the 2030 Agenda for Sustainable Development.

An Inter-agency Expert Group on SDG Indicators identifies UNISDR as the custodial agency for measuring progress towards enhanced DRR. Five of the key Sendai Framework indicators are used to measure the global targets under the SDGs as well (see Figure 3).

As of January 2018, countries will be able to report against the indicators for measuring the global targets of the Sendai Framework, and DRR-related indicators of the SDGs, using the online Sendai Framework Monitor. The first Sendai Framework progress report is expected in 2019 and will, on an exceptional basis, cover trends in implementation for the two biennial cycles 2015-2016 and 2017-2018. UNISDR conducted the Sendai Framework



Data Readiness Review and presented its findings at the Fifth Global Platform for Disaster Risk Reduction held from 22 to 26 May 2017 in Cancun, Mexico. The review has found that most countries collect a critical mass of disaster loss data required to measure Sendai targets A to D and SDGs 1 (End poverty in all its forms everywhere) and 11 (Make cities and human settlements inclusive, safe, resilient and sustainable), while greater gaps in data availability exist for targets E, F and G. Gaps in data must be addressed by March 2019, for all countries

to be able to report in the first official reporting cycle of the Sendai Framework and build the 2005-2015 baselines required for measurement.

SOCIAL VULNERABILITY ASSESSMENT IN CLIMATE CHANGE AND DRR PROGRAMMING AND EVALUATIONS

One important aspect in developing and evaluating climate change and DRR actions is how to track changes in vulnerability at national, local and community levels. There are a number of tools for measuring gains in community resilience and tracking changes in vulnerability. A new UNDP publication, 'Social Vulnerability Assessment Tools for Climate Change and DRR Programming: A Guide for Practitioners', presented at the NEC 2017, provides an analysis of available social vulnerability assessment (SVA) tools and presents a number of UNDP project case studies piloting different SVA methodologies.

Disaster statistics in the past 20 years show a higher percentage of women, children and other socially vulnerable groups among disaster victims. There is no question that socially vulnerable people are more exposed to and affected by the impacts of climate change and disasters. For that reason, recognition and understanding of the social vulnerability of various groups at the local, regional and country levels can significantly reduce damages and losses and provide the most appropriate interventions for adaptation and risk management. Social vulnerability is most commonly defined as "the differential capacity of groups and individuals to deal with hazards, based on their positions within physical and social worlds"¹³³ or as "the inability to take effective measures to insure against losses"¹³⁴.

Specific categories of the population: (1) may face a higher risk of disasters or climate change, related to the place they are living (e.g., flood-prone parts of the community), crops they are growing (i.e., low cost, low-yield seeds, not resilient to climate change); (2) may have lower preparedness and coping capacities, because they lack capital to invest in adaptation and the decision-making powers to affect public decisions on adaptation; and (3) their resilience/adaptation capacity is lower, because they lack access to economic and social support networks. Different communities and individuals are exposed to different risks of hazard, even within the same district or locality. For instance, many Roma communities live on the outskirts of towns, which may be more prone to flooding. Such exposure is not necessarily linked to the socioeconomic status of a community. However, in combination with access to resources and information, as well as visibility on the policymakers' radar screen and ability to influence decision-making, it can lead to different abilities to respond.

Risk awareness and preparedness are the key elements for strengthening resilience, as they anticipate the potential impact of hazards. However, there are significant differences in

133 Dow, K., 'Exploring Differences in Our Common Future(s): The Meaning of Vulnerability to Global Environmental Change', *Geoforum*, 23: 417-436, 1992.

134 Bogard, W.C., 'Bringing social theory to hazards research: conditions and consequences of the mitigation of environmental hazards', *Sociological Perspectives*, 31: 147-168, 1989.

the levels of awareness and preparedness of different groups and individuals. The reasons for these differences are multiple and may include above all access to information, lack of skills and knowledge for preparedness planning, and lack of resources for preparedness and response measures.

Climate change adaptation and risk management interventions need to be planned, designed and targeted with the clear understanding of the social vulnerability profiles of various groups of beneficiaries. Availability of data on social vulnerability (i.e., obtained from censuses, pre- and post-disaster studies, public surveys, etc.) and the level at which social vulnerability studies are carried out (individual, neighborhood, community, municipality, region, etc.) are critical issues in conducting SVAs for climate change adaptation or DRR programmes. Finally, the tools for assessing social vulnerability have to be chosen for particular programmatic or investment decisions.

Although there are dozens of social vulnerability methodologies used worldwide, they are not systematically integrated into the overall process of climate and disaster risk management. There are a number of methodological issues in defining and mapping the socially vulnerable population among the overall population. Almost all SVA methodologies use parameters, such as household income, gender, age, disability, language, literacy or family status, but still there is a significant problem with data availability (i.e., census, pre- and post-disaster studies, public surveys, etc.). In many countries or regions, the data do not exist, are outdated or of poor quality. Some of the social vulnerability parameters, such as level of education, age, gender, etc., are collected at the individual level, while others, such as infrastructure quality and urban/rural division, are collected at the community level.

The UNDP pilot projects referred to in the new SVA guide addressed various climate-induced threats and impacts, targeting the most vulnerable communities at the country and provincial levels, and focusing on building resilience and ensuring sustainable development. Some of them used census data (Croatia and the Former Yugoslav Republic of Macedonia), some used data obtained through surveys (e.g., Georgia and Kyrgyzstan), while others only used the data obtained through screening and quantification of potential risks in a particular area (Georgia, Nepal, Peru and Uganda studies).

A study of social vulnerability should provide a valid and reliable list of indicators that can classify geographic units of various sizes and levels by their vulnerability to specific natural hazards. Such a study should comprise the following three main stages: (1) indicator development; (2) index calculation and application; and (3) index validation.

The preliminary list of indicators based on the local context and on the screening of the baseline situation should be developed in the first stage. This can be done by desk research, in-depth interviews, Delphi-method, focus groups, etc. The so-called Social Vulnerability Index can serve as a good starting point. In the second stage—index calculation and application—the SVA study will take primary data (mainly from surveys) and/or secondary data (in most cases census data or other data collected by the public administration). A composite social vulnerability index score for every geographic unit should be produced in result. Geographic units can be divided into several groups (e.g., low-risk, medium-risk, high-risk), depending on the value of the index. In the third and final stage, a validity check of the

index will be carried out either through qualitative research with the key informants (such as local experts and stakeholders), or by calculating correlations with the number of disaster declarations in the geographic unit or another available measure of disaster frequency and severity. After validation, the final list of indicators and final index scores is to be calculated. The final data should be provided in numerical form as well as through mapping (i.e., visual representation).

APPLICATION OF SOCIAL, ECONOMIC, ENVIRONMENTAL DETERMINANTS (SEEDS) IN M&E FRAMEWORKS

The SEEDs Equity Identifier is a Microsoft Excel-based tool that incorporates several simple, user-friendly steps to identify the social, economic and environmental determinants of health. The tool is comprised of 26 social, 14 economic and 24 environmental determinants and inequity dimensions in UNDP projects. This comprehensive approach, which takes into account the social, economic and environmental dimensions, enables identification of gaps, overlaps and duplication in programming. These insights delivered through the SEEDs approach can be used to readjust programming and resources for greater impact. The screening forces its users to analyse how a particular development activity or project impacts other development spheres.

Using the tool across projects can help identify potential for synergies to maximize impact with limited resources. The SEEDs Equity Identifier can be applied to rapid assessments followed by the choice or development of a specific monitoring method for a programme.

TABLE 2. THE SEEDS APPROACH

SOCIAL DIMENSIONS	ECONOMIC DIMENSIONS	ENVIRONMENTAL DIMENSIONS	DIMENSIONS OF INEQUALITY	
Access to leisure services	Affordable housing	Access to green spaces	Disability	Marginalized groups
Access to quality education	Economic accountability in governance	Biodiversity	Educational attainment	Marital status
Access to quality health-care services	Economic investments in community development	Ecosystem conservation	Employment conditions	Occupational category
Armed conflict	Employment security	Emergency management	Ethnicity	Place of residence
Child protection	Fiscal measures	Energy efficiency	Gender	Religion
Community and social support	Food security	Exposure to extreme climate events	Household composition	Sexual orientation
—	—	—	Life-course stage (age)	Wealth

UNDP works on integrating issues of climate change and DRR at the country level with the focus on building resilience and ensuring that development remains risk-informed and sustainable. Since 2008, UNDP has supported more than 140 countries in accessing over \$2.3 billion in grant finance to develop and implement climate change initiatives. Globally UNDP invested over \$1.7 billion in DRR over 2005-2014 across 163 countries and territories. Through continuous learning and iterative monitoring and evaluation, UNDP has been investing in developing and piloting new approaches to evaluating its results in and impacts on resilience-building. Efficient learning, knowledge management and enhancement of M&E tools in the context of growing climate risks and uncertainty require partnerships and collaboration among the development community, research and academia, practitioners and beneficiaries of development assistance.

7. Evaluating Progress Towards SDG 16: Effective Governance and Sustaining Peace

ALEXANDRA WILDE

Advisor
UNDP Oslo Governance Centre

SHELLEY INGLIS

Regional Cluster Leader, Governance and Peacebuilding
UNDP Istanbul Regional Hub

INTRODUCTION

In September 2015, Member States of the United Nations adopted a new global development framework entitled “Transforming Our World: 2030 Agenda for Sustainable Development.” It officially came into effect on 1 January 2016 and will run through 2030. The ambition and scope of the 2030 Agenda is reflected in its 17 Sustainable Development Goals (SDGs) and their 169 targets that will be the road map for the efforts of 193 Member States and the United Nations system over the next 15 years.

The 2030 Agenda presents a radical new approach to transforming our world, focusing on the integrated pillars of sustainable development: economic, social, environmental. It is universal, includes issues such as inequality and peace and security, and aims at leaving “no one behind”. It also includes within the framework key elements on democratic governance, peace, security, justice, tackling corruption, promoting participation, access to information and other human rights and institutional capacity which were not part of the Millennium Development Goal (MDG) framework. SDG 16 encapsulates much of this approach and represents a significant additional dimension of sustainable development by comparison with the MDGs. It is likely that this new approach will take different forms adapted to culturally diverse, complex and evolving realities on the ground.

SDG 16 is not only a valuable and important aspiration in its own right, it is also an important enabling goal for the entire sustainable development agenda. The 2030 Agenda will require action to secure peace, deliver justice, promote inclusive participation in decision-making and consolidate effective, accountable and inclusive institutions if the priorities in the Agenda as a whole are to be realized: eradicating extreme poverty for all people everywhere; ending all forms of discrimination against all women and girls everywhere; combatting corruption to increase domestic financial resources; ensuring equal opportunities and eliminating discriminatory laws; securing healthy lives and promoting well-being for people at all ages; integrating climate change measures into national planning;

strengthening environmental governance; and enhancing local and national resilience to disasters.

With such a complex and interconnected agenda, there are also many obstacles to be overcome, both political and technical. These include the lack of capacity or methods on the part of government agencies for implementation, a lack of available data for measuring progress, monitoring and reporting, a lack of space at local level for people to help find solutions to their own problems, and lack of space for civil society and the private sector to promote coherent solutions.

CHALLENGES FOR MEASURING AND MONITORING SDG 16

Unlike many other thematic areas of the 2030 Agenda, producing national data on peace, justice and the effectiveness of institutions is a relatively new area of engagement for national and international actors alike. Few international standards exist for the production of governance statistics, and few countries have experience in producing such statistics. As such, out of the 23 indicators officially adopted to monitor SDG 16, only a quarter (6 out of 23) can readily be measured by countries (classified as Tier 1 indicators).¹³⁵ The rest either do not have an established methodology (Tier 3 indicators) or when they do, data are not regularly produced by countries (Tier 2 indicators).

Proper monitoring and accountability of the 2030 Agenda, in particular on SDG 16, will depend on a significant increase in investments towards improving the availability of quality, reliable and timely disaggregated data, as mandated by the 2030 Agenda. While monitoring is often considered one of the last steps in the policy cycle, the 2030 Agenda makes it clear that preparing monitoring systems should take place before implementation, by asking governments to develop national indicators and a monitoring system as a priority. Doing this provides countries with an opportunity to “ground” the global agenda in national realities and to make sure it reflects their own development priorities. In turn, these systems can be used to monitor the implementation of existing national plans and budgets where this is not yet happening consistently. Since SDG 16 is an enabler goal for the achievement of the 2030 Agenda, the benefits of establishing a monitoring system early on are greater.

In recent years, significant progress has been made in defining goals, targets and indicators related to peaceful and inclusive societies, access to justice and effective, inclusive and accountable institutions. Basic standard methodologies have been developed, for example, for victimization surveys, violence against women, homicide, crime trends, mortality statistics, human rights and rule of law. There are also considerable ongoing data development activities on governance and justice, which can build on global data collection activities and global methodological advances. Nevertheless, concerns have been raised by some stakeholders

135 To facilitate the implementation of the global indicator framework, all SDG indicators are classified by the Inter-Agency and Expert Group on SDGs (IAEG-SDGs) into three tiers on the basis of their level of methodological development and the availability of data at the global level. See “Tier Classification for Global SDG Indicators” at <https://unstats.un.org/sdgs/iaeg-sdgs/tier-classification/>.

about the measurability of peaceful and inclusive societies, access to justice and effective, inclusive and accountable institutions. The issue of what are the best indicators is still controversial, and very likely many supplementary indicators will be defined at country level.

Measuring SDG 16 is technically difficult, political and contested and this can make it difficult to reach agreement on indicators and the most legitimate sources of data for those indicators. The targets within SDG 16 also require using both objective and perception-based indicators. Population surveys can be expensive and subject to bias but both perceptions and experience survey-based data are especially important for understanding governance dynamics.

In countries with limited experience with measuring the effectiveness of governance, the levels of peace and security and the extent of human rights enjoyment, deepening engagement on monitoring can be sensitive and there may be apprehension on the part of the government to measure areas and share the data publicly. In some cases, there is a perception that such transparency can trigger instability. In countries affected by conflict, statistical systems and administrative structures are very often without the infrastructure or the capacities to be able to monitor SDG 16 targets. In other contexts, there may be concerns about the independence of the statistics office in being able to collect and report data. In terms of new approaches, there may be concerns on the part of government that SDG 16-related data produced by non-State sectors is not legitimate and is biased.

THE UNDP NATIONAL SDG 16 MONITORING PILOT

Considering the significant measurement challenges across country contexts, UNDP with partners identified the need for a pilot initiative to help answer a number of questions related to SDG 16 monitoring: How can governments translate this new global commitment into tangible improvements in people's lives? How can governments measure what truly "matters" at country level? What type of SDG 16 data are needed to inform national plans and budgets, and what type of SDG 16 data are likely to influence discussions on the implementation of this ambitious goal? Finally, how can "progress" on SDG 16 be measured in a way that really gives a sense of how life is changing for ordinary citizens?¹³⁶

The pilot project was implemented throughout 2017 by UNDP, in collaboration with the Open Government Partnership and with financial support from the United States Agency for International Development (USAID), to support inclusive processes and methodologies for monitoring SDG 16 in six countries, namely El Salvador, Georgia, Indonesia, South Africa, Tunisia and Uruguay. Additionally, the project included harnessing information from Mexico,¹³⁷ which was not part of the pilot initiative but simultaneously developed a similar methodology in coordination with the aforementioned countries.

136 See Acuña-Alfaro, Jairo, "Monitoring the implementation of SDG 16 for peaceful, just and inclusive societies." *Our Perspective*, UNDP, 4 April 2017.

137 Mexico's initiative was supported by the Ministry of Public Administration and presented to the Specialized Technical Committee of the Information System of the SDGs (CTEODS) and the National Institute of Statistics (INEGI).

The main objectives were threefold:

1. Develop and implement an inclusive monitoring methodology that includes both government and civil society;
2. Make the monitoring process open and transparent and ensure that data are publicly accessible;
3. Using this inclusive approach to SDG 16 monitoring, propel SDG 16 *implementation* by engaging stakeholders not only in monitoring but also in identifying solutions to the challenges revealed in the reporting.

More generally, the pilot initiative sought to identify what types of institutional arrangements work best for a broad array of national stakeholders to collaborate effectively around SDG 16 monitoring, and what types of methodologies can be used to provide a comprehensive picture of progress, such as national scorecards combining the three categories of indicators listed above. It was intended that the multi-stakeholder monitoring approaches could be emulated by other governments as they prepare to report on SDG 16, which will be a core focus of the global SDG review at the 2019 high-level political forum on sustainable development.¹³⁸ There were several key principles guiding the UNDP approach to the pilot and to the methodology that each country applied. These included:

- Monitoring should be nationally owned, country-led and build on country data;
- In mainstreaming the SDGs, the indicators for monitoring should be contextualized, nationalized and localized;
- Local capacities for production and dissemination of data and statistics must be addressed as part of sustaining a monitoring system;
- Indicators and data should capture and include marginalized and vulnerable groups to ensure that no one is left behind;
- Indicators and data should be disaggregated by sex, age, geography, income, race, ethnicity, migratory status, disability and other characteristics relevant in national contexts;
- Innovation and partnerships with non-traditional data stakeholders should be actively pursued;
- The process for establishing a monitoring framework for SDG 16 should be inclusive and engage a broad range of stakeholders;
- Monitoring should be sustained and integrated with policymaking processes.

138 The high-level political forum discusses a set of SDGs and their interlinkages at each annual session, with a view to facilitating an in-depth review of progress made on all the Goals over the course of a four-year cycle. SDG 16 has been slated for an in-depth review in 2019, along with SDGs 4, 8, 10 and 13 (with SDG 17 to be discussed each year).

Three steps in the SDG 16 monitoring project methodology:

The monitoring methodology tested in the course of this pilot initiative was adapted to suit each country's context, priorities and relative experience with governance monitoring. For instance, Indonesia and Tunisia built on their previous experiences with illustrative measuring of governance,¹³⁹ initiated in the run-up to the adoption of SDG 16 (2014-2015).¹⁴⁰

While national adaptations of the proposed monitoring methodology were encouraged, countries consistently proceeded in three distinct stages:

1. **Selection of indicators and baseline data collection**, in consultation with national statistical offices and drawing from international SDG 16 data platforms and national (official and non-official) data sources;
2. **Multi-stakeholder consultations and review of progress**: Joint review by government and civil society of the proposed indicator framework and of indicator results, and joint formulation of broad policy recommendations;
3. **Periodic scorecards**: Periodic tracking of progress using the selected indicators, identifying and addressing data gaps and formulating specific policy recommendations for each target (see illustrative sample scorecard on page 203).

Selection of indicators and baseline data collection:

Three categories of indicators¹⁴¹ can be used when developing national SDG 16 monitoring systems to provide a more comprehensive picture of the specific challenges faced by any given country in implementing SDG 16:

1. Global SDG indicators, as officially adopted by the United Nations Statistical Commission;
2. Other relevant internationally comparable indicators;
3. Country-specific indicators developed either by government through the national statistical system or by non-official data producers such as civil society, research institutions or the private sector.

Multi-stakeholder consultations and review of progress:

The second phase of the pilot project focused on the spirit of inclusive multi-stakeholder consultations for government and civil society to jointly review the proposed indicator framework, and to take stock of SDG 16 progress as measured by the selected indicators. These consultations were also aimed at obtaining multi-stakeholder input towards the

139 <http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/final-report-on-illustrative-work-to-pilot-governance-in-the-con.html>.

140 See UNDP, Final report on illustrative work to pilot governance in the context of the SDGs, 2016, <http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/final-report-on-illustrative-work-to-pilot-governance-in-the-con.html>.

141 This classification of indicators was developed for the purpose of this review. It is not related to the official tier classification for global SDG indicators adopted by the IAEG-SDGs, nor does it represent any other official classification of SDG indicators.

formulation of legal, policy and programmatic recommendations for the implementation of SDG 16. While not all governments had involved non-State actors in their initial design of a national SDG 16 indicator framework (phase 1), they all did so when came the time to assess the robustness of the proposed framework and to analyse the baseline situation as measured by the chosen mix of indicators.

Periodic scorecards:

In this third phase, pilot countries designed scorecards and analytical assessment frameworks to track indicators as well as to identify and address data gaps. They also used indicator results to identify a number of policy, legislative and programmatic recommendations to accelerate progress on individual SDG 16 targets.

Lessons learned from the pilots:

The final report of the pilot project, "Monitoring to Implement Peaceful, Just and Inclusive Societies" (UNDP 2017)¹⁴² summarizes five key lessons important for countries interested in replicating a similar approach:

1. **The national SDG 16 monitoring methodology with its three phases has proven to be a useful way for countries to prepare for implementation and in some cases to report on their SDG 16 commitments in the high-level political forum.** The pilot initiative has already prompted El Salvador and Uruguay to report on SDG 16 in their 2017 voluntary national reviews at the 2017 high-level political forum.
2. **Periodic monitoring is vital.** A one-off baseline-setting exercise will not go very far in triggering policy action for the implementation of SDG 16. Setting up systems that ensure regular reporting on progress is essential if countries are to design effective national SDG 16 strategies and track their implementation over time.
3. **Inclusive and participatory consultations are challenging but unavoidable.** In this new era of public policy formulation where a variety of State and non-State stakeholders expect to be "co-creators" of policies and their associated programmes, the policy formulation process matters as much as policy content.
4. **Data and indicators as a conversation starter.** Platforms, portals and scorecards are useful tools to kick-start and/or deepen national discussions around SDG 16 and what it means in a given national context. Scaling up partnerships with the private sector, civil society, academia and other non-official data producers/stakeholders to complement official statistics where gaps exist strengthens broader engagement in national discussions and national ownership.
5. **Policy development and implementation are the ultimate goal.** When designing indicator frameworks and associated data collection strategies and when

142 See http://www.undp.org/content/dam/norway/undp-ogc/documents/Monitoring%20to%20Implement%20SDG16_Pilot%20Initiative_main.pdf.

filling out national scorecards, stakeholders should not lose sight of the end-goal: SDG 16 data should trigger both action by policymakers and tangible improvements in people's lives.

IMPLICATIONS OF MEASURING AND MONITORING SDG 16 FOR STRENGTHENING NATIONAL EVALUATION CAPACITIES

Monitoring SDG performance, and especially for SDG 16, is not sufficient. Indicators cannot explain how or why change occurred or its significance to different stakeholders such as parliamentarians, citizens, civil society and government policymakers. Evaluation is critical therefore for understanding the results achieved, both positive and negative, and for providing analysis and evidence for reform of national policies.¹⁴³

Evaluation capacities and the engagement from the evaluation community are also critical for dealing with the integrated and interlinked nature of the SDGs. The need for integrated implementation was already among the most important lessons to be learned from the MDGs. With the inclusion of targets for SDG 16 relating to inclusive, just and peaceful societies, the interaction between individual targets is ever more relevant and impactful. SDG 16, with its emphasis on reducing violence, improving governance and institutional capacity, and responsiveness, is foundational for the achievement of several other SDGs and is considered a key enabler for many other SDGs. In some instances, failure to advance progress against SDG 16 targets may undermine the possibility of implementing other SDGs and their individual targets. The SDGs collectively form a complex network of interlinkages and interdependencies of great relevance to designing and implementing workable national SDG plans.

Understanding and exploiting interlinkages, with the support of evaluators, will constitute a critical aspect of developing impactful national plans and strategies for SDG achievement. Evaluation can play a critical role in understanding interlinkages including for the more complex SDG 16. Evaluation practices can draw on methodologies from systems thinking and complexity science to examine whether and how outcomes and impacts are achieved in these highly complex and contextually-dependent circumstances.¹⁴⁴ Tools that enable evaluators to better describe and analyse the boundaries, interrelationships and perspectives involved in complex situations such as soft systems methodology and critical system heuristics causal loop diagrams, system dynamics and outcome mapping are especially important for managing the integrated nature of the SDGs. For SDG monitoring, it means establishing frameworks that will contribute to the evidence base of the strengths of positive and negative interlinkages, providing the evidence base of progress or regress across SDG targets areas and how a particular target in one SDG is contributing to or limits success in other SDG targets.

143 Thomas Schwandt, Zenda Ofir, Dorothy Lucks, Kassem El-Saddick and Stefano D'Errico, 'Evaluation: a crucial ingredient for SDG success', International Institute for Environment and Development (IIED) Briefing, July 2016.

144 Ibid..

In this regard, a key priority moving forward is to ensure that evaluation capacities and systems in international organizations and national authorities have a robust and deep understanding of all the dimensions of SDG 16 targets and their interlinkages with other Goals. Without a solid foundation in SDG 16 and its interlinkages, evaluation capacities and systems will have more limited potential to drive further understanding of the complexities of the SDGs, and what is required for progress in realizing the transformative aspects of the 2030 Agenda.

SNAPSHOT OF A SCORECARD: URUGUAY

In **Uruguay**, the Uruguayan Centre for Information and Studies (Centro de Informaciones y Estudios del Uruguay (CIESU)) designed scorecards compiling the above-mentioned three types of SDG 16 indicators, namely global indicators (i.e., official SDG 16 indicators), supplementary indicators (i.e., global SDG 16 indicators slightly adjusted to optimize measurement in the Uruguayan context) and complementary indicators (i.e., additional, country-specific SDG 16 indicators measuring aspects not addressed by global indicators). Since supplementary indicators are only a “variation” of global indicators, CIESU decided to display these two types of indicators in the same table, while complementary indicators were presented in a separate table. Trends in the evolution of indicators over time are tracked with ascending, neutral or descending arrows. The global tier classification was extended to national indicators, and a colour code was used to classify indicators as Tier 1 (green), Tier 2 (yellow) and Tier 3 (red). Finally, a narrative describes the main actions taken to accelerate progress on each target and lists the responsible actors.

It is noteworthy that Uruguay included a specific chapter on SDG 16 in its 2017 voluntary national review presented at the 2017 high-level political forum, while other countries did not. This chapter explicitly referred to the indicator scorecards produced as part of the national SDG 16 pilot initiative, along with a number of recommendations to improve SDG 16 monitoring and implementation:

*“Recognizing the central character of SDG 16 in the framework of the 2030 Agenda, **Uruguay started, together with five other countries, a pilot initiative with the objective of identifying the current situation in a country with respect to SDG 16, and to discuss and propose national-level indicators and establish a national monitoring system for this Goal.**”¹⁴⁵*

145 See Uruguay 2017 voluntary national review report available at <https://sustainabledevelopment.un.org/content/documents/15781Uruguay2.pdf>. Translation of “Al reconocer el carácter central del ods 16 en el marco de la Agenda 2030, Uruguay se embarcó, junto con otros países, en una experiencia piloto cuyo fin es avanzar en la identificación del estado de situación del país en esta materia, discutir y proponer indicadores nacionales, y transitar hacia la generación de un sistema de monitoreo de este objetivo.”

URUGUAY SCORECARD FOR SDG TARGET 16.1, SIGNIFICANTLY REDUCE ALL FORMS OF VIOLENCE AND RELATED DEATH RATES EVERYWHERE

GLOBAL INDICATORS	INDICATOR SCORE AND DATE (year)	TREND	SOURCE (geographical reach)	SUPPLEMENTARY INDICATORS	DATE (YEAR)	TREND	SOURCE (geographical reach)
16.1.1 Number of victims of intentional homicide per 100,000 population, by sex and age	7.6 (2016)	↓	Ministry of Interior (national)				
16.1.2 Conflict-related deaths per 100,000 population, by sex, age and cause.	0 (2015)	→	Ministry of Interior (national)				
16.1.3 Proportion of population subjected to physical, psychological or sexual violence in the previous 12 months.				Percentage of population that were a victim of violent robbery in the previous 12 months	5% (2011)	↓	National Victimization Survey (national)
16.1.4 Proportion of population that feel safe walking alone around the area they live.				Proportion of population that feel very or rather safe when thinking about the possibility of being a victim of robbery or assault in his/her residential area.	58,5% (2014)	↑	Latin American Public Opinion Project (LAPOP) (regional)

ONGOING ACHIEVEMENTS AND PROCESSES

The establishment of the new Penal Procedural Code (to be implemented during 2017) is a significant reform aimed to have important consequences regarding this target. In addition, the Office of the Attorney General is currently developing the National Inquisitive System of Penal Procedures in Uruguay (Sistema de Información del Proceso Penal Acusatorio de Uruguay (SIPPAU)), with the objective of strengthening coordination with other institutions, including the Ministry of the Interior and the Judicial Branch. Some recent policies from the Ministry of Interior to combat criminality that deserve mention are Problem-Oriented Policing at the preventive level and the High Operation Dedication Programme (Programa de Alta Dedicación Operativa) at the punitive level.

BOTTLENECKS AND CHALLENGES

A first level of bottlenecks and challenge refers to the definition of indicators for the target. In particular, indicator 16.1.3 includes psychological violence, an aspect that is hard to measure. Regarding indicator 16.1.4, the most relevant data are available from non-official sources (LAPOP, for example). Nevertheless, the National Victimization Survey that is currently under implementation (2017) with the support of the National Statistics Institute includes a question on this matter. A challenge would be to ensure the periodicity of this survey in order to capture the evaluation of the indicator over time. Secondly, there are inherent challenges to the implementation of the new Procedural Penal Code. A reform as this requires significant efforts to minimize implementation problems.

RESPONSIBLE IMPLEMENTERS

Ministry of the Interior Judiciary Attorney General	<ul style="list-style-type: none"> • Implementation of the new Penal Procedural Code • Established a defined periodicity for the National Victimization Survey
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NEXT STEPS

To start implementation of the new Penal Procedural Code, the SIPPAU and its coordination with the information systems from the Ministry of Interior and the Judiciary require important efforts by the Government to guarantee its success. On the other hand, the National Victimization Survey should be produced regularly, with periodic support from the National Institute of Statistics.

8. Innovations in Measuring SDG 16: The Case of Liberia

EDWARD MULBAH

Executive Director
Liberia Peacebuilding Office, Ministry of Internal Affairs

INTRODUCTION

The Sustainable Development Goals (SDGs) are a global agenda for transformation which requires that “no one is left behind”. The National Evaluation Capacities Conference 2017 held in Istanbul, Turkey from 16 to 20 October ensured that countries were brought together to participate and share knowledge and experiences related to their involvement in the implementation of the SDGs. Liberia as a post-war country benefited through the participation of five participants drawn from government and civil society organizations who had the opportunities to share experiences, innovations and learning. The conference also helped to build partnerships with some people of the world.

PURPOSE OF THE PAPER

The purpose of this paper is to establish that the Social Cohesion and Reconciliation (SCORE) Index is a useful tool that contributes towards national evaluation capacities if adapted to measure SDG 16. This tool can be used for multiple objectives. It can be used to better understand the roots of reconciliation and the interaction between factors such as truth, justice, social cohesion, reconciliation and peace.¹⁴⁶ It is a predictive and diagnostic tool that measures the impact of peacebuilding and reconciliation programmes and policies and allows data to be quantified and understood in order to increase effectiveness and efficiency. SCORE can be used to measure the capacities of governance institutions. It can further measure the level of trust citizens have in law and order institutions and their capacity to function. The index can disaggregate levels of trust by various demographic measures. SCORE is an innovative assessment tool proposed for measuring indicators of SDG 16 in addition to other tools in existence.¹⁴⁷

146 Predicting peace. The Social Cohesion and Reconciliation Index as Tool for Conflict Transformation (<https://reliefweb.int/report/world/predicting-peace-social-cohesion-and-reconciliation-index-tool-conflict-transformation>).

147 This tool can measure the level of relevance, effectiveness, efficiency, challenges and sustainability of governance institutions and programme interventions. It also can identify conflict prone regions of a country, as well as measure the impact.

SOME CHALLENGES FOR MEASURING SDG 16 ON PEACE, JUSTICE AND STRONG INSTITUTIONS

There are a number of challenges to measuring progress on SDG 16 which must be taken into consideration as efforts are being taken by national governments to report progress. For instance, most African State institutions have yet to comprehensively understand the relationships between governance, peace and security and development. This is even complemented by the lack of standard data collection approaches which should be informed by changing country scenarios, histories and priorities.¹⁴⁸ Measurement of SDG 16 should be based on available, high-quality qualitative and quantitative indicators and there should be resources at country level to define such indicators, which African countries often face as a challenge.

Because SDG 16 is complex, it requires not just good indicators for measurement but also effective participatory planning and constant rigorous political analysis guided by “political will” as positive incentives provided by State authorities which SCORE is capable to address. Results generated from these processes should therefore inform an effective framework that considers perspectives of regional and county-level systems based on a standard approach that monitors and reports on SDG 16. This is however limited if not lacking in most African countries. Further, because democratic values and practices such as inclusiveness, participation and the rule of law differ from country to country, the lack of baseline data to measure progress in these areas make it difficult to assess progress on SDG 16.

Liberia recently experienced increased participation in voting on 10 October to elect the country’s new leaders, but to what extent can this action be translated into improved governance is a question that SCORE will be used annually to assess within the context of good governance. Liberia, like most African countries, has a centralized system, thus excluding and marginalizing the mass majority of the population from decision-making and access to State resources, so that measuring SDG 16 is difficult. Furthermore, unless public resources are fairly distributed for citizens to feel the sense of peace, security and development, debate about transparency and accountability is “mere talk” which poses a challenge to measuring significant progress on SDG 16. Capacity constraints pose serious impediments to measuring all the indicators of SDG 16, which means that African countries should start with a limited number of indicators.¹⁴⁹ It is important for both technical and institutional capacities to be built in the development of comprehensive monitoring and reporting framework in consideration of regional, national and thematic perspectives as an approach. African countries, especially a post-war country like Liberia, do not have the capacity to report progress on all the indicators and targets. Moreover, it is unrealistic to measure progress on SDG 16 based on global indicators because governance, peace and security are influenced by country-specific norms, cultures and social amenities.¹⁵⁰

148 Adedayo Bolaji-Adio, ‘The Challenge of Measuring SDG 16: What Role for African Regional Frameworks?’, European Centre for Development Policy Management Discussion Paper No.175, May 2015.

149 Ibid.

150 Ibid.

WHY USE SCORE AS MEASURING TOOL FOR SDG 16?

Governance, peace and security cannot be measured just by a statistical tool; rather a combination of both qualitative and quantitative measurement tools is needed. Because SCORE adopts both, it therefore has the capability to collect data, analyse, plan, design and monitor implementation of national policies, accountability systems, inclusiveness and the rule of law, and promote inclusive participation.¹⁵¹ It is acknowledged that for any given society to be peaceful, just and inclusive, its governance processes should be based on genuine reconciliation.

INNOVATIONS IN MEASURING SDG 16: THE CASE OF LIBERIA

The Liberia SCORE was completed in May 2017 and was the first to be implemented in Africa. Coming at a critical moment in the country's post-war history, the findings are being used by the Government and the United Nations to formulate peace consolidation policies during the ongoing transition process. It has identified parts of Liberia most vulnerable to fragmented social cohesion during the transition, and its predictive analysis points to policies and practices that can best support the sustaining peace agenda. Liberia SCORE is being used by the Government and partners to monitor the implementation of the Liberia Peace Building Plan and to guide the revision of the Government's Strategic Road Map for National Peacebuilding, Healing, and Reconciliation. The Strategic Road Map was designed to foster coherence of institutions, structures, systems, mechanisms and human resources mobilized to foster national healing and reconciliation and build sustainable peace.¹⁵²

Overall, Liberia's SCORE results showed five predictive models which focused on five outcomes of interest, two of which are discussed below.¹⁵³ The data collection for the Liberian SCORE was carried out by Search for Common Ground while the data analysis and interpretation was done by SCORE specialists from the Centre for Sustainable Peace and Democratic Development. The Liberia Peacebuilding Office is the custodian of the SCORE in Liberia. Liberia is the first country in Africa to use the SCORE methodology. The Economic Community of West African States, the United Nations Development Programme (UNDP) Liberia and the Peacebuilding Office have initiated efforts to institutionalize SCORE in Liberia and West Africa.

The SCORE exercise was carried out in the 15 counties of Liberia. The index was calibrated in March 2016 and the data were collected in April and May; the participants were citizens of Liberia aged 18 years and above. A random stratified sampling method was used to produce a representative sample of the population based on the results of the 2008 Population Census. Among the key findings were as follows:

151 Ibid.

152 The Strategic Road Map for National Peacebuilding, Healing and Reconciliation.

153 SCORE Policy briefs developed by Dr. Ilke Dagli, in collaboration with Dr. Alexandros Lordos and Dr. Yushimiko Owaki who led the SCORE study in Liberia in 2016. Detailed policy briefs available at www.scoreforpeace.org.

1. **Enhancing coexistence and civic trust in Liberia**¹⁵⁴

Considering the turbulent past of Liberia and its multi-ethnic, multi-religious societal composition, one of the key outcomes of interest for SCORE was to enhance coexistence and civic trust in the country. Heat maps were generated, showing differences in the perceived level of coexistence and civic trust across counties.¹⁵⁵ The average score across Liberia is 5.2. In other words, approximately 5 out of 10 people feel negative about progress in reconciliation and/or intergroup harmony and/or feel distrustful or dissatisfied towards civic institutions.

Policies and interventions to enhance coexistence and civic trust should focus on developing existing capacities to improve delivery of State services, foster civic engagement and reinforce socioeconomic improvement, while reducing the propensity for violence and improving the sense of security. To ensure effective and efficient allocation of resources, these policies and interventions should target areas where the likelihood of impact is the highest. In the short and medium term, the SCORE predictive analysis reveals that access to and efficacy of state services and documents, complemented with improved efficacy of national frameworks and social capacity-building processes, would be one of the most effective policy entry points to enhance coexistence and civic trust. On the other hand, policies aimed at promoting constructive civic participation and developing capacities and support mechanisms to foster forgiveness and intergroup healing should be incorporated into long-term programming and strategies.

2. **Addressing violent tendencies and sexual and gender-based violence**¹⁵⁶

SCORE Liberia has assessed aggression in daily life, endorsement of political violence and endorsement of sexual and gender-based violence as the three main components of violent tendencies in order to better understand the societal dynamics of Liberians and drivers of violence. Looking at two of the indicators—political violence propensity and aggression in daily life—at the country level, four broad groups of people are observed. While 57 percent of Liberians express generally peaceful attitudes (aversion to political violence and non-aggressive), approximately 20 percent express both aggression and a strong propensity for political violence. A heat map¹⁵⁷ shows the scores for violent tendencies across the country (by county). Since a score of 0 is not achievable and a score of 10 would mean that every single individual in Liberia is a potential perpetrator, the aim should be to

154 Ibid.

155 See <http://www.scoreforpeace.org/eng/?country=19>.

156 Liberia's SCORE report led by SeeD. SeeD is a peacebuilding think tank, with regional scope, that uses participatory research to support international organizations, local policymakers, stakeholders and peace practitioners to develop, implement and monitor targeted efforts towards social cohesion and reconciliation.

157 See <http://www.scoreforpeace.org/eng/?country=19&year=33&dimension=Violent%20Tendencies&indicator=All&of=all>.

get the county scores as close to 1 as possible. According to the SCORE findings, the country-level average for violent tendencies in Liberia is 1.9. In other words, approximately 2 out of 10 people express violent tendencies in one way or another (aggression, political violence and/or endorsement of sexual or gender-based violence).¹⁵⁸ Based on the SCORE findings, counties such as Grand Cape Mount (score of 4), Grand Gedeh (3), River Cess (2.7) and Lofa (2.5)¹⁵⁹ are identified as areas of concern for interventions in terms of tailoring appropriate and effective policies which would make high likelihood of impact.

SCORE INDEX AND SDG 16

The Government of Liberia has made efforts to domesticate the SDGs in its national development framework, the Agenda for Transformation Framework Successor. The Government is currently working with the Peacebuilding Support Office on a multi-year SCORE programme (2018-2020) which will guide, monitor and evaluate progress on the implementation of the Liberia Peacebuilding Plan. A key dimension of the multi-year programme will be to integrate SDG 16 targets and indicators into national frameworks through the lens of the SCORE methodology. The programme will deliver the following results:

- Robust monitoring and evaluation of the implementation of the Liberia peacebuilding plan;
- Evidence-based and targeted design of United Nations agency and government peacebuilding and conflict prevention programmes, including under the Liberia Multi-Donor Trust Fund;
- Precision tracking of the priority social cohesion indicators, including those related to SDG 16;
- In-depth analysis of causal factors and root causes of the conflict and social fragmentation;
- Robust monitoring and assessment of the implementation of the Liberia Peacebuilding Plan and Reconciliation Road Map.

The table below provides an example of how the SCORE index will add value to the SDG 16 targets in Liberia, in this case the target for reducing violence and the associated indicators. Qualitative measures can be constructed for each indicator and monitored and evaluated over time.

158 SCORE Liberia draft policy brief – addressing violent tendencies and sexual and gender-based violence, Dr. Ilke Dagli, SeeD.

159 See <http://www.scoreforpeace.org/?country=19&year=33&dimension=Violent%20Tendencies&indicator=All&of=all>.

TABLE 1. VALUE ADDED BY SCORE

TARGETS	INDICATORS	VALUE ADDED BY SCORE
16.1 Significantly reduce all forms of violence and related death rates everywhere	16.1.1 Number of victims of intentional homicide per 100,000 population, by sex and age	SCORE will disaggregate societal dynamics related to crime and identify the drivers of violent behaviors at the national and subnational levels
	16.1.2 Conflict-related deaths per 100,000 population, by sex, age and cause	SCORE will predict the drivers of conflict and identify conflict prone regions of the country. It will provide indicators of violence propensity which can be measured year by year. It will also measure the impact of policies and programmes designed to prevent conflict.
	16.1.3 Proportion of population subjected to physical, psychological or sexual violence in the previous 12 months	SCORE will measure the level of societal acceptance of physical, psychological or sexual violence and predict the social and political contexts where violence is likely to occur.
	16.1.4 Proportion of population that feel safe walking alone around the area they live	SCORE will measure the level of trust citizens have in law and order institutions and their capacity to function. The index can disaggregate levels of trust by various demographic measures.

BASED ON THE SCORE METHODOLOGY, HOW DO PRINCIPLES AND PRACTICES OF EVALUATION NEED TO CHANGE?

It is an established fact that national governments do not have the available resources to effectively measure the SDGs. Global stakeholders and evaluators need to adapt new approaches to the evaluation of the SDGs, particularly SDG 16 which is the point of interest, and this should generate new principles and practices that account for common agreement amongst actors at various levels in terms of divisions of their responsibilities at the national, regional and local levels. This is quite necessary because of the complexity surrounding the SDGs, given the types of indicators and the challenges facing national governments. The new principles and practices should call for identifying innovative ways to collect, analyse and use data. The role of UNDP Liberia and development partners is very significant in the process whereby these institutions would need to reaffirm commitments to build and strengthen national capacities. These efforts should create opportunities to build synergies and stronger partnership for sustainable and inclusive growth for “no one to be left behind” as well as strengthening national capacities in exploring new ways to work together with national governments and other stakeholders to effectively measure the SDGs.

WHAT ARE THE IMPLICATIONS FOR NATIONAL EVALUATION CAPACITIES?

Given the complexities around the SDGs with 17 Goals, 169 targets and more than 232 indicators, and with the Agenda 2030 call for global actions, the implementation of the SDGs depends on national context considering the roles of both government and civil society actors. There is complexity of collecting quality and adequate data to make informed decisions using participatory approaches.

A post-war country such as Liberia is even more challenged by national evaluation capacities with no clear policy on evaluation of the SDGs and other sustainable development frameworks. While Liberia does have the Liberia Institute for Statistics and Geo-Information Services, the data and statistical house for Liberia, it lacks adequate capacity for comprehensive data collection system with fragmentation in the current data collection process at national and local levels. Liberia does not at the moment have baseline data for SDG 16, informed by a coherent monitoring and evaluation framework. Because of the challenge of inadequate funding, there is low demand for evaluation and systems for communicating evaluation results to stakeholders. The national Government's demand for quality data to make informed decisions requires building and strengthening national evaluation capacity with further need to strengthen multi-stakeholder partnerships to build synergy with each of the SDGs. Developed countries should be encouraged to provide funding to support countries that are less developed and those in transition based on national action plans. Whatever support should be evaluated against building on accountability in national process.

CONCLUSION

SCORE methodology has the strength to contribute towards national evaluation capacities. As a process framework, it provides robust diagnostic and predictive capacity to assess peace, justice and governance institutions. This is evidenced by the 2016 SCORE study in Liberia, the results of which are helping the Government and partners to design programmes and formulate policies based on empirical evidence. Heat maps demonstrate the level of scores that determine target areas of concerns for policy recommendations and desired programming that would have the greatest impact. With the use of SCORE methodology in Liberia, we were able to utilize an advanced analytical and participatory multi-stakeholder process which is currently guiding the development of an evidenced-based, county-level five-year vision and programmes on national reconciliation. The results are further helping to optimize resource allocations by designing and deploying appropriate interventions that would have the greatest potential for violence prevention and conflict transformation. These interventions are being deployed in geographic areas that show low civic trust as indicated on the heat map, and by designing and implementing the needed interventions citizens would begin to build confidence and trust in governance institutions. If citizens are confident and trust that State institutions have become efficient and effective, then these would be translated into enhanced coexistence and civic trust as a response to measuring the SDG 16 indicators.

The Government together with the United Nations and other partners is attempting to address these issues by the development of a multi-year programme which will be integrated

by SDG 16 targets and indicators utilizing the SCORE methodology. The programme will deliver a number of results including robust monitoring and evaluation of the implementation of the Liberia peacebuilding plan, Strategic Road Map for National Peacebuilding, Healing and Reconciliation, as well as the Framework for Mutual Accountability, a national development document. A second round of SCORE has begun targeting 6,000 individuals across Liberia to assess peace, justice and governance issues.

The evidence-based and targeted design of United Nations agency and government peacebuilding and conflict prevention programmes, including under the Liberia Multi-Donor Trust Fund, are underway, along with efforts to incorporate the SCORE methodology into the institutional capacity of the Liberia Institute for Statistics and Geo-Information Services. Our international partners including UNDP should further strengthen national capacities as a key principle for finding innovative ways to measure the SDGs. Based on the results of Liberia's SCORE in 2016, it is determined that SCORE methodology adds significant value to measuring global indicators, mainstreamed into national processes and programmes.

9. Kyrgyzstan's National Evaluation Capacities: Population Confidence and Rule of Law Indices

ELNURA OMURKULOVA-OZIERSKA

Director, Central Asia Strategic Center for Analysis, Dialogue and Development, External Expert, National Institute for Strategic Studies, Kyrgyz Republic

BACKGROUND

Kyrgyzstan is a young developing country with a history of independence of more than 25 years since the collapse of the former Soviet Union. The dissolution of the Soviet Union posed challenges owing to the breakdown of the entire system, the functions of which are still being restored by governmental institutions with financial, technical and methodological assistance from international organizations, including the United Nations Development Programme (UNDP). The present paper presents a brief description of two recently developed instruments in Kyrgyzstan, the Index of Population Confidence and the Rule of Law Index, as well as a discussion of the present challenges for evaluation.

METHODOLOGY

Index of Population Confidence

The methodology for this Index was developed by a group of independent and State experts with the aim to understand public perception with regard to public institutions. Preliminary data were collected quarterly by the Kyrgyz National Statistical Committee, but for the last two years it has been collected twice per year. Only three questions were asked of respondents:

1. Personal trust of the population towards State and municipal bodies;
2. The level of corruption in the evaluated bodies from the point of view of the respondent;
3. Personal satisfaction of the population with the activities of State and municipal bodies.

However, the results demonstrate a wider picture of the common perception towards State institutions. Therefore, it is difficult to understand the grounds for negative perceptions of certain institutions (mainly related to the security sector) and thus provide specific policies for improvement. However, it must be recognized that this Index was successfully institutionalized at the National Statistical Committee of the Kyrgyz Republic.

Rule of Law Index

In cooperation with the UNDP Rule of Law Programme, the National Institute for Strategic Studies conducted a study on measuring the Rule of Law Index in the Kyrgyz Republic. The methodology of the Rule of Law Index was based on measurement of four factors that were formulated in 31 questions. Those factors are: (1) the limitations of State power; (2) the absence of corruption; (3) order and security; and (4) civil and criminal justice. In 2016, based on the methodology developed, a pilot questionnaire was conducted with 400 respondents among the population in the cities of Bishkek and Osh, as well as in several villages. It is worth mentioning that the idea for measurement of the rule of law situation in Kyrgyzstan was initiated by the Office of President of the Kyrgyz Republic, thus, proving the fact that political will is one of the main components for the country's development.

In the current year of 2017, the geographic distribution of questionnaires was expanded and the total sample of the population was increased to 1,000 people. During both studies and research in 2016 and 2017, in-depth interviews were held with representatives of the civil service, independent experts including human rights defenders, political scientists, judges and lawyers.

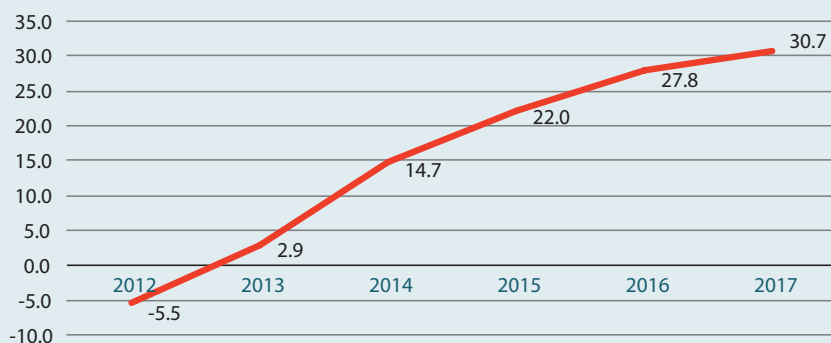
The purpose of the study was to systematically and comprehensively measure the rule of law in the Kyrgyz Republic, contributing to the achievement of Sustainable Development Goal (SDG) 16 by 2030 in "promoting peaceful and open societies for sustainable development, ensuring access to justice for all and creation of effective, accountable and participatory institutions at all levels". The study on measuring the Index included:

1. Monitoring of the dynamics of the judicial reform progress aimed at:
 - strengthening the rule of law;
 - adherence to the principles of justice;
 - equality of all before the law and the court;
 - ensuring transparency of justice;
 - impeccable conduct of judges;
 - increasing the level of confidence in the judicial system;
2. Assessment of the satisfaction of Kyrgyz citizens with the rule of law, manifested through the activities of State bodies and local self-government bodies;
3. Monitoring the dynamics of changes in the mood of society and perceptions of the laws on the part of the population, civil servants and qualified experts.

THE MAIN RESULTS

Since the introduction of the Index of Population Confidence in 2012, the people's perception of and confidence in State institutions have substantively changed, as illustrated in Figure 1.

FIGURE 1. INDEX OF POPULATION CONFIDENCE IN KYRGYZ REPUBLIC, 2012-2017



The results of the Index of Population Confidence are usually discussed during the meeting of the Prime Minister with other representatives of State bodies, and certain instructions and recommendations are usually provided to improve the level of people's confidence towards State bodies.

The Rule of Law Index scoring ranges from -100 to +100, with any score above zero indicating positive public opinion and less than zero meaning that negative attitudes prevail. In 2016, scores were disaggregated between the general population, with a score of +12, and civil service, with a slightly higher score of +15. The index also shows that in general, the rural population assesses the state of the rule of law positively, leading to the overall positive result for the country. In terms of age groups, the most negative assessments were made by those aged 18 to 28 and 65 to 75, that is, the youngest and the oldest generations. The most positive assessments of the situation with respect to rule of law were given by the group aged 41 to 52. The most interesting finding was the disaggregation by level of education. The survey showed that the lower the level of education, the more positively the respondent views rule of law in the country, and conversely, the higher the education level, the more critical the respondent.

Based on the results of the Rule of Law Index, a number of recommendations were developed for the Government to improve the rule of law in Kyrgyzstan. As a result of the pilot study and the 2017 study, the experts developed the following recommendations:

- In order to prevent offenses, the Government should continue its targeted work on legal information and advocacy among the population of the country;
- The Government should continue its work for improved transparency of State and municipal bodies, including law enforcement agencies; strengthen the role of civil society; and carry out measures for monitoring of State and municipal bodies by the public;
- The Government should allocate sufficient financial resources for the reform, development and protection of the prison system;

- For more complete and effective work on the administration of justice in the judiciary, the Government should create conditions for the development of the system of jury trials by civil society.

The results of both indices, in addition to many other instruments for measuring SDG 16, serve as a basis for the continuous fight against corruption and for striving to improve the quality of the public services and the perceptions of the population, among other goals related to this sphere.

It is worth mentioning that quantitative data of both indices is based on public perception. However, the practice shows that for the analysis and evaluation of the situation, for both Indices to measure just perception is not enough to understand the full picture and the challenges facing both government institutions and the population. There is a need for broader understanding of the issues, including the experience of respondents. In this regard, the Central Asia Strategic Center for Analysis, Dialogue and Development and the National Institute for Strategic Studies of the Kyrgyz Republic, with the financial assistance of the Rule of Law Programme Office in Kyrgyzstan, are conducting research on the assessment of public services by the population. During this study, innovative new instruments were used but as in any research, there were certain technical limitations.

CONCLUSION

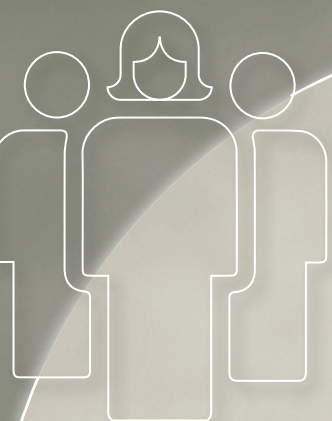
Kyrgyzstan's practice again demonstrated that political will of high-level officials as well as the institutionalization of certain evaluation instruments can lead to better managed reforms in the rule of law and many other spheres.

Among the current challenges to national evaluation capacities in Kyrgyzstan are the low capacities (technical, financial and methodological) of national institutions in terms of monitoring and evaluation, although State institutions are willingly cooperating with international organizations and specialized non-governmental organizations.

Of course, the turn to digital development of the entire State system in Kyrgyzstan, including the transition to a digital society, opens a number of opportunities to improve national evaluation capacities, thus turning "a new page" in national evaluation opportunities. This is quite new for the country and all kind of experience on evaluation capacities from similar countries are very welcome.

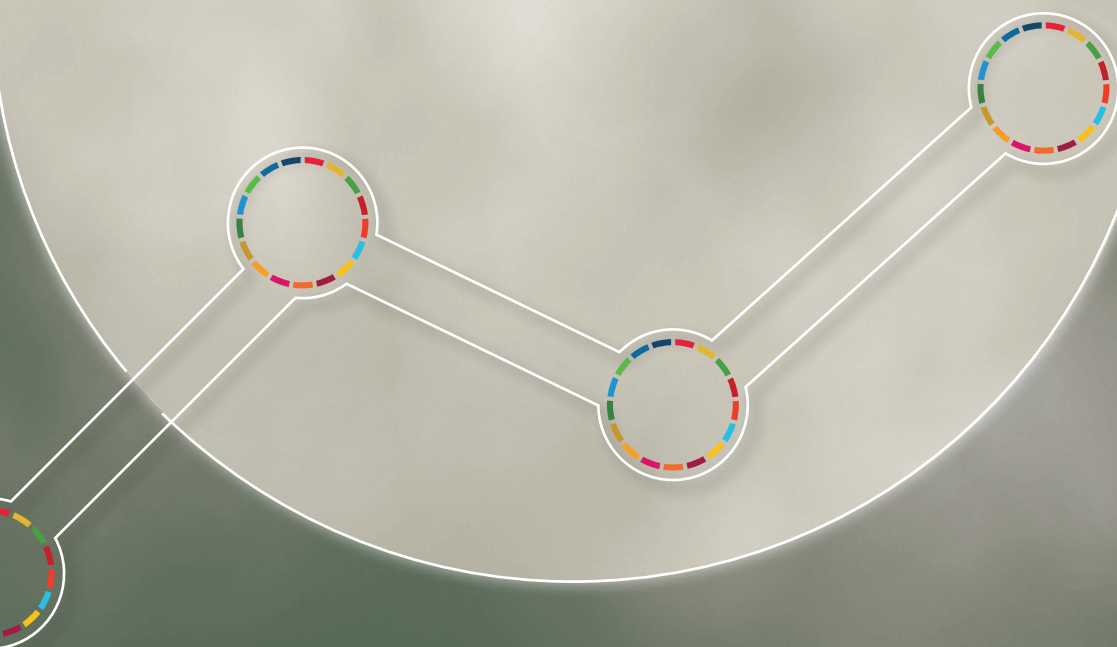
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PART 4

New Directions
in Evaluation



1. Overview

Part 4 discusses new directions, new partnerships and new opportunities for evaluation to grow and remain dynamic and relevant for the 2030 Agenda for Sustainable Development.

The opening set of papers considers the complexity of the Sustainable Development Goals (SDGs) and the implications for evaluation practice from a methodological perspective. The first discusses what is known as the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria and asks whether there is a need to revise them to better respond to the complexity of the SDG review and follow-up processes. The second paper shows that dealing with complexity in an increasingly interconnected world will also require evaluation practitioners to better frame complexity, expand on existing methodologies and social theory, develop new tools and deliver key facts about policies and programmes that are required to contribute to the success of the SDGs. The third paper takes a practical approach and presents outcome harvesting as an alternative to traditional approaches when dealing with complexity, as the method helps to address both the uncertainty and dynamism that characterize complexity.

The 2030 Agenda calls for partnerships for achieving the SDGs, and many sessions at the conference looked at different types of partnerships and lessons to be learned. Several panels and discussions examined evaluation in the private sector, including the role of public-private partnerships (PPPs) in the SDG review and follow-up processes and shared experiences and results in measuring the contribution of the private sector to development. Conference participants and presenters agreed on the relevance of expanding the evaluations of PPPs, harnessing the power of collaboration between the public sector and private companies and learning how to work together on data collection. A theory-based evaluation of PPPs was presented as a promising evaluation approach that would not only address the complexities of PPP programmes but would also expand the toolbox available to evaluators.

Following is a paper which explores multi-stakeholder partnerships and their implications for evaluation practice, methods and capacities, which was the subject of both a pre-conference training workshop and a conference session. The paper concludes that in a multi-stakeholder context, evaluators need to be open to experimenting with less conventional tools and better understand power dynamics, and that evaluations will need to be more inclusive. The following paper, focusing on donor-partner relationships in evaluation and national evaluation capacities, argues that donor requirements may in some circumstances undermine national evaluation capacity development, but in others can have positive effects.

The next set of papers examine partnerships between governments and civil society, society and concur that the dialogue between State and civil society can improve the institutionalization of evaluation and build demand for evidence to inform policy- and

decision-making. There is also agreement on the importance of civil society in bolstering social accountability, on ensuring that public policy is effectively targeted, on bridging gaps in data and on advocating for the needs of the poor and vulnerable. In addition, the authors discuss the capacities of civil society to fulfil such roles, and the strength and breadth of partnership between national government and civil society on evaluation around the SDGs. These papers call for more individual and institutional capacity strengthening and for the governments to ensure space for developing partnerships with civil society. For example, the paper from Cameroon argues that evaluations conducted by universities can serve as independent and credible sources for the government to better target its policies, improve inclusion of women and address key issues of governance. The last paper on the theme of partnerships examines the role of young and emerging evaluators in strengthening national evaluation capacities.

This section concludes with three papers that reflect on data and their use for decision-making. The first explores the potential of new data to fill gaps for SDG indicators, especially Tier III indicators for which there is not yet a standardized methodology for measurement. The paper presents a UNDP data innovation project, as well as pilot initiatives in Albania and the Republic of Moldova, the lessons from which point to the potential of alternative data sources for policymaking. The next paper shares examples from Uganda that illustrate how big data can be integrated into the monitoring and evaluation of development programmes. The final paper in the section discusses SDG 1, end poverty, and the relevance of a multidimensional poverty index in the Dominican Republic. All of these papers point to the need to have reliable data to feed into the design of government policies that improve the living conditions of the populations as well as to measure progress towards the SDGs.

2. Rethinking the DAC Criteria for the SDG Era

CAROLINE HEIDER

Director General
Independent Evaluation Group, World Bank

INDRAN NAIDOO

Director, Independent Evaluation Office, UNDP
and Vice Chair, United Nations Evaluation Group

RIITTA OKSANEN

Senior Advisor, Development Evaluation, Ministry for Foreign Affairs, Finland
and President (2016-2017), European Evaluation Society

SUSANNE FRUEH

Director, Internal Oversight Service, UNESCO
and Chair, United Nations Evaluation Group

PER ØYVIND BASTØE

Director, Evaluation Department
Norwegian Agency for Development Cooperation and Chair, OECD DAC



In 1991, the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) Evaluation Group set out evaluation criteria, five of which—relevance, effectiveness, efficiency, impact and sustainability—continue to be widely used and applied in evaluations today. The United Nations Evaluation Group (UNEG) incorporated the OECD/DAC criteria, which had been in use for years, in the norms and standards that it adopted in 2005. In 2015, the world adopted the Sustainable Development Goals (SDGs). This new agenda for “transforming our world” is of “unprecedented scope and significance”,¹⁶⁰ and the plans for follow-up and review processes include an emphasis on evaluations and data which are of high quality. Development practitioners and evaluators are discussing whether the five traditional evaluation criteria are sufficient for evaluations in the SDG era.

Caroline Heider, Director General of the Independent Evaluation Group of the World Bank, took these questions forward in the blog series, “What Works”, asking, among others, if in the light of the SDGs, shifts in norms and values, increasing complexity and the pace at which technology is developing, “have we had enough of R/E/E/I/S?” and “is relevance still

160 A/RES/70/1, para. 5.

relevant?”¹⁶¹ At the National Evaluation Capacities Conference (NEC) 2017, she led a new discussion, asking a panel of evaluation experts if we need to look at the DAC evaluation criteria and update them, rethink them or implement them differently. This paper presents excerpts from this conversation.

Ms. Caroline Heider: Today's event is not intended to put forth proposals, but rather to engage in a conversation. Are we asking and answering the right evaluation questions? Are these questions strategic? Is evaluation informing a strategic conversation around development and development results, around choices that policymakers need to reflect on? Are we helping with transformational change or are we providing routine evaluations that reflect primarily on things that were done as planned? Are we asking the question: 'Were the right things done or were they done in the right way? Does the local context, does the local value system matter in evaluation and how far are our criteria actually helping to address these things?'

To discuss these questions, we have Riitta Oksanen, the president of the European Evaluation Society (EES). She is from Finland and can speak from a bilateral donor perspective as well as that of the EES.

Next to her is Per Bastøe, the chair of the DAC Evaluation Network, which was at the centre of the discussion and articulation of the criteria in the beginning. He will represent the network in today's discussion, but he is also the Evaluation Director for the Norwegian Agency for Development Cooperation. He has also worked with various development banks. Susanne Frueh is the chair of the UNEG, and has experience with many United Nations organizations, the Inter-American Development Bank and other development and humanitarian agencies. And last but not least, we have Indran Naidoo, the host of the NEC series of conferences and the head of the United Nations Development Programme (UNDP) Independent Evaluation Office.

To begin, reflecting on the past years where we have used the DAC evaluation criteria, what is the one that thing stands out? What did these criteria achieve? In other words, why were the criteria important and what matters about them?

Mr. Indran Naidoo: The main benefit of the DAC criteria has been the resulting consistency of approach in conducting evaluations. An evaluator offers a professional judgement based on evidence. And one can only do so if one has benchmarks. The value added of the criteria is the reference points they provide, which has seen a great benefit in the consistent shaping of evaluations.

Ms. Susanne Frueh: For the United Nations system, the DAC criteria have raised the game in evaluation. The United Nations now uses the criteria in its definition of evaluation. The DAC criteria created a common language, and increased coherence and credibility of evaluations. All in all, the criteria have been a very positive contribution to the field.

161 The complete blog series is published in World Bank Independent Evaluation Group, 'ReThinking Evaluation', Washington, D.C. 2017 (<http://ieg.worldbankgroup.org/sites/default/files/Data/RethinkingEvaluation.pdf>).

Mr. Per Øyvind Bastøe: It is important to note that evaluation is not commonly understood the same way everywhere, and the criteria therefore have real importance. The criteria ensure that we are talking about the same things, not only in evaluations in the development field, but in other fields where evaluations are undertaken.

Ms. Riitta Oksanen: It always has been important to focus not only on the DAC criteria, but to remember that they are an element within a broader set of norms and standards. The criteria guide us on *what* to evaluate, but in addition, there are principles that guide us on *how* to evaluate. These standards guide us on what constitute a high-quality evaluation process and high-quality evaluation products. It is important for me to see the criteria in this context. For Finland, these norms and standards have had tremendous value. We have been able to benchmark our evaluation function against these norms and standards, and we have been able to develop a relatively sound development evaluation function. For a small donor, it has been a huge benefit to have that support from the international community. Without the DAC standards, we would not be where we are today.

Ms. Caroline Heider: Following on from these fairly uniform views—that the DAC criteria provide across-the-board standardization, harmonization, and opportunities to up the game—what are the current challenges and future challenges? Do the SDGs pose a new reality that requires evaluators to rethink how we work or how we value what the development community is trying to achieve and to deliver? The SDGs are a prominent feature in the United Nations now. In the UNEG, there must have been a lot of discussions on the consequences of the SDGs for the United Nations system. In those discussions and for the evaluation thereof, have the criteria been an important topic or are there other things that are more important?

Ms. Susanne Frueh: There has been a somewhat simplistic adoption of the DAC criteria in the United Nations. They are clear and they resonate, but there is more to evaluation than five DAC criteria. For example, in the humanitarian context, following the tsunami response in 2005, we talked about additional criteria such as connectedness, as in connecting emergency response to recovery to development. We also talked about coherence. Thus, we had already started discussions about adapting the criteria. When the SDGs were adopted, the United Nations took the opportunity to reflect on its own norms and standards. The 2005 UNEG norms and standards set out the way United Nations evaluation should be conducted. With the evolution in context and the adoption of the SDGs, we took it upon ourselves to update these norms and standards. It was a painful process, as more than 50 different institutional actors had to agree on what was most important. The norms and standards already were fairly strong on human rights and gender, and we further strengthened these aspects in the revised norms and standards so that they are in line with the SDGs. We had a very healthy debate on the need to address environmental sustainability as a cross-cutting norm or standard. We didn't quite get there, but we recognize that this issue must be addressed. I do believe we still have some other issues to grapple with as well. For instance, the importance of culture. Culture is a driver of change and also an impediment to change. If we miss the cultural elements which effect change, we miss the big picture or miss key information

on how to influence desirable change. The norms and standards should be a living document. We need to improve as we go along and we need to make sure we continue to ask the right questions.

UNEG also commissioned a study in 2016 looking at the SDGs and lessons, challenges and opportunities for evaluation. The report proposed seven new criteria for new evaluations in the SDG era: equity, gender, human rights, inclusiveness, participation and partnership. There have also been calls to include additional criteria for humanitarian assistance and for the environment. This however is probably too broad, and we run the risk of a smorgasbord approach where we try to do everything under the sun and then we don't do anything at the end of the day, or don't do anything right.

But I do think it worth asking the question again, what can we do better, based on the SDGs, and how can we make sure that the principle of "no one left behind" is fully incorporated in all the questions we ask.

Ms. Caroline Heider: The DAC Evaluation Network is the forum where the conversation started. Per Bastøe, do you see a similar conversation happening within the DAC network now? Is the DAC going to step up to the challenge to update the criteria, should that be necessary?

Mr. Per Øyvind Bastøe: The short answer is yes. The OECD DAC Evaluation Network has about 40 different member organizations and it is still an important forum for discussing evaluation standards and criteria. However, it has been 15 years or more since the last round of discussions took place around these basic criteria. In addition, there are many misunderstandings surrounding the criteria. Some see them as a straitjacket, whereby you need to use for all criteria for everything. Others do not fully understand that other standards have also been developed, as mentioned in the discussion of humanitarian evaluation. The criteria are not meant to be a guide everywhere, all the time. We continue to have this debate in the Evaluation Network. However, it is important that EvalNet not be alone in this game. Twenty years ago, it may have been the case, but now all of you need to be involved: United Nations organizations and evaluation societies, the UNEG, the multi-development banks. Evaluators in 2017 are a different group than in the late 1990s. We need to own these criteria as an evaluation community.

Ms. Caroline Heider: It is therefore important to avoid becoming mechanical. Rather, there is a need to keep this conversation alive and adapt. Riitta Oksanen, could you elaborate on the system in Finland? How does Finland's experience inform the discussion on revising the DAC criteria?

Ms. Riitta Oksanen: My belief is that if we had followed the whole set of DAC norms and standard as faithfully as we have the criteria, we would not have as many problems as we do. *How* evaluations are done is important, not just *what* is evaluated. Finland has been able to integrate the 2030 Agenda in its national planning system, building on a long tradition of working for sustainable development. The pre-2015 foundation has been important. This integration has been possible because there is high-level political commitment and a genuine commitment to work together with stakeholders, including citizens and parliament.

However, evaluation is lagging behind. Based on the 2030 Agenda, evaluation has been flagged and understood to be part of the management system. Yet, we are still in the process of trying to understand what it will mean in practical terms. In Finland, we have a decentralized evaluation system where the ministries have their own mechanisms for evaluation. It is only during recent years that public-sector evaluators have started to come together and discuss what a government policy on evaluation, as a whole, would mean. We don't have a central evaluation policy.

To develop a public policy evaluation system in Finland, we don't have the same kind of framework that we had for development evaluation. There are no norms and standards for public policy evaluation anywhere. It would be almost unthinkable for my Government to take the OECD DAC norms and standards, meant for development cooperation, into public policy evaluations.

Ms. Caroline Heider: This is an excellent point at which to turn to Indran Naidoo. Riitta Oksanen has pointed to the idea that the DAC norms and standards apply to Finland's support for development cooperation programmes, but not to their national policies. These NEC conferences are designed to look not only at evaluation of development programmes, but capacities to evaluate all that happens in partner countries. Over the course of the past five conferences, has there been a shift in how we think of criteria, how we talk about criteria and how they might need to be revised or updated?

Mr. Indran Naidoo: From the first National Evaluation Capacities Conference in Morocco until now, the idea has been to create space for conversations with both evaluators and those governments that want to strengthen evaluation. Initially, the focus was on understanding what kind of enabling environment is required for evaluation to happen. Thus, the early conversation was about the utility of evaluation for decision-making. In South Africa, we shifted the discussion to public policy. We then looked at principles with respect to development and at the present event in terms of the SDGs. Of the five conferences, the conversations in Brazil on independence, credibility and use touched the most on criteria. The issue of criteria hasn't been a consistent stream over the last 10 years, but one we would like to address more directly.

With respect to work within my own agency, UNDP, the Independent Evaluation Office uses the DAC criteria in its evaluations of UNDP country programmes, and where necessary, adds in additional criteria, for example in our thematic evaluations. We make explicit reference to the criteria and frame our evaluations around them. UNDP programme units also conduct evaluations, which we refer to as decentralized evaluations. Our office assesses the quality of these evaluations, including with reference to the DAC criteria. Through this process, we see that there is great variation of understanding from the evaluators conducting these evaluations. For example, with relevance, the understanding of relevance by an evaluator in one country may be quite different than another evaluator in another country. This means there is still work to be done, and we are starting a conversation to strengthen a common understanding of the criteria. Now that we are moving towards the SDGs, we shouldn't throw the baby out with the bathwater. The criteria are still important. They still give us a

reference point from which to work. We need to be careful that when we have a deeper conversation, we don't confuse the criteria with principles, norms and standards.

There is also a danger of creeping incrementalism. We add more and more criteria, and reports become longer. Sometimes evaluation reports are difficult to read, because they have a chapter on each criterion, and within that, sub-criteria, so it is almost impossible to read. The principle of criteria remains; what is more important is how we apply them. We want to see this remain on the agenda, including at NEC conferences, to move to total commonality, a similar understanding of criteria, and their use and their methodological application.

Ms. Caroline Heider: I would like to come back to the question of coherence. Riitta Oksanen mentioned the difference between domestic and international development assistance policies, and Susanne Frueh spoke of policy coherence as an issue arising in the evaluation of the tsunami response in 2005. Twelve years on, are we getting closer to policy coherence and evaluating it, or is something standing in our way?

Ms. Riitta Oksanen: The simple answer is that we must. Reflecting on the Finnish experience in development, we have seen the OECD DAC criteria as providing a framework on which we have based our development evaluation work. However, this has always been just a base. Many years ago, we expanded on the criteria in two important areas that we felt were not adequately reflected in the DAC criteria: evaluation ethics; and gender-responsive and human rights-based evaluation processes. We borrowed these from the UNEG norms and standards. Where the DAC criteria did not meet our needs, we looked for other resources.

Finland is a member of the European Union. In the European Union, evaluation of development cooperation work has long incorporated the "3 Cs": coordination, cooperation, and coherence. Finland has integrated coherence into its set of criteria. Note that once again, this applies to international development evaluation. On the national front, we are not there yet.

Ms. Caroline Heider: Turning to the SDGs again, many questions arise. There are synergies between many goals, but there are others that may compete for resources. Labeling the goals "sustainable" may not actually result in sustainability if trade-offs that are necessary to achieve the goals are not considered. People are also questioning how to assess impact and asking if the impact criterion needs to be updated. Indran Naidoo, what are your thoughts? What must we—as an evaluation community—do to address the dual challenge of impact and end results on the one hand, and on the other, synergies either creating or detracting from greater impact?

Mr. Indran Naidoo: First of all, clearly the work of evaluators has become more complex. If we go back 20 years, a lot of the monitoring and evaluation work was done at the project level. The scope was easily defined, the timeline was defined and evaluators could articulate clear findings, conclusions and recommendations. The move towards a globe where there is ever greater interconnectedness and ever more complex movement goes to the question of impact. We use that term very carefully in the United Nations system and within the UNEG, we have had many conversations on impact methodologies. Yet, it is difficult to discern an impact within the time horizon of most interventions in United Nations programmes.

Secondly, with respect to the SDGs, I think we're only now beginning to understand how difficult it is going to be to ensure that evaluation is meaningful for the SDGs. The SDGs are illustrated in 17 boxes that appear to be the same size, but within each of these boxes, there are different constructs and different sources and types of data. In addition, different SDGs interact with different goals. Evaluation criteria—which tend to be static—need to account for dynamic interactions. We as evaluators are not used to doing this. We still tend to think in linear terms, where if you have a good input and good management, you will have a good output, and if you have enough outputs at the project level, they will eventually lead to a programme and policy, and ultimately change the world. However, what do we see? Inequalities remain. Intra-regional inequality has increased. Human rights are not taken as seriously as they should be. The United Nations pushes a normative agenda, advocating for intervention wherever progress towards a better world can be achieved; measuring this is not easy. Formulating the UNEG SDG road map took over a year, as it is so complex.

Ms. Caroline Heider: Another dimension of the SDGs that often gets lost is sustainability. Environmental, economic and social sustainability are embedded in the SDGs, but there are unanswered questions. How do we provide more services but consume less? Take the fairly straightforward dimension of energy: we want everyone to have access to energy, but we want that energy to be more efficient. Are we equipped to evaluate something that doesn't occur? Do our criteria help us do that?

Ms. Susanne Frueh: Indeed, the criteria tend to lead us in terms of what we look for and expect to see. There is a need to move beyond the criteria and to look for what is not visible and also what has not yet occurred. If we cannot look more deeply and understand the dynamics and context of what drives change, we will not be able to provide our professional judgement. I think it is our role as evaluators to help the process. If you ask, for example, what success looks like, success for me as an evaluation community is that we are at the table, that we get to inform the 2030 Agenda and that it is being achieved. We have 13 years to do this. Unless we ask the right questions, unless we unpack and demystify the concepts, unless we look for the interlinkages, we will not be able to do that. We need to step up our game. We need to build on the criteria but we also need to ask the right questions.

Ms. Caroline Heider: To sum up, I would like to ask each of the panel members to take a stance. We are evaluators. We make judgments and we come to conclusions. Given this whole conversation including questions from the audience, do we need to completely reform the DAC criteria? Do we just need to update them, tweak them a little bit? Or do we simply need to apply them better?

Ms. Riitta Oksanen: When it comes to development evaluation, we need to apply the criteria better. We need to use them in a flexible manner given the context. However, a whole different issue is, what should be the criteria whereby we evaluate our public policies. This is an extremely important issue because this is also an issue about power. In this case, what is the right forum for agreeing on those criteria? My feeling is that it is not the OECD DAC.

Mr. Per Øyvind Bastøe: We need to clarify what we mean by these criteria and what we see as evaluation standards. For instance, when we talk about independence, credibility and utility, we also need greater clarity. I do think we need to examine and probably revise some of the elements in the five criteria. For instance, impact is not a clear term. Perhaps it was clear at the end of the 1990s, but I struggle to fully understand what impact is, and what the term implies. We need to revisit the criteria and we need to clarify them. We need to apply them, and we need to understand them. Finally, we need to be pragmatic with respect to this effort.

Ms. Susanne Frueh: Coming back to the baby and the bathwater, I think we should check the temperature and maybe raise the water level or reduce it, but I do believe that we have a good foundation. As Per Bastøe has said, we need to ask some fundamental questions. I think relevance is one of the most misunderstood criteria. We can bring in coherence, we can bring in other issues, we can also look at some of the paradigms such as “no one left behind,” equitable development and sustainability, and as we go through the criteria, weave in everything we need to ask.

Finally, I think there’s an element that many evaluations miss, that is, design. Design is very often the origin of all bad that happens afterwards. Perhaps that sounds a bit technocratic, but I do think that we need to reflect more on why we are doing certain things. Are we doing the right things from the get-go or just coming in at the end of the evaluation to say the design was poor? Can we unpack this to identify additional criteria? For me, the solution is to keep the criteria, refine them, and explain them better. And make sure that the new paradigms are reflected throughout.

Mr. Indran Naidoo: As evaluators, we need criteria. These are important because we need a frame of reference. We need to add as we go along, depending on what the subject and topic is. We definitely need to apply criteria better, unpacking them across space and taking scale into account. An evaluation at the project level is quite different than one at the programme or policy level. Across all levels, we first need to look into the principle of independence, because when we ask the essential question of what an organization is doing, independence makes the message even stronger.

Secondly, we need to take into account mandate. If the organization’s mandate includes a normative element, as in UNDP, which aims for a better life for all, reducing poverty and improving governance, this requires examining principles and norms and identifying the right questions. There are exciting times ahead as we continue these conversations.

Ms. Caroline Heider: From my perspective, we have more work to do. There are incredible opportunities where we can sharpen our evaluation instruments including the criteria. We can use criteria to incentivize different behaviors: when we signal what we evaluate, people pay attention and think about the importance of those criteria. Is this throwing the baby out with the bathwater? I certainly don’t think so. Rather, it is building on the strong foundation that the DAC criteria prepared, while keeping our evaluation practice dynamic and growing with the times, so that we are prepared to serve a strategic purpose all the way to 2030 and beyond.

3. Dealing with Complexity in an Increasingly Interconnected World

MICHAEL WOOLCOCK

World Bank and Harvard University¹⁶²

In this second decade of the twenty-first century, there are ever-rising expectations and demands on the international development community. We have dramatically “raised the bar” ourselves with the passage of the Sustainable Development Goals (SDGs), which commit 193 governments around the world, rich and poor alike, to achieving, by 2030, outcomes ranging from eliminating poverty and hunger to providing quality health care, justice and education for all (at all ages!). The SDGs are not merely “upgrades” from the eight Millennium Development Goals that preceded them but qualitative shifts in scale, scope and complexity; for some they may be “noble,” “inclusive” and commendably “ambitious” but from a public administration and political theory perspective there is a reasonable concern that they establish expectations in certain key domains (more on this below) that the prevailing implementation capabilities of most non-Organisation for Economic Co-operation and Development (OECD) governments demonstrably—at least at current levels—surely cannot realize (Andrews et al 2017). For present purposes, moreover, they place enormous pressure on corresponding evaluation teams, who in due course will be called upon to assess whether indeed the policies and programmes of all 193 governments have yielded outcomes that are “on track” to meeting the 232 “indicators” by which success on the SDGs will be determined.

Beyond the community of development professionals, the world itself is generating demands—whether through stronger citizen “voice” demanding improvements in the quality of service delivery (e.g., in the Middle East; see Brixi et al 2015) or domestic political events whose effects radiate regionally, even globally (e.g., refugee crises, migration flows, trade disputes, civil wars)—that stretch the implementation capability of even the most solvent and experienced public sectors, let alone those whose budgets are threadbare, whose legitimacy is perhaps questionable and who have little collective experience at managing large-scale, deeply complex policy challenges. Thus, on both the “supply” and “demand” sides, governments everywhere face rising implementation challenges borne of interlocking events and expanding expectations, but an abiding concern that their delivery systems for managing

¹⁶² The views expressed in this speech (and accompanying summary text) are those of the author alone, and should not be attributed to the World Bank, its executive directors or the countries they represent.

them—and the corresponding evaluation tools needed to monitor and assess their effectiveness—may not be up to the task, in so doing risking becoming themselves part of the problem (rather than part of the solution). What to do?

Faced with such challenges, one instinctive response has been to fortify the empirical foundation on which development decisions are made. In effect, the claim is that by providing skeptical or risk-averse policymakers with “rigorous evidence” that certain development interventions do in fact “work”, the burden will be lighter upon those tasked with responding to today’s global challenges. In the face of deep uncertainty, it can be correspondingly reassuring when bona fide development “experts” provide what seems to be compelling evidence regarding the efficacy of certain “tools” and “best practices”. While more and better evidence is always a good thing and recognizing the importance of helping decision makers think systematically about their policy options, the very definition of complex development challenges is that neither the core underlying problem nor the appropriate solution is clear, at least *ex ante*. A hammer is great if my problem is a nail, but mostly useless if it turns out that what I actually need is a screwdriver. In complex circumstances, therefore, we don’t need experts selling us hammers; we need partners who can help us nominate and prioritize our problems, shaping them into manageable sizes so that plausible next steps can be discerned. To respond to these problems, in all their almost infinite variety, we probably need a whole box of tools, not just a hammer and screwdriver.

A few further words are needed, however, to describe and define what I mean by “complex” development challenges, since of course doing almost *anything* in development is complex: building roads, irrigating fields and immunizing babies are all really hard things to do—by anyone anywhere. But truly “complex” problems go a step further than being complex in the technical or logistical sense, because roads, fields and babies don’t vote, can’t go on strike, can’t be corrupted, can’t change their minds and can’t wage organized campaigns resisting (or supporting!) what is being done to them. Only people can do these things. Moreover, truly complex problems have people not only as the “objects” of change but the “subjects” by which change is realized: justice requires judges or juries to make discretionary decisions, often on the basis of deeply imperfect evidence (different people might decide differently); emergency health-care workers have to make literal life-and-death decisions about how to respond most effectively to victims of accidents or violence (mistakes can be fatal); to educate a child through high school takes approximately 12,000 hours of face-to-face interaction with people we call teachers, all of whom have to take general guidelines and requirements (“the curriculum”) and decide how to optimally engage with dozens of students, all with different temperaments and learning styles. In such situations, it’s often not at all obvious what the “right” response is; one just has to start by trying *something*, and then work iteratively towards what becomes or emerges over time as the right response.

Evaluating interventions in this space is harder still. Truly complex interventions have no observable “counterfactual”, so standard procedures for doing “rigorous” assessment are essentially impossible. Such interventions unfold over trajectories that are mostly likely highly variable (and non-linear) across time and space, making calls about their impact, in the absence of a defensible theory of change, conditional on the semi-arbitrary point in time

at which the follow-up data is collected. These structural characteristics problematize not only claims to causality (internal validity), but broader concerns about generalizability and scaling-up (external validity)—and it is these latter concerns on which I wish to focus. Methodology per se, even (or especially) “rigorous” methodology, does not solve these problems as manifest in complex interventions. As Nancy Cartwright and Jeremy Hardie (2012: 137) astutely put it,

*the bulk of the literature presently recommended for policy decisions... cannot be used to identify 'what works here'. And this is not because it may fail to deliver in some particular cases [; it] is not because its advice fails to deliver what it can be expected to deliver... The failing is rather that it is not designed to deliver the bulk of the **key facts** required to conclude that it will work here. [emphasis added]*

What are these “key facts” needed to discern whether a given intervention might work “here”, and how might such facts be acquired? Let me suggest that there are three discrete realms of “key facts” evaluators need to acquire, and that these are optimally discerned by integrating evidence via an integrated array of methods.

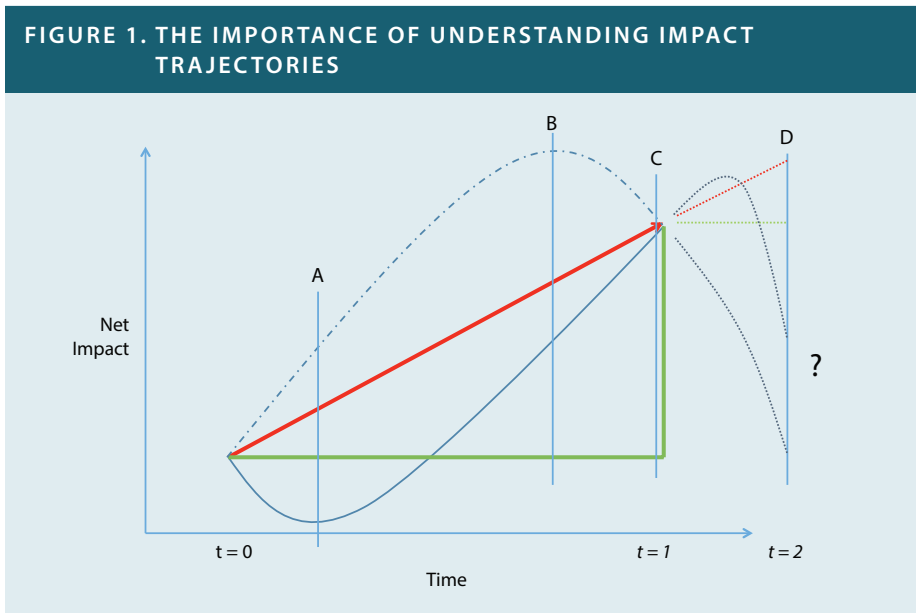
The first such fact, I suggest, is *implementation capability*—can the designated agency tasked with delivering the policy, programme or project actually do so? Even if impeccable evidence from elsewhere strongly suggests that, say, cash transfer programmes or micro-credit schemes have significantly reduced (say) poverty, and your government has decided to prioritize poverty reduction, the introduction of these “proven” interventions from afar are only going to be as good as their implementation. The content and design quality of programmes are obviously important, but these features per se are deeply insufficient for determining the outcomes as experienced by targeted groups. One might be slightly more confident that relatively “simple” interventions will be duly implemented, but the higher the level of complexity—as defined above—the harder (by definition) it will be for the designated agency to implement it, and thus the lower the likelihood that it will be uniformly well implemented at scale. Indeed, this argument, coupled with evidence from simulations (Eppstein et al 2012) and experiments (Pritchett and Sandefur 2015), essentially leads one to conclude that the external validity of complex interventions should be assumed to be zero.

Even so, the pragmatic reality is that policymakers and practitioners engage in external validity challenges all the time—compelling ideas and evidence addressing complex policy problems, no matter where they come from, must be taken seriously. In the face of this imperative, a second key fact for evaluators to consider is what I shall call *contextual compatibility*. That is, given sound design quality, adequate financial and political support and a capable implementation unit, the intervention itself must still enjoy local legitimacy: targeted groups in particular must deem the intervention to be consistent with their values, aspirations and concerns—or, more specifically, the intervention must be a coherent and credible response to a problem that targeted groups themselves have nominated and prioritized. It is for this reason that a given intervention’s claim to being a global “best practice” becomes deeply problematic—if international development “experts” deploy such reasoning as warrant for introducing a particular intervention in response to a complex and contested development

problem (e.g., by claiming that “rigorous evidence” elsewhere regarding the intervention’s efficacy thus deems it a “best practice”, and that skeptical or risk-averse policymakers should thus adopt), then in due course it is highly likely to be either rejected outright or rendered ineffective.¹⁶³ Much work is needed to discern that a proposed intervention is indeed contextually compatible.

The third domain of key facts evaluators of complex interventions need to be aware of is *reasoned expectations* regarding by when outcomes should be discernable. As noted above, complex interventions are highly likely to follow decidedly non-linear (even deeply idiosyncratic) trajectories as they unfold, meaning that, absent knowledge of where an intervention should be by when, claims about “impact” are going to be contingent on the semi-arbitrary point at which the evaluation is conducted. Per Figure 1 below, an evaluation team conducting its assessment on four different interventions at points “A” or “B” would reach four different conclusions about the effectiveness of each one, ranging from outstanding success to actively making things worse. Once one relaxes the assumption—which is otherwise ubiquitous in evaluations of development interventions—that the change trajectory is monotonically linear and increasing, then it should be apparent that almost *any* judgement call about efficacy (and thus generalizability) is dependent on engaging with reasoned expectations about what one would expect—on the basis of experience, evidence or theory—to have happened after a particular period of time.

In short, if your intervention (say, justice reform) entails high levels of discretion and face-to-face interaction, requires considerable implementation capability, has low contextual



163 See Bridges and Woolcock (2017) on such outcomes in public sector reform in Malawi.

compatibility and unfolds along an uncertain trajectory, then making singular claims about impacts that are solely attributable to the intervention's design characteristics per se is deeply problematic, as is the capacity to generalize about the intervention's likely impact elsewhere, and/or at scale. *In this space, case studies and process tracing are essential tools for evaluators (or at least for key members of the evaluation team.)*

Let me conclude with several important implications and applications that I think follow from what I've argued here. First, evaluators (and researchers more generally) should take the analytics of external validity claims as seriously as we do internal validity. At present our profession functions at graduate-school level on the latter but at kindergarten level on the former; indeed, too often we (erroneously) presume that the "more rigorous" our identification claims, the stronger the warrant this provides for making claims about generalizing and scaling up. But that is just not so; even our identification strategies are suspect, it seems to me, if we have not adequately made impact claims conditional on knowledge (or reasoned expectations) of likely impact trajectories over time. Identification is just one issue among many needed for policy advice.

Second, evaluations need to expand the (vast) array of social science tools available for rigorously assessing complex interventions. Within *and beyond* economics, RCTs [randomized control trials] are just one tool among many. New literature on case studies (Gerring, Goertz), QCA [qualitative comparative analysis] (Ragin), complexity (Ramalingan, Kaufmann) and especially "realist evaluation" (Pawson, Tilly) need to be taken vastly more seriously than they are if we are to adequately engage with complex interventions. Third, all policy professionals need to figure out how to make implementation cool; it really matters—any intervention is only as good as its implementation. Learning from intra-project variation is key way in which this might be done; projects themselves should be seen as laboratories, as "policy experiments" (Rondinelli 1993). Evaluators also need to promote greater understanding of *how*, just not whether, interventions work—this will entail forging a stronger focus on mechanisms and theories of change. Fourth, no matter if the primary concern is internal or external validity, claims about the efficacy of complex interventions cannot be undertaken in the absence of what we might call a "counter-temporal" (not just counterfactual): that is, a reasoned sense of where we should expect a given intervention to be after a certain time period.

Fifth, and finally, no one in the business of assessing complex interventions can (or should want to) avoid the imperative to generalize and scale up (or not). We already have interesting documents with examples of local successes that failed when scaled up (business registration in Brazil), of mediocre local projects that, at scale, became a national flagship programme (community development in Indonesia), of projects that, *on average*, had little impact but, upon further interrogation, had positive effects for some groups and negative effects on others (livelihoods project in India). What we need to know in each of these instances is *why* and *how* such outcomes prevailed; deploying a mixed methods evaluation strategy in dialogue with social theory can provide fruitful avenues by which to find and share answers.

Thank you very much for the opportunity to be with you, and to share some thoughts on this important topic.

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4. Three Questions to Support Dealing with Complexity Under Real World Constraints¹⁶⁴

RICARDO WILSON-GRAU

Independent evaluator
Consultoria em Gestão Empresarial Ltda

INTRODUCTION

I came to consciously cope with complexity 15 years ago as I began to develop, with colleagues,¹⁶⁵ the Outcome Harvesting approach to evaluation.¹⁶⁶ This approach has proven to be useful when applied with one or more of these four purposes:

1. Monitor the implementation and evaluate the outcomes of an innovative approach to an intractable challenge or to a new, emerging problem;
2. Provide evidence and insights on the outcomes achieved by a goal-oriented project, programme or organization that was launched without pre-defined objectives or even pre-determined activities beyond the short-term;
3. Learn about the changes in societal actors' behaviours (i.e., outcomes) that an intervention influences (but does not control) directly but also indirectly;
4. Evaluate an intervention that underwent so much change that it is not useful to assess what it did and achieved against what was originally planned, as is customarily done in evaluation.

Each one of those uses is laced through with the uncertainty and dynamism that characterize "complexity". Over the last 10 years or so, the term has become a buzz word in social change and development. Therefore, first, I will begin by explaining the understanding of complexity

164 Write-up of presentation in panel Session 19: New Directions: Dealing with complexity in evaluation under real-world constraints, National Evaluation Capacities Conference 2017, Istanbul, Turkey, 20 October 2017.

165 Bob Williams is the colleague from whom I have learned just about everything I know about systems thinking. His comments on this text were invaluable but of course in no way does this mean he fully agrees with my understanding of complexity.

166 See the website (www.outcomeharvesting.net) and the Outcome Harvesting Forum (<http://bit.ly/2eU0AhN>) that I sponsor.

that has proven useful to me as an evaluator.¹⁶⁷ Second, I will share the three questions I have found useful for framing an evaluation of a complex intervention, with an example.

A big word of caution. There is a wide range of contentious meanings given to the concept of “complexity” that I know send shudders through complexity scientists. Although I have been interested in complexity for 15 years, I am not a student of the field and much less an expert. What I will present is solely those aspects of what I understand to be complexity that have proven useful to me. For a full explanation of complexity in relation to evaluation, I suggest beginning with Jonny Morell.¹⁶⁸

IDENTIFYING COMPLEXITY

Let me begin by explaining how I understand the opposite of complexity: a *simple* situation (Exhibit 1). If you are on the shore of this body of water and want to reach the island, with the information you have at hand about your own resources and the challenges in front of you, you can fairly well decide what is the best way to get to the island—swim, rowboat, motor boat. You can also set a reasonable time for arriving at that goal. That is, you can readily make decisions about the challenge in front of you and the best course of action. The reason is that the *relationships of cause and effect* between what you will do and the results you will have are *known* at the moment you are planning to take action. This is a simple situation, which does not mean that swimming to the island will be easy.

EXHIBIT 1. A SIMPLE CHALLENGE



167 My understanding of complexity comes from two seminal thinkers. One is the late Brenda Zimmerman who is renowned for adapting Ralph Stacey’s ideas to explain complexity in terms of uncertainty and disagreement (Zimmerman, 2001). The other is Dave Snowden of Cognitive Edge whose Cynefin framework serves to make sense of complexity in order to take management decisions (Snowden, 2017). I realize both authors present views about complexity that are not universally accepted in the complexity community.

168 Email jamorell@jamorell.com, Blog <http://evaluationuncertainty.com/> and YouTube channel <https://www.youtube.com/channel/UCqRIJjhqmy3ngSB1AF9ZKLg>. Particularly relevant is Funder Evaluator Dialogue on Complexity (September 2017).

In a simple situation, logic models and results-based frameworks make a lot of sense. You can plan with considerable confidence what resources you need in order to carry out the activities that will produce outputs to influence outcomes and eventually have the impact you wish to achieve. At the moment of monitoring or evaluating, you can assess the plan against performance in order to determine if you have been efficient, and the results against the plan to see if you have been effective. For example, running an annual polio vaccination campaign, managing a literacy programme, building a road or constructing schools usually are interventions with tried and proven models for how to do it. Evaluating the original plan will provide you with the information you need to decide the merit, worth or significance of the process and the results.

In a complex situation (Exhibit 2), however, at the moment of deciding how to get to the island that you know is in front of you, you are very hard pressed to decide if swimming, rowing or a motor boat is your best bet, and much less are you able to calculate how long it will take you to reach the island. That is, you cannot decide on just what is the challenge or on how to tackle it, if not both. That is, at the moment of deciding what to do, the *relationships of cause and effect are unknown*.

EXHIBIT 2. A COMPLEX CHALLENGE



Because of the uncertainty and dynamism, your initial plan will necessarily change. By the time you get started, more or fewer resources may be required because things will have changed—the storm intensified or abated. In fact, your original plan may be shelved altogether if the storm blows over before you start. For example, in an advocacy campaign to address a new health issue, there are no models. You have to create a solution. Some planned activities will bear fruit, others will have to be abandoned as the need for unplanned activities emerges. There will be unanticipated outputs and outcomes—and some activities will never have results at all! Thus, the greater the unpredictability when planning and implementing, the more you require a different evaluation approach that will take into account unintended developments and outcomes.

THREE QUESTIONS TO SORT OUT COMPLEXITY'S IMPLICATIONS FOR AN EVALUATION

How to bridge this conceptual or abstract understanding of complexity compared to simplicity, and its implications for an evaluation? I find it useful when discussing terms of reference with the primary intended users of an evaluation to explore three interrelated questions, the answers to which when considered together add up to a picture of the unpredictability the intervention faced or faces.

When planning or during implementation, to what extent did you or your team:

1. **Disagree about what was the development problem or challenge you were facing?**

In over 50 evaluations in which Outcome Harvesting has proven useful, I have found that at the moment of planning their interventions, the implementers often faced substantial disagreement about the nature of the problem they wished to solve or the development challenge they wanted to address. For example, civil society organizations (CSOs) attempting to directly influence change and development funding agencies who work to influence change through their grantees, disagreed about the political and economic dimensions of, for example, eco-health, human rights or poverty and injustice. This was because they were working in very different national and regional contexts.

2. **Disagree about what was its solution?**

In other cases, there was agreement about the problem or challenge but considerable divergence of opinion about what to do about it. This was true whether the CSOs or donor agencies faced endemic problems such as violence against women or relatively new issues such as information technology and communication, climate change, water management or deforestation. In these instances, where there were no tried and proven models, they had to innovate and experiment to discover what would work and understand why.

Of course, I also found disagreement about both the challenge and the action to be taken as well.

3. **Were uncertain about what will be the results of your actions to solve the development challenge?**

In any of these disagreement scenarios there will be considerable uncertainty about the results. Nonetheless, even when there was considerable agreement about the development challenge and what to do about it, there often was still high uncertainty about what will be the effects of an intervention. For example, in all the evaluations I have done, the commissioners agreed that either their original plan had been overtaken by changes in the environment in which they were being implemented, were too general in their definition of expected results, or simply did not exist in any evaluable form.

The greater the disagreement about the problem, what to do about it and, in any case, the uncertainty about what will be the results, the more appropriate an alternative way to evaluate will be. Although of course it is far from being the only possibility, Outcome Harvesting has proven to be useful in these situations of substantial unpredictability.

A CONCRETE EXAMPLE

To exemplify, I used Outcome Harvesting as an inquiry framework to begin a developmental evaluation with an intervention to create a regional peace-building programme. The team had carried out a year-long desk review covering 146 actors operating in the region and interviewed 21 organizations. They found there were simply no best practices or even best principles for doing regional peacebuilding in that part of the world. Thus, they recognized the considerable lack of agreement amongst the team members about the nature of the challenge the organization faced to develop an effective regional programme for building peace was not unreasonable.

On the other hand, there was considerable agreement within the team on what this action-research organization with an ecumenical mission could do (and would not do) to attempt to contribute to effective regional peacebuilding. Although they had found great conceptual and empirical differences amongst the peacebuilding initiatives by other similar, non-State actors, “capacity-building” was a common strategy that others had tried. They learned that locally owned and supported initiatives work best, a finding that echoed their own experience in using training as an intervention component. Furthermore, initiatives by State actors in the region shared a remarkable record of cordial and cooperative inter-State relations. In fact, inter-State conflicts, compared to the rampant intra-State conflicts, were relatively rare and bilateral and multilateral cooperation among the governments in the region was on the rise. Similarly, continental and subregional intergovernmental actors were successfully cooperating on trade and economic integration, which were considered as contributing to an enabling environment for regional peace and security.

Therefore, they agreed that a capacity-building programme with State actors was what they could do to address the problems of conflict and insecurity in the region. Nonetheless, the team had little certainty about what would be the results because in their own experience and that of the sources of their research, there were no consistent, discernible patterns of success of training programmes for regional peacebuilding.

Thus, there was disagreement in the team about the problem but considerable clarity of what the organization could and should do. There was agreement about which categories of social actors the intervention should explore influencing through its activities and outputs but the specific changes they could aim to influence in these actors—the outcomes—were unforeseeable. Everyone, including their donors, accepted that they could only reasonably plan activities and outputs for the first 12 months. The organization decided to use Outcome Harvesting as a monitoring tool, simply tracking actual changes in societal actors they influenced (i.e., outcomes)—instead of worrying about predefining indicators. They then reflected back every six months to understand the process of change they were influencing as it emerged.

In sum, in my experience, unknown relationships of cause and effect between what an intervention plans to do and the results it will achieve poses a serious challenge to evaluating development and social change initiatives but one that can be overcome. When there is a considerable degree of disagreement about the challenge they face or what to do about it and uncertainty about what the results will be, innovation in planning, monitoring and

evaluation is required. Objectives and the paths to achieve the desired results are largely unpredictable, and strategic plans must be modified over time to adapt to changes in the context. To identify and understand what has been achieved and how, implementers and evaluators can opt for goal-free methods from the systems field, the organizational development field, the strategy field and the evaluation field.

5. The Sustainable Development Goals, the Private Sector and Evaluation

INTRODUCTION

According to the 2030 Agenda for Sustainable Development, this “journey will involve Governments as well as parliaments, the United Nations system and other international institutions, local authorities, indigenous peoples, civil society, business and the private sector, the scientific and academic community—and all people.”¹⁶⁹ The Agenda further recognizes that “private business activities, investment and innovation are major drivers of productivity, inclusive economic growth and job creation” and calls “upon all businesses to apply their creativity and innovation to solving sustainable development challenges.”¹⁷⁰ The United Nations General Assembly resolution includes a section on follow-up and review of the implementation of the Agenda, and with respect to national reviews, notes that “such reviews should draw on contributions from indigenous peoples, civil society, the private sector and other stakeholders...”¹⁷¹

The European Evaluation Society (EES) has recognized the central role that private sector entities play in the economy and in society, but has also observed that private sector interventions are not routinely subjected to systematic evaluation scrutiny. The EES Thematic Working Group on Private Sector Evaluation unites evaluators working in this field, and examines what makes private sector evaluation different from evaluating public sector entities.¹⁷² The United Nations Development Programme (UNDP) Istanbul International Center for Private Sector in Development (IICPSD), established in partnership with the Government of Turkey, supports the private sector and foundations to become transformative partners for development through research, advocacy and facilitation of public-private dialogue and partnerships. The National Evaluation Capacities (NEC) Conference 2017 brought together evaluation experts from the EES Thematic Working Group, development practitioners from the IICPSD, and private sector actors to introduce a new theme: the Sustainable Development Goals (SDGs), the private sector and evaluation.

169 A/RES/70/1, para. 52.

170 A/RES/70/1, para. 67.

171 A/RES/70/1, para. 78.

172 <https://europeanevaluation.org/community/thematic-working-groups/twg-3-private-sector-evaluation>.

THE SDGs AND THE PRIVATE SECTOR: HOW ARE COMPANIES MEASURING THEIR CONTRIBUTION TO DEVELOPMENT?¹⁷³

According to Marcos Neto, Director of IICPSD, the estimated “price tag” of the 2030 Agenda is in the range of \$5 trillion to \$7 trillion. This means that the SDGs cannot and will not be successfully implemented and achieved without the private sector. This is not only because of financial resources, but also the innovation, dynamism, technology and innovative methods offered by the private sector. However, while business is essential to the SDGs, business models need to adapt. Over the past 20 years, business has been linked to development primarily through corporate social responsibility or through charity. While these approaches will continue, it is through core business operations that a maximum contribution can be made. Thus, for a truly transformative agenda, businesses need to become profitable, socially inclusive and environmentally sound, all at the same time. To do so, the private sector needs to see the SDGs as a business opportunity. Many companies are starting to do so.

Business Call to Action (BCtA)—a multilateral alliance including the Ministry of Foreign Affairs of the Netherlands, the Swedish International Development Cooperation Agency, the Swiss Agency for Development and Cooperation, the United Kingdom Department for International Development, the United States Agency for International Development (USAID) and UNDP (which hosts the BCtA secretariat)—comprises over 200 member companies committed to improving the lives and livelihoods of millions of people in developing countries through access to markets, financial services, affordable health care, water and sanitation and other services.¹⁷⁴ BCtA challenges its members to develop inclusive business models, i.e., businesses that provide benefits through their core business activities to people living at the base of the pyramid, as consumers of their services and products or as partners in their value chains as producers, suppliers, distributors or employees.

This leads to a question about measuring the actual impact of businesses on progress towards the SDGs. If businesses are essential, and many are already claiming to play this critical role, how do we know that they are achieving these social goals? Where is the evidence that can be given to governments to encourage appropriate tax incentives or other measures that would further incentivize private companies? How can data be collected simultaneously to improve business processes and be used to show progress towards the SDGs or to influence government policy? The SDGs have increased the demand for data to demonstrate how businesses are impacting sustainable development. The BCtA working hypothesis is that impact measurement, or evidence of contribution to development results, has to be integrated into regular business models.

173 This section summarizes messages from the panel discussion at the NEC Conference with Mr. Marcos Neto, Director, UNDP, Istanbul International Center for Private Sector in Development; Mr. Asher Hasan, Founder & CEO, Naya Jeevan, Pakistan; Mr. Prateek Ahuja, Regional Manager, Medtronic, India; Ms. Gonca Ongan, Managing Director, Koç University Social Impact Forum, Turkey; and Mr. Tomohiro Nagasaki, Impact Team Lead, Business Call to Action.

174 For more information about BCtA, see <https://www.businesscalltoaction.org/about-bcta>.

Two examples of how this can happen were provided at NEC 2017 by Naya Jeevan in Pakistan and Medtronic in India, both engaged in the field of health. Naya Jeevan partners with large corporations and multinational companies to identify low-income stakeholders in their value chains, such as small-holder dairy farmers providing milk to dairy companies, or small or medium-sized enterprises (SMEs) retailing goods on behalf of a large company, or even domestic workers employed by an executive. Naya Jeevan creates a pool of these low-income people and negotiates with large health insurance companies to obtain the best possible health plan coverage. In addition, recognizing that most of Naya Jeevan's clientele need good quality health care close to their places of work or residence, the organization also engages in delivering health care through primary care physicians and community health workers.

The theory of change underlying Naya Jeevan's approach is that for a community to emerge from poverty, there are two essential elements: the ability to generate income and the protection of income-generating assets. The most important income-generating asset is, according to Naya Jeevan's founder Asher Hasan, the human body, thus the focus on health insurance and health care. The health insurance plan is primarily hospital-based, but feedback from Naya Jeevan's customers indicated over the years that what they really need is access to good quality care close to home or their workplace. The company piloted a new service, providing 24-hour primary-health-care benefits through women doctors who work from home, providing services through video consultations. Nurses and community health workers are placed in factories, corporate offices or community centres. These health workers help patients connect to the doctors using technology. From the perspective of the SDGs, the benefits of the programme are multiple, as the community health workers had been trained through government programmes but were underemployed. Similarly, women doctors face exclusion in the workforce due to sociocultural barriers or family care responsibilities. This reintegration into the workforce of underemployed doctors and health workers also contributes to SDG 5, gender inclusion and gender empowerment.

Naya Jeevan has sought to assess the contribution of its health-care delivery programme. Using mobile phone-based technology to gather data, the company compared selected health outcomes of two populations, one being primary workers affiliated with a large company with the health programme that is also extended to spouses, children and parents, and the second being a similar group affiliated with another multinational company that did not have access to the programme. The survey showed that the members of the group benefiting from the programme have become significantly more engaged in their own health-seeking behaviour, because they had a health coach or health resource close to home or their place of work, and there was a ripple effect within their community as well. Naya Jeevan is now sharing the findings with federal and provincial governments with a view to enhancing health-care delivery in the public health-care system.

Medtronic, in India, launched a programme called Shruti in 2013 designed to provide low-cost ear health care to poor populations with limited access to or ability to pay for ear care, and for whom hearing loss can impact their capacity to earn a living. The company developed a portable otoscope and trained community health workers to screen patients

and transmit patient files to a server where an ear, nose and throat surgeon can review the file from his/her clinic or hospital and recommend a course of action. Additional services were then built around the initial model. With support from BCtA, Medtronic has been assessing if its approach to targeting communities is working, if screening and subsidizing treatment are leading to ear care that can improve the quality of people's lives in the long run. They wanted to ensure they were on track to developing a social business, and not just a social programme. Prateek Ahuja, Regional Manager of Medtronic, shared that a social business does not have to generate large margins, as even small margins can lead to sustainability, but it does need to make business sense.

Nevertheless, there are limits to private sector models for the SDGs. Beneficiaries of the Naya Jeevan programme have an average income of approximately \$10 a day, and participation in the health plan is about \$1 a month, or 1 percent of their monthly income. As the Naya Jeevan founder shared, these working poor can afford \$1 a month. However, the ultra-poor cannot even afford that, and government programmes, foundations or corporate social responsibility programmes need to address the needs of this population.

Private sector actors may also need to develop new capacities to assess and adapt social businesses. Gonca Ongan, Managing Director of Koç University Social Impact Forum, Turkey, notes that many businesses and grass-roots organizations need support to develop the knowledge and skills necessary to manage and assess social impact. The Social Impact Forum helps organizations articulate their theories of change, do outcome mapping and articulate indicators, as well as integrate social value principles into their work. Translating technical resources into local languages and simple terms is another important step to reach small businesses and organizations.

There are other challenges to impact measurement. As in the development sector, conducting rigorous randomized control trials is challenging as there are so many variables. However, as is the case for development programmes, having a theory of change to identify variables under a company's control and external factors beyond its control allows companies to understand what they can and cannot claim in terms of their contributions to results. Accounting for unintended, negative impacts is also a challenge, one that independent evaluation could help assess. In terms of opportunities, the private sector may have a much larger sample in which to test its models. Naya Jeevan and Medtronic both reach 300,000 people, still only a very small percentage of the populations of Pakistan and India, but an outreach much greater than most pilot development projects.

Finally, according to Marcos Neto, on the policy front, there is great potential for governments to point to the market place and indicate the type of business models they value.

THE SPECIFICITY AND DYNAMICS OF PRIVATE SECTOR EVALUATION

Two members of the EES Thematic Working Group on Private Sector Evaluation, Raghavan Narayanan and Fredrik Korfker, led one of the pre-conference training workshops as well as a conference session introducing participants to the specificity and dynamics of private sector evaluation. The introduction to the workshop pointed out that multilateral development

banks (MDBs) undertake interventions in developing countries through both the private and public sectors. Overall, as compared to the private sector, MDB support to the public sector is still dominant, although private sector interventions have shown steep growth in recent years. While public sector operations are often initiated by the MDBs in cooperation with national or local governments, private sector interventions involve corporate sponsors which control their project initiatives. The relationship of sponsors with the MDB is often long-term, as indicated by the current client-oriented model and strategic intent of the two MDBs that specialize in the private sector, the International Finance Corporation and the European Bank for Reconstruction and Development. The financial instruments to support the development of the private sector are mostly of a short- to medium-term nature. The workshop highlighted the methodological approaches and evaluation practices used by MDBs for this type of operation at the institutional and project levels.

Narayanan and Korfker point out that the effectiveness of the universe of private sector interventions should not be judged only by their financial return. On the one hand, investment operations certainly entail a profitability angle, but the rationale for participation of the public sector in supporting them is rather based on their broader social returns. In other words, institutions intervening in this space do so with two sorts of bottom lines in mind: (1) financial; and (2) economic/social/environmental. For a view on the first, the market may suffice but evaluation is indispensable for the combined effect.

The papers that follow provide additional insights first into how trade financing and private sector development can catalyse positive social change and second, how expanding evaluations of public-private partnerships beyond *whether* questions to assess *how and why* questions will provide a more detailed and complete representation of the success and/or failures of a project or programme.

6. Advancing Trade and Improving Lives through Private Sector Development: An ITFC Trade Finance Perspective

KASHIF J. IQBAL

Senior Strategy Manager, Strategy Management
Strategy & Organizational Performance Office,
International Islamic Trade Finance Corporation

ADVANCING TRADE & IMPROVING LIVES IN THE ERA OF THE SUSTAINABLE DEVELOPMENT GOALS

It is well known that growth through international trade builds regional economic cooperation¹⁷⁵ and raises collective development benefits in the form of job creation, poverty alleviation and improved livelihoods.¹⁷⁶ Sadly, accelerating income growth and sustainable employment is a challenge in the developing world, given prevailing demographic and economic trends. The 57 member countries of the Organisation of Islamic Cooperation (OIC) have a population in excess of 1.2 billion people, the majority of whom are less than 25 years of age and with an unemployment rate of 8.8 percent.¹⁷⁷ As the youth enter into the labour force, sustaining employment and economic growth will become a rising priority for governments.

The magnitude of this development challenge is significant—and it does raise a fundamental question: in the era of the Sustainable Development Goals (SDGs), how can development finance institutions play a role in addressing this challenge? The answer lies in the development of the private sector by providing access to finance. For most people living in poverty, a decent job is their best chance of escaping to a better future, and on average the private sector provides 90 percent of jobs in a country.¹⁷⁸ In poorer countries, the majority of these jobs are in the informal sector and are either “microenterprises” or small and medium-sized enterprises (SMEs).¹⁷⁹

175 OECD Publishing, ‘Aid for Trade and The Sustainable Development Agenda: Strengthening Synergies’, OECD Development Papers, No. 5, 2016.

176 Higgins, K. and S. Prowse, ‘Trade, Growth and Poverty: Making Aid for Trade Work for Inclusive Growth and Poverty Reduction’, Overseas Development Institute, 2010.

177 IDB Data Portal, 2015.

178 World Bank, ‘World Development Report 2013: Jobs’, Washington, DC, World Bank, 2012.

179 Stein, Peer, Oya Pinar Ardic and Martin Hommes, ‘Closing The Credit Gap for Formal and Informal Micro, Small, and Medium Enterprises’, Washington, DC, International Finance Corporation, 2013.

The International Islamic Trade Finance Corporation (ITFC),¹⁸⁰ a member of the Islamic Development Bank (IsDB) Group, is playing an important role in addressing this challenge. ITFC was established with the purpose of advancing trade among OIC member countries and to improve the socioeconomic conditions of the people across the world. ITFC has a mandate to contribute towards the economic development of its 57 member countries by advancing trade and improving lives. Promoting private sector development is one of the three ITFC strategic pillars and one of its core contributors towards the IsDB Group's strategic objectives and the attainment of the SDGs.

DEVELOPING THE PRIVATE SECTOR THROUGH TRADE FINANCING

Private sector development is more than just creating jobs. The benefits of a thriving private sector range from increasing the availability of goods and services for consumption to driving positive social change.¹⁸¹ A strong economy can re-engage marginalized sections of society, incentivize investments in education and improve political engagement.¹⁸² In short, it can act as a real catalyst for change.

The trigger for this catalyst lies in the provision of finance. Access to finance can stimulate growth within the private sector by enhancing the range of goods and services that an economy produces.¹⁸³ This economic diversity has shown to be a good predictor of growth and highlights a strong rationale for trade finance institutions to support the development of the private sector and contribute towards the attainment of the SDGs.¹⁸⁴

Over the past 10 years, ITFC has provided more than \$40.25 billion of trade financing to OIC member countries,¹⁸⁵ making the Corporation the leading provider of trade solutions for OIC member countries' needs. Within the private sector, ITFC has provided \$9.28 billion, of which \$3.62 billion went to SMEs through partner financial intermediaries.

180 The ITFC is a member of the Islamic Development Bank Group. It was established with the purpose of advancing trade among the OIC member countries, which would ultimately contribute to the overarching goal of improving socio-economic conditions of the people across the world. Since inception in 2008, ITFC has provided more than \$40.25 billion of trade financing to OIC member countries, making it the leading provider of trade solutions for OIC member countries' needs. With a mission of being a catalyst for trade development among OIC member countries and beyond, the ITFC helps companies and institutions in member countries gain better access to trade finance and provides them with the necessary trade-related capacity-building tools, which enables them to successfully compete in the global market. Earning the A1 rating by Moody's reflects the Corporation's efficiency in service delivery by responding swiftly to customer needs in a market-driven business environment.

181 IFC, 'International Finance Institutions and Development Through the Private Sector – A joint report of 31 multilateral and bilateral development finance institutions', 2013.

182 Heath, R. and A.M. Mobarak, 'Manufacturing Growth and The Lives of Bangladeshi Women', *Journal of Development Economics*, 115, 1-15, 2015.

183 Kharas, H., 'The Emerging Middle Class in Developing Countries', Paris, OECD Development Centre (Working Paper 285), 2010.

184 Hidalgo, C. A. and R. Hausmann, 'The Building Blocks of Economic Complexity', *Proceedings of The National Academy of Sciences*, 106(26), 10570-10575, 2009.

185 ITFC Internal Analysis, Approvals US\$40.25 billion between 2008 – 2017 (end of year).

With a mission of being a catalyst for trade development among OIC member countries and beyond, ITFC helps companies and institutions to gain better access to trade finance and provides the trade-related capacity-building tools necessary to compete successfully in the global market.

Advancing trade and improving lives are the founding values of ITFC. These twin values are at the core of the ITFC strategy, which is designed to deliver financial growth through the provision of trade finance solutions and create development impact across the 57 member countries.

It is this balancing mandate which inspired ITFC to launch its Development Impact Framework in 2017, organized around six themes which contribute towards the SDGs. This framework allows ITFC to join an international community working towards addressing global challenges and united towards the achievement of global goals.



ENCOURAGING GROWTH AND INNOVATION IN SMEs

Alleviating the financing restrictions affecting SMEs has been shown to drive job creation in developing countries, encourage innovation and entrepreneurship and facilitate growth.¹⁸⁶ In the long run, the transition from a developing to a modern economy is achieved as the formal sector (including SMEs) begins to grow and displaces informal sector microenterprises.¹⁸⁷ It is this transitional role which multilateral financial institutions can facilitate as a catalyst for change.

The ITFC aspires to contribute towards this positive change by using innovative trade solutions such as structured trade finance tailored for private sector corporations, in addition to lines of financing given to banks for onward financing of trade operations of SMEs. This enables private sector participants to overcome barriers in accessing trade finance, boost private sector activities and contribute to economic growth and the socioeconomic condition of people across the 57 IFTC member countries. To this end, ITFC has provided more than \$9.28 billion of trade finance to the private sector, of which \$3.62 billion went to SMEs through the line of financing structure.

The ITFC partnership with Turk Eximbank is a perfect illustration of the successful cooperation between ITFC and the partner banks for SME development. Turkey's growth strategy relies on developing the export-oriented, private sector-led market by increasing productivity and accelerating industrialization. Supporting SMEs especially for their export financing requirements is a key component and ITFC has given priority for partnership with local banks in Turkey. The latest line of financing extended in 2017 in the amount of \$436 million illustrates the strong capacity of ITFC to mobilize funds from partner financial intermediaries for financing trade operations in the member countries.

HARNESSING THE POWER OF PARTNERSHIPS

It is important to recognize the power of partnerships "to mobilize additional financial resources for developing countries from multiple sources", as defined by the United Nations Partnership for the Goals.¹⁸⁸ Trade finance institutions like ITFC are able to negotiate with multiple sources to raise the amount of financing needed to meet the requirements of private sector enterprises. This creates a level of value-addition that would otherwise not be available.

The ITFC has significantly contributed towards this SDG by arranging over \$3.56 billion in additional resources mobilized from partners to support private sector development over the last 10 years. This has been delivered through the ITFC co-financing and syndication arrangements to help bridge the trade finance market gap and meet the financing needs of private sector enterprises.

186 Beck, T., 'Bank Financing for SMEs – Lessons from the Literature', 2013.

187 La Porta, R. and A. Shleifer, 'Informality and Development', *The Journal of Economic Perspectives*, 28(3), 109-126, 2014.

188 Global Partnerships – United Nations Sustainable Development [<http://www.globalgoals.org/global-goals/partnerships-for-the-goals/>], access date 15-01-2018.

ALLEVIATING POVERTY THROUGH JOB CREATION

In the era of the SDGs, there is a commitment towards ensuring decent work for all women and men by 2030. To this end, one of the most noted outcomes of private sector development is the creation of new jobs, which is the primary measure of development impact evaluated by development institutions. This is because the provision of finance to SMEs and larger private sector enterprises has considerable impact on job creation and poverty alleviation, leading towards the betterment of livelihoods.¹⁸⁹

According to the Asian Development Bank, firms which reported receiving an increase in finance also reported that their workforce grew by an average of 8 percent. Firms were also asked how they might allocate a hypothetical increase in trade finance of 25 percent. The average response stated they would increase their workforce by 20 percent; responses were higher in the Middle East and North Africa and sub-Saharan Africa, where firms responded 31 percent on average.¹⁹⁰

EVALUATING DEVELOPMENT IMPACT ACROSS THE PRIVATE SECTOR

Measuring the development impact of trade financing is an extremely challenging task. This is principally due to the short-term nature of trade financing and the long-time period until impacts (such as job creation and poverty alleviation) are observed. To overcome this challenge, development institutions must work more closely with private sector enterprises (particularly in less developed countries) to gather development data on a consistent periodic basis over the long term. Development institutions can provide initial support to help shape policies and processes to improve the governance within private sector enterprises and provide tools such as questionnaires and surveys to lay the foundation for data collection and impact analysis.

Another challenge involves the accessibility of data, even though it may be available in abundance. Development institutions are reliant upon private sector enterprises to share confidential data, such as the geographic and sectoral breakdown of their trade flows or the distribution of finance to SMEs through financial intermediaries. Many enterprises view this data as strictly confidential and may be unwilling to share. Furthermore, in-depth trade data may not be collected in certain developing countries at all. This is where building trust and reliable partnerships can help ease the journey of impact evaluation and allow all parties to identify areas where development impact can be maximized and lessons for improvement learned.

With an ever-increasing emphasis on building partnerships to achieve the SDGs, it is important to recognize the involvement of multiple players with information passing through multiple networks across a trade-related supply chain. Outcome mapping helps assess the determining factors which can either encourage or inhibit paths of development

189 Donor Committee for Enterprise Development, Private Sector Development Synthesis Note, 2017.

190 Asian Development Bank, 'Trade Finance Gaps, Growth, and Jobs Survey', 2016.

impact, and the paths through which impact can be most effective. This is particularly useful in strategic development planning.¹⁹¹

In addition to evaluating the impact attributable to an amount of private sector financing, counterfactual analysis creates an understanding of what would have happened in a community in the absence of financing. Comparison groups can be used to recreate scenarios where finance was not provided and allow in-depth exploration of an “intervention-free” environment. This can be compared directly with the actual evaluation to determine the scale of impact that is attributable to a set of financing. However, careful thought should be given when selecting the comparison group to ensure it is relevant, in order to avoid misrepresentation and invalidation of the evaluation results.¹⁹²

NEXT STEPS: MOVING TOWARDS THE SUSTAINABLE DEVELOPMENT GOALS

The SDGs represent a road map for solving the most pressing issues facing the people, the planet and ensuring progress in today’s challenging global environment. It is a path towards transformation and sustainable development. In the era of the SDGs, financial institutions have a leading role to play in accelerating income growth, alleviating poverty and supporting the betterment of livelihoods across the world. By financing private sector enterprises, financial institutions can act as a catalyst for change, contributing towards economic growth and youth employment and drive positive social transformation.

191 Davidson, E. J., ‘Ascertaining Causality in Theory-Based Evaluation’, *New Directions for Evaluation* 87(1): 17–26, 2004.

192 African Development Bank, *eVALUation Matters*, 2000, see https://www.afdb.org/fileadmin/uploads/opev/Documents/IEM_-_Impact_Evaluation_of_Development_Programs-_Challenges_and_Rationale.pdf.

7. Theory-Based Evaluation of Public-Private Partnership Projects and Programmes¹⁹³

MEHMET UZUNKAYA

Leader of the Thematic Working Sub-Group on Evaluation of Public-Private Partnerships, European Evaluation Society and part-time faculty member, Middle East Technical University, Ankara, Turkey

ELSA DE MORAIS SARMENTO

Researcher
NOVAFRICA, Nova Business School of Management and Economics

INTRODUCTION

This paper discusses theory-based evaluation of public-private partnership (PPP) projects/programmes and proposes an intervention logical framework. It aims to draw attention to the need to go beyond the measurement of project/programme results to address not only the question of *whether or not* the project/programme worked but also the *how* and *why* questions. Specifically, it describes a theory-based analytical framework that portrays an explicit path toward ultimate impacts so as to assess, in a more systematic and integrated way, the success or failure of a PPP.

In the current practice, evaluation of PPPs generally follows the traditional approach of the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) criteria. The relevance, effectiveness, efficiency, impact and sustainability of PPP programmes/projects are commonly assessed based on the *whether* question. However, as PPPs include additional complexities as compared to traditional procurement, expanding this perspective to assess *how* and *why* questions can provide a more detailed and complete representation of the success and/or failure channels of a project/programme.

Assessing *how* and *why* questions is particularly useful in developing countries, in which PPPs have been a very common way of service provision to achieve ambitious infrastructure programmes in the face of constraints on public budgets.

To this end, the main driving force in this paper for exploring theory-based approaches in the context of PPP evaluation is to expand the toolbox of the evaluator. This expansion is

¹⁹³ A longer version of this article was published as a chapter in the *Handbook of PPPs in Developing and Emerging Economies: Perspectives on Public Policy, Entrepreneurship and Poverty* by Dr João Leitão (Editor), Elsa Morais Sarmento (Editor), João Aleluia (Editor), Emerald, 2017.

particularly relevant and would be beneficial given the complex nature of PPPs along with their attractive economic and financial potential as well as their exploding popularity in the provision of services in developing countries.

THEORY-BASED EVALUATIONS

Even though its origins go as far back as 1930s, theory-based evaluation has become a well-known approach after Chen's influential book in 1990, *Theory-Driven Evaluations*.¹⁹⁴ Weiss¹⁹⁵ also contributed substantially to the prominence of this approach in the evaluation community. After Chen¹⁹⁶ and Weiss, a rich body of literature has developed on theory-based evaluations.¹⁹⁷

Chen's¹⁹⁸ main argument was that theory, which plays an important role in research to analyse and understand the significance of research findings, had been thus far neglected in programme evaluation. Most of the evaluation studies were lacking a sound theory development and were characterized by the prevalence of input/output type of approaches. This type of evaluation, he argues, focuses mainly on the overall relationships between

194 Coryn, C. L., L.A. Noakes, C.D. Westine and D.C. Schröter, 'A systematic review of theory-driven evaluation practice from 1990 to 2009', *American Journal of Evaluation*, 32(2), 199-226, 2011.

195 Weiss, C., H., 'Nothing as practical as good theory: Exploring theory-based evaluation for comprehensive community initiatives for children and families', *New approaches to evaluating community initiatives: Concepts, methods, and contexts*, 1, 65-92, 1995.

196 Chen, H. T., *Theory-driven evaluations*. Sage, 1990.

197 Lipsey, M. W., 'Theory as method: Small theories of treatments. *New Directions for Program Evaluation*, 1993(57), 5-38; Scriven, M., 'Minimalist theory: The least theory that practice requires', *American Journal of Evaluation*, 19(1), 57-70, 1998; Sidani, S. and L. Sechrest, 'Putting program theory into operation', *American Journal of Evaluation*, 20(2), 227-238, 1999; Birckmayer, J. D. and C.H. Weiss, 'Theory-Based Evaluation in Practice: What Do We Learn?' *Evaluation Review*, 24(4), 407-431, 2000; Mercier, C., M. Piat, N. Peladeau and C. Dagenais, 'An application of theory-driven evaluation to a drop-in youth center', *Evaluation Review*, 24(1), 73-91, 2000; Rogers, P. J., A. Petrosino, T.A. Huebner and T.A. Hacsí, Program theory evaluation: Practice, promise, and problems. *New Directions for Evaluation*, 2000(87), 5-13; Weiss, C. H., 'Which links in which theories shall we evaluate?' *New directions for evaluation*, 2000(87), 35-45; Stame, N., 'Theory-based evaluation and types of complexity', *Evaluation*, 10(1), 58-76, 2004; Ton, G., 'The mixing of methods: A three-step process for improving rigour in impact evaluations', *Evaluation*, 18(1), 2012; Van der Knaap, P., *Theory-based evaluation and learning: possibilities and challenges*, 2004; Donaldson, S. I., Using program theory-driven evaluation science to crack the Da Vinci Code. *New Directions for Evaluation*, 106, 65, 2005; Chen, H. T., 'A theory-driven evaluation perspective on mixed methods research', *Research in the Schools*, 13(1), 75-83, 2006; Rogers, P. J., 'Theory-based evaluation: Reflections ten years on', in S. Mathison (Ed.), *Enduring issues in evaluation: The 20th anniversary of the collaboration between NDE and AEA* (pp. 63-67), New Directions for Evaluation, No.114, San Francisco, CA, Jossey-Bass, 2007; Rogers, P. J., Using programme theory to evaluate complicated and complex aspects of interventions. *Evaluation*, 14(1), 29-48, 2008; White, H., 'Theory-based impact evaluation: principles and practice', *Journal of development effectiveness*, 1(3), 271-284, 2009; Astbury, B. and F.L. Leeuw, 'Unpacking black boxes: mechanisms and theory building in evaluation', *American Journal of Evaluation*, 31(3), 363-381, 2010; Coryn, C. L., L.A. Noakes, C.D. Westine and D.C. Schröter, 'A systematic review of theory-driven evaluation practice from 1990 to 2009', *American Journal of Evaluation*, 32(2), 199-226, 2011; Chen, H. T., 'Theory-driven evaluation: conceptual framework, application and advancement', *Evaluation von Programmen und Projekten für eine demokratische Kultur* (pp. 17-40), Springer Fachmedien Wiesbaden, 2012.

198 Chen, 1990.

the inputs and outputs of a programme, neglecting the “transformational processes in the middle”. Therefore, classical evaluation approaches are not able to answer the how and why questions that enlighten the cause-effect relations in the micro stages of a programme. Such black-box types of evaluations do not provide insights about the relationships between delivered/planned treatment, between official/operative goals or between intended/unintended effects.

As much as Chen, Weiss¹⁹⁹ has also contributed to the prominence of the theory-based evaluation concept. Although Weiss’s focus was on comprehensive community initiatives for children and families in her seminal work, the principles are still valid for PPP projects/programmes. Weiss supports the idea of basing evaluation on explicit or implicit theories about how and why a programme will (or will not) work.

Despite their promising potential, theory-based evaluations do not come without limitations. Weiss mentions problems of theorizing, measurement, testing and interpretation as drawbacks of theory-based evaluations.

PUBLIC-PRIVATE PARTNERSHIPS

Infrastructure is of crucial importance for growth, development, competitiveness and combating poverty in developing countries. Growing population and increasing demand along with budget constraints, however, have limited the avenues for financing and provision of costly infrastructure projects. This challenging situation calls for mobilizing alternative financing sources. PPPs, to this end, are an alternative way of infrastructure service provision, making use of private finance, expertise and efficiency and combining public and private sector strengths.

PPPs can be generally defined as risk-sharing contractual agreements between public and private sector on the realization of a public-mission project through the dominant use of private sector resources which is extended beyond construction to operation and management stages that constitutes the basis for the private partner to cover its costs by either user charges and/or government’s purchasing of the services.

While the philosophy underlying PPPs looks appealing, the relative complexity of processes and widely differing objectives and capabilities on the public and private sides make the method a challenging endeavour. Not a few PPP arrangements in developing countries have yielded sub-optimal results; even the developed world has experienced unsatisfactory PPP arrangements, sometimes casting doubt on the rationale of using PPPs in infrastructure and highlighting the importance of their careful evaluation, ex-ante and ex- post.

THE THEORY OF PROJECT FINANCE

The theoretical underpinnings of a PPP arrangement are strongly connected to the project finance concept. “Project finance is a method of raising long-term debt financing for major

199 Weiss, 1995.

projects through ‘financial engineering,’ based on lending against cash flow generated by the project alone; it depends on a detailed evaluation of a project’s construction, operating and revenue risks, and their allocation between investors, lenders and other parties through contractual and other arrangements.”²⁰⁰

Project finance is basically characterized by the presence of a non-recourse (or limited recourse) debt which is to be serviced solely by the cash flows of the project itself, represented by a special purpose entity (project company) established along with the start of the project, in turn isolating the parent company from the project risks.

There are rational reasons for the development of the concept of project financing as an alternative to corporate financing in capital investment projects. First, project financing counters the underinvestment problem.²⁰¹ Originally developed by Myers,²⁰² the underinvestment problem arises when a firm has a highly leveraged capital structure. Myers showed that high leverage creates an incentive, to the detriment of shareholders, to forgo positive net present value projects that would increase the firm value. Passing up positive net present value projects creates agency costs, because lenders demand higher interest rates from these firms as monitoring widely dispersed security holdings in large corporations is costly. Project financing counters this bias by the establishment of a separate entity, which enables creditors to make lending decisions clearly on a project-by-project basis.²⁰³

In addition, project financing reduces asymmetric information, which arises when corporate managers have valuable information that they cannot communicate unambiguously (or do not want to communicate) to the capital market.²⁰⁴

Finally, project financing reduces the “agency costs” of Jensen and Meckling²⁰⁵ arising from the conflicts of interests between shareholders and lenders. To deal with such costs lenders include a variety of covenants in loan agreements and monitor the borrower’s performance. Since it is much easier to design a debt contract for a specific project than for the entire firm, in which it is much difficult to monitor performance, project financing can reduce these agency costs.²⁰⁶

THE THEORY OF PUBLIC INVESTMENT IN RELATION TO PPPs

PPPs are generally used in public infrastructure projects. Although PPPs are sometimes seen as private investment ventures, they have fundamental public interest elements

200 Yescombe, E., R., *Principles of Project Finance*, Academic Press, 2014.

201 Finnerty, J., D., *Project Financing: Asset-Based Financial Engineering*, Wiley, 2007.

202 Myers, S. C., Determinants of Corporate Borrowing, *Journal of Financial Economics*, November 1977, 147-176. (EB).

203 Finnerty, 2007.

204 Ibid.

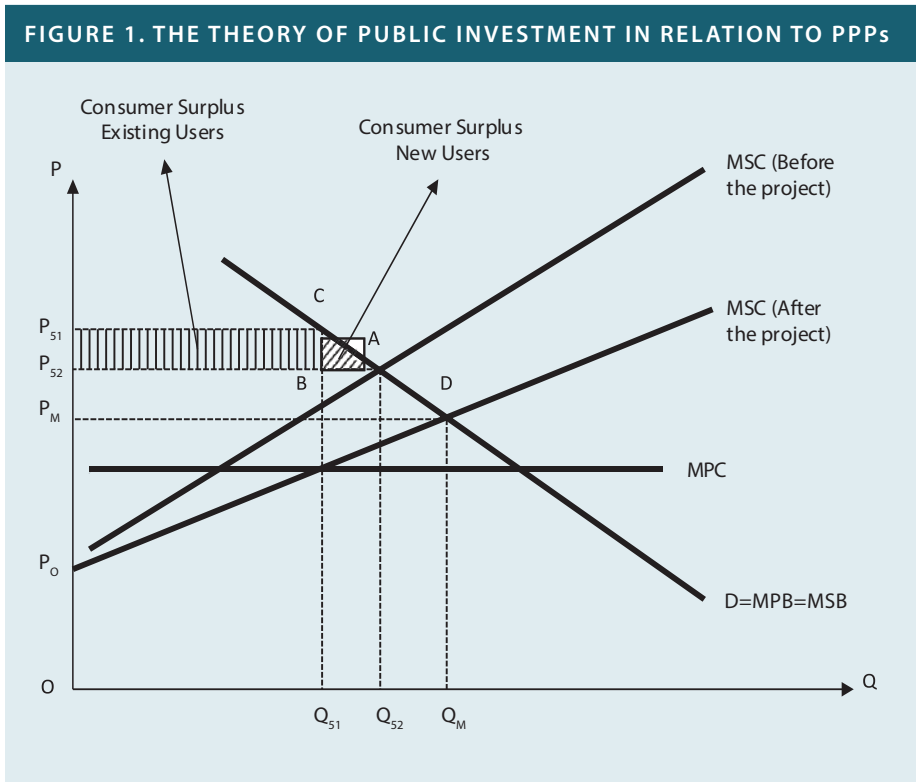
205 Jensen, M., and W. Meckling, Theory of the Firm: Managerial Behavior, Agency Costs and Ownership Structure, *Journal of Financial Economics*, 1976, 305-360.

206 Finnerty, 2007.

from an outcome perspective. However, while the private partner is interested in *net incremental financial* benefits, the public side is interested in *net incremental economic* benefits. Here, by economic benefits we mean benefits to the society, including social and environmental.

Financial benefits are measured by market prices, which is basically the intersection between marginal private cost and marginal private benefit curves on a classical price-quantity graphical representation (Figure 1). In a similar vein, economic benefits are measured by economic prices (also called “shadow prices”), which is basically the intersection between marginal social cost and marginal social benefit curves (Figure 1).

The private partner, who would bear the project cost in a typical PPP project, would be interested in the present value of expected future incremental net financial cash flows throughout the contract period (represented by the present value of the area P_0DP_M in Figure 1). On the other hand, the public side would be interested in the present value of the future incremental economic cash flows (represented by the sum of the present value of the existing users’ consumer surplus, the area $BP_{s_2}P_{s_1}C$ in Figure 1, and new users’ consumer surplus, the area ABC in Figure 1) throughout the project life as a result of the project implementation. If, and only if, the expected net financial and net economic incremental benefits



Source: The Authors

are both positive at any time throughout the contract period, the PPP deal would be a sustainable partnership. Otherwise, there would be some instability in the PPP, in which case a contract negotiation or even a failure would be probable.

SYNTHESIS: THE NORMATIVE INTERVENTION LOGICAL FRAMEWORK

As discussed in the preceding sections, theory-based evaluations are based on “intervention theories” about a programme or project. Therefore, the aim of this section is to construct a “PPP theory” that will constitute the basis for an intervention logical framework on evaluation of PPPs. The proposed framework is shown in Figure 2 (see page 260).

The proposed PPP theory draws on basically two main pillars: First is project finance theory and the second is the theory of public investments in relation to PPPs (Figure 1). The main reason for basing the theory on these two pillars is the fact that PPPs remain to be public investments that use project financing as the financing method.

The framework includes inputs, activities, outputs, outcomes and impacts as the hierarchical steps that in combination build-up the ultimate results of a PPP project or a programme. The theory of project finance and the theory of public investments in relation to PPPs help define each of these steps and causal connections among them.

Inputs are the resources that the PPP project or programme will need to achieve its intended results. Activities are the actions that are taken to bring about a desired end.²⁰⁷ Utilizing the inputs available and as a result of the activities, project and programme outputs are expected.

Outcomes are direct or indirect changes that are expected from a project or programme as a result of inputs, activities and outputs.²⁰⁸ While outcomes can be initial, intermediate and long-term,²⁰⁹ this study is more interested in long-term outcomes that are related to the needs of a PPP project/programme’s target population.

It is necessary to note that outcomes in this study are assessed as compared to a counterfactual. A counterfactual is the state that would prevail in the absence of the project/programme in question. In a sense, it is the “without project or programme” situation.

On the impact level, the PPP project or programme with the described outcomes contributes to increased mobility and reduced logistic costs as a result of increased system efficiency and effectiveness. Such a transport system supports higher economic growth and improved international competitiveness. A more efficient transport system with improved service delivery and spatial development will lead to better environment and cleaner air. Ultimately, the transport system would contribute increased user utility, quality of life and welfare.

207 Coryn, et al., 2011.

208 Ibid.

209 Ibid.

To accommodate the DAC criteria, some example questions are provided under each criterion. There are two important points here: First, the relevance criterion is assessed based on the normative intervention framework; therefore, the evaluator first needs to construct a normative log-frame about the programme and project and compare it with the framework in place to assess whether they are consistent. Second, the remaining criteria are assessed as compared to counterfactual so as to disentangle the incremental contribution that the PPP project or programme brings.

In order to minimize measurement errors to the extent possible, the framework includes benchmark definitions of achievements under each element of the change model. Finally, a critical path is defined with red boxes and arrows; any missing element along this path would most probably lead to the failure of the project or programme.

THE IMPACT VALUE CHAIN OF A PARTNERSHIP

Within the configuration of the impact value chain, it is fundamental to depart from the social issue to be addressed with the partnership, the framework of the partnership and the key roles taken on by partnerships. This leads to the overall mission of the partnership, which has to be identified and consensualized.

If the partnership is problem driven, it can take the form of a longer term and more strategic type of arrangement. If it is more solution or opportunity driven, it can be of a more temporary and tactical nature (for instance once the ambition of one party has been achieved, the partnership can be terminated). The inputs have to be assessed against the roles and capacities of each partner (e.g., public, private, non-governmental organizations), as well as the activities which must take into account the number and nature of participants, their roles, the degree to which the partnership is institutionalized in participating institutions and the level of internal dependencies and the position of each participant as primary or secondary stakeholders (Figure 3).

Within the outputs, beyond the traditional fulfilment of individual objectives, it is important to add questions about the benefits to each of the participants and the extent to which the partnership brought about goal-alignment, and consequently scale-up or termination of the project. Input, activities and output type of questions translate into a first level of efficiency, that is operational efficiency. The efficiency dimension of a partnership can be seen as the internal value-added of the partnership, which may be assessed using a cost-benefit analysis by looking at the total costs of the partnership and at specific costs (transaction costs, operation costs) attributed to the partnership.

Moving on to external domain of the impact results chain we now look at outputs and impacts. These are now within the domain of effectiveness, which links the whole results chain, from the social issue to the impact, where considerations have to be made concerning the added value and the impact of the partnership compared to individual activities of the different partners.

Within the outcome level of the result chain, an assessment of the added value and the impact of the partnership compared to individual activities of the different partners needs to be considered (by measuring these goals at the level of involved organizations, the partners, the stakeholders and the system). Additional relevant questions to ask include whether the partnership has provided additional ways of achieving the societal ambitions that would not have been possible otherwise, whether other objectives were possible to have been achieved, if the partnership triggered other activities relevant for obtaining societal goals, and to what extent the experience is reproducible. Other possible questions are featured in Figure 3. In linking inputs to outcomes, a broader type of efficiency can be considered, at the tactical level.

Most studies do not empirically cover the ultimate impacts of a partnership.²¹⁰ In general, they take a learning perspective, through employee engagement, issue sense-making or education (often called first-level impacts). The complexity of the exercise of measuring impact increases with the complexity of issues at stake and with the types of partnership configurations.

Evaluation questions have to be refined to the point that they are most relevant for the various stakeholders involved. In the case of PPPs, with actors with different types of engagements, it is better to focus on top-priority learning questions for insider institutions that are engaged with the partnership, and on the critical points where causality or attribution claim related to the impact of interventions on key outcome indicators might be more challenged by outsiders or by less engaged institutions.

Tulder et al.²¹¹ consider four scales of impact: the first-order impact loops analyses impacts at the level of the individual partner (attribution through inputs and activities); the second at the level of the organization or partner (attribution through outputs); the third at the partnership level (attribution through outputs); and the fourth impact loop considers impacts at the societal level (attribution at the level of longer-term outcomes). These can be used as an initial framework for the assessment of impacts.

CONCLUSION

This paper investigates theory-based approaches in evaluating PPP projects/programmes and proposes an intervention logical framework. The aim is to draw attention to the need to go beyond the measurement of project/programme results to address not only the question of *whether* or not the project/programme worked but also the *how* and *why* questions

The paper formulates a PPP theory, based on which a normative intervention logical framework is constructed. The framework includes inputs, related activities, outputs, outcomes and impacts, collectively forming a change model which describes the causal

210 van Tulder, R., M. May Seitanidi, A. Crane and S. Brammer, 'Enhancing the Impact of Cross-Sector Partnerships Four Impact Loops for Channeling Partnership Studies', *Journal of Business Ethics*, 135, 1–17, 2016 and Ton, G., 'The mixing of methods: A three-step process for improving rigour in impact evaluations', *Evaluation*, 18(1), 2012.

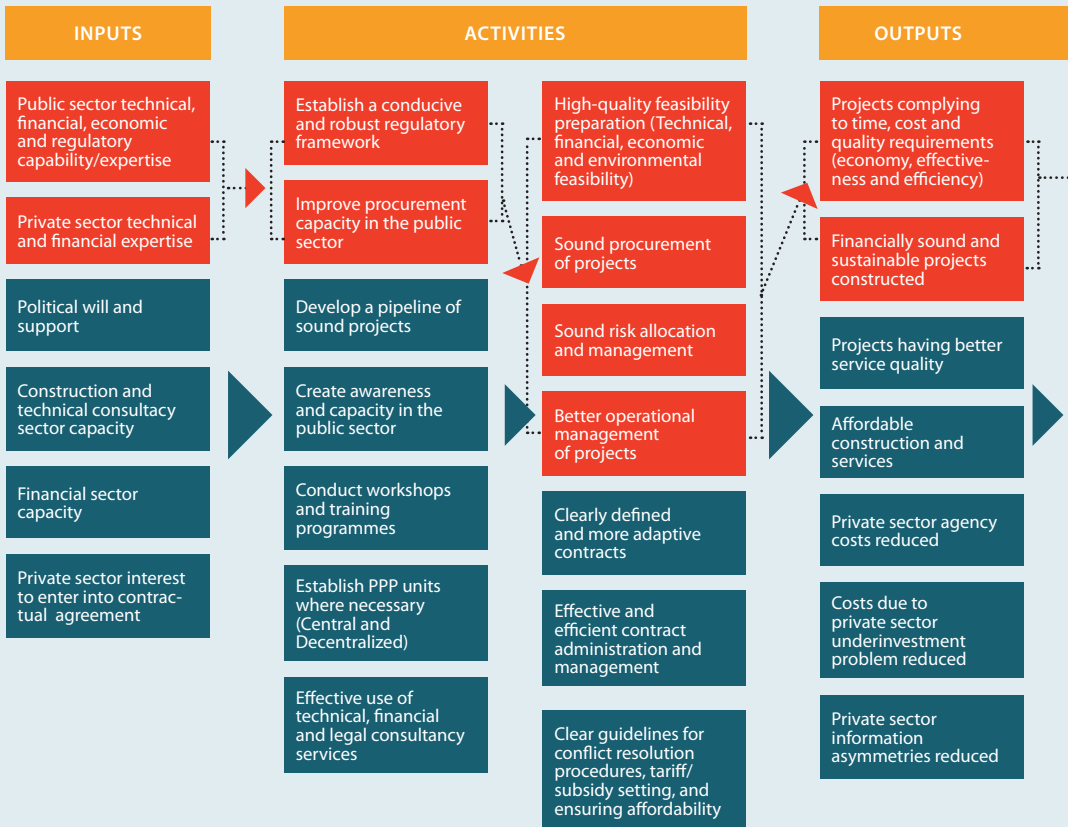
211 van Tulder, et al., 2016.

processes in a PPP intervention. The causal processes mainly draw on a combination of project finance theory and the theory of public investments in relation to PPPs, which altogether make it possible to define the micro stages of cause-effect relations in as fine detail as possible. The proposed framework is designed for a representative sector, transport, but can easily be adapted to other sectors.

In this rich field, rapidly growing in sophistication, there is a need for partnership research to pay greater attention to the monitoring, reporting, and evaluation of outcomes and impacts. This is necessary to inform and support the legitimacy and credibility of partnerships as an effective and efficient approach to solving complex social and environmental issues.

These discussions illustrate the challenges that lie ahead in merging the areas of partnership research and impact assessment. Researchers have tried to complement each other, rather than enter into a productive conversation as to issues of theoretical or methodological disagreement. Research in this area is clearly open to improvements. In this context, theory-based evaluation is a promising approach that could help solve some of the complexities of PPP projects/programmes and expand the available toolbox of evaluators. The complexities inherent in both PPPs and theory-based evaluations can be dealt with by designing normative intervention logical frameworks that include critical cause-effect channels, backed by theoretical and empirical foundations.

FIGURE 2. NORMATIVE INTERVENTION LOGICAL FRAMEWORK FOR A PPP PROGRAMME



R E L E V A N C E

E F F I C I E N C Y

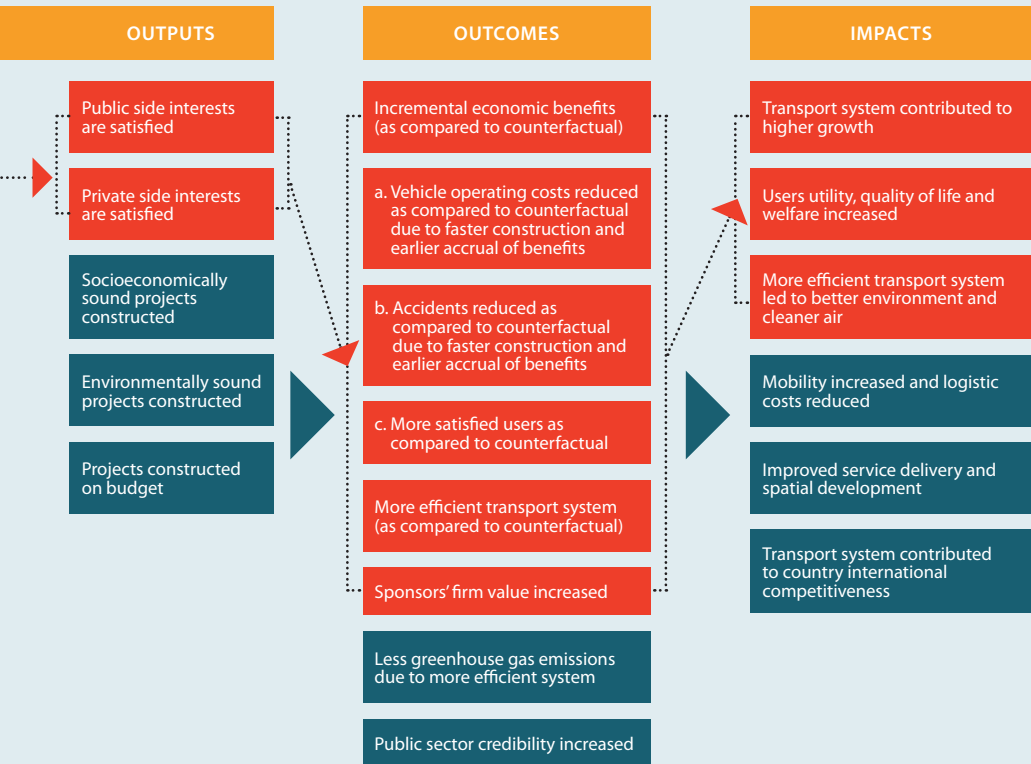
Assumptions:

1. Political support is objective, not interventive.
2. Creating capacity in the public sector leads to sound project management.
3. Flexible contracts facilitate better project management.
4. Project financing reduces agency costs and asymmetric information and solves the underinvestment problem.
5. The counterfactual is direct public administration subcontracting.

External Factors:

1. Global financial situation
2. Global economic growth
3. Global interest rates

IN THE TRANSPORT SECTOR



R E L E V A N C E

E F F E C T I V E N E S S

I M P A C T

S U S T A I N A B I L I T Y

THE DAC CRITERIA

1. **RELEVANCE** (To assess the relevance criterion, the evaluator first constructs a “normative intervention logical framework” for the programme or project in question)
 - Whether the intervention logic of the program evaluated is consistent with the “normative intervention logic”?
 - Are there elements lacking in the evaluated programme’s logic with reference to the “normative intervention logic”?
 - Whether the evaluated logic’s objectives are consistent with sectoral policies?
2. **EFFECTIVENESS**
 - Were the objectives of the evaluated logic achieved (e.g., reduced vehicle operating costs, accidents, happier users, increased firm value, more efficient system, reduced greenhouse gases)?
3. **EFFICIENCY**
 - Were the achieved objectives cost efficient, in other words, whether the PPP programme achieved value-for-money as compared to the counterfactual?
 - Value of faster construction and earlier start of operations as compared to counterfactual;
 - Value of additional time savings as compared to counterfactual;
 - Value of additional accident reduction as compared to counterfactual;
 - Value of vehicle operating cost savings as compared to counterfactual.
4. **IMPACT**
 - What are the real changes, (positive, negative, intended, unintended, direct, indirect) as a result of the PPP project/programme?
 - Whether the PPP project/programme has decreasing effects on logistic costs;
 - Whether the PPP project/programme contributes to increased mobility;
 - Whether the PPP project/programme contributes to growth and international competitiveness;
 - Whether the PPP project/programme contributes to increased service delivery and spatial development;
 - Whether the PPP project/programme contributes to cleaner air and better environment; what are the environmental effects?
 - Whether the PPP project/programme contributes to increased quality of life and welfare.
5. **SUSTAINABILITY**
 - Whether the system is financially sustainable;
 - Whether the system is economically sustainable;
 - Whether the system is socially sustainable;
 - Whether user charges are affordable;
 - Whether the special-purpose vehicle’s financial situation is sustainable.

BENCHMARK DEFINITIONS

Activities

Pipeline of sound projects: A list of projects that have been tested for pre-feasibility and prioritized based on their respective net benefits and contributions to the collective transport system.

High-quality feasibility: A report that includes objective and scientific analysis of a PPP project from technical, legal, financial, economic, environmental and political perspectives; an assessment of incremental benefits, costs and their distribution among key stakeholders; analysis of uncertainties, risks and their allocations among parties involved.

Sound procurement: Procurement that is consistent with the needs of the procuring authority and with the approved feasibility of a PPP project.

Sound risk allocation and management: Allocation of risks among stakeholders of a PPP project such that each party is responsible for the risk that it is best able to manage.

Conducive and robust regulatory framework: A legal framework that clearly defines mandates, responsibilities and accountables in PPP project and programme implementation; includes necessary procedures to ensure economy, effectiveness and efficiency; embraces clear guidelines for contract administration, conflict resolution, tariffs, subsidies, affordability and termination.

Adaptive contract: A PPP contract that is able to accommodate changes in variables that critically affect the feasibility of a PPP project during its economic life without compromising the overall feasibility, interests of key stakeholders and fair competition conditions at the procurement stage.

Outputs

Economic, effective and efficient project: Projects constructed on time (also entering into the operational stage faster as compared to the counterfactual—direct public administration subconstructing—as a result of the incentives that engage private sector to do so) and on budget and are able to function according to the intended purpose with an optimal cost-benefit balance.

Better service quality: Better provision of services as a result of private sector efficiency and competence.

Affordable construction and services: Cost of construction and services that are reasonably priced and commensurate with the level of provision they offer.

Financially sound and sustainable projects: Projects having current and future cash inflow generation capacity and ability that are reasonably greater than cash outflows at a margin commensurate with international standards.

Reduced agency costs: Reduced conflicts of interest between shareholders of a sponsor and the management, as a result of the establishment of a separate special-purpose vehicle in PPPs (and thus increased value of the firm).

Reduced underinvestment problem: Sponsors not forgoing low-risk projects so as to maximize the wealth of shareholders at the cost of debt holders, as a result of the establishment of a separate special-purpose vehicle in PPPs (and thus increased value of the firm.)

Reduced asymmetric information: Reduced differences in information between sponsors and creditors as a result of the establishment of a separate special-purpose vehicle in PPPs.

Socioeconomically sound project: Projects having present value of social and economic benefits outweigh the present value of social and economic costs.

Environmentally Sound Project: Projects having negative environmental externalities eliminated, minimized or reasonably compensated for.

On-budget construction: Ex-post construction costs being in line with expected costs.

Public side interests: Interests spanning through general public welfare.

Private side interests: Interests of the sponsors and creditors.

Outcomes

Incremental economic benefits: Economic benefits net of economic costs (such as time savings, vehicle operating cost savings, accident avoidance) generated by the project throughout its useful life.

Efficient transport system: A transport system in which alternative modes operate in harmony with each other at their financial and economic optimal.

Increased firm value of sponsors: Increased share price of a sponsor as a result of reduced agency costs, elimination of underinvestment problem and asymmetric information.

Increased public sector credibility: Sense of success among citizens about public administrations due to increased satisfaction of users as a result of faster construction of project; and affordable and high-quality services.

Impacts

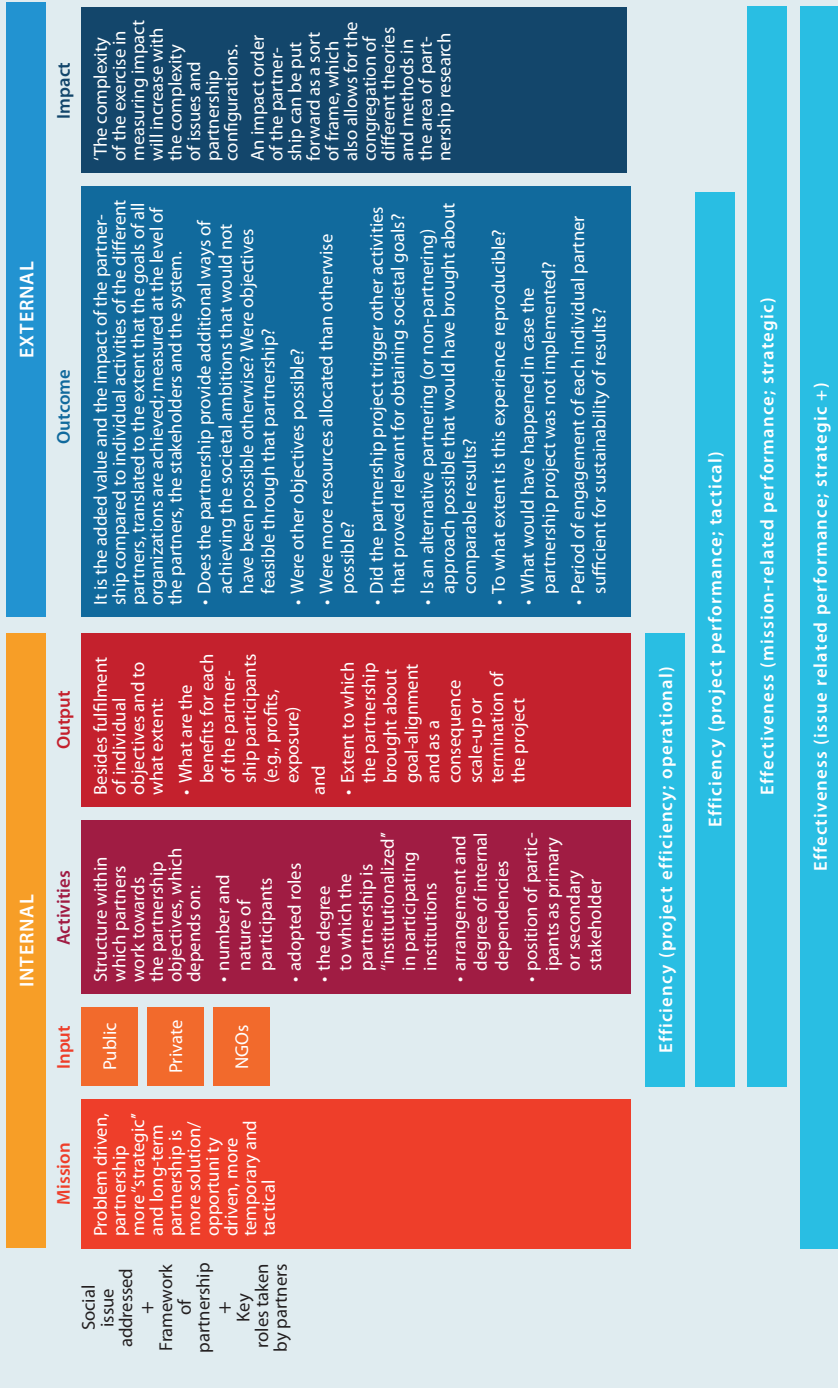
Increased mobility: More efficient and comfortable movement of people and goods as a results of the PPP project's (or PPP programme's) incremental contributions to the system.

Reduced logistics costs: Reduced cost of logistic services as a result of a more efficient transport system due to the PPP project's (or PPP programme's) incremental contributions to the system.

Growth-supporting transport system: A transport system facilitating economic operations and thus contributing to value added in the economy.

Competitiveness-supporting transport system: A more efficient transport system as compared to competitors, facilitating economic operations and thus contributing to increased competitiveness.

FIGURE 3. IMPACT VALUE CHAIN



Source: Based on van Tulder et al. (2016) and Ton (2012)

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8. Multi-Stakeholder Partnerships: Implications for Evaluation Practice, Methods and Capacities

ANGELA BESTER

Independent Evaluation Consultant
South Africa

LEON HERMANS

Assistant Professor, Policy Analysis
Delft University of Technology, the Netherlands

INTRODUCTION

The 2030 Agenda for Sustainable Development calls for multi-stakeholder partnerships for achieving the goals of the Agenda (the Sustainable Development Goals (SDGs)). Multi-stakeholder approaches to development are not new, and the SDGs seek to renew and strengthen the emphasis on multi-stakeholder approaches. The importance of promoting diverse partnerships and greater cooperation between governments, civil society, parliaments and the private sector to increase awareness and use of evaluations was also one of the key messages from the National Evaluation Capacities (NEC) Conference 2015.

Multi-stakeholder approaches to development come with a number of complexities and challenges. NEC 2017 sought to explore the following questions:

- What do evaluators understand about multi-stakeholder partnerships and approaches?
- What does this mean for evaluation practice? Are our current methodologies and approaches appropriate for dealing with the complexities of multi-stakeholder approaches?
- What capacities do we need to evaluate multi-stakeholder approaches?
- What tools are at our disposal?

These questions were explored in two workshops at the conference.²¹² This paper reflects on the discussions in these workshops, and on the implications of multi-stakeholder approaches for evaluation practice and evaluation capacities in the SDG era.

212 Workshop 1: Multi-stakeholder partnerships for achieving SDGs – Implications for evaluation practice, and Session 26: Multi-stakeholder partnerships and the SDGs: Analytical approaches for their evaluation.

WHAT ARE MULTI-STAKEHOLDER PARTNERSHIPS?

Within the context of development, multi-stakeholder partnerships can be defined as voluntary initiatives involving governments, intergovernmental bodies, civil society, the private sector and other stakeholders in pursuit of a common goal or commitment. Multi-stakeholder partnerships can exist at local, national, regional and global or transnational levels. Multi-stakeholder partnerships vary in scope, from large-scale global initiatives to smaller local initiatives. They may have many partners or a small number of partners. Other terms used are “multi-stakeholder initiatives”, “multi-stakeholder platforms” and “multi-stakeholder approaches”.

Hematti and Dodds²¹³ suggest that to avoid confusion, it is preferable to talk of “multi-stakeholder partnerships for sustainable development”. They define these as “... specific commitments and contributions, undertaken together by various partners intended to support the implementation of transformation towards sustainable development and help achieve the SDGs and other relevant sustainable agreements”.²¹⁴

Multi-stakeholder partnerships use a multi-stakeholder approach and aim to be inclusive of all relevant stakeholders, those who influence decisions as well as those affected by the decisions. Public-private partnerships involving contracting out government services to the private sector. Build-operate-transfer models do not fall within the definition of multi-stakeholder partnerships.

Partnerships for sustainable development are not new. The Johannesburg Plan of Implementation (2002) emanating from the World Summit on Sustainable Development (WSSD), for example, saw Member States commit themselves to partnerships to mobilizing financial and non-financial resources, including capacity development and technology transfer.

The Bali Guiding Principles on Partnerships that were formulated in the preparations for the WSSD identified a multi-stakeholder approach to partnerships as one of the guiding principles for the WSSD:

“Partnerships should have a multi-stakeholder approach and preferably involve a range of significant actors in a given area of work. They can be arranged among any combination of partners, including governments, regional groups, local authorities, non-governmental actors, international institutions and private sector partners. All partners should be involved in the development of a partnership from an early stage, so that it is genuinely participatory in approach. Yet as partnerships evolve, there should be an opportunity for additional partners to join on an equal basis.”

213 Hemmati, M. and F. Dodds, Principles and Practices of Multi-stakeholder Partnerships for Sustainable Development – Guidance and Oversight from UN Decisions, March 2017, <http://friendsofgovernance.org/index.php/papers/background-paper-for-session-1-principles-and-practices-of-multi-stakeholder-partnerships-for-sustainable-development-guidance-and-oversight-from-un-decisions/>.

214 Ibid.

PERSPECTIVES FROM NATIONAL EVALUATION PRACTITIONERS

The workshop on multi-stakeholder partnerships asked participants to share their understanding of such partnerships: how they would define them, their relevance for development and to provide examples of multi-stakeholder partnerships at national, regional and global levels.

“Collaboration” was the word most workshop participants used to define multi-stakeholder partnerships. They saw multi-stakeholder partnerships as collaboration amongst a range of institutions that included government, civil society, the private sector and international development agencies and development partners, to achieve development results or a common development objective. One participant’s definition captured the views expressed by many others—a multi-stakeholder partnership is “...collaboration of different institutions (non-governmental organizations (NGOs), academia, donors, government) to achieve a particular goal. It may entail doing joint planning, financing and monitoring & evaluation”.

Workshop participants identified a narrow range of examples of multi-stakeholder partnerships. The example most commonly cited was the partnership between governments and United Nations agencies as reflected in the United Nations Development Assistance Framework. There were examples of national multi-stakeholder partnerships for specific purposes, namely, HIV and AIDS and post-conflict reconstruction. There were also examples of multi-stakeholder partnerships at district and local/village levels in the area of health. When citing examples of multi-stakeholder partnerships at regional level, there was a tendency on the part of workshop participants to conflate intergovernmental bodies, for example the African Union, the Association of South East Asian Nations and the European Union, with multi-stakeholder partnerships.

In discussions about why multi-stakeholder partnerships mattered or the value/relevance of multi-stakeholder partnerships for the SDGs, the following themes emerged:

1. **The complexity and interconnectedness of the SDGs** were a recurring theme among workshop participants. They felt that the issues were complex and could not be addressed effectively by a single actor or single institution. Although they acknowledged that development has always been a complex matter, they believed that the SDGs, given their interconnectedness or indivisibility, increased the complexity.
2. **Coordination:** Against this backdrop of complexity and interconnectedness of the SDGs, workshop participants saw multi-stakeholder partnerships as mechanisms for coordination amongst organizations and sectors, so that programmes and actions are harmonized for greater impact and for greater efficiency in the use of resources. Multi-stakeholder partnerships are seen to cut across the silo approach that often characterizes development efforts.
3. **Mobilizing resources and expertise** was another theme that emerged from the workshop discussion. Several participants saw multi-stakeholder partnerships as vehicles for mobilizing resources from a range of partners. Multi-stakeholder partnerships were also seen to serve as a platform for sharing knowledge and expertise among partners.

4. **Inclusiveness** was another theme that emerged from the workshop discussion. Multi-stakeholder partnerships are vehicles for inclusiveness, ensuring that no one is left behind, especially vulnerable groups. The inclusive nature of multi-stakeholder partnerships was seen to promote transparency and give credibility to development initiatives.

ANALYTICAL APPROACHES FOR EVALUATING MULTI-STAKEHOLDER APPROACHES

Implication of multi-stakeholder partnerships for evaluation processes and methods

Multi-stakeholder partnerships have several important implications for evaluators. Some implications have to do with the role of evaluators and the evaluation as a more participatory and inclusive process, conducted by a multi-stakeholder team and with private sector involvement. Other implications have to do with the analytical methods required. A multi-stakeholder partnership essentially consists of multiple stakeholders who agree to work in partnership towards a common goal. An analytical assessment of the impacts and workings of these partnerships therefore requires methods that can adequately deal with their multi-stakeholder nature. This was the topic of a second workshop during NEC 2017.

In evaluation, the dominant approach is to use impact evaluations based on linear results chains, typically a causal chain that connects input-output-outcome-impact. If we use such a linear causal chain to evaluate multi-stakeholder partnerships, we quickly encounter stakeholders somewhere in this results chain. A first question for evaluators therefore is: when can we treat this stakeholder component as part of a linear chain, and when does it get more complicated?

Arguably, things get more complicated when more stakeholders are involved, who depend on each other's resources and expertise over a longer period of time. When stakeholders interact over longer periods of time, they get to know each other, they learn about each other's capabilities and they often start anticipating each other's responses. Obviously, such conditions apply to many, if not all, multi-stakeholder partnerships.

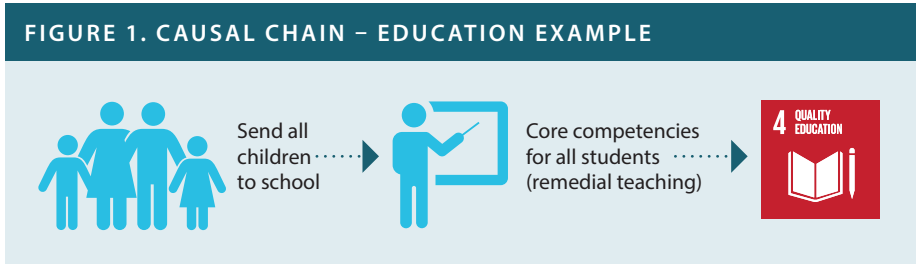
From linear impact models to multi-stakeholder models

A very small step from linear causal chains is to put the actor interactions on a linear causal chain. If one actor does A, then who is, in our theory of change, required to respond? If one does A, we depend on someone else to do B. But what else could they do? And what are they likely to do?

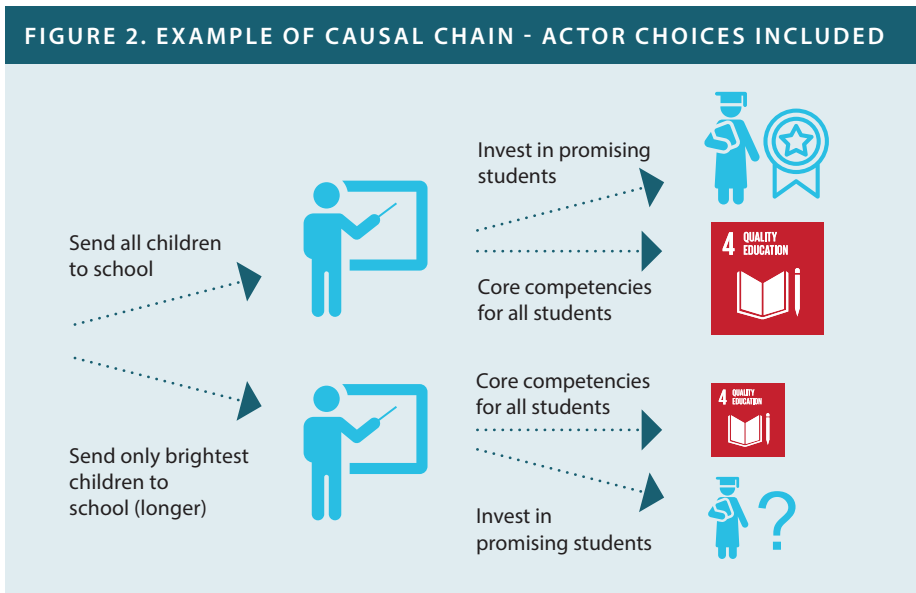
During the workshop, we looked at an illustrative example, offering another perspective on a chapter on education in the seminal book by Banerjee and Duflo.²¹⁵ One of the insights described in this text is that contrary to popular belief, it is best if families send all their

215 Banerjee, A. V. and E. Duflo, *Poor economics: A radical rethinking of the way to fight global poverty*, Public Affairs, 2011.

children to school, valuing every year of schooling equally. Another piece of insight is into the benefits of remedial teaching, whereby efforts are made to ensure that all students gain certain core competencies. This leads to a partial causal chain, which for the sake of illustration is kept simple, as shown in Figure 1.



If we apply our actor-oriented reasoning to this causal chain, we will realize that both stakeholders have alternative options. Teachers, who face limitations in resources and time, with large classes of students and low salaries, may also choose to concentrate their efforts on the brightest students, who are most likely to succeed in later academic careers. This is probably a more rewarding success experience for teachers. Anticipating such choices from teachers, parents may indeed do wise to only send their brighter children to schools (Figure 2). The resulting logic explains the results, or better, the *non-results*, described by Banerjee and Duflo.²¹⁶ In fact, it is a typical example of a social dilemma, where two parties jointly create an outcome that is not favoured by any of them. If we understand the structure that produces these non-results, we



216 Ibid.

can look more systemically for ways to change the incentives or the choices for the stakeholders involved, to alter the likely outcomes towards more preferred ones. In this example, we are in effect using game theory, constructing a game tree or a game in extensive form.

ANALYTICAL METHODS TO EVALUATE MULTI-STAKEHOLDER PROCESSES

Game theory, contrary to what the name might suggest, is not so much a theory but an analytical method. Besides game theory, there are several other methods we can use to evaluate multi-stakeholder partnerships. They all share, or at least can be positioned within, the same conceptual framework. Essentially, the outcomes of actor interactions can be better understood and analysed if we take into account four key elements. We need to understand what interests and motivates actors. What are their goals and objectives, what are their values? We need to understand the power and influence of actors—their resources. Also, it helps to understand how actors reason and how they perceive a certain situation. These perceptions might differ from one actor to another. And finally, the network of existing relations and the rules that structure them are of key importance.²¹⁷

Translated to multi-stakeholder partnerships, this means that evaluation methods should distinguish between outcomes that are of interest to different stakeholders. Also, since partnerships are seen as a way to mobilize resources and expertise, evaluations should assess the resource and expertise contributed by different partners, and the role these have played in establishing impacts. Furthermore, in partnerships, relations and strengthening relations might be as important as delivering specific outputs. In fact, for some partnerships, the relationships might be the outcome that is being aimed for.

Table 1 shows how different methods help to understand actor interactions from different angles. Many of these methods, as well as very similar methods, have been applied by evaluators before.²¹⁸ However, they are not yet part of the mainstream toolkit of most evaluators. When it comes to evaluating multi-stakeholder partnerships, they could be used more often. Not just to assess the impacts of these partnerships, but especially to learn why they are working well, or what bottlenecks exist that prevent them from realizing their true potential. Good resources for further learning about these methods are available by now.²¹⁹

In addition to skilled evaluators, the use of such methods also requires the commissioners of evaluations to recognize such methods as valuable additions and to request evaluations that go beyond the more traditional assessments of impacts and results. During NEC

217 Hermans, L.M. and S.W. Cunningham, with M. De Reuver and J. Timmermans, *Actor and Strategy Models: Practical Applications and Step-wise Approaches*, John Wiley & Sons, 2018.

218 Leeuw, F. L., 'Reconstructing program theories: Methods available and problems to be solved', *American Journal of Evaluation*, 24(1), 5-20, 2013; Cross, J. E., E. Dickmann, R. Newman-Gonchar and J.M. Fagan, 'Using mixed-method design and network analysis to measure development of interagency collaboration', *American Journal of Evaluation*, 30(3), 310-329, 2009; Hermans, L., S. Cunningham and J. Slinger, 'The usefulness of game theory as a method for policy evaluation', *Evaluation*, 20(1), 10-25, 2014; Lahdelma, T. and S. Laakso, 'Network analysis as a method of evaluating enterprise networks in regional development projects', *Evaluation*, 22(4), 435-450, 2016.

219 For instance, see Hermans et al., 2018.

2017, several speakers in other sessions also argued for evaluations that would help to adapt, not to predict; for evaluations that would aim for learning; and evaluations that would help to explain non-results. For these types of evaluations, the use of actor models and actor analysis methods seems essential when it comes to multi-stakeholder platforms.

TABLE 1. OVERVIEW OF ACTOR ANALYSIS METHODS FOR EVALUATION

FOCUS	METHOD	TYPICAL USES
Values and objectives	Value-focused thinking	Identifying values held by different actors in partnerships addressing ill-structured problems.
	Preference elicitation, Analytic Hierarchy Process	Assessing actor preferences in relatively well-structured decision problems.
Resources (power dynamics)	Analysis of options, conflict graphs	Conflicts with multiple actors, relatively ill structured.
	Extensive games (game trees)	Relatively well-structured conflict situations. Situations where information of actors about each other's actions requires attention.
	Cooperative game theory (coalitions)	Cooperation and coalition analysis in relatively well-structured arenas.
	Transactional analysis	Negotiation in ill-structured arenas.
Perceptions (causal assumptions)	Comparative cognitive mapping	Identifying and comparing beliefs on "theories of change" across different stakeholders.
	Argumentative analysis	Debates, disagreement about joint action or decisions.
Relations	Social network analysis	Structures of relations in larger networks of actors. Information flows, collaboration patterns.

Source: Based on L. Hermans & S. Cunningham 2018

CONCLUDING REMARKS

The topic of multi-stakeholder partnerships and their implications for evaluation practice is vast, and the two workshops were hopefully a starting point for reflecting on the topic in greater detail in other forums. We offer the following reflections for further exploration by evaluation practitioners and those who commission and manage evaluations.

Methods and tools to evaluate complexity: Multi-stakeholder partnerships introduce greater complexity, and evaluators require methods and tools to suited to evaluating complexity. There are several existing tools and methods that have been used in social research that are not necessarily in the mainstream of evaluation practice. Evaluators should be open to experimenting with less conventional tools and methods for evaluating multi-stakeholder partnerships.

Not all partners are equal in a multi-stakeholder partnership, even though this might be a stated intention of the multi-stakeholder partnership. Not all partners have an equal voice

or feel that they have an equal voice in the partnership. Some partners are better resourced than others and dominate the partnership. Multi-stakeholder partnerships have the potential to further disempower less-resourced partners. For example, private sector partners may be better resourced than their civil society counterparts, and hence better able to participate in the multi-stakeholder. Power is also distributed unevenly within the same sector. For example, large international and national NGOs tend to be better resourced than community-based organizations and more likely to be “heard” by government. Evaluators need to understand power dynamics in multi-stakeholder partnerships. They will need tools for power analysis in these partnerships. Evaluators will also need political astuteness and facilitative skills to navigate the political complexities, in addition to their skills in evaluation methodology.

Understanding the private sector: The workshops identified the private sector as an important partner in multi-stakeholder partnerships for the SDGs. It is likely that many government evaluators have limited knowledge or experience of working in the private sector. The private sector is heterogenous and has a different discourse and “rules of the game” from the public sector. Government evaluators will need to develop their capacities in engaging with and evaluating private sector contributions to the SDGs.

Inclusive evaluations: Evaluation practice will need to be more inclusive than has generally been the case to date. If evaluating a multi-stakeholder initiative or partnership, evaluators need to involve all relevant stakeholders from the outset. And those commissioning evaluations should ensure that inclusiveness begins with preparing the terms of reference for the evaluation. Reference groups or steering committees for evaluations would need to be inclusive of stakeholders, beyond government, and include civil society, the private sector and other non-State actors.

Multi-stakeholder approaches to evaluations: We may begin to see multi-stakeholder approaches to the evaluations, that is, evaluations as multi-stakeholder partnerships. For example, evaluation teams could include evaluators from civil society, the private sector, government and development partners. Are we able to develop a common evaluation language for evaluators from diverse sectors with diverse and divergent interests?

ADDITIONAL RESOURCES

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9. Challenges in Building National Evaluation Capacity When Receiving Aid

IDA KRISTINE LINDKVIST

Senior Adviser, Evaluation Department
Norwegian Agency for Development Cooperation

ANETTE WILHELMSEN

Senior Adviser, Evaluation Department
Norwegian Agency for Development Cooperation

INTRODUCTION

The Sustainable Development Goals (SDGs)²²⁰ move focus from the donor-recipient perspective to global challenges. While the Millennium Development Goals focused on developing countries, all countries will report on progress towards the SDGs. In line with this, the 2030 Agenda for Sustainable Development calls for systematic follow-up and review of the implementation of the SDGs. To ensure that all countries are able to document their own progress and identify areas for improvement, national evaluation capacity is key.

In this paper, national evaluation capacity is defined as a country's ability to monitor and evaluate progress towards its own development objectives. Ability in this context refers to having the financial, human and cultural capital and institutions necessary to ensure that progress towards national development objectives can be measured and evaluated. Hence the extent to which a country has sufficient evaluation capacity will depend not only on access to qualified staff and money, but also on culture and national institutions.

In this paper, we will discuss potential challenges that may arise for the development of national evaluation capacity when a country has limited funds and to some extent relies on development assistance. In particular, we argue that due to increased aid dispersion, donor-partner relations could undermine national evaluation capacity if donors' reporting requirements cater mainly to donor needs for information, rather than to partner needs in

220 According to the SDG declaration (resolution 70/1) adopted by the United Nations General Assembly in 2015, the SDG agenda should be implemented globally by mobilizing all available resources, including foreign aid (p.11). To promote accountability towards citizens, information on progress should be published on common indicators, but also on "national targets guided by the global level of ambition (...) taking into account national circumstances". The declaration also emphasizes the need to build evaluation capacity in developing countries, "to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts."

order to improve the programme/achieve own development objectives. On the flip side, increased focus on monitoring and evaluation capacity may also have a positive effect on national evaluation capacity as this may increase attention and funds given to monitoring and evaluation activities.

OFFICIAL DEVELOPMENT ASSISTANCE AND NATIONAL EVALUATION CAPACITY

Over the last decades, development aid constitutes an increasingly lower share of inflows compared to other financial flows to developing countries (i.e., foreign direct investments and remittances). The aid (i.e., official development assistance) share of total funds to the least developed countries has decreased from 47 percent to 36 percent in the period from 2000 to 2015.²²¹ Savedoff²²² demonstrates that the share of foreign aid compared to recipient gross national income (for low-income countries), while fluctuating, is at the same level in 2012 as it was in 2000, albeit considerably lower than at the all-time high in 1995.

While foreign aid continues to be important for many low-income countries, aid appears to have become more fragmented, meaning that an increasing number of donors are working within the same sector in one partner country. The average number of donors per recipient country has in fact increased from three to 30 during the 50-year period between 1960-2010.²²³ Aid is also said to become increasingly more proliferated, meaning that each donor is involved in an increasing number of countries. The Paris Declaration on Aid Effectiveness focused on the negative effects of aid dispersion, i.e., the combination of fragmentation and proliferation, when too many donors are funding too many activities in too many countries.

Aid dispersion is unfortunate for many reasons. One is that it could lead to an increase in transaction costs, i.e., costs related to the acquisition of foreign aid. This includes what Hagen²²⁴ calls policing and enforcement or in other words, reporting requirements which sole purpose is to ensure information to tax payers in donor countries.²²⁵ This excludes monitoring and evaluation mainly undertaken for learning purposes, or to ensure accountability to beneficiaries. An example of such reporting requirements would be the collection of data that demonstrates that disbursements have achieved donor objectives but provides information of little relevance for the partner. It may be important for Norway to establish how many lives it has saved due to an intervention, however officials in the partner country may for example care more about the improvement in development overall.

221 For country examples see: <http://www.oecd.org/dac/stats/beyond-oda.htm>.

222 Savedoff, W., Blog post: 'Is Foreign Aid (a) Shrinking (b) Stagnating or (c) Growing?', 2015.

223 Bastøe, P. Ø. and S. Hansen, *New challenges and new roles: development financing in the 21st century*, Oslo Z-forlag, 2015, p. 14.

224 Hagen, R. J., 'Concentration difficulties? An analysis of Swedish aid proliferation', Stockholm Expertgruppen for Biståndsanalyt, 2015, p. 14.

225 OECD, 'Trends in In-country Aid Fragmentation and Donor Proliferation: An Analysis of Changes in Aid Allocation Patterns between 2005 and 2009', i U. Bürcky (ed.), Report on behalf of the OECD Task Team on Division of Labour and Complementarity, 2011, and Hagen, 2015.

Increased aid dispersion constitutes a challenge for the development of national evaluation capacity to measure progress on the SDGs. Donors face the dilemma of whether to prioritize their own need to provide information to tax payers or partners' needs for information. Below we argue that if donors prioritize their own need for information, this could constitute a challenge for the development of national evaluation capacity and nationally relevant results information. The main reason for this is that donor and partner needs for monitoring and evaluation information and capacity do not match perfectly.

THE EFFECT OF THE DONOR-PARTNER RELATIONSHIP ON NATIONAL EVALUATION CAPACITY

Aid is different from commercial financial flows or remittances, in that those financing the aid, i.e., ultimately taxpayers, are not affected by the development outcomes of aid. In addition, beneficiaries have little say over donor funds. For this reason, monitoring and evaluation is argued to be more important in development than in other sectors given that monitoring and evaluation can mend the broken feedback loop both to tax payers and beneficiaries. Such information can empower beneficiaries and ensure that both the funding agency and implementing partners are held accountable and that national governments receive relevant information available to ensure progress on for instance the SDGs. However, donor and partner needs for information do not necessarily match as the donor's focus may be on what their funds have achieved, while the partner may be more interested in overall results of programmes, not depending on who funded which part of it.

Donors,²²⁶ whether bilateral or multilateral, provide partners with funds, normally in exchange for reporting on results. We argue that the nature of this relationship can affect national evaluation capacity in the partner country in at least three ways: firstly, through the nature of reporting requirements, secondly through capacity-building²²⁷ and thirdly through the type of funding contract.

REPORTING

Reporting requirements are information on results that the partner is obliged to deliver to the donor and can include both monitoring and evaluation (M&E). Reporting requirements are sometimes demanded as part of the donors' financial regulations and sometimes directly related to the nature of what is funded. For example, an M&E system may be set up to continuously improve or change the project, or funding could depend on reporting. Reporting may be highly technical and may be directly aimed to respond to the donors' own requirements, or it could be more flexible and based on the recipient country's system.

226 By donor we mean a multilateral, international non-governmental organization (NGO), a donor agency or an NGO. A recipient could be a multilateral, international NGO, NGO or a national government.

227 Capacity-building in this context means the transfer of skills/knowledge of monitoring and evaluation. Capacity-building can go both ways. Payment of education or courses will in this context be funding of evaluation capacity (rather than capacity-building).

Donors may implement similar reporting requirements on different projects in order to allow for an aggregation of results of their own aid to their own taxpayers. This way, focus may be on what the donor has contributed to in a specific programme or project, and not necessarily to document progress towards general development (and the SDGs overall) in the country. This may not constitute a problem if all commit to the SDGs, as these are common goals. However, it may mean that information is not sensitive to national needs and the local context.

For the Norwegian aid administration, the combination of an increased focus on results²²⁸ and a high number of agreements and partner countries²²⁹ may make it challenging to be sensitive towards partner needs, yet the increased focus on results may increase demands for results frameworks and monitoring data. In addition, evaluation may focus on how the donor could learn (about progress on projects and whom and what they should fund) and not necessarily on the needs of national governments. Given that aid proliferation appears to be a global trend²³⁰ this may increase reporting costs for partners. The latter is what Hagen calls transaction costs in the aid industry; i.e., costs related to receiving aid, without being directly related to the effectiveness of the programme.

Conversely, a reporting system that prioritizes partner needs would rely on existing indicators important to the recipient to measure development progress overall in the country. While this sounds good in theory, this is not uncomplicated. Donor projects and programmes are likely to be smaller than national programmes and projects, and when programmes are slightly different, they may require different types of results information than what is available from the national system. If the donor relies too heavily on partner systems, this may mean that the donor ends up with results information that cannot be used to detect the effects of the donor-funded programmes. Lacking, or inadequate, results information could make the donor vulnerable to domestic criticism (and ultimately in a reduction of funds for development aid). In 2014, the Evaluation Department of the Norwegian Agency for Development Cooperation published a report criticizing the Norwegian aid administration for not being able to document the effects of Norwegian aid.²³¹ While improved results data may make Norwegian aid more effective, the overall effect on development outcomes is unclear as this could simultaneously increase transaction costs for partners. This may pose a particular problem for partners with many donors.

228 Bastøe, P. Ø. and I. Lindkvist, 'The results paradox', (draft chapter for book), in M. Palenberg and A. Poulsen (eds.) *The pursuit of impact (draft title)*, forthcoming.

229 The Norwegian Government announced an increased focus on concentration of agreements and countries in 2014, but it is too early to assess the effect of this.

230 OECD, 2011, and Hagen, 2015.

231 NORAD Evaluation Department, 'Can we demonstrate the difference that Norwegian aid makes? Evaluation of results measurement and how this can be improved', *Evaluation Report 1:2014*, Oslo, Norad, 2014.

CAPACITY-BUILDING

Capacity-building related to reporting is here understood as transfer of skills and or knowledge of monitoring and evaluation through interaction between the donor and partner. This can go both ways, and can be provided through day-to day interaction or by offering courses on monitoring and evaluation as part of the follow-up of disbursements of funds.

If the donor mainly practices accountability towards taxpayers, we can expect to see capacity-building on how to report on specific partner requirements. For example, in 2014, the Norwegian programme for capacity development of higher education institutions (NOR-HED) invited all institutions receiving funding from the programme, in effect several hundred academics from all over the world, to Addis Ababa to a workshop to teach participants traditional tools for how to manage and report on development projects. The Norwegian aid administration trained participants in monitoring and results reporting, including how to manage risk. Discussions among participants included how to develop results frameworks and on understanding the difference between input and outcomes in a results framework. Almost no part of the conference was dedicated to how to build capacity in higher education institutions, i.e., the main purpose of the programme. While the domestic Norwegian debate on how to build capacity of higher education institutions is also dominated by indicators and how to measure academic quality (i.e., for example the number of academic articles produced and the importance of the journal in which they are published), a discussion of the difference between input, output and outcomes is mostly absent from the national discussion. This is not to say that results data, if followed by learning and course correction, cannot improve the programme; however, if the main purpose is to report in exchange for funds, then this can make the transaction costs for receiving funds very high indeed.

While basic training in reporting requirements may be useful for programme officers, a plethora of different research and evaluation methodologies exists. A risk for the partners’

TABLE 1. DONOR-PARTNER RELATIONSHIP DEPENDING ON ACCOUNTABILITY TYPE

THE THREE CHANNELS	ACCOUNTABILITY TOWARDS	
	TAXPAYERS	BENEFICIARIES
Reporting requirements	Same for all recipients/across projects Focus on donor interests/needs in terms of indicators and reporting Seminars and results reporting is mainly to tax payers	Relies on recipient system and existing indicators important to the recipient
Capacity-building	Focus on learning how to report on donor’s results needs	Focus on what the partner needs
Funding	No funds or funds restricted for donor reporting	Funds different types of capacity-building depending on what the recipient needs, varies between countries

national evaluation capacity is that the development of knowledge and skills may not match the monitoring and evaluation needs of the country. In addition, evaluation knowledge may be spread too thin and focused on the slight differences of different donors rather than gaining deep knowledge of methods relevant for the country's own monitoring and evaluation needs.

While it is easy to criticize capacity-building for reporting to the donor, it is likely to be necessary for accountability purposes. Given the increasing focus on results, the pressure to document is not likely to go away. That said, this is not necessarily a problem if programmes and projects are not too many, are aligned with the partner's own development objectives and evaluation and monitoring are of high quality.

Table 1 displays how the donor-partner relationship could look like depending on whom the donor is accountable to. This is usually not black or white and the donor would probably be placed somewhere in between.

THE FUNDING CHANNEL

The funding channel refers to the provision of funds for monitoring and evaluation, either by supporting these activities directly or by funding evaluation capacity within partner institutions. Funding agreements can also be made contingent on reporting, in which case larger monitoring systems are sometimes implemented and verification procedures may be introduced. The latter could result in more accurate results data and competence and ability to report, however it could also influence the quality of data negatively given the incentive for positive reporting.²³²

When the donor mainly caters to its own needs for information, we expect less funding of general evaluation capacity, unless the donor prioritizes evaluation capacity as a development objective. Instead, funding of evaluation capacity or funding for evaluation and reporting will be made only if this is directly related to donor reporting requirements. Donors may also require partners to fund monitoring and evaluation.

CONCLUDING REMARKS

When looking at potential effects donors have on national evaluation capacity, it is tempting to argue that the solution is to go back to Paris. That means to reiterate the commitments made to the Paris Declaration on Aid Effectiveness. However, in the discussion above we have demonstrated that this is not necessarily so easy for donors, especially when aid is proliferated (donors have engagements in many countries and possibly also with many partners). Proliferated aid, combined with the Paris Declaration and prioritization of donors' own needs for information, might cause administrative costs for the donor to skyrocket. Alternatively, the donor may end up collecting results information but without the administrative resources to use this information.

232 Lindkvist, I. and P. Ø. Bastøe, 'Results-based financing has potential but is not a silver bullet – Theory-based evaluations and research can improve the evidence base for decision making', *Discussion paper*, Evaluation Department Norad, 2015.

10. Leveraging Evidence and Influence for Development: How Civil Society Works with and Through Government to Advance the SDGs

EMMA FAWCETT

Evaluation, Learning and Effectiveness Advisor
Oxfam America

INTRODUCTION

Civil society has a critical role to play in ensuring that no one is left behind in the implementation of the Sustainable Development Goals (SDGs), and partnerships between the State and civil society can help address capacity gaps and ensure that communities' needs are met. Dialogue between State and civil society can improve the institutionalization of evaluation, building demand for evidence to inform policy- and decision-making. Civil society can bolster social accountability and ensure that public policy is effectively targeted. And when State resources are constrained, civil society can help to bridge gaps in data and advocate for the needs of the poor and vulnerable.

We explore case studies from Oxfam staff and public-sector partners based in Mexico, Ethiopia and El Salvador. These partnerships have improved evaluation capacity and accountability in implementing protections against gender-based violence, supporting rural resilience and food security, and bolstering women's financial inclusion and economic empowerment. But what makes for effective partnerships between government and civil society? How can such partnerships be leveraged to elevate national evaluation capacities? What are the challenges that may emerge?

This session featured presentations from: Indrani Barrón and Alfredo González, Oxfam Mexico; Tilahun Gameda, Oxfam Ethiopia; and Iván Morales, Ana Liliana Vega and Ana Ella Gómez, Oxfam El Salvador (accompanied by two government representatives).

MEXICO: ADDRESSING GENDER-BASED VIOLENCE (SDG 5)

How can civil society actors improve data quality for incidences of gender-based violence and support the implementation of legal frameworks that protect women and girls?

Mexico's normative framework developed to eliminate violence against women and girls is in accordance with international best practice, yet does not provide effective or efficient relief to women and girls in Mexico. According to the 2016 National Household Dynamics Survey, women in Mexico face high levels of violence. Of those women surveyed, 66 percent

have experienced physical, economic, emotional or sexual aggression at least one time in their lives. Furthermore, 43.9 percent report having experienced violence by their current or most recent partner, and 34.3 percent of woman experienced sexual violence in the form of intimidation, harassment, abuse or sexual violence.

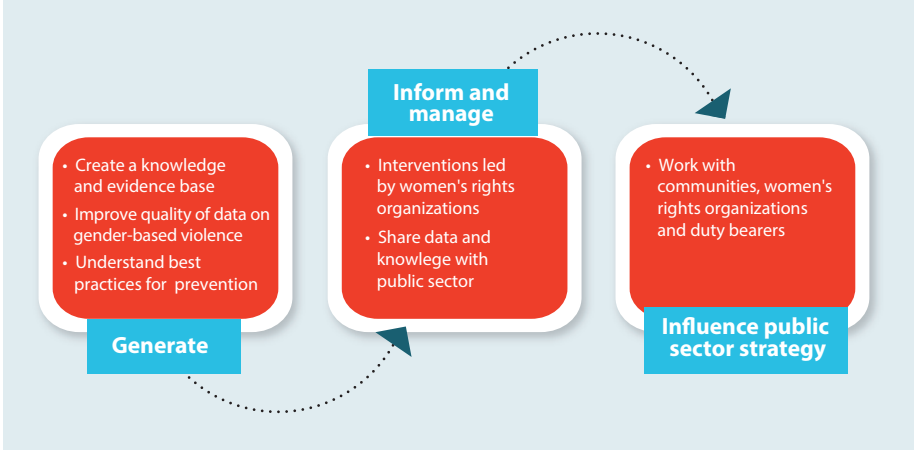
Mexican policymakers have acknowledged two critical gaps: data on gender-based violence, and appropriate mechanisms for dealing with incidences. Miguel Ángel Osorio Chong, Mexican Minister of the Interior, stated earlier this year: “Sometimes a prosecutor that doesn’t know a thing about family violence, or doesn’t want to understand it, will say [in response to a domestic violence complaint]: ‘Come to an agreement with your husband, otherwise he will leave you. Come to an agreement and forgive him.’ You know what happens next? She’ll come back, but after she’s been abused a second time—or she’ll become a femicide statistic”.

From a rights-based perspective, the Mexican State is a duty bearer that ought to guarantee human dignity based on its constitutional principles. However, the State faces important challenges in implementing these protections. From public harassment to intimate partner violence, to workplace discrimination and to femicide, protocols have little effect in facilitating the reporting, processing and resolution of cases and therefore fail to meet their original purpose. Women and girls in Mexico are left with little access to justice. Cases that do receive attention from the State are those that are heavily and publicly advocated for by civil society, through mass media, social media or street protests.

The introduction of legislation is a key step in eliminating violence against women and girls, but laws on paper must be implemented in practice in order to address and prevent these failures against women’s rights. Recognizing that there is no standard approach for improving the implementation of such laws, Oxfam Canada has nonetheless identified seven key elements that impact effectiveness in implementation. Civil society organizations (CSOs) have important roles to play in service and information provision, education and training for implementing actors and inter-actor coordination, among other activities. CSOs can generate social accountability by providing information that can tackle the following gaps at the state level in implementation of laws aimed at eliminating violence against women and girls: weak institutional design; unclear mandate; lack of planning; soft power; lack of indicators; limited budgets; lack of human resources; and weak governance.

Oxfam Mexico recognizes this as a pressing need in eliminating violence against women and girls, but also as an opportunity to bolster democratic engagement, rights reclamation and dialogue between civil society and the public sector. The first step is identifying the processes in the Mexican system that need that most need data on gender-based violence, pursuing the strategy outlined in Figure 1. Oxfam Mexico has worked to bolster social accountability as a strategy and mechanism through which communities can achieve better gender outcomes in the elimination of violence against women and girls.

FIGURE 1. BRIDGING THE IMPLEMENTATION GAP BY BOLSTERING SOCIAL ACCOUNTABILITY MECHANISMS



ETHIOPIA: RURAL RESILIENCE AND FOOD SECURITY (SDG 2)

How can civil society shape how the government understands, measures and addresses rural resilience?

The R4 Rural Resilience Initiative is strategic partnership initiative between Oxfam and the United Nations World Food Programme (WFP) which provides an integrated risk management tool to vulnerable, food- insecure farmers to build their resilience. The programme integrates four risk management strategies: improved management of natural resources and diversification of livelihoods (risk reduction); weather index insurance (risk transfer); microcredit (prudent risk taking); and savings (risk reserves). The programme seeks to improve the resilience of farmers to weather shocks, improve their livelihoods and enhance their food security.

Oxfam and the WFP have complemented R4 implementation work with policy and advocacy efforts designed to increase scale and impact. Partners recognized that the key to ensuring the sustainability of the R4 model was through the creation of an enabling policy and regulatory environment. Accordingly, Oxfam and the WFP, in direct partnership with the Government of Ethiopia, sought to:

- Mainstream the R4 model into existing government safety nets (the Productive Safety Net Programme (PSNP)) to increase scale, to ensure programme sustainability and to make integrated financial and risk management solutions accessible to the chronically poor;
- Contribute to the creation of an effective and viable index insurance market;
- Demonstrate to relevant stakeholders, using evidence, the importance of cross-sectoral, integrated risk management approaches to build the resilience of vulnerable communities.

R4 has shaped the way the Ethiopian Government approaches risk management for smallholder farmers. Some examples of successes include:

Promoting integrated approaches to risk management through safety nets: In 2013, a memorandum of understanding was signed between the Disaster Risk Management and Food Security Sector (DRMFSS) of the Ministry of Agriculture, WFP and Oxfam to explore the possibility of integrating R4 into the PSNP. As part of this effort, a steering committee has been established, represented by stakeholders from a range of organizations including Oxfam, WFP, International Labour Organization, Early Warning and Response Directorate, Relief Society of Tigray and Organization for Rehabilitation and Development in Amhara. This outcome is attributed to the R4 team's presence in key government committees, particularly the DRMFSS of the Ministry of Agriculture.

Influencing the design and implementation of pro-poor financial services: The success of the R4 initiative has attracted a range of local stakeholders including Ethiopia's private sector to the idea of insurance for work and weather index insurance. This represents a shift, as financial service providers and the private sector have historically resisted investing in micro-insurance projects due to perceived risk and failure to scale or demonstrate sustainability. In partnership with R4, major national and regional financial institutions in Ethiopia now offer weather index-insurance products through the PSNP, including Nyala Insurance, the Africa Insurance Company and Debit Credit and Savings Institution. Moreover, partners such as Japan International Cooperation Agency and CARE Ethiopia have reached out to the R4 team for programme design support and have since begun piloting their own weather-index projects for rural resilience modeled explicitly after R4.

Influencing the Disaster Risk Management Strategic Programme and Investment Framework: The R4 index insurance experience informed the design of the Government's Disaster Risk Management Strategic Programme and Investment Framework. The Horn of Africa Risk Transfer Adaptation pilot initiative was also featured as an example in the strategy document.

EL SALVADOR: WOMEN'S ECONOMIC EMPOWERMENT (SDG 5)

How can governments and civil society combine their expertise to provide financial inclusion services at scale?

Oxfam and the Government of El Salvador (Ciudad Mujer and the Agricultural Development Bank) have worked together to address women's economic empowerment and financial inclusion. To this partnership, each actor brings unique strengths. Ciudad Mujer, a public sector programme that seeks to improve women's living conditions through economic empowerment, borrowed Oxfam's savings group methodology to expand at scale. Oxfam turned the formation of new savings groups over to Ciudad Mujer. In addition, the Agricultural Development Bank and Oxfam joined forces to develop a financial product that was in line with the reality of the women of the savings groups.

Role of Oxfam: Oxfam has developed women's savings groups in El Salvador for more than a decade, with a tried-and-tested methodology. Given that the vast majority of rural women in El Salvador do not have access to financial services, Oxfam in El Salvador adapted

a savings group model already well-established by African Oxfam affiliates. The essential characteristic of savings groups is that the money saved and the credits they provide are the women's own resources, regulated, administered and managed by the women themselves. Savings groups hold regular meetings to save and lend and have a steering committee that leads and ensures compliance with the rules established by the group. The methodology in El Salvador was refined over time, in partnership with the Inter-American Development Bank. Today, Oxfam continues to develop savings groups with an emphasis on young people, seeking to strengthen existing groups and fostering networks of savings groups for change, which allows them to have a greater impact on their communities and gain influence on public policies.

Role of Ciudad Mujer: Ciudad Mujer is a programme within the Secretariat of Social Inclusion that seeks to improve the living conditions of Salvadoran women in a dignified and equitable manner with full respect for their rights. The programme provides specialized services in sexual and reproductive health, gender-based violence, human rights literacy and economic empowerment. Ciudad Mujer designed a programme to strengthen and develop technical and business skills, aimed at promoting productive entrepreneurship. This programme allows women greater economic autonomy and income generation, resulting in a decrease in gender-based violence due to economic dependence.

Ciudad Mujer is currently developing community savings groups at its Morazán headquarters and it is expected to expand it to all the country headquarters. Similarly, the Agricultural Development Bank has savings and credit lines for the groups, initiated in the department of Morazán and under expansion to the departments of Chalatenango, La Libertad and elsewhere. Additionally, Ciudad Mujer, in alliance with other actors, designed a pilot project for financial inclusion, creating a line of credit adapted to the realities of rural women. This pilot experience is the basis for the design of a public policy that integrates an inclusive financial model for women in El Salvador.

Role of the Agricultural Development Bank of El Salvador: The Agricultural Development Bank is a State financial institution that provides access to financial services in several sectors and seeks to support food security and employment generation. The Bank grants agricultural and agro-industrial loans, as well as savings and credit lines for community savings groups, which mainly benefit women from vulnerable sectors of the country. Loans to savings groups required new internal protocols for the Bank, designed with the participation of savings group members.

This experience is an example of how the good work developed by CSOs can influence the public policies adopted by a State institution.

CONCLUSION

The discussion following the panelists' respective presentations illuminated the following key takeaways:

- Public—non-governmental organization (NGO)—people partnerships are essential to ensuring programme effectiveness, scale-up and sustainability.

- Evidence-based practice matters, and monitoring, evaluation and learning practitioners in NGOs and the public sector have a key role to play in ensuring that evidence informs design.
- Being responsive and adaptive is critical for programme quality, so that programme design meets the needs of the people we work with.

Given the ambitious development agenda set by the SDGs, partnerships are essential for filling gaps in data and capacity, generating an evidence base to inform policy and practice and holding duty bearers accountable.

11. Progress, Challenges and Lessons Learned from the Implementation of the SDGs: A Perspective of Civil Society Organizations in Liberia

PETER S. DOLO

Human Resource Manager and Program Officer
Development Education Network-Liberia (DEN-L)

LIBERIA AND THE SDGs (KEY NATIONAL PRIORITY AREAS)

According to report from a local daily newspaper (Liberia Daily Observer, 27 January 2016 edition) the Government of Liberia in 2016 began the implementation of the global development initiative, the 2030 Agenda for Sustainable Development, adopted in 2015 by the United Nations in New York. The 2030 Agenda comprises 17 Sustainable Development Goals (SDGs) and its domestication began with an official launch by President Ellen Johnson Sirleaf at the Monrovia City Hall on 26 January 2016. The paper added that the occasion was hosted under the auspices of the Government and the United Nations Sustainable Development Solutions Network, private philanthropist Dr. Betsee Parker, United Nations Country Team, Save the Children International and other partners.

In accordance with the mandate from the adoption of the SDGs on September 2015 in New York, United Nations Member States were encouraged to integrate its contents into their respective national development agendas. President Sirleaf, according to the paper, recounted how Liberia was in conflict when the first global development agenda was crafted, thereby having no input but had to implement what had been prepared by technicians from the West who ignored local realities on the African continent. In spite of this, she said Liberia began the implementation of the Millennium Development Goals (MDGs) six years after their adoption and had a progress rate of 33 percent. "This time this agenda (the SDGs) included everybody and we must work to have them achieved," she said.

The paper also quoted the former Finance and Development Planning Minister of Liberia, Amara Konneh, as saying that Liberia is a bit ahead in the implementation of the SDGs because the country has already begun the implementation of almost all of the contents of the SDGs in its previous development agenda. Though the 2030 Agenda contains 17 goals and 169 targets, Minister Konneh outlined what he termed as the pivotal ones that the country should pursue. According to him, SDGs 3, 4, 5, 6, 9, 16 and 17 must be of priority to the Government.

PROGRESS: ARE THERE NATIONAL EVALUATION DATA TO GAUGE PROGRESS?

There are many more things happening and or not happening in relation to achievement of the SDGs under the Government of President Ellen Johnson Sirleaf²³³ than are effectively captured in our stories. This in part may be attributed to the limited capacity of national organizations to effectively document and report on achievements of the numerous interventions in different focal areas of the SDGs at the local levels. Intuitively, however, progress on the SDGs may be mirrored from achievements of a different development agenda in Liberia which have been partly integrated into the SDGs. For example, SDG 5 (achieving gender equity and the empowerment of all women and girls) is linked to the previous MDG 3 (promote gender equality and empower women). Under this goal, the Liberian Government and partners (including UN Women through its Gender Equality and Women Economic Empowerment Programme and civil society organizations (CSOs)) have been working on different programmes for gender equality and women's empowerment.

The programming of UN Women in Liberia is developed within the framework of the gender priorities identified in Liberia's 2012–2017 Agenda for Transformation and reflected in the 2013–2017 United Nations Development Assistance Framework. The goal of UN Women in Liberia is to contribute to addressing gender justice and equity through sustained peacebuilding efforts, particularly addressing violence against women and girls, promoting gender equality in governance and supporting women's economic security and rights (UN Women Terms of Reference for Evaluation Reference Group, Peacebuilding Fund Project, 2013-2016).

In order to understand the impact of the intervention, UN Women works through an independent consultant (usually an international consultant) for evaluation of its programme. The recent call for evaluating the UN Women peacebuilding funds in Liberia was published in the first quarter of 2017, seeking an international leader for its evaluation. To date, there are no data that point to a report or work of any national evaluator to support an affirmative conclusion on existing national evaluation capacity.

SDG 3 (Ensure healthy lives and promote well-being for all at all ages) is linked to MDG 4 (reduce child mortality) and MDG 6 (combat HIV/AIDS, malaria and other diseases). Under this goal, Liberia has made tremendous progress since the end of the outbreak of Ebola virus disease in the country. Feedback from communities through engagement of different CSOs shows that health services in Liberia have relatively improved after the Ebola outbreak as opposed to before the outbreak. Again, there is no awareness through qualitative or quantitative evaluation data that supports any assertion to the level of improvement in the health sector in Liberia.

Under SDG 4 (ensure inclusive and equitable quality education and promote lifelong learning opportunities for all), the Ministry of Education of Liberia in 2016 focused on essential improvements in the country's education system to ensure that the education system

233 Editor's note: this paper was submitted in October 2017, prior to the election of President George Weah. The paper does not take into account subsequent changes to the national context.

does not fail Liberia's children and youth. As set out in Vision 2030 and the Agenda for Transformation, the country's goal is to achieve inclusive growth and middle-income status by 2030 (Ministry of Education 2016 Report). In 2015, "Getting to Best" was launched with the Ministry's top nine areas for reform which have been developed into a three year "Getting to Best Education Sector Plan". The following are the top four priorities: (1) workforce reform; (2) pay reform; (3) monitoring and accountability; and (4) partnership schools for Liberia (public-private partnership). According to the annual report of the Ministry, it has started paying all teachers and improving the quality of teachers; it is reported that there is an "improved monitoring system" and "accelerated learning outcomes". Unfortunately, it is unclear from the perspective of civil society what constitutes an improved system and learning outcomes. There are no evaluation data that constitute feedback from the larger society of the country. As stated earlier, the country may be doing more or less but it is only through available data that conclusions could be made about progress or regress.

Finally, on progress under SDG 16, Liberia has submitted a peacebuilding plan to the United Nations Security Council, through the Secretary-General of the United Nations. The plan, which is in line with the SDGs and features the Agenda for Transformation, covers five priority areas which include: (1) promoting inclusive and transparent elections in 2017; (2) peace, security and the rule of law; (3) economic transformation; (4) governance and public institution; and (5) cross cutting issues (Country Report, June, 2017).

Current update on the implementation of Liberia's Agenda for Transformation:

- Road map developed for post Agenda for Transformation Development Plan to include, but not limited to, preparing the new Agenda for Transformation (including SDG domestication components);
- Decision reached to domesticate and integrate the 2030 Agenda and African Union Agenda 2063 to our next development plan; and
- Completed alignment exercise of the 2030 Agenda and Agenda 2063 to the indicators of the Agenda for Transformation.

The objective of the plan completed by United Nations and the Liberian Government is that peacebuilding in Liberia needs to maintain the momentum of the last 14 years, whilst recognizing the convergence of two transitions; first the election of a new Government in October 2017 and second the end of the mandate of the United Nations Mission in Liberia (UNMIL) on 30 March 2018. This plan provides a well-developed framework for sustaining peace, formulated in accordance with Security Council resolution 2333 (2016), and "directs the role of the United Nations system and other relevant partners in supporting Liberia's transition", during the drawdown of UNMIL and beyond, as provided for by the resolution. (Government of Liberia and United Nations Liberia Peacebuilding Plan, March 2017).

Finally, under progress, according to the Assistant Director for Monitoring and Evaluation at the Ministry of Finance and Development Planning in Liberia, Mr. James Afif Jaber, the Government has started raising awareness of the SDGs with key stakeholders in 12 of the 15 political subdivisions of Liberia (from 13 to 16 June 2016, 23 to 28 October 2016 and 14 to

21 June 2017). According to the Assistant Director, a successor framework to the Agenda for Transformation is currently being developed and is still in a draft form; the document according to him will serve as a guide to the next national development plan when completed. The Assistant Director, however, recounted the lack of adequate funding for carrying out robust awareness-raising with all relevant stakeholders as a key challenge.

THE SDGs AND CIVIL SOCIETY: IS THERE CAPACITY FOR EVALUATION?

Liberia has an established structure of CSOs known as the National Civil Society Council of Liberia. The organization has both national and local structures across the country. Liberia is also amongst nine countries of the informal high-level group on the 2030 Agenda, which also includes Brazil, Columbia, Germany, South Africa, Sweden, United Republic of Tanzania, Timor-Leste and Tunisia.

Significantly, the members of the high-level group have committed themselves to leading by example and playing their part in delivering on the 2030 Agenda in their respective national contexts, and to engaging with other national leaders, stakeholders and civil society when doing so. (High-level group, Champion to be, July 2017).

CSOs have or should have, amongst others, three cardinal roles in the implementation of the SDGs:

1. Creating mass awareness of the goals and key provisions therein for the public;
2. Monitoring the implementation process and providing feedback to the Government and other stakeholders when necessary; and
3. Providing parallel or shadow reports to other stakeholders including the international community about progress, challenges, lessons and recommendations on the implementation of the SDGs.

However clear these roles of civil society may appear, there seem to be both capacity challenge and lack of political will to adequately carry out these functions; these challenges, amongst others, are articulated in the next section of this paper.

KEY CHALLENGES IN THE IMPLEMENTATION OF THE SDGs (NATIONAL DEVELOPMENT AGENDA)

- The national budget serves as a strong pillar for any development agenda. However, there is a disconnect between a very ambitious plan and resource allocation decisions by the Government of Liberia; for example, the national budget for fiscal year 2016/2017 allocates almost 50 percent of the budget for compensation to government employees as opposed to 0.4 percent for public investment projects and less than 1 percent for agriculture. This decision has been consistent in many previous budget years.
- There are challenges in the reallocation of national wealth to subregional structures of Government. To this end, the remittance of social benefits from concession

activities to actual beneficiaries in communities is very slow; for example, Accelor-Mittal, a concession company involved in iron ore mining in Liberia, remits \$300,000 annually through the Ministry of Finance and Development Planning to communities directly affected by the company's operation. However, many affected communities have not received their fair share of this payment up to date as a result of "delay in the remittance process". According to an information gathering report by the United States Agency for International Development and the Accountability and Voice Initiative Natural Resource Management Coalition in Liberia, launched on 19 July 2017, communities have limited participation in the governance and administration of the County Social Development Funds; and lawmakers have highest decision-making power about the allocation and utilization of the funds.

- There is limited awareness about the SDGs in communities; feedback from communities in Liberia shows that not many people are aware of the SDGs and the national domestication processes. In many town hall meetings and community gatherings, discussions and/or actions are faintly linked to the previous national development agenda without linkage to the SDGs.
- CSOs in Liberia have challenges with coordination; accordingly, taking joint actions on issues of national concerns has some bottlenecks. This brings to fore the underrepresentation of CSOs at some regional and international meetings about key development issues including the 2030 Agenda. Sometimes CSO representatives for these meetings are handpicked by the Government based on, perhaps, vested interest.
- There is challenge in producing representative (local and national) evaluation data as a result of, perhaps, a limited funding base to include more robust, bottom-up approach to national evaluation processes. Usually, a very small portion (sample) of the population or key stakeholders is involved in providing feedback to evaluation.

KEY LESSONS AND IMPLICATIONS OF THE SDGs

When the development agenda is not consistent and aligned with budgetary allocations, it becomes difficult to achieve anticipated results; more than half of the SDGs have links to environment and agriculture, for example. However, the low representation of these themes in the national budget means that more needs to be done to increase specific budget allocations for the SDGs.

The lack of coordination and inability of CSOs to carry out sustained and informed advocacy creates the incentive for Government to ignore its obligation to the people. To this end, the coordination and evaluation capacity of CSOs needs to be strengthened for effective and efficient evaluation and monitoring of the SDGs at all levels

The achievement of the 2030 Agenda needs not only the political will of governments but also the support of CSOs and all citizens. Accordingly, there is a need for partnership between national Government, CSOs and other stakeholders in implementing and evaluating the SDGs.

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12. Government and Civil Society Partnership for Evaluation in Kenya: Experiences, Challenges and Opportunities

SAMSOM MACHUKA

Director

Monitoring and Evaluation, Ministry of Devolution and Planning

JENNIFER MUTUA

Founder and Chair

Evaluation Society of Kenya



INTRODUCTION

The leading and most diversified economy in Eastern Africa, Kenya faces unprecedented development opportunities and challenges, in equal measure. The birthing of a devolution dream by the Constitution 2010, an empowered human resource base, new natural wealth discoveries, regional leadership in technological innovation and infrastructural developments, among others, provide a lot of hope for the citizenry towards better socioeconomic well-being. On the other hand, the nation faces daunting constraints amongst them high levels of poverty (45.2 percent)²³⁴ and youth unemployment. Out of the 24 million working-age population, one in every six young Kenyans is unemployed.²³⁵ Runaway corruption, food insecurity and other climate change effects have aggravated the situation.

The *Vision 2030* is the country's economic blueprint based on economic, social and environmental pillars. It is aligned to the Sustainable Development Goals (SDGs). This strategy is implemented through five-year medium-term plans (MTPs) and related sector plans, the third of which (MTP III) is currently under development. Additionally, the 47 county strategies are aligned to the *Vision* through County Integrated Development Plans (CIDPs). Development partners, accordingly, align their country strategies to support the national priorities in these plans.

To track and provide feedback on the implementation of these plans, the National Integrated Monitoring and Evaluation System (NIMES) and the County Integrated Monitoring and Evaluation System (CIMES) were established, in 2004 and 2013, respectively. This is coordinated

234 <https://www.kenyans.co.ke/news/20426-kenya-national-bureau-statistics-study-reveals-counties-lowest-poverty-rate-452-kenyan>.

235 <https://www.standardmedia.co.ke/business/article/2001230740/kenya-s-economy-groans-under-weight-of-its-jobless-youth>.

by the Monitoring and Evaluation Department (MED), Ministry of Devolution and Planning. Over the years, development partners such as the United Nations, World Bank, the United Kingdom Department for International Development, Swedish International Development Cooperation Agency and African Development Bank, among others, have supported the strengthening of the two systems. Currently, MED benefits from some of the funding under the World Bank's Kenya Devolution Sector Support Programme domiciled in the Ministry of Devolution.

The Evaluation Society of Kenya (ESK), a partner of MED, is a new entrant in the development landscape. As a professional network with the comparative advantage of having membership from across all development actors and sectors, with regional and global linkages, it is expected that ESK will add value over time. Jointly with MED, ESK is spearheading the EvalPartners/EvalSDGs Vision (2016-2020). Plans are underway for ESK to play a role in the efforts of the SDGs Unit (State Department of Planning) from an evaluation perspective.

In a competitive and dynamic global environment, there is growing public pressure for more prudent management of public resources and demonstration of development results through evidence. On this, the potential of NIMES/CIMES to transform the country's socio-economic landscape for the better is enormous. Nonetheless, a lot still needs to be done for this to be realized.

Specifically, in an environment characterized by weak national culture and practice for evidence-driven growth, there are many constraining factors. For example, it is the case for Kenya that, "... while statistics enjoy a higher profile than ever before, many developing countries still lack the capacity to produce, analyze and use the range and quality of statistics required to support effective development progress..."²³⁶ Low capacities and national budgetary allocations for evidence as well as the "fear of reporting failure through evaluation"²³⁷ are also among the prevailing challenges.

To ensure a vibrant NIMES, its conceptualization envisaged strong participation by non-State actors as it develops. This is yet to be realized. Despite the fact that interventions by civil society organizations and the private sector impact national development significantly, their contributions are not fully captured in official government statistics. Most non-State actors collect data for purposes of donor reporting and do not feed into the NIMES. Their contributions are rarely in evidence terms, factored on the national development (NIMES Needs Assessment Report, 2012). In a recent national EvalVision advocacy event co-organized by MED and ESK, there was a unanimous call for more stakeholder (especially non-State actors) and public participation in the affairs of the national and county monitoring and evaluation (M&E) systems.

KEY PRIORITIES AND CHALLENGES RELEVANT TO DEVELOPING NATIONAL EVALUATION CAPACITIES TO SUPPORT THE SDGs

The advent and localization of the SDGs including their current integration in the MPT III and CIDP processes and the Jubilee Government's big four priorities (food security, health,

236 <https://www.paris21.org/sites/default/files/2532.pdf>.

237 Government of Kenya, 'National Integrated Monitoring & Evaluation System Assessment Report', Government Printers, 2012.

housing and manufacturing) provide strategic opportunities for evaluation to take the country's development agenda to the next level. The SDG EvalVision and the theme of the National Evaluation Capacities Conference 2017, "People, planet and progress in the SDG era", add to this momentum, particularly towards the ongoing efforts and the need to redress some of the existing gaps. The NIMES/CIMES and the ESK need strengthening as they spearhead the evaluation agenda. Various ongoing multi-stakeholder efforts to strengthen the systems exist. Some of these, e.g., towards capacity-building in training, include a recent review of the curriculum of the Kenya School of Government focused on gender and social equity, done under a joint MED/ESK project funded by the UN Women EvalPartners/EvalGender+ Network. Capacities for translating this into practice through learning by doing are necessary.

Significantly, for greater effectiveness, MED requires a semi-autonomous or autonomous status. As currently constituted under the Ministry of Devolution and Planning, it lacks the necessary authority to execute its huge and important national mandate. More harmonization and coordination of the country's data systems could have revolutionary effects towards data-driven growth, i.e., the NIMES/CIMES, administrative systems, Kenya National Bureau of Statistics and the SDGs Unit data systems. Among efforts to redress these is the Electronic Project Monitoring Information System for the Government of Kenya (e-ProMIS Kenya) operationalized at the National Treasury to track project expenditures and a new automated data system (the E-NIMES)²³⁸ which is under development.

The monitoring function through annual progress reports has dominated most of the existence of NIMES. These reports are not used optimally to add value due to delays in their preparation and dissemination, e.g., towards informing annual planning and the national budgeting calendar. Evaluation is still "left behind". There is need to shift more to the evaluation function (including in terms of capacity strengthening and funding) for a healthy balance.

On the supply side of evaluation, ESK is a young professional network limited in its capacities to deliver on its mandate. It is operationalized on a voluntary basis by an elected board with competing career priorities, varying commitment levels and financial constraints. With its increased national recognition and workload, ESK needs more institutional strengthening including secretariat support. Further, local evaluators increasingly have gained theoretical knowledge of evaluation, but opportunities to translate this into practice are a gap. Specifically, there is limited access for them to opportunities for gaining practical field evaluation experience.

Previous evaluations include those on the Constituency Development Fund (CDF); Impact of Malaria Pandemic; End-Term Review of the Kenya Economic Recover Strategy; Reviews of the First and Second Medium-Term Plans of the Kenya Vision 2030; The 50-Kilometre Thika Road Super Highway; and the Kisumu International Airport.

238 <https://www.standardmedia.co.ke/businessarticle/2001258846/government-rolls-out-new-system-to-evaluate-mega-infrastructure-projects>.

On the CDF assessment, its benefits are nationwide from the equity and equality perspectives. Theoretically, it gives local communities opportunity to participate directly in their own development affairs, which is enshrined in the Constitution 2010. Nevertheless, this is not the actual practice. For the period of the Fund's existence, the assessment flagged various weaknesses that undermine its effectiveness. For instance, there is low public participation and a poor feedback loop between the Government and the local communities. There is also low representation of special interest groups, e.g., women and people with disabilities, in the management of the Fund's affairs. Further, the powerful role of Members of Parliament in the CDF Committee is often abused. There have been efforts to redress these challenges. The CDF Amendment Bill 2007 and CDF Act, 2013 constitute some of these efforts. More needs to be done for more efficiency and effectiveness in its implementation and outcomes/impacts.

The Kisumu airport evaluation established that the project has seen a positive transformation. Specifically, that it has "... been highly efficient not only in its operations, but also for the clientele, both domestic and international...". The majority of respondents (over 70 percent) felt that the impact of the airport's expansion was huge. A respondent noted that, "... there is a boom in real estate...". Importantly, the study reported that unlike, e.g., South Africa and Malaysia where M&E has received strong government support, this does not seem to be the case for Kenya, i.e., "... The monitoring and MED has not received its rightful standing as key organ of Government evaluating the implementation of projects in the medium term plans and needs to be strengthened to do so...". There was also a seeming lack of knowledge of the role and functions of M&E in the implementation of the project by the experts interviewed during the study.

In the Malaria Control Evaluation findings, major funding of malaria control has been mostly through the Global Fund to Fight AIDS, Tuberculosis and Malaria (disbursed through the Government), non-governmental organizations, the United Nations and the private sector. Notably, the study recommended the need to review the malaria funding strategy towards more local ownership, i.e., for sustainability, with the local private sector playing an important role. It called for strengthening of leadership, coordination and public integrity (including procurement integrity) as necessary towards accountability. The study further echoed the need to strengthen the M&E capacities of health systems.

To enhance the evaluation function, MED has now prepared an Evaluation Plan, mainly for mega public programmes, to ascertain their effectiveness against resource investment. The Evaluation Plan projects are from the infrastructure, energy, agriculture, tourism, transport, education, health and devolved sectors. The Plan will provide unique opportunities for implementing, sharing results and mitigation measures needed to address challenges of the Vision 2030 MTPs, devolution agenda and their alignment to the SDGs. Gender and equity dimensions will be given special focus. It is expected that with the new demand for evaluation by the Government, ESK will play its role in providing experts and this will in turn provide more opportunities for its members to conduct evaluations and redress some of the gaps outlined above.

To bridge the gap of low non-State actor and public participation around the NIMES/CIMES, ESK has positioned itself to be the link of these with the State actors. Accordingly, a multi-stakeholder networking group and which is spearheaded by a Technical Working Group is now operational at MED and coordinated by ESK. A “Googlesgroup” on the same is also up and running.²³⁹

There are growing calls for professionalization of M&E to join other worthy professions like law and accounting. Under the multi-stakeholder network, it is planned that professionalization of the discipline will be one of the priorities. Accordingly, issues of accreditation and adherence to global evaluation standards will be consultatively discussed and acted upon. Further, on the development of local evaluation standards and codes of ethics to guide the profession, ESK is participating in the consultative review and revision of the African Evaluation Association’s African Evaluation Guidelines.

The development of a standard M&E curriculum is also vital towards professionalizing evaluation. Plans are underway for this, specifically under the State and non-State actors’ initiative mentioned above and picking up from earlier efforts spearheaded by the MED and the United Nations Children’s Fund. Under the network, MED/ESK will bring together academia and the Commission for Higher Education towards development of a multi-stakeholder standard curriculum. Related to enhanced professionalism, members of academia have highlighted the need for them to be exposed to the practical workings (e.g., through “professional attachments” to the national and county governments), notably to be able to link theory to practice as they prepare students for the labour market.

Enhancing the enabling environment including through the ratification of the draft M&E policy (currently at the cabinet level) is going to play an important role in realizing all these. Linked to this is also the need to step up efforts through advocacy for more public participation, political good will and increased demand by the Government for evidence including through more national budgetary allocations to the NIMES/CIMES.

OPPORTUNITIES FOR POTENTIAL COLLABORATION

The challenges outlined above present potential opportunities for a multi-stakeholder and multifaceted approach in strengthening the NIMES and CIMES, with the MED and ESK at the centre. For instance, development partners could support the strengthening of individual and institutional capacities including through training and mentorship. There are growing calls for professionalization and development of a standard curriculum.

Enhanced non-State actor and public participation around the systems is another potential area of support. The evaluation function through the conduct and utilization of evaluation findings for strategic evaluation programmes and advocacy are other important areas for consideration.

239 Report of the National Evaluation Advocacy Event for the SDGs, 2017.

CONCLUSION

Globally and nationally, fast-changing technological innovations and citizen pressure for demonstration of results have raised the momentum for more evidence-driven socio-economic growth. Despite having a NIMES and CIMES, the national culture and practice for this remains weak in Kenya. Redressing the challenges outlined above provide potential opportunities to take the country's development agenda to the next level. The ratification by Parliament of the draft M&E policy and the enactment of an Act of Parliament to enforce it are deemed critical.

Additionally, there is need for more individual and institutional capacity strengthening. The MED and ESK as institutions need affirmative action. Special focus needs to be on the "doing" element, in order to translate the theory acquired over the years into practice. Accordingly, there is need for more demand-driven evaluation by the Government. This expected to in turn provide more opportunities to ESK members on the supply side to meet the demand and strengthen individual capacities.

The development of a standard curriculum and professionalization of M&E are other important opportunities. More development partner support and other stakeholder participation especially for non-State actors and the public around the NIMES and CIMES are going to be necessary catalysts in achieving these.

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13. Evaluation of Resilience and Poverty Reduction: Case Study of Employment in the Urban Informal Sector in Cameroon

ELIE WALTER MBECK

Researcher
University of Yaoundé

INTRODUCTION AND BACKGROUND

Resilience is the ability to “bounce back”, to overcome traumatic situations. It can also be defined as an individual’s capacity to respond to a difficult or stress-inducing situation. The urban populations of Cameroon have been exposed to many such situations in recent decades.

Cameroon is a country of nearly 24 million inhabitants. Economic crises have disrupted the life of the Cameroonian nation over the last 30 years. The economic crisis of the 1980s, which lasted through to 2000, was further to a fall in the prices of oil and Cameroon’s main cash crops, cocoa and coffee. Multiple cash-flow problems forced the Government to liquidate or restructure many State-owned and para-public enterprises. These economic stresses also led to reductions in the number of State employees, salary reductions, a worsened employment market and worsened quality of life for the population. Despite renewed growth in 1994 following the devaluation of the CFA franc and the Heavily Indebted Poor Countries Initiative, it proved impossible to raise the standard of living of the Cameroonian people. Indeed, according to data from the fourth Cameroonian Household Survey (ECAM 4²⁴⁰), the poverty rate is estimated at 37.5 percent (2014). The findings of the Employment and Informal Sector Survey (EESI 2), carried out in 2010, describe a situation of widespread underemployment (75.8 percent) and informal employment (90.5 per cent).²⁴¹

THE URBAN INFORMAL SECTOR

The phenomenon of street trading began shortly before the 1960s and spread throughout the country up to the present day. This practice mainly involved people who had come from rural areas to find work in Yaoundé and/or who had not been able to obtain a school leaving

240 See <http://www.statistics-cameroon.org/news.php?id=393>.

241 See http://www.stat.cm/downloads/EESI/2010/Phase1/Rapport_Principal_Phase1_EESI2_2010_Fr_14mars12.pdf.

certificate or university diploma needed to apply for the civil service. This phenomenon increased from the 1990s. It fell back a little with the economic recovery of the period after 1995, before worsening during the period starting in 2008.

The situation was further impacted by the reduction in the numbers of State employees, as mentioned above, which further contributed to ambient poverty among urban populations in general and, more particularly, those of the city of Yaoundé. This situation arose due to the fact that the political capital city of Cameroon is mainly composed of civil servants and State officials, who were the main targets of the redundancies. This meant that in order to survive in this context of tension and urban socioeconomic crisis, the population (young people and adults) had to develop new strategies, often engaging in informal economic activities. These multiplied on the streets of Yaoundé, which were not ready to host them, since such activities normally take place in conventional, well-established markets.

Poverty, the rural exodus, weak public-spiritedness, anarchic urbanization and population growth are counted among the factors that have made Yaoundé's street markets grow; these became the hubs for survival for many city dwellers.

The main streets of the Cameroonian capital are the setting for significant commercial activities by night and by day. However, these street markets of Yaoundé are a real problem for political and municipal authorities. On the one hand, the informal sector employs 88.6 percent²⁴² of the economically active population; on the other it causes significant economic losses to the State (loss of tax revenue). Most street traders are people who the civil service and the formal private sector could not hire. To systematically prohibit these activities would probably lead to serious social unrest and upheavals that the State would not wish to confront (such as the social crisis of 2008 in Cameroon, called the "hunger strike"). Thus, some authorities tolerate these activities because they provide employment for people, whether educated or not, for whom a place could not be found in the saturated formal sector. Conversely, in addition to the fiscal losses to the State, these activities pose societal problems such road accidents, pollution, traffic jams and health problems.

A CASE STUDY

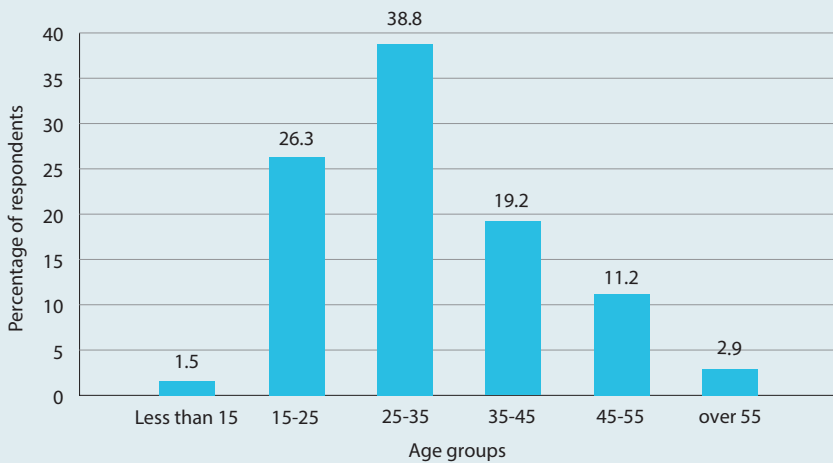
To explore in the greater depth the issues of the urban informal sector, we carried out a desk study and surveys and interviews with 7,509 informal sector workers in urban areas of Cameroon.

The study yielded the following findings:

- The informal sector in the city of Yaoundé employs more women than men (55.3 percent women, against 44.7 percent men).
- Young people are the population segment with the highest representation in informal activities (66.7 percent of the young people in the informal sector in urban settings in Cameroon are under age 35; see Figure 1).

- The population over age 35 consists mainly of people made redundant from the civil service or who lost their jobs after the enterprises employing them went out of business.
- Workers in the informal sector are mainly unmarried (49 percent of the total), while 36 percent are married and 10 percent of unmarried people live with a partner (see Figure 3).
- Of these workers, 60.9 percent have a secondary school leaving certificate, 10.1 percent have been to university and only 4.6 per cent have no schooling (see Figure 2).
- Women mainly find themselves working in these activities because they are in many cases forced to drop out of school because their parents are facing financial difficulties (gender discrimination).
- Children under age 15 are either accompanying their parents in their activities during the evening or weekend or are simply minors who are selling to be able to support themselves.
- The group aged 15 to 35 is composed of young people who have not been able to gain employment in the civil service or who are preparing for competitive examinations.²⁴³

FIGURE 1. YOUNG PEOPLE DOMINATE THE INFORMAL SECTOR²⁴³



243 Sources for all figures: Mbeck, Elie Walter, 'Les marchés de nuit dans l'arrondissement de Yaoundé 4^e'. Masters in Geography dissertation, University of Yaoundé 1, 157 pages, 2012.

FIGURE 2. MORE THAN 70 PERCENT OF RESPONDENTS HAVE A SCHOOL LEAVING CERTIFICATE

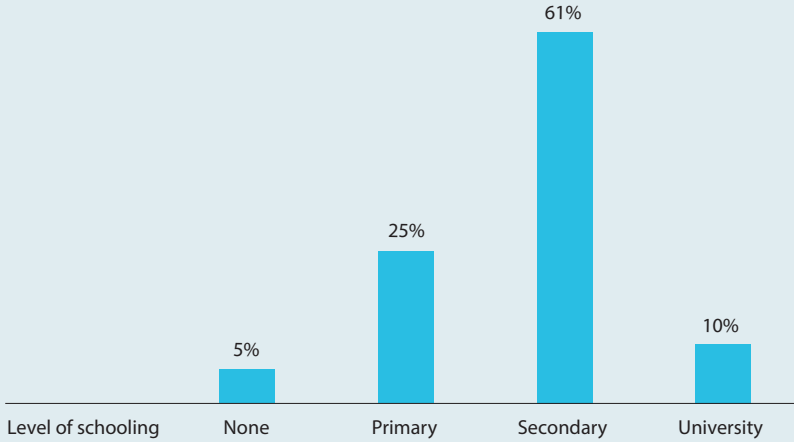
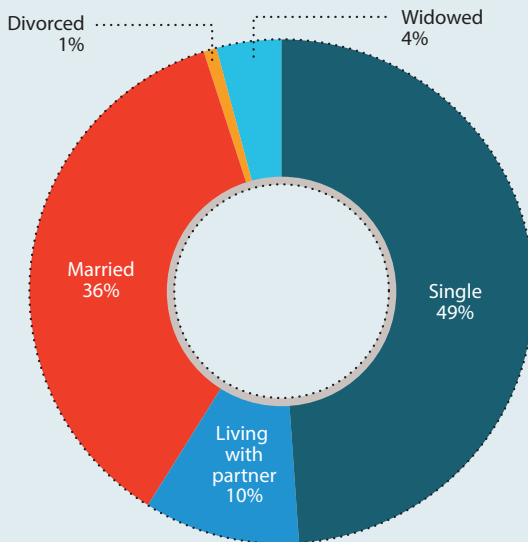


FIGURE 3. ALMOST HALF OF INFORMAL SECTOR WORKERS ARE SINGLE



IMPLICATIONS FOR THE MDGs AND THE SDGs

A lack of decent employment is one of the consequences of economic crisis and is the cause of many social problems that the Millennium Development Goals (MDGs) sought to address. Employment is again included in the Sustainable Development Goals (SDGs), in SDG 8 (promote sustained, inclusive and sustainable economic growth, full productive employment and decent work for all).

Economic crises had repercussions in every area of the lives of the urban and rural populations in Cameroon. The Government has tried in vain to counter the negative effects of the situation through a range of strategies such as structural adjustment, development strategies, the devaluation of the CFA franc and more. All these actions had mixed results. Faced with multiple failures to counter poverty, the Government established structures to assess the ongoing situation in order to find lasting, effective solutions. These State structures were challenged by funding problems, which seriously undermined their efforts. The attempts to achieve the MDGs in 2015 resulted in failure, as in many other countries. The Government then turned to the SDGs.

Two years on, its efforts to achieve the SDGs are certainly worthy of praise, but much remains to be done in order to achieve these Goals. In short, the main difficulties encountered for achieving the MDGs and SDGs are the following:

- The economic crisis and its consequences;
- The difficulty of finding solutions appropriate to the particular problems of Cameroon;
- Lack of up-to-date statistical data (data are mostly several years old);
- Little collaboration between academic institutions (researchers) and the State;
- A lack of experienced and trained evaluators to analyse general problems and propose solutions;
- Little exchange of information between policymakers and the universities (researchers, laboratories);
- Conflict of interest between evaluators and State actions.

PROPOSED SOLUTIONS

To mitigate the difficulties encountered on the road to achieving the MDGs and SDGs, researchers from 10 private, public and religious universities gathered together and created a group composed of 51 full members, all of whom are university researchers and graduates, and 100 periodic members, who are students in the early or later cycles of their university careers.

They formed a collective called Cameroonian SDG Researchers and Evaluators Group (GCEC). This group, which was formed in 2008 and structured in 2017, conducts field work in the 10 regions of Cameroon. It works in the field and produces reports from studies and evaluations that help improve the population's living conditions and well-being.

The GCEC is committed to conducting evaluations all over Cameroon and more particularly in areas where the population is exposed to sustainable development problems. The GCEC does not limit its work to carrying out research and publishing the results. It has an active branch that works on the ground in synergy with associations and non-governmental organizations fighting poverty and/or supporting the State with the SDGs.

Currently, the GCEC is preparing a study to be conducted from December 2017 to December 2018 in the southern part of Cameroon, principally targeted at emergent towns and their environments. The first phase of this work will relate to SDGs 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 13 and 16, and their actions will be linked to achievement of these SDGs in this region.

The GCEC aims to work with and support the State of Cameroon in its efforts to achieve the SDGs by providing it with up-to-date information and statistics on the ground.

GCEC activities will also include trainings for local stakeholders to equip them to conduct evaluations properly. The group is going to create local oversight cells to conduct evaluations in their local areas and forward the results to us. The results will then be consolidated and published to lead the authorities to act more effectively.

In short, the GCEC now wants to create a partnership with the Government, which will no longer have to organize large national surveys every 5 or 10 years; these are very costly and the frequency with which they are conducted nullifies efforts for the country to become emergent by 2035.

To summarize, the outreach activities to be conducted to strengthen evaluation and government action in Cameroon include:

- Organization of workshops, seminars and conferences to disseminate evaluations;
- Engage in real collaboration with the Government of Cameroon;
- Work in synergy with development groups, programmes and organizations;
- Encourage students to take courses in evaluation;
- Conduct evaluations and publish the results.

CONCLUSION

In conclusion, the main findings and implications of the study are:

- Informal sector employment in Cameroon is broadly dominated by educated young people;
- These form a part of the population that has not had the chance to find employment with the State and formal privately-owned companies;
- There is a higher proportion of women in these activities;
- Those from poor families leave school early and the only activity that they can carry out is that offered by the informal sector;
- This sector requires no specific training;

- The Government of Cameroon has created structures to oversee operators in the informal sector;
- These structures struggle to achieve their goals due to the corruption of civil servants and the misappropriation of public funds;
- Administrative sluggishness and lack of effectiveness weaken government actions;
- The State needs to combat corruption in order to improve the conditions of those working in the informal sector;
- The State should work with researchers, development partners and the private sector to find sustainable solutions to poverty.

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14. Building Evaluation Capacities for Evaluation of the SDGs: The Role of Young and Emerging Evaluators

ANTONINA RISHKO-PORCESCU

EvalYouth, Conference Task Force Secretary, EvalYouth ECA
(Eastern Europe, Central Asia & South Caucasus),
Ukrainian Evaluation Association, Board member 2014-2018

The Sustainable Development Goals (SDGs) are a significant step towards positive changes all over the world, as they cover all spheres of human lives and refers to people in all countries. One of the main challenges is their competent and well-timed evaluation and, what is also important, the all-embracing evaluation, which is conducted by well-prepared specialists. Therefore, evaluation capacity-building is essential for efficient evaluation of the SDGs. Moreover, developing an evaluation capacity now means creating a base for evaluating the SDGs in 2030, and an important role in this process is played by young and emerging evaluators.

Evaluating the SDGs is strongly linked with the development of national evaluation systems, as the Goals illustrate the progress in all spheres of national development and create the demand for evaluation at the national level. In addition to the potential contribution of young and emerging evaluators to the final evaluation of the SDGs in 2030, they can bring added value to the current process of SDG localization through their active involvement in national and regional debates, contribution to the work of voluntary organizations for professional evaluation, innovations regarding ideas and methods for SDG evaluation, etc.

During the International Year of Evaluation in 2015, the discussions around evaluation capacities and capabilities intensified, setting the conditions for the launch of the Global Evaluation Agenda 2016-2020, which makes clear that the development of evaluation capacity should fully correspond to the needs of young and emerging evaluators. EvalAgenda 2020 underlines a systematic approach to national evaluation capacity development, which integrates four main dimensions²⁴⁴ and in each of them young and emerging evaluators play key roles.

244 For more information see: EvalPartners, 'Global Evaluation Agenda 2016 - 2020', Developed by a global multistakeholder consultative process, EvalAgenda 2020, <http://evalpartners.org/sites/default/files/documents/EvalAgenda2020.pdf>.

THE CONTRIBUTION OF YOUNG AND EMERGING EVALUATORS TO THE IMPLEMENTATION OF THE EVALAGENDA 2020

The first important dimension of building national evaluation capacity is creating an *enabling environment* for evaluation. This process involves a large number of stakeholders and combines multiple components. In order to realize a consistent enabling environment, the process should involve all social groups and spread into all social spheres. In 2017, people under age 30 represent half of the world's population and those aged 15-24 number around 1.2 billion (United Nations 2017).²⁴⁵ Although the age of starting a professional career can be later, these numbers allow understanding of the scale of voice of young professionals, providing that it will be properly heard.

Therefore, the proper involvement of young and emerging evaluators is a precondition for successful development of an enabling environment for evaluation; they can be both supporters with an active appreciation of evaluation within institutions (governmental institutions, academia, non-governmental organizations, private sector, etc.), and/or evaluation advocates for implementation of new evaluation systems.

There are external and internal influencers for developing an enabling environment. External facilitators are mainly international organizations, which provide some sort of aid and demand a strict process of monitoring and evaluation for project implementation. It could be marked as an obligation to conduct the evaluation. In many regions, especially Eastern Europe and Central Asia, international organizations involve external evaluators in their work because of their higher level of competence and greater experience of required procedures. However, external evaluators cannot fully understand the context of a particular region or country and even more importantly, their activity is temporary and often does not lead to well-grounded implementation of evaluation systems at the local level. Empowering young professionals, and young and emerging evaluators in particular, can bring new forces into the development of national evaluation capacity and create a broad pool of internal influencers who day-by-day are building the base for an enabling environment for evaluation.

National evaluation capacity highly depends on the existence of relevant number of *institutions*, which support and use the evaluation. Countries with a high national evaluation capacity are characterized by proactive civil society and growing public demand for broader transparency and public accountability. In this process, young and emerging evaluators can play a leading role as participants of grass-root initiatives, creators of platforms for discussions and engagement of broad audience. They can be also involved in governmental agencies, bringing innovative approaches to data usage and building evidence-based policy.

Supporting professional organizations in evaluation can become a necessary impetus and strong advocacy tool for the development of evaluation. High engagement of young and emerging evaluators can bring many benefits for improvement of such organizations.

245 United Nations Department of Economic and Social Affairs, Population Division: World population 2017, <http://www.un.org/en/development/desa/population/publications/index.shtml>.

They often bring a fresh perspective on evaluation activities and procedures, use technical tools more freely, can bring innovative solutions according to recent trends and also assure the future sustainability of the organization. More often they are educated in foreign environments and thus are connected to international professional networks and centres of expertise.

Academic institutions are an important basis for national evaluation capacity development, because they have the capability to conduct professional evaluation research, teach professional courses in evaluation and assure continuous training in this area. The number of young and emerging evaluators and their theoretical and initial practical backgrounds depend on the quality of educational programmes and engagement of professionals. However, young and emerging evaluators also play an active role in this area, as the educational process is a two-sided interaction, and without strong demand from young professionals for the quality and diversity of educational opportunities, the supply remains underdeveloped.

The development of *individual capabilities* for evaluation starts with young and emerging evaluators. Traditional education within university walls is not enough for providing up-to-date learning and skills improvement. The wide range of training courses, which are conducted face-to-face, online or in blended ways, as well as conferences, topic-specific webinars, debates, forums, blogs and other opportunities for increasing individual capabilities for evaluation, create good platforms for sharing knowledge and spreading the values and principles of evaluation. Young and emerging evaluators should be at the centre of learning activities, as the quality and future development of evaluation depend on realization of their potential.

Finally, the strong *interlinkages* between all dimensions facilitate the development of national evaluation capacity and create a platform for strong partnerships. Initiatives such as EvalYouth, which brings together young and emerging evaluators with the aim of increasing their professional capacity and empowering them, contribute to the development of evaluation capacities. In addition to interactions with senior evaluators, peer-to-peer interaction and experience sharing provide a platform for gaining confidence in the world of evaluation. This also is a great step towards a common understanding of the evaluation discipline on the global and local levels.

LESSONS LEARNED FROM EVALYOUTH ABOUT THE DEVELOPMENT OF EVALUATION CAPACITY

EvalYouth is a multi-stakeholder partnership under the EvalPartners umbrella which aims to increase national, regional and international capacity to produce high-quality evaluations and advocate for the inclusion of youth and young people in the evaluation process.²⁴⁶ EvalYouth is a network of young and emerging evaluators which unites evaluators under age 35, new evaluators with less than five years of experience, recent university graduates interested in evaluation and development professionals wishing to become professional evaluators.

246 EvalPartners, 'EvalYouth Concept note', 2016, see <http://evalpartners.org/sites/default/files/documents/evalyouth/EvalYouth%20Concept%20Note%20-%20July%202016.pdf>.

EvalYouth is working towards three complementary directions: (1) empowering young and emerging evaluators in voluntary organizations of professional evaluators; (2) development of a mentoring programme; and (3) organization of webinars and conferences. These three priorities are confirmed at the international level to be the most critical areas in which young and emerging evaluators should be supported in order to become more involved in the field of evaluation. Moreover, these directions have implications at the regional and national levels, as to reach goals internationally we should have high support regionally and nationally.

One of the positive lessons learned from EvalYouth activity is ensuring the high *diversity* of its members and events' participants. Although the leadership of the initiative itself and its three task forces is not large, it is regionally diverse. It consists of one representative each from the United States, Canada, Eastern Europe, Asia and Africa; two representatives from the Middle East and North Africa region; and five representatives from Latin America and the Caribbean. Diversity is also one of the key characteristics of participants in its main activities. Of 852 applicants for the pilot phase of the mentoring programme, 56 percent were from Africa, 12 percent from Asia, 9 percent from Latin America and Caribbean, 9 percent from the Middle East and North Africa, 8 percent from Europe and Eurasia, 2 percent from Canada, 2 percent from the United States and 1 percent from Australia and the Pacific. In total, representatives from 114 countries expressed their interest in participation. Since the initiative is voluntary, open to all participants and oriented towards young and emerging evaluators, the number of participants is dynamic and it is difficult to illustrate exact coverage. However, the information from registration forms for online events and from the mentoring programme shows the spread of the initiative to all regions with high interest in Latin America and Africa.

The idea of diversity is also supported by *multilingual events*: the EvalYouth webinars and virtual conferences are conducted in English with simultaneous translation into French, Spanish, Russian and Arabic. This helps to attract diverse participants and create the base for discussion in each region.

Diversity is also a key characteristic of activities of EvalYouth, which helps with relatively small amounts of funding to engage a large audience. The initiative organizes annual virtual conferences (2016, 2017); a webinar series on empowering young and emerging evaluators within professional organizations; online capacity-building seminars; the mentoring programme; a video promotion campaign; and panels for young and emerging evaluators at regional and international evaluation conferences.

Another lesson learned from EvalYouth is the need for a *participatory approach that is relevant to the needs of young and emerging evaluators*. It seems obvious, but often initiatives are useful from the point of view of the organizers but do not involve broad engagement of recipients. EvalYouth is an initiative led by young and emerging evaluators; in preparing the activities of each task force, its leadership uses broad tools of needs assessment and participant engagement. During 2016-2017, two exploratory online surveys were conducted with nearly 330 young and emerging evaluators from around 100 countries. The results emphasize the importance of young professionals in the life of volunteer organizations for

professional evaluation because of their innovative ideas (mostly connected to information technology), energy, fresh perspective and contribution to future sustainability (AEA 365, 14.02.2017).²⁴⁷ The results of another survey affirmed the necessity of capacity-building activities and the high relevance of the mentoring programme, which meets the needs of young and emerging evaluators for professional development.²⁴⁸ Other tools often used within EvalYouth are tricider polls (a web-based voting application) about topics for conferences and webinars, short questionnaires, chats during events and pre- and post-event surveys, etc.

In addition, because EvalYouth is a network of young and emerging evaluators, *self-evaluation* and self-documentation are central, helping on the one hand to analyse more profoundly the achievements and limitation of the organized event, while on the other hand, young and emerging evaluators are gaining essential skills for their career development.

It is very important to understand the audience for EvalYouth and communicate with it on suitable channels and in a relevant manner. EvalYouth relies heavily on *social media* for engaging young and emerging evaluators from all around the world. Currently, the EvalYouth Facebook page has more than 16,400 followers, which is an indication of the high level of interest among the audience. Another important characteristic of communication within EvalYouth is the *broad usage of visualization*. The initiative presents its survey findings via infographics and posters, puts information from event registration forms into a visual map with participants' characteristics, creates engaging flyers for online conferences and webinars, etc. Such attention for visualization helps to attract a larger audience and call attention to important messages.²⁴⁹

CONCLUSION

The promotion and implementation of the SDGs are very important for the creation of a better life for all people and need effective support from all stakeholders. The obligation of evaluating the SDGs requires support for the development of national evaluation capacities by creating demand and discussion with the participation of a broad audience. Evaluation plays a central role in assuring real accountability, documenting progress and reporting on

247 Luna, Rodrigo, Fazeela Hoosen, Alejandra Lucero, Corey Smith, and Amal Shanty, 'EvalYouth Week: YEEs and VOPEs: Addressing the Active Involvement and Institutionalization in VOPE's Governance', AEA 365, 14.02.2017, <http://aea365.org/blog/evalyouth-week-yees-and-vopes-addressing-the-active-involvement-and-institutionalization-in-vopes-governance-by-rodrigo-luna-fazeela-hoosen-alejandra-lucero-corey-smith-and-amal-shanty/>.

248 Guidoccio, Antonella, Mohamed Rage, and Qudratullah Jahi, 'EvalYouth Week: Building Evaluator and Evaluation Capacity by Mentoring Young and Emerging Evaluators', AEA 365, 15.02.2017, <http://aea365.org/blog/evalyouth-week-building-evaluator-and-evaluation-capacity-by-mentoring-young-and-emerging-evaluators-by-antonella-guidoccio-mohamed-rage-and-qudratullah-jahid/>.

249 Rishko-Porcescu, Antonina, Khalil Bitar and Bianca Montrosse-Moorhead, 'Making Stories Stick: The Power of Visualisation When Communicating with Young Evaluation Professionals', AEA 365, 30.10.2017, <http://aea365.org/blog/making-stories-stick-the-power-of-visualisation-when-communicating-with-young-evaluation-professionals-by-antonina-rishko-porcescu-khalil-bitar-and-bianca-montrosse-moorhead/>.

implementation challenges, which should be taken into particular consideration. However, often there are many limitations to evaluation capacities, especially in regions where it is donor-driven or oriented to one sector.

Young and emerging evaluators play a significant role in increasing of national evaluation capacities. Through empowering young and emerging evaluators, society receives active supporters and passionate evaluation advocates. The network of young and emerging evaluators, EvalYouth, is working at the global, regional and national levels to increase opportunities for young and emerging evaluators in terms of capacity-building activities and supporting the enhancement of an enabling environment for evaluation. Therefore, bringing discussion around evaluation of the SGDs into capacity-building activities for young and emerging evaluators has the potential for significant benefits: promotion and advocacy of global trends locally; creation of sustainability for evaluation in the future; bringing innovative and fresh perspectives to current processes of SDG localization; and the development of evaluation systems.

15. The Potential of New Data to Accelerate the SDGs

DMITRI BELAN

MiLab Researcher
UNDP Republic of Moldova

LEJLA SADIKU

Open Data Specialist
UNDP Istanbul Regional Hub

INTRODUCTION

The ambitious Sustainable Development Goals (SDGs) agenda promotes a broader sustainable development agenda, addressing complex development challenges and proposing solutions to a wide range of wicked development problems, from tackling the root causes of poverty to development of accountable and people-centred institutions. The 2030 Agenda for Sustainable Development contains detailed and all-encompassing targets and indicators that have to generate informed policymaking and accountability for the achievement of the SDGs by 2030. For this scope, the global indicator framework was adopted by the General Assembly on 6 July 2017.²⁵⁰ According to this framework, there are three tiers of indicators for measuring the progress of SDG Agenda. Tiers I and II are conceptually clear and have an internationally established methodology, and of the 230 indicators only 25 percent of all indicators have data that are available in a publicly accessible format.²⁵¹ Whereas there is no standardized methodology for the Tier III indicators, it makes this cohort of indicators the most challenging in terms of measurement using official sources of data. At the same time, given the exponential increase in volumes of data and that only 0.5 percent of data is currently analysed,²⁵² it is exactly this space that is ripe for trying out new approaches, experimenting with new sources of data and demonstrating their viability in sensing, measuring and providing valuable insights to policymakers, enabling timelier responses.

In light of this, United Nations Development Programme (UNDP) offices around the world have been trying out new approaches to measuring Tier III indicators. This article draws on the experience of a cross-regional UNDP Data Innovation Project, honing into Moldova Innovation

250 Resolution adopted by the General Assembly on, <https://undocs.org/A/RES/71/313>, 6 July 2017.

251 Casey Dunning and Jared Kalow, Center for Global Development, 'SDG Indicators: Serious Gaps Abound in Data', 2016, <https://www.cgdev.org/blog/sdg-indicators-serious-gaps-abound-data-availability>.

252 Guess, Angela, 'Only 0.5% of All Data is Currently Analyzed', Data Diversity, 2015, <http://www.dataversity.net/only-0-5-of-all-data-is-currently-analyzed/>.

Lab (MiLab), a joint project of UNDP Moldova and the Government of the Republic of Moldova, and Albania's measurement of jobs in sustainable tourism. The article at hand will demonstrate how alternative (user-generated, big data, sensor) data are a valuable and cost-effective source for the measurement of the SDG indicators and furthermore can be used more efficiently by public institutions in the policymaking cycle. The issue of using new data for the SDGs has a multiplicity of implications and associated risks, including related to privacy, access and overall security, which require further deliberation and are not fully addressed in this article.

CLOSING DATA GAPS

Global poverty measures may be off the mark by millions;²⁵³ in effect, 230 million children worldwide are not properly registered²⁵⁴ and even though we know that violence against women affects one in three women globally,²⁵⁵ more detailed data are lacking. On SDG measurement, 42 percent of the indicators are Tier I, of which only 62 percent have publicly available data. These data gaps hinder the possibility to measure human outcomes and the progress towards the sustainable development agenda in a timely manner, across demographics and geographies. Our digital breadcrumbs, a term coined by Sandy Pentland to describe the data trail that we leave behind,²⁵⁶ such as phone records, credit card transactions, likes and shares on social media and other sources of data, have significant potential in this area: crowd-sourced image data from the Philippines is creating a real-time food price index,²⁵⁷ in Tunisia Twitter data were used to understand attitudes towards corruption and in Côte d'Ivoire, call detail records were used to measure subnational development.²⁵⁸

In Albania, a country with a growing tourism industry,²⁵⁹ a partnership between the National Statistical Institute, UNDP and the Oxford Internet Institute sought to find out how to measure the proportion of jobs in sustainable tourism industries (SDG indicator 8.9.2). Using data from Booking.com and TripAdvisor, the team developed a database of 1,700 hotels in the country and identified 89 variables across five categories: attributes, facilities, language, rating and share. The findings showed that sustainability is correlated to a higher number of stars and more reviews. These insights, unavailable before, are especially

253 Overseas Development Institute, 'The data gap in global development', 2015. <https://www.odi.org/opinion/9478-infographics-data-revolution-gap-sdgs-sustainable-development-goals>.

254 Bopaiah, Minal, '7 Data Gaps in Women's Health that Show why We're #NotThere Yet', 2015 <https://psimpact.com/2015/03/7-data-gaps-in-womens-health-that-show-why-were-notthere-yet/>.

255 Mlambo-Ngcuka, Phumzile, 'Gender-based Violence Movement Sees Tipping Point', 2013.

256 Pentland, Alex "Sandy", 'The Data-Driven Society', Scientific American, October 2013, <http://connection.mit.edu/wp-content/uploads/sites/29/2015/01/Pentland-SciAmerican-Data-Driven-Society.pdf>.

257 Baker, David, 'Photos are creating a real-time food-price index', 2016 <http://www.wired.co.uk/article/premise-app-food-tracking-brazil-philippines>.

258 Šćepanović, Sanja, Igor Mishkovski, Pan Hui, Jukka K. Nurminen and Antti Ylä-Jääskik, 'Mobile Phone Call Data as a Regional Socio-Economic Proxy Indicator', 2015, <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4405276/>.

259 Mej dini, Fatjona, 'Albania Aims to Build on Boom in Tourism', 2017 <http://www.balkaninsight.com/en/article/albania-strives-to-save-the-growth-trend-in-tourism-04-03-2017-6>.

important in guiding tourism-related investments and therefore driving its contribution to economic development.

Obviously, these types of data carry risks, including access in a sustainable way and limited representation (not everyone uses a smartphone, or is on Twitter). On the SDGs, on which governments report periodically, statistical institutions may shy away from fully relying on data sources which are controlled by external bodies, i.e., companies which set their own policies on data (re)usage. In the aftermath of the Cambridge Analytica case, Facebook is looking at strengthening protection of its users' data,²⁶⁰ and some are arguing that the users themselves should be able to decide by whom and how their data are used.²⁶¹ Projects relying on Facebook data may face additional scrutiny and are likely to be affected by the change in policies.

NEW SOURCES OF DATA FOR BETTER POLICY DECISIONS

The data revolution is here, with the volume of data increasing exponentially: by some estimates, 90 percent of the data in the world has been created in the last two years and the volume is projected to increase by 40 percent annually. The data revolution is taking different shapes—the open data movement, crowdsourcing, Internet of things and big data—and is now enabling the rise of artificial intelligence and affecting our societies in a profound and unprecedented way. New technology enables those with access to it to understand and adapt their own behaviour: take the most efficient route, choose the form of transport, decide when to leave the house based on pollution levels, improve our health outcomes by tailoring our exercise routines or nudging us to sleep. But availability of information does not always lead to better decisions, in fact the practice shows that data abundance can also lead to a reverse effect and even paralyze our choice. Sometimes, it can lead to a Buridan's ass problem²⁶² when it is difficult to select the right data and make the right decision.

It is essential to ensure that the data infrastructure is placed in the correct political-economy context and presented in a way that is easily understandable. The abundance of data in and of itself does not translate into evidence-based decision-making or improved services in the public sector.²⁶³ Considering that the Moldovan Government has committed itself to streamline the public administration reform, with modernization of public services being an inherent part of the reform, MiLab initiated a project on the development of a mechanism for citizens' feedback on the quality of public (governmental) services. At the same time, this

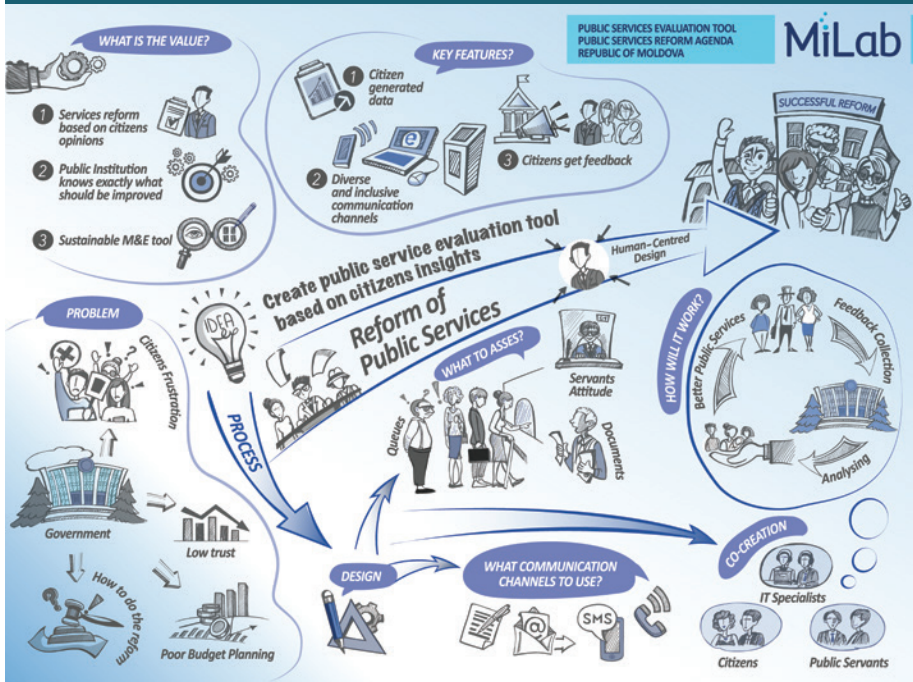
260 Lomas, Natasha, 'Facebook to exclude North American users from some privacy enhancements', 2018 <https://techcrunch.com/2018/04/04/facebook-gdpr-wont-be-universal/>.

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262 Rescher Nicholas, 'Choice Without Preference: A Study of the History and of the Logic of the Problem of 'Buridan's Ass'', *The Journal of Symbolic Logic*, Vol. 32, No. 4, 1967.

263 Shah Shvetank, Horne Andrew and Capella Jaime, 'Good Data Won't Guarantee Good Decisions', *Harvard Business Review*, April 2012.

FIGURE 1. PUBLIC SERVICES EVALUATION TOOL: PROCESS MAPPING, MOLDOVA INNOVATION LAB



tool could generate data for measuring SDG indicator 16.6.2, proportion of the population satisfied with their last experience of public services.

Collecting data together with citizens is one of the most prominent ways to engage with them on the identification of the solutions to wicked development issues, or the quality of public services in our case. And the best experts on the quality of public services are the final clients of these services—citizens. Thus, MiLab carried out in-depth ethnographic research with the engagement of citizens and service providers, aimed to achieve deep and nuanced understandings of various aspects of user experience, needs and expectations from the evaluation of public services. So, we asked people what to assess, how to assess and where to assess. As a result, we created a mechanism for the evaluation of the quality of public services based on citizens’ insights. The main advantage of the tool is a possibility to get actual real-time and citizen-generated data, measuring SDG indicator 16.6.2 by the real clients of development programmes—the citizens.

The ethnographic research, coupled with real-time citizen-generated data, provided the political context and an in-depth understanding of the motivations and key reform processes. Through a collaborative exercise, MiLab was able to design a useful and usable tool. The tool addresses the main “pain points” of service delivery and evaluation processes and has a data flow tailored to the needs and capacities of civil servants on data analysis and

process. It can “diagnose and treat a disease; while conventional government evaluation is more likely an autopsy and thus of limited value to the patient.”²⁶⁴ The design process enabled the development of a tool that shortens the trajectory from data to decisions and enables a real-time response.

SHIFTING BEHAVIOURS

Data do not exist in a vacuum: it is a resource that has the potential to transform our lives, if utilized well. From day to day, we seamlessly adapt our behaviour based on insights from data. One of the key ways to achieve transformational change within our societies is to capitalize on the unprecedented volume of data to understand complexity and be able to nudge behaviour towards that change. In Republic of Moldova, Tajikistan and the former Yugoslav Republic of Macedonia, data are the catalyst in shifting behaviours across society.

In the case of the public services evaluation tool, MiLab created a mechanism to show people what they are reporting and how other people evaluate the quality of public services, and more importantly, the information about the actions taken by public institutions. So, potential public pressure would stimulate public institutions not only to collect the data based on people’s feedback, but to translate the data collected into policy actions. The increased accountability is expected to stimulate civil servants to act in more impartial ways, including by integrating data in their decision-making.

In Skopje, one of the most polluted cities in Europe in recent winters, research found that while heating was the main source of pollution, only 1 percent of the population made decisions on their heating system based on information about pollution. These insights have informed a set of actions required to shift towards more environmentally friendly behaviours. In Tajikistan, where about 20 percent of births are not registered on time, leading to higher fees for those families, triangulation of health and civil registry data will enable the development of “nudges” for diverse groups, taking into consideration their demographics and geography.

Popularization of behavioural economics has brought about a range of experiments on how we can use small tweaks to nudge behaviour. According to Richard H. Thaler, “decision-makers do not make choices in a vacuum. They make them in an environment where many features, noticed and unnoticed, can influence their decisions.”²⁶⁵ Conventionally, decision makers are mostly guided by their beliefs, habits and emotions,²⁶⁶ so that, for instance, elected policymakers often translate their values, interests and principles into policy actions.²⁶⁷

264 Gunthert, Marc, ‘The disruptive potential of feedback’, 2015, <https://nonprofitchronicles.com/2015/10/18/the-disruptive-potential-of-feedback/>.

265 Thaler, Richard, Sunstein, Cass and Balz, John, ‘Choice Architecture’, 2008, <https://www.sas.upenn.edu/~baron/475/choice.architecture.pdf>.

266 Cairney, Paul and Kwiatkowski, Richard, ‘How to communicate effectively with policymakers: combine insights from psychology and policy studies’, Palgrave Communications, Volume 3, Article number: 37 2017, <https://www.nature.com/articles/s41599-017-0046-8>.

267 Cairney, Paul, ‘Why don’t policymakers listen to your evidence?’, *Paul Cairney: Politics & Public Policy*, 2018, <https://paulcairney.wordpress.com/2018/03/26/why-dont-policymakers-listen-to-your-evidence/>.

Behavioural insights, combined with the growth of the volume of data and computational power to analyse it, have the potential to unlock development outcomes and bridge the gap between insights and decisions.

SOME CONCLUSIONS

With all its shortcomings, alternative data constitutes a powerful tool for measuring and achieving development goals and can bring certain benefits for public policy and public administration. Firstly, alternative data sources require further tapping into to understand their application. Secondly, new insights gleaned from new data sources, like user-generated or big data, could become a valuable complementary part of conventional survey data or official statistical data. Combining new and classical statistical data could help us to better evaluate the effects of potential intervention. These data can provide a good ground for customization of public policies or services. Thirdly, a combination of insights with tools stemming from behavioural economics will be much more impactful and shaping a data-driven culture in the organization.

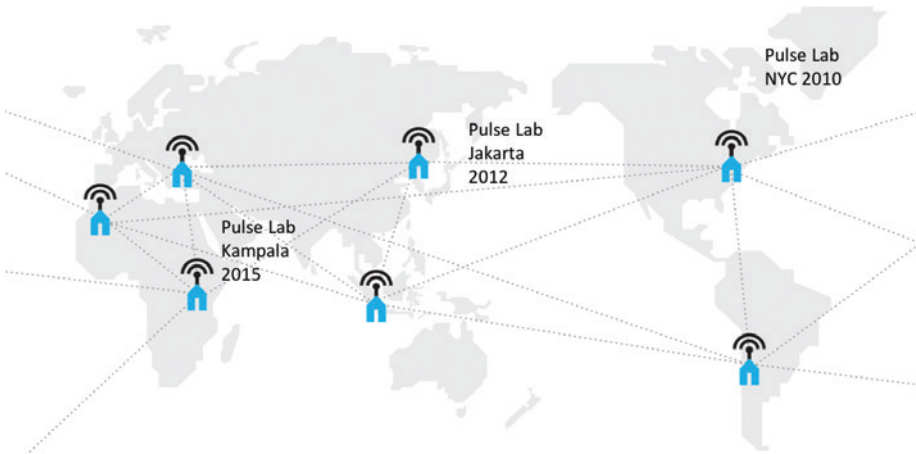
16. Opportunities for Big Data and Data Innovation for Evaluations: Examples from Uganda

PAULA HIDALGO-SANCHIS

Manager
United Nations Global Pulse Lab, Kampala



The Pulse Lab Kampala is one of the three labs of United Nations Global Pulse, an initiative of the United Nations Secretary-General on big data. The main objective of the labs is to promote and facilitate the adoption of big data for sustainable development. To achieve this, Global Pulse works with academia, the private sector, governments and development practitioners.



We live in a digital era. This means that vast amounts of data are generated every day and everywhere in the world as people go about their daily lives. Research says that more data have been generated in the last two years than in all of human history. But is this happening everywhere in the world? Is it happening also in Uganda? Is it happening in Africa?

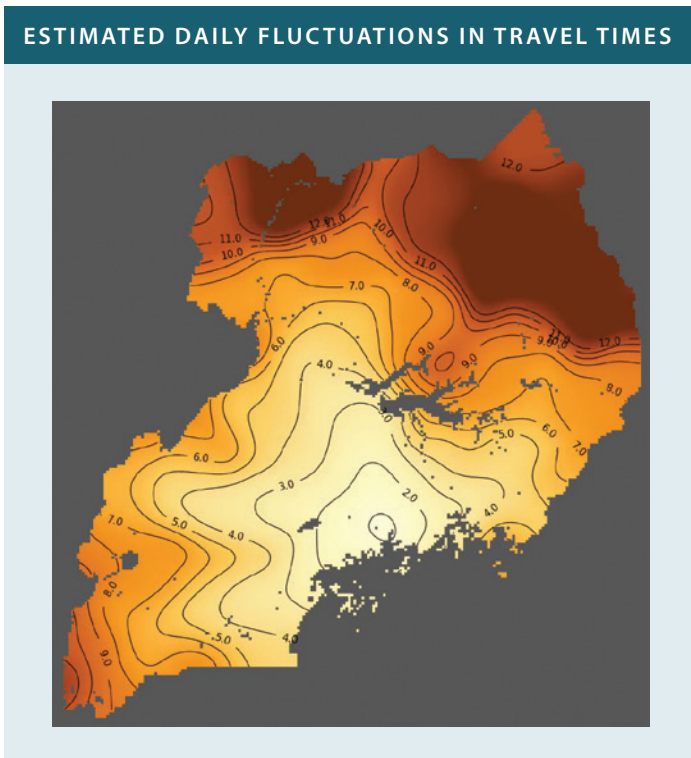
Digital data are generated from digital devices. The most popular digital data device nowadays is the mobile phone. For many people, it is difficult to imagine life without a mobile phone. This is also happening in Africa right now. The growth of mobile phone usage is increasing exponentially in Africa, faster than anywhere else in the world. Nigeria, for example, had around 100,000 phone lines (land lines) about a decade ago. Today, there are 140 million estimated active mobile phone lines in the country. Researchers estimate

that the use of the Internet and mobile phones in Africa is growing 10 times more than anywhere else in the world. The estimations reflect that this tendency will continue for some more years.

While understanding that big data do not represent universes of analysis as do other types of data, we can assume that millions and millions of data bits generated on a daily basis by large sections of the population can provide valuable insights into how programmes and policies impact people's lives.

EXAMPLES OF HOW BIG DATA AND DATA INNOVATION CAN SUPPORT EVALUATION PROCESSES

The dynamic image represented in the figure below shows estimated daily fluctuations in travel times from Kampala to the rest of the country. The underlying data used for the representation are call records recorded by telecom companies. Travel times change every day because of different reasons such as road, traffic or weather conditions; the figure shows these fluctuations on a daily basis. The data reflected in the dynamic presentation have been generated by 10 million people when they use their phones to make phone calls. While the total population in Uganda is around four times the size of the sample data used for the real-time analysis, daily data generated by 10 million people can be considered representative of valuable dynamics.



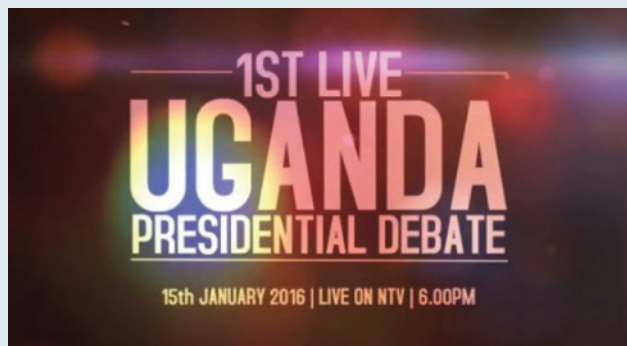
An important characteristic of big data and digital data is that they are generated on an ongoing basis, which allows understanding of processes in real time. Another exercise charted movements of “boda-boda” (motorcycle taxis) in Kampala through the day, with each motorcycle taxi moving in Kampala in real time represented by a dot.

An important source of big data is public discussions on social media platforms. In 2016, the first live televised Presidential debates were held in Uganda as a precursor to the general elections that took place in February and March. With support from the United Nations Development Programme (UNDP), the debates were organized by a tripartite of impartial entities as a joint and balanced space for Presidential candidates to share their vision and plan with the people of Uganda. The debates raised a lot of interest and were heavily discussed on social media, in particular on Facebook. Pulse Lab Kampala worked with UNDP to unearth public opinions around the organization of the debates to understand how they were perceived by Ugandans. The project examined, in aggregate, the level of public satisfaction with the overall organization of the debates and how they were viewed as relevant to the electoral process. In order to filter posts related to the debates, Pulse Lab Kampala created a taxonomy of keywords and categorized the comments into “general” and “thematic”. The analysis yielded 50,000 relevant public Facebook posts from January and February 2016, when the first and second televised debates took place. It also revealed four specific topics of discussion related to the candidates, the organizers, the moderators and the outreach of the debates (in Uganda, not everyone owns a TV).

Results from the body of data analysed showed a general high degree of positive perceptions, with debates being viewed as an important milestone for democracy in Uganda.

In rural areas of Uganda, where almost 90 percent of the population live, radio serves as a vital platform for public discussion, information sharing and news. Pulse Lab Kampala and partners have developed a prototype, the Radio Content Analysis Tool, which converts into text public discussions in various African languages that take place on the

FACEBOOK – DEMOCRACY



radio. Once converted, the text can be searched, filtered by topics of interest and then selected for analysis.

Radio campaigns are popular ways to reach remote villages in countries like Uganda, and development organizations use them to implement behavioural change campaigns. Pulse Lab Kampala worked with Save the Children on a study to monitor and evaluate the implementation of the “Every Last Child” campaign. Save the Children, an international non-governmental organization that promotes children’s rights, was running the global Every Last Child campaign to promote better access to life-saving health care and quality education for all children. As part of global efforts, in July 2016 the organization launched a radio and video campaign in Uganda, to reach children in remote areas of the country. The Global Pulse Lab used the Radio Content Analysis Tool to monitor the frequency with which the campaign was promoted, with particular focus on a song that aired as part of the campaign. The results showed that the detection rate of the automatic software was 68 percent with zero false alarm rate, suggesting that campaign detection using the radio tool can be an effective monitoring and evaluation method.

With this application, Pulse Lab Kampala was able to evaluate simply whether the song had been played or not as agreed. All we had to do was to check if the radio campaign had been on the air or not. We are not going to say that the tool was a 100 percent accurate, but it was able to check and evaluate in real time, giving us real numbers on how many times the campaign was played.

RADIO APPLICATION



Dying during childbirth is a frequent cause of death among women in Uganda. Often, pregnant women cannot reach a health facility for childbirth and have no help at home. The Government of Uganda has received support to pilot an ambulance service in two regions of the country (Rwenzori and West Nile) to provide women the basic transportation and

assistance they need to reach a hospital for delivery. If the initial project is successful, the project will be scaled up at national level. Pulse Lab Kampala and partners have developed a system to evaluate in real time the use of the ambulances. The application utilizes global positioning system trackers installed in the vehicles to provide real-time analytics of the efficacy and efficiency of the use of the ambulances.

AMBULANCE TRACKING



NATIONAL EVALUATION CAPACITIES AND BIG DATA

"... There is no longer any doubt that the explosion of available data and the speed with which it can be provisioned will revolutionize the way global challenges are solved..."

VERONICA OLAZABAL, DIRECTOR, MEASUREMENT, EVALUATION AND ORGANIZATIONAL PERFORMANCE, THE ROCKEFELLER FOUNDATION

New forms of digital data and big data have the potential to complement more traditional approaches to evaluation and lend greater insights into the impact of development programmes on poor and vulnerable people. National evaluation capacities need to be strengthened in the use of new available data and technologies to tap into it. Practitioners and institutions engaged in evaluation at national level need to familiarize themselves with new data sources, technologies and methodologies and begin integrating them into their work.

United Nations Global Pulse has produced a guide, *Integrating big data into the monitoring and evaluation of development programmes*,²⁶⁸ which provides guidelines for evaluators, evaluation and programme managers, policymakers and funding agencies on how to

268 <https://www.slideshare.net/unglobalpulse/integrating-big-data-into-the-monitoring-and-evaluation-of-development-programmes>.



take advantage of the rapidly emerging field of big data in the design and implementation of systems for monitoring and evaluating development programmes.

The report is organized in two parts. Part I, on development evaluation in the age of big data, reviews the data revolution and discusses the promise and challenges it offers for strengthening development monitoring and evaluation. Part II, on guidelines for integrating big data into the monitoring and evaluation frameworks of development programmes, focuses on what a monitoring and evaluation system that includes big data would look like.

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17. Dominican Republic: Progress and Innovations in Measures of Multidimensional Poverty

MARCO V. ESPINAL MARTINEZ

Professor, University Technological Institute of Santo Domingo (INTEC)
Specialist of Monitoring and Evaluation, National Council of Competitiveness, Member of the Caribbean Evaluation Network, Caribbean Evaluators International

VICKEYS Y A. MERCADO

Economist, Technological Institute of Santo Domingo (INTEC),
Analyst, Ministry of Economy, Planning and Development

INTRODUCTION

The eradication of extreme poverty in all its dimensions continues to be one of the main challenges faced by humanity, as indicated by the United Nations Development Programme (UNDP)²⁶⁹ and other important development agencies. In this sense, the reduction of poverty is one of the main goals of national policies and the international development agenda. In fact, as is known, of the 17 Sustainable Development Goals (SDGs), “end poverty” is the first objective.

The design and implementation of public policies aimed at achieving this objective, as well as for the other SDGs, with which it has a close relationship, faces important challenges. These challenges include the selection or development of appropriate methodologies for measuring poverty, as well as the corresponding availability and quality of data, with adequate levels of disaggregation.

In relation to poverty measurement methodologies, most countries, especially in the Latin American and Caribbean region, have traveled “from indicators based only on income and consumption towards multidimensional indicators of poverty—which define thresholds of deficiencies—towards multidimensional welfare indicators that allow us to measure, from the perspective of human development, progress in multiple dimensions that transcend monetary poverty” (UNDP, 2016, p.96).

Within this process, different methodological options for the measurement of multidimensional poverty have been developed, from the global level, i.e., the Multidimensional

269 UNDP, Sustainable Development Goals. <http://www.undp.org/content/undp/es/home/sustainable-development-goals/goal-1-no-poverty.html>.

Poverty Index (MPI-Global) published in the global UNDP Human Development Reports, to national and regional indexes.

In relation to the second challenge, the restriction of data significantly affects the suitability of the proposed poverty measurement methodology. In fact, in relation to the Multidimensional Poverty Index of Latin America (MPI-LA), the proponents of this methodology highlighted this aspect, noting that the index was “far from being an ideal measure of poverty, mainly due to the restrictions of data” (OPHI, 2015) These authors also remark that although “surveys of the countries in the region have improved greatly in recent decades, major progress is needed, especially in light of the Development Agenda post 2015”. This aspect had already been highlighted as a major challenge of the Millennium Development Goals (MDGs), as can be seen in the following notes, also cited by the authors of the MPI-LA.

“The closing of the gaps in the availability and quality of data, the compliance with methodological standards and disaggregation are among the greatest challenges for the monitoring of the MDGs”

(UN, 2014, P.6).

In relation to these challenges, this paper aims to analyse the progress and innovations of the Dominican Republic in multidimensional poverty measurement methodologies and in the strengthening of information systems that guarantee the availability and quality of the corresponding information. The first section analyses the main poverty indices used in the country and the second section presents the results of the main measurements obtained.

POVERTY INDEXES USED IN THE DOMINICAN REPUBLIC

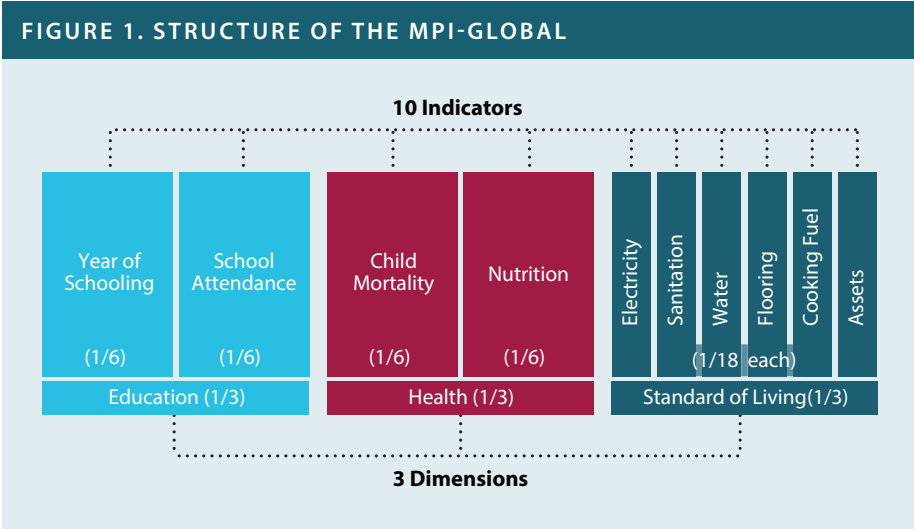
In the Dominican Republic, the official measure of poverty has been monetary poverty, which considers only household income. In this sense, households defined as poor under this methodology are those that are below the poverty line (MPI-RD, 2017). Another methodology used is the Unsatisfied Basic Needs Index (UBNI), a pioneering method in the multidimensional measurement of poverty, since it proposes six deficiencies and households are considered poor if they present at least one of them.

Another multidimensional indicator is the Quality of Life Index (QLI) which as its name says, measures the quality of life of households related to well-being, taking into account variables such as education, health, housing and basic services, among others.

The MPI-Global was developed by the Oxford Poverty and Human Development Initiative, which allows us to see the deficiencies that go beyond a person’s household’s economic income to include the fields of health, education and the standard of living.

The MPI-Global consists of three dimensions and 10 variables. Each dimension has the same weight and the indicators within the same dimension are also weighted equally.

The Dominican Republic has formed part of the global MPI that OPHI calculates every year, using the Multiple Indicator Cluster Survey (MICS) as the main source. However, the



Source: Oxford Poverty and Human Development Initiative (OPHI) 2017, Dominican Republic, Country Briefing, Multidimensional Poverty Index Data Bank. OPHI, University of Oxford.

results presented are extremely low, and cannot be considered valid for most of the countries in the Latin American region (Morillo, 2017). In this regard, the Dominican Government presented the Dominican Republic’s Multidimensional Poverty Index (MPI-DR), an innovative method to measure the multiple factors that poor people experience at the same time.

The MPI-DR consists of five dimensions and 24 indicators; each dimension has equal weight (20 percent). The indicators within each dimension also weigh the same. For this methodology, in 2015 a special household survey was created (MPI-DR, 2017). In this way, the Dominican Republic became one of the few countries that adjusted the index to its needs by measuring five dimensions.²⁷⁰

The MPI-DR, being very specific for the country, does not allow comparison with other countries in the region (Morillo, 2017). As a result, the MPI-LA was created in 2014. This is an index that seeks to include dimensions and poverty indicators relevant to the region, based on the revision of the regional tradition in the measurement of poverty, but also taking into account the data limitations imposed by household surveys available in the region (ECLAC, 2014, Santos et al).

The data used to calculate the MPI-LA comes from the National Labor Force Survey of the Central Bank of the Dominican Republic. Like the MPI-DR, it is composed of five dimensions but has only 13 indicators.

270 Source: <http://www.siuben.gob.do/ipm/>.

FIGURE 2. STRUCTURE OF MPI-DR

DIMENSIONS	INDICATORS		DIMENSIONS	INDICATORS	
	Health	Infant mortality		Housing and surroundings	Housing
	Health Insurance		Potable water		
	Disease		Sanitation		
	Nutrition		Flammable		
Education and child care	Educational achievement		Electricity		
	Educational gap		Training		
	Lack of school		Proximity to polluted sources		
	Child care		Proximity to sources of danger		
Livelihood and employment	Household livelihood	Digital gap and coexistence	Digital gap		
	Child labor		Citizens security		
	Informality		Discrimination		
			Participation		
			Documentation		

Source: Sistema Único de Beneficiarios (SIUBEN)

FIGURE 3. STRUCTURE OF THE MPI-LA

HOUSING	<ul style="list-style-type: none"> • Precarious materials • Overcrowding • Insecure housing tenure
BASIC SERVICES	<ul style="list-style-type: none"> • Lack of sources of water • Lack of improved sanitation • Lack of energy
LIVING STANDARDS	<ul style="list-style-type: none"> • Monetary resources • Lack of durable goods
EDUCATION	<ul style="list-style-type: none"> • Absence from school • Schooling gap • Insufficient school achievement
EMPLOYMENT AND SOCIAL PROTECTION	<ul style="list-style-type: none"> • Unemployment • Absence of social protection

Source: The Multidimensional Poverty Index for Latin America (MPI-LA): An application for the Dominican Republic 2005-2016

BRIEF RESEARCH ON THE HUMAN DEVELOPMENT INDEX OF THE DOMINICAN REPUBLIC

The Dominican Republic was positioned in 2016 as the fastest growing economy in Latin America and the Caribbean, leading the countries of the region for the third consecutive year, with a growth rate of around 6.6 percent of gross domestic product. The country macroeconomic stability is due to the good management of economic policy carried out in recent years, especially in terms of monetary policy; the second lowest cumulative inflation rate recorded in the last 33 years—1.7 percent, according to Central Bank data—occurred during that period. Another measure of positive monetary policy was the increase in gross national savings.

In this regard, since 2014, the Dominican Republic has been among the countries classified as having high human development, registering a value of 0.722 in its Human Development Index (HDI). This performance is driven mainly by the income dimension, indicating more the capabilities of the Dominican economy to grow and less so to redistribute.²⁷¹ For example, when the HDI is adjusted for inequality, the country reduces its advances in human development by 21 percent, with the income dimension registering the highest levels of inequality in the distribution of human development, followed by education and health. In fact, although there were reductions in global monetary poverty levels, from 40.4 percent in 2011 to 30.5 percent in 2016, in redistributive terms, the changes in the Gini coefficient were slow. Despite the reductions in this indicator (which went from 0.497 in 2004 to 0.456 in 2015), in 2016 it showed an increase to 0.4683.²⁷²

RESULTS OF POVERTY MEASUREMENT IN THE COUNTRY

Measuring the Multidimensional Poverty Index

Before knowing the results of each methodology, it is important to know how the multidimensional poverty index is calculated.

The multidimensional poverty of a household and its members is done using the methodology of Alkire and Foster. Said methodology integrates two phases: first an *identification* phase, in which the criteria to define the condition of multidimensional poverty of a household and its members are set, and a second phase of *aggregation*, in which indicators of poverty are generated (Morillo, 2017). The aggregate calculations are obtained through the following indicators:

1. Incidence rate (H): is defined as the proportion of the multidimensionally poor population.
2. Intensity of poverty (A): Indicates the proportion of indicators that cannot be accessed.

271 UNDP, *Human Development Report 2016: Human Development for All*, UNDP, New York, 2016, <http://www.undp.org/content/undp/es/home/librarypage/hdr/2016-human-development-report.html>.

272 Ministry of Economy, Planning and Development, 'Bulletin of Official Monetary Poverty Statistics in the Dominican Republic', 2016.

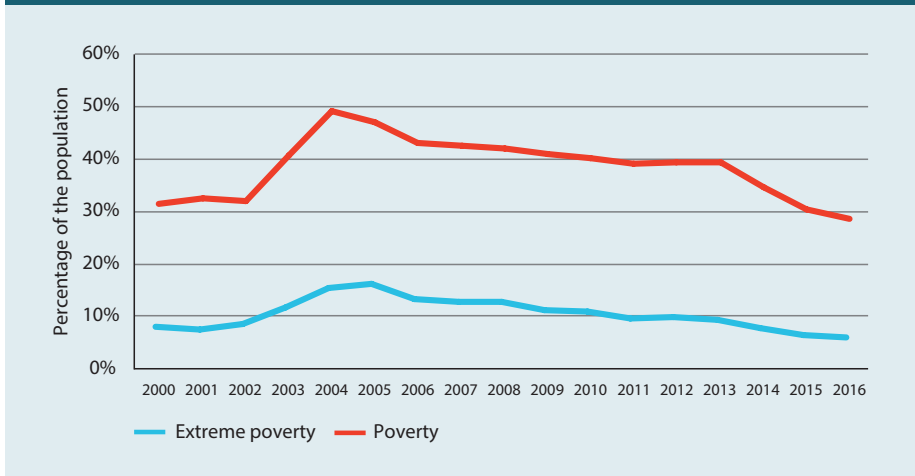
The multidimensional poverty index is equal to the product of the incidence rate (H) and the intensity of poverty (A):

$$\text{MPI} = H \times A$$

RESULTS

If we analyse the empirical evolution of Dominican Republic's poverty, we observe that it has been decreasing over time. Between 1990 and 1998, monetary poverty fell moderately. But it was not until the economic slowdown of the 2003-2004 financial crisis that a dramatic increase in poverty took place, with half of the population remaining in that condition. According to the *Report on poverty in the Dominican Republic: achieving economic growth that benefits the poor in the Dominican Republic* (2006), in 2004, 42 of every 100 Dominicans lived in poverty and 16 of every 100 lived in extreme poverty. In that same year, 20 percent of the richest families concentrated 56 percent of the national income, while the poorest 20 percent received only 4 percent. However, the data published in the *Bulletin of Official Statistics of Monetary Poverty No.3* shows that these figures are higher.

FIGURE 4. EVOLUTION OF DOMINICAN MONETARY POVERTY (2000-2016)



Prepared by the author with data from the Ministry of Economy, Planning and Development

The need to measure multidimensional poverty arises precisely because poverty is not only related to income, but there are multiple factors that affect whether a household or person is in this state.

In the MPI-Global structure a person is identified as:

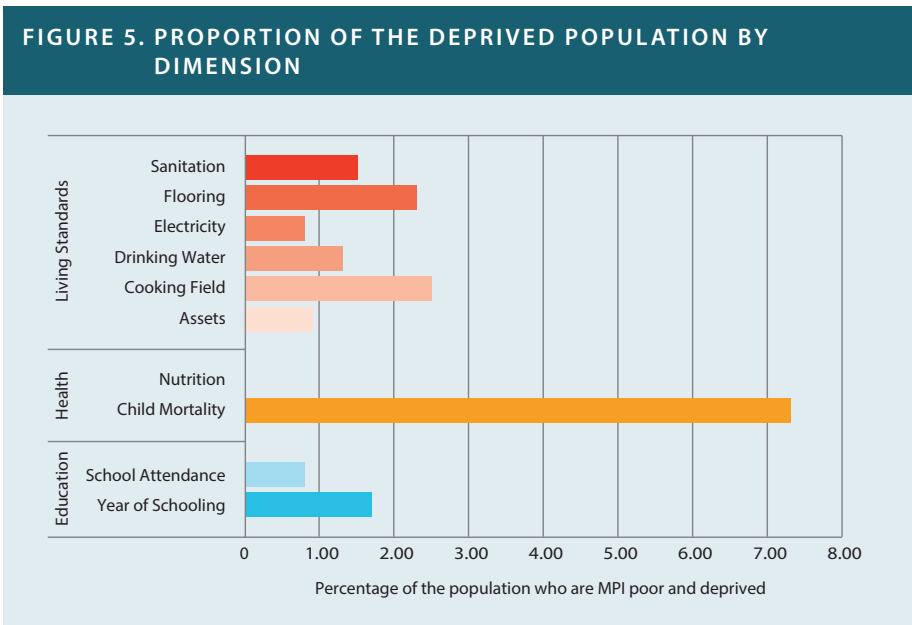
- Multidimensionally poor if they are deprived in at least one third of the weighted indicators shown in figure aa; in other words, the cut-off point for poverty (k) is 33.33%.

- Vulnerable poor if they are deprived by 20 percent—33.3 percent of the weighted indicators.
- Severely poor if they are deprived in 50 percent or more of the weighted indicators.
- Indigent they are those deprived in at least one third of the most extreme indicators.

Where k is the minimum threshold of deprivation or multidimensional poverty line.

MULTIDIMENSIONAL POVERTY INDEX (MPI=HxA)	PERCENTAGE OF POOR PEOPLE (H) (K=33.3%)	AVERAGE INTENSITY IN THE POOR (A)	POPULATION PERCENTAGE:		
			VULNERABLE (20-33.3%)	IN SEVERE POVERTY (K=50%)	INDIGENTS
0.034	8.8%	38.5%	4.1%	1.1%	1.6%

The MPI-Global uses 10 indicators to measure poverty in three dimensions: education, health and standard of living. Figure 5 shows the proportion of the population that is deprived for each indicator:



Source: Oxford Poverty and Human Development Initiative (OPHI) 2017, Dominican Republic, Country Briefing, Multidimensional Poverty Index Data Bank. OPHI, University of Oxford

It is possible to observe that the most pronounced dimension is health. However, one of the disadvantages of this methodology is that the data referring to health are relatively insufficient and overlook some group deficiencies, especially in relation to nutrition.

In the case of the MPI-DR, the results differ greatly compared to the previous ones, although, it should be noted that the estimates made for the MPI-DR are more recent (2015).

The poverty line defined in the MPI-DR was $k=33\%$. That is to say, a household has to be deprived approximately in a dimension and a half to be multidimensionally poor or the weighted sum of indicators. The results achieved under this structure were the following:

MULTIDIMENSIONAL POVERTY INDEX (MPI= $H \times A$)	INCIDENCE OF POVERTY (H) (K=33%)	INTENSITY OF POVERTY (A)
14.7%	35.6%	41.3%

Under this structure, 35.6 percent of the population are multidimensionally poor, surpassing the monetary poverty rate, which for 2015 was 30.81 percent. The dimensions that describe most of the multidimensional poverty in the Dominican Republic are health (27.1 percent), followed by housing and environment (21.6 percent), education and child care (19.0 percent), sustenance and work (17.0 percent) and, finally, digital divide and coexistence (15.2 percent) (MPI-DR, 2017).

Contrary to the MPI-Global and MPI-LA, which are methodologies aimed at international comparison, the construction of the MPI-DR seeks to respond to the realities of the Dominican Republic (MPI-DR, 2017) Therefore, it allows us to visualize the main problems of households in poverty.

At the national level, the indicator with the greatest deprivation is informal work, which indicates that 70.2 percent of the population live in a household with at least one member working in the informal sector. In addition, multidimensionally poor households have higher rates of deprivation in health insurance, educational attainment, informal work and food security.

Both at the national level and in the proportion of the multidimensionally poor, the indicator of informal work prevails. For 2015, the rate of those working in the formal sector was 47.8 percent, which indicates that more than half of the population works in the informal sector.

By geographic zones, the MPI-DR allowed us to see that rural areas have the highest number of households that are poor and are deprived of the calculated indicators (excluding discrimination, insecurity, proximity to pollution sources, educational lag, economic support), followed by urban areas and finally the metropolitan areas.

The MPI-LA, which is composed of a set of 13 variables or deprivations, grouped into five social dimensions (housing, basic services, standard of living, education, employment and social protection), with a defined poverty line of $k=25$ percent, yielded the following results for the period 2005-2016.

YEAR	MULTIDIMENSIONAL POVERTY INDEX (MPI= $H \times A$)	INCIDENCE OF POVERTY RATE (H) (K=25%)	INTENSITY OF POVERTY (A)
2005	19.0	45.0	42.2
2006	17.8	42.1	42.2
2007	15.4	37.5	41.0
2008	15.5	37.7	41.2

(Continued)

(Continued)

YEAR	MULTIDIMENSIONAL POVERTY INDEX (MPI=H×A)	INCIDENCE OF POVERTY RATE (H) (K=25%)	INTENSITY OF POVERTY (A)
2009	14.5	35.9	40.4
2010	14.3	35.4	40.2
2011	13.8	34.3	40.2
2012	13.9	34.9	39.8
2013	13.5	33.9	39.8
2014	11.5	29.2	39.3
2015	10.0	25.5	39.2
2016	8.9	23.1	38.4

The results obtained for the multidimensional incidence rate (H) show a process of decrease. In the period from 2012 to 2016, the multidimensional poverty rate fell from 34.9 percent to 23.1 percent, achieving a reduction of 11.8 percentage points. The main determinant of the decrease was the improvement in household income, followed by possession of durable goods, provision of drinking water, educational achievements and overcrowding.

One of the limitations presented by the MPI-LA is related to the fact that the health dimension has not been incorporated, nor has information regarding the nutritional status of households. In addition, the variables that make up the index have been established according to the availability of data from household surveys. In that sense, it is a measure elaborated in the framework of possibilities.

CONCLUSION

The multidimensional measurement of poverty starts from a more integral vision of the living conditions of the population, recognizing that the monetary factor is not the only variable of well-being.

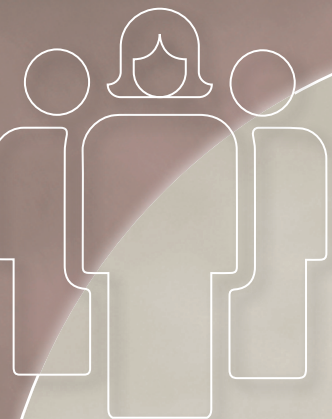
The results presented by the MPI-Global are extremely low and cannot be considered valid for most of the countries in the Latin American region. This is evidenced by the great difference that exists with the results of the MPI-DR, a measure created under the Dominican reality. However, the MPI-DR does not allow comparability with other countries in the region, hence the MPI-LA. Similarly, the latter has limitations, given that it is a measure developed according to the availability of data.

The objective of this study is not to determine what is the best measure, given that, at present, it is on the table for discussion, since there is no consensus on the dimensions to be considered and their respective indicators. Also, there is no agreement on minimum thresholds. All this also refers to the fact that the same statistics are not available in all countries and, in addition, the way of life in each society varies, so that with the same methodology a person or household could be classified equally, even when living conditions are totally different. This problem makes it difficult to compare countries on the subject of multidimensional

poverty, since there are many factors that differ from country to country which influence the determination of poverty and, in turn, there are no appropriate statistics to elaborate the index to cover all countries (Cardone, 2016).

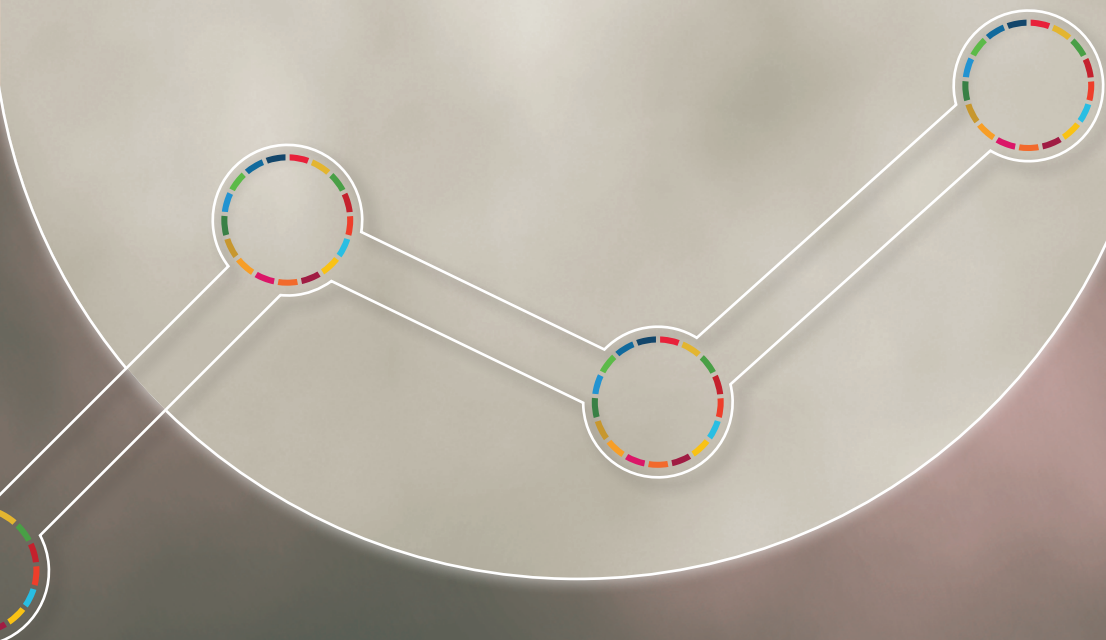
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PART 5

The Way Forward



The NEC Conferences: Reflections on the Past and Ideas for the Future

INDRAN NAIDOO

Director
UNDP Independent Evaluation Office

HEATHER BRYANT

Evaluation Advisor
UNDP Independent Evaluation Office

GENTA KONCI

Evaluation Consultant
UNDP Independent Evaluation Office



INTRODUCTION

This chapter provides an overview of the National Evaluation Capacities (NEC) conferences, which began in 2009 and have since evolved over the series of five events to expand in scope and participation. Beginning with the inaugural conference in Morocco, each of the events has addressed new topics in evaluation and development and benefited from greater diversity in participant groups, both in terms of geography and institutional affiliation, leading to the current NEC “brand” as one associated with global evaluation thought leadership. This paper reviews the different events over the past decade and their evolving emphasis— informed by contemporary evaluation and development debates—and brings us to the present moment where we reflect on the future of the conference series. It is not meant to be a definitive assessment; indeed, the sheer size and diversity of the NEC events, involving so many global travelers and observers, makes this impossible as each conference has provided value in some form or other as a response to a particular need. The NEC conferences have sought to address diverse audiences, but more importantly, to place themselves within contemporary debates—the key now being the Sustainable Development Goals (SDGs) and the use of evaluation for their attainment, but also the consideration of evaluation as a public good, with its attendant values of transparency, accountability, democracy and, critically, bringing about equity.

The first NEC conference was organized nearly a decade ago, in 2009, when the world was grappling with the economic crisis that threatened progress towards the Millennium Development Goals (MDGs), which had a target date of 2015. Discussions at the conference covered a wide range of topics, from institutional set-ups for evaluation, independence, the different capacities required for managing, conducting and using evaluations to the importance of political will and commitment for evaluation of public policies, and the need to

consider both technical and political dimensions of evaluation. The fifth NEC conference was held in 2017, two years after the adoption of the SDGs, an agenda more complex and more ambitious than that the MDGs. Yet, many of the same questions that arose in 2009 found an echo at the discussions in 2017, with new elements and challenges enriching the exchanges, and new queries opened, for which answers are still sought.

This paper reviews the history of the conferences, from the first gathering's look at monitoring and evaluation systems to the third conference's examination of the philosophies of independence, credibility and use, through the new turn taken by the two most recent conferences in response to the adoption of the SDGs. This is followed by an analysis of feedback received from conference participants through surveys and interviews, and a discussion of possible ways forward for the next NEC conferences. The paper concludes that the NEC conferences still fill an important niche and can continue to play a key role in developing capacities for evaluation.

A SHORT HISTORY OF THE NEC CONFERENCES

From Monitoring and Evaluation Systems to the Philosophy of Independence, Credibility and Use

The first NEC conference was organized in response to a request from the United Nations Development Programme (UNDP) Executive Board to support national evaluation capacity development in programme countries. The UNDP Evaluation Office,²⁷³ in cooperation with the Moroccan National Observatory for Human Development, organized a conference on national evaluation capacities in Casablanca in 2009. The premise of the conference was that while there was consensus that evaluating the performance of public policy is an important instrument for good governance, there was a gap between this general agreement and the actual implementation, use and sustainability of monitoring and evaluation systems, processes and tools in many countries. The conference was designed to provide a forum to discuss issues faced by UNDP programme country partners, to deepen their understanding of evaluation as a powerful tool for public accountability, to learn from solutions adopted by other countries and, if possible, to identify common strategies for establishing relevant evaluation systems with sound political and institutional bases.²⁷⁴

The conference in Morocco was structured around five areas of inquiry—vision, purpose, structures and capacity, methodology and accountability—which were then broken down into the four major themes of national-level evaluation practices of public policies, evaluation quality, use of evaluation and enabling environments for evaluation. Participants shared and compared good public policy practices, showcasing examples of both embryonic and more advanced national monitoring and evaluation (M&E) systems, and highlighted the importance of evaluation as an accountability and decision-making tool.

273 Renamed the Independent Evaluation Office (IEO) on 27 February 2014.

274 UNDP, Independent Evaluation Office, *Proceedings from International Conference on National Evaluation Capacities*, 15-17 December 2009, Casablanca, Kingdom of Morocco, New York, May 2011.

Two years later, building on the messages from the conference in Morocco, the second NEC Conference was held in Johannesburg, South Africa, with a focus on *Use of evaluation in decision-making for public policies and programme*. Co-hosted by the UNDP Evaluation Office and the Public Service Commission of South Africa, the conference sought to continue the sharing of experiences between countries that have different levels of development of national monitoring and evaluation systems; to identify lessons and constraints in implementing national monitoring and evaluation systems; and to identify potential supply of and demand for technical assistance to strengthen institutional capacities for national monitoring and evaluation systems, under the umbrella of South-South and triangular cooperation.

The discussions in South Africa evolved from the showcasing of national monitoring and evaluation systems to the management, conduct and use of evaluation. Practical examples were provided to show how evaluation has been used for policy- and decision-making. Discussions and reflections on the use of evaluations at various levels of government and development organizations illustrated the strong linkages between evaluation quality and use and between an evaluation's "user friendliness" and its effective use. The conference participants also highlighted that evaluation users are ultimately people and individuals and they are "champions" for use of evaluation for policy and organizational change. Also emphasized were the promotion and communication of evaluation and the role of different actors in the country and how can they work together to champion evaluation capacity and use for more effective policy in governments and countries.²⁷⁵

Topics that emerged in Morocco and South Africa relating to independence, quality and use of evaluations led the third NEC conference in São Paulo, Brazil, to seek *Solutions to Challenges Related to Independence, Credibility and Use of Evaluation*. This conference was co-hosted by the UNDP IEO and the Brazilian Ministry of Social Development and Fight against Hunger.

While recognizing, as had the previous conference, that monitoring and evaluation are closely related, the Brazil conference focused more specifically on evaluation. Within the context of establishing national monitoring and evolution systems, the conference emphasized three interconnected challenges with respect to evaluations: how to ensure their independence, their credibility and their use. The conference examined challenges faced by governments in establishing monitoring and evaluation systems that are considered independent, including the question of where to place—and how to structure—the evaluation mandate and function within the government. With respect to credibility, participants concluded that credibility depends on the expertise and independence of the evaluators, the degree of transparency of the evaluation process and the quality of evaluation outputs. On the utility of evaluations, challenges noted include broadening the use of evaluation beyond a limited number of stakeholders, which requires user-friendly dissemination, translation into local languages and presentation of insights into different public policy options and issues.

275 UNDP, Independent Evaluation Office, *Use of evaluation in decision making for public policies and programmes*, Proceedings from International Conference on National Evaluation Capacities, 12-14 September 2011. New York, 2012.

The Brazil conference was distinguished by the participatory elaboration of 18 commitments to further national evaluation capacities, broadly clustered into four strategies including:

1. Promoting evaluation use through in-country and global advocacy;
2. Defining and strengthening evaluation process and methods;
3. Engaging existing and new stakeholders in exchanges and collaboration; and
4. Exploring options for different institutional structures for managing evaluation.²⁷⁶

NEC Brazil was also characterized by an effort to promote continued engagement with past participants and institutions to deepen dialogues, partnerships, and cooperation. The conference also announced that 2015 would be the International Year of Evaluation, a designation intended to further advocate for and promote evaluation and evidence-based policy-making at international, regional, national and local levels.

THE ADVENT OF THE SUSTAINABLE DEVELOPMENT GOALS

Following the conference in Brazil, the United Nations General Assembly acknowledged 2015 as the International Year of Evaluation in its first, stand-alone resolution (69/237) on building capacity for the evaluation of development activities at country level. In September 2015, the General Assembly adopted the 2030 Agenda for Sustainable Development. One month later, the fourth NEC conference was held in Bangkok, Thailand.

The conference theme was *Blending evaluation principles with development practices to change people's lives*. Designed before the SDGs were formally adopted, the conference anticipated evaluation capacities as an imperative for the implementation of the new sustainable development agenda. The conference focused on how governments can develop the necessary national evaluation capacities to meet the new challenges of the SDGs. Key priorities for national evaluation capacities in light of the SDGs that emerged from the conference include the need to: promote country-owned and country-led evaluations with an emphasis on their use in influencing policies; develop methods for assessing progress towards the SDGs, including evaluating environmental, social and economic sustainability, social inclusion and equity, social cohesion and governance; promote more diverse partnerships to increase awareness and use of evaluation; and integrate evaluation of the SDGs into institutional structures, a significant challenge.²⁷⁷

The SDGs continued to be at the heart of the next NEC conference in 2017, in Istanbul, Turkey. This conference was dedicated to examining national evaluation capacities with

276 UNDP, Independent Evaluation Office, *Solutions related to challenges of independence, credibility and use of evaluation*. Proceedings from International Conference on National Evaluation Capacities, UNDP, New York, June 2014.

277 Rosellini, Nicholas, 'The Global Evaluation Agenda to Support the SDGs: The Road Ahead', in UNDP Independent Evaluation Office, *Proceedings from the Fourth International Conference on National Evaluation Capacities*, UNDP, New York, June 2016.

respect to *People, Planet and Progress in the SDG era*. The 2017 event sought to continue and deepen the discussions initiated in Thailand on the role of evaluation in the follow-up and review of the SDGs, for example exploring in greater depth how to ensure “no one is left behind”, including the environment, in evaluation. The conference also engaged participants on themes that have been present since the first event in 2009, such as challenges in institutional arrangements and questions of independence, credibility and use.

SIGNIFICANT INCREASE IN THE NUMBER AND DIVERSITY OF PARTICIPANTS

Reflective of the expansion of an evaluation culture across the globe, the number of participants in NEC conferences has increased significantly over the years and their profiles have become more diverse. The conferences have attracted a wide range of national government officials as well as participants from multilateral and bilateral development organizations and evaluation associations. A recent trend, from 2015 onward, has been the increasing number of representatives from governments from the global North as well as private sector actors, academics and researchers.

The participation of the primary target group—government officials—has increased steadily in absolute terms over the years. Civil society participation peaked in 2015, as the conference was co-organized with the International Development Evaluation Association (IDEAS). UNDP staff from its regional centres and country offices were actively encouraged to attend the last two conferences, in part to accompany government officials to strengthen follow-up activities in country, and in part to develop staff awareness of and capacities for evaluation. The participation of women has shown significant improvement over the years, from only 23 percent of the participants in 2009 to near parity (47 percent) in 2017. Table 1 summarizes the profile of NEC conference participants over the years.

TABLE 1. NEC CONFERENCE PARTICIPATION, 2009-2017

NEC CONFERENCE YEARS	2009	2011	2013	2015	2017
Total no. of participants	55	87	156	450	508
Number of countries	30	24	58	100	119
TYPE OF PARTICIPANTS	%	%	%	%	%
Government	44% (24)	76% (66)	64% (99)	32% (145)	33% (167)
Civil society (voluntary organizations of professional evaluators, academia, private sector)	18% (10)	7% (6)	16% (24)	48% (220)	15% (75)
United Nations	16% (9)	8% (7)	8% (13)	7% (33)	15% (76)
UNDP	22% (12)	9% (8)	12% (18)	13% (57)	35% (178)

TABLE 2. GENDER DISTRIBUTION OF NEC CONFERENCE PARTICIPANTS, 2009-2017

NEC CONFERENCE YEARS	2009	2011	2013	2015 ²⁷⁸	2017
Total	55	87	156	450	508
Women	23% (13)	24% (21)	31% (49)	45% (202)	47% (238)
Men	77% (42)	76% (66)	69% (107)	53% (238)	53% (270)

Stakeholder views of the NEC conferences

The UNDP IEO takes the views of conference participants seriously, and each of the NEC conferences has concluded with a conference assessment survey, as well as internal discussions and recording of lessons learned and suggestions for subsequent conferences. Members of the IEO International Evaluation Advisory Panel who have attended the conferences have also provided feedback and guidance over the years.

Surveys to gauge satisfaction levels

Each of the NEC conferences has closed with a conference assessment survey. The assessment formats have varied across the conferences, limiting their comparability; however, all of them have recorded positive feedback. The surveys for the last three conferences asked similar, closed-ended questions about overall satisfaction with the conference, the usefulness of the overall engagements and the structure and delivery of the conference. The results are summarized below.

Overall satisfaction

In 2011 in South Africa, 72 percent of the responding conference participants expressed that they were “very satisfied” with the conference overall.²⁷⁹ From 2013 onwards, between 85 percent (2017) and 92 percent (2013) of the participants indicated that they were “very satisfied” or “somewhat satisfied” with the conferences (see Figure 1).

Perceptions of the usefulness of the NEC engagements

Surveys asked participants if they found the overall NEC engagements useful. In 2013, the responses were limited to “yes” or “no” and 97 percent of the respondents answered positively. In 2015 and 2017, more options were provided (see Figure 2), with 94 percent and 88 percent, respectively, of the participants finding the events to be either “completely” or “largely” useful.

278 Data are not available for 2 percent of the participants.

279 UNDP Evaluation Office, *Proceedings from the Second International Conference on National Evaluation Capacities*, UNDP, New York, 2012, pp. 180-181.

FIGURE 1. HOW WOULD YOU RATE YOUR OVERALL SATISFACTION WITH THE CONFERENCE?²⁸⁰

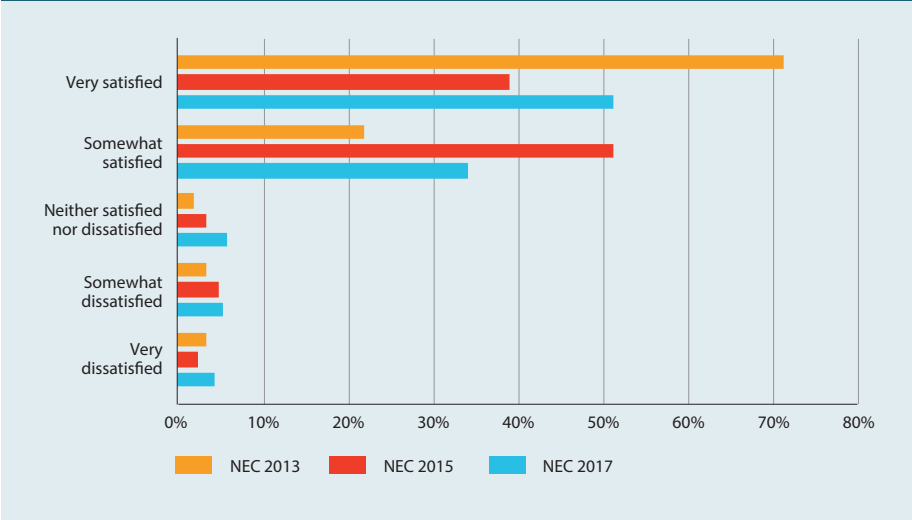
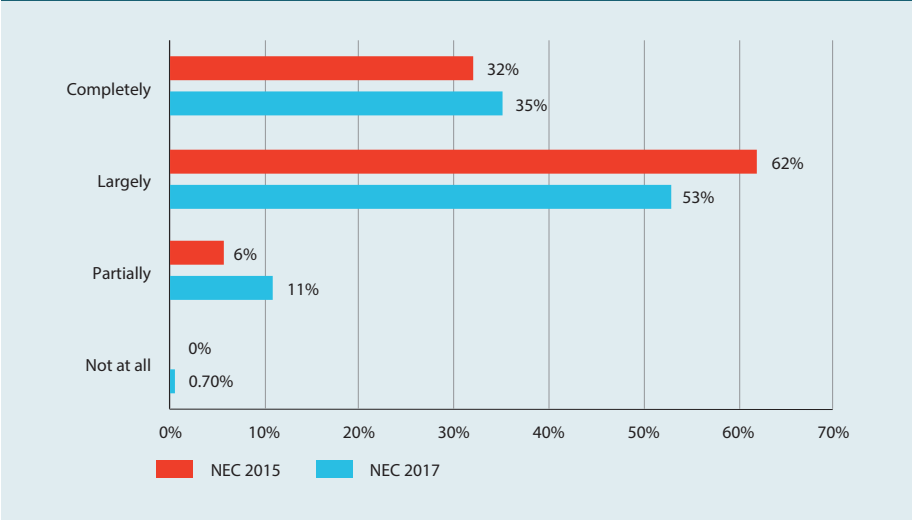


FIGURE 2 . DID YOU FIND THE OVERALL NEC ENGAGEMENTS USEFUL?

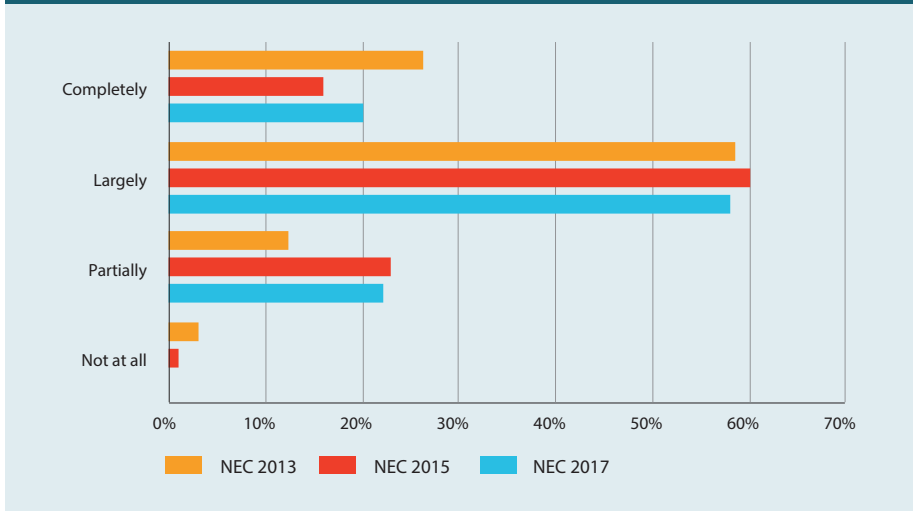


280 The question in 2013 was, “Do you think the conference could be improved in terms of organization, design and implementation? Please rate your overall satisfaction with the conference.” In 2015 and 2017, the question was more straightforward, asking simply, “How would you rate your overall satisfaction with the conference?”

Views on the format of the conference: structure and delivery

The surveys also asked participants to indicate to what extent the structure and delivery of the conferences were useful in contributing to the objectives of enhancing national evaluation capacities. Seventy-eight percent of the 2017 participants responded that this was completely or largely the case.

FIGURE 3. WAS THE WAY THE CONFERENCE WAS STRUCTURED AND DELIVERED USEFUL IN CONTRIBUTING TO THE OBJECTIVES OF ENHANCING NATIONAL EVALUATION CAPACITY?



Additional qualitative feedback solicited from participants

To complement the survey data collected following the conferences, in 2017, during the conference, two members of the IEO International Evaluation Advisory Panel²⁸¹ conducted semi-structured interviews with 18 participants, representing government agencies, United Nations agencies, non-governmental organizations (NGOs) and evaluation associations. The information gathered in the interviews was analysed by the two advisors in conjunction with their own participant observation during the conference,²⁸² with responses to an open question in the 2017 conference assessment survey about how the conference could be improved, and feedback received on the pre-conference training workshops, compiled by the IEO. The following paragraphs summarize some of the key messages emerging from the interviews and the surveys.

281 Paulo Jannuzzi, Professor, National School of Statistics, Brazil, and Olga Schetinina, Head, Ukrainian Evaluation Association.

282 Supplementary observations on the conference series were also provided by Rachid BenMokhtar, President, Moroccan National Observatory of Human Development, and El Hassan El Mansouri, General Secretary, Moroccan National Observatory of Human Development.

The NEC has become a singular community of practice

Over the years, the NEC conferences have been addressing multiple issues—and tensions—on the agendas of evaluation, international development and public policy. The conferences have engaged a growing number of participants, from a growing number of countries and stakeholder groups—government, civil society, the academic evaluation community, as well as staff from UNDP, other United Nations agencies and other development partner institutions—to discuss political, institutional and operational challenges linked to evaluation.

This diversity of participants, brought together around this common set of interrelated issues, is what makes the NEC conference constituency a singular community, a community of practice and a place to present, exchange and discuss concrete country experiences and discuss methodological improvements in such fields. Analysis of the interviews suggests that the NEC conference series should be seen as an institutional forum to stimulate the systematization of technical knowledge on evaluation of intervention experiences and development policies and programs run by government and development partners including the United Nations and NGOs.

Interviews and opinions expressed during thematic sessions show that NEC conferences differentiate themselves from other evaluation forums by the type of participants gathered together. Officials from planning and other central ministries, representatives of UNDP country offices, United Nations agencies, bilateral donors, multilateral development banks, NGOs and civil society congregate to learn from each other, share and discuss countries' experiences with planning, monitoring and especially evaluation of development policies, programmes and projects. For some of the people interviewed, the NEC conferences fill a gap that exists at the international level to deal with these issues—evaluation, development and public policy—with a broad and strategic audience comprising government technical staff, evaluation communities, civil society and United Nations personnel.

The NEC conferences have provided a critical arena for discussion about political, institutional and practical challenges related to evaluation

As expected—given the original objectives of the biennial events—NEC conferences are recognized as an arena for discussion about the political and institutional challenges in building evaluation frameworks for development programmes and public policy. Given this, and despite the positive ratings in the conference assessment survey, interviewed participants said that country experiences should have a greater place in the programme. Participants at the Istanbul conference felt that general panels and plenary sessions could have focused less on technical issues—like experimental designs, for instance—and brought more national experiences on policy evaluations and their uses and challenges to improve the development agenda. In fact, “sharing experiences and knowledge” was the most useful aspect of the NEC conference according to one third of the respondents to the 2017 conference survey, followed by “learning new knowledge”, mentioned by 21 percent of the survey respondents. In the open survey questions dedicated to suggestions for improving future

conferences, several respondents mentioned that keynotes and panel speaker sessions should be reduced to accommodate more country presentations, practical experiences and more time to discuss them. The most appreciated topics pointed to in the survey were, in fact, the more practical sessions.

Consistent with their preference for practical/country experiences, interviewed participants do not see the NEC conference as an academic or professional evaluation seminar; neither do they consider that it should be a showcase of UNDP practices in development programmes and public policies. Rather, conference sessions should be conceptualized as communities of practice focused on problems and challenges. The opportunity to share and discuss political and institutional aspects of evaluation frameworks is, according to many, the specific strength of NEC conferences, that which differentiates them from seminars organized by evaluation academics or professional organizations. NEC conference participants are evaluation contractors, users or general advisors, who may be more interested in how to produce relevant inputs to the development agenda than in the scientific rigour of knowledge produced in evaluations.

Future vistas: broaden participation

Some NEC conference stakeholders call for broadened participation at the conferences. It may be strategic for evaluation capacity development over the world—and to the efforts of evaluation of the SDGs—to bring to the conferences public officials from sectoral ministries and statistical agencies, in addition to those from central planning and finance ministries. Encouraging the participation of high-level policymakers and parliamentarians would also encourage the fostering of evaluation practice in their countries. Many countries have economic and social development councils, whose members may be able to offer insights on integrating not only the economic and the social but also the environmental into development planning, and by extension, evaluation. Inclusion of journalists and specific training offerings for this stakeholder group could further raise awareness of the importance of evaluation of government policies and strategies.

Evaluations need to draw on high-quality disaggregated data: national statistical systems capacities are linked to evaluation capacities in any country, as discussed in the guidance on “Country-led Evaluation in the Era of the Sustainable Development Goals” launched at the Istanbul conference.²⁸³ The NEC conferences can make a valuable contribution to data production by further diversifying the conference community with the addition of representatives from national statistical agencies. Producing better and broader statistics, registers and administrative data to monitor and evaluate the SDGs depends on systematic dialogues between data producers and information users. The better the data, the more consistent can be the evaluations.

283 UNDP Independent Evaluation Office, *National Evaluation in the SDG era: Country-led Evaluation in the era of SDGs: an online self-assessment tool for evaluation diagnostics and strategizing*, 2018, <http://web.undp.org/evaluation/evaluations/documents/diagnostic-tool/National%20Evaluation%20Diagnostic%20Guidance.pdf>

Technical training must continue

A clear message emerging from the feedback received is that there is a high demand for technical training. The 13 mini-courses, organized before the main Istanbul event, addressed different kinds of quantitative and qualitative techniques and were very well rated. The overall average rating—measured by Likert-type scale from 1 (low satisfaction) to 5 (high)—was 4.1. The unexpectedly high subscription for and the assessments of the training workshops show a clear demand for longer, more in-depth technical training courses in the future.

Recognize multiple roles for evaluation

Finally, findings from the interviews and assessments suggest that different stakeholder groups, for example, public officials (especially those responsible for public programmes and development projects) may have different views as to the primary role of evaluation than participants coming from epistemic communities or bilateral or multilateral organizations. For the former, evaluation is a tool for learning and improving the effectiveness of development programmes and public policies. For the latter, the emphasis may be more on accountability and meritocratic assessment of public expenditure and international assistance. Practically speaking, the multiplicity of evaluation uses and users has implications for programmatic offerings, calling for balance in the keynote sessions in view of these different constituencies. These multiple perspectives point to differential needs for pre-conference workshops and panel session themes: public officials and development programme managers are as interested in evaluation from the perspective of design and implementation challenges, as from that of results and impact assessments.

THE WAY FORWARD

The reflections of the UNDP IEO on the conference series, augmented with information from surveys and interviews, point to the following.

The NEC conference has a distinct niche

The NEC conference series has been and remains valuable as it caters to diverse needs, while maintaining a special niche, centered around a core audience of government officials engaged in evaluation, within a broader international context of evaluation professionals.

The SDGs provide an organizing—and normative—framework for future conferences

The SDGs provide a sound organizing framework for evaluation conversations, as illustrated by the last two events. This is a tangible area for potential collaboration between the evaluation community, governments and the United Nations—and its full potential has yet to be explored. Indeed, the 2030 Agenda sets out a broad consensus for civilization—maybe the greatest since the Universal Declaration of Human Rights in 1948—and it therefore points to a need to reexamine and refine the principles that guide evaluations.

The SDGs bring special challenges to policy and intervention design and thus to evaluation, as they address the indivisibility of economic, social and environment commitments

in any development project. The 2030 Agenda calls for more integrated and multi-objective policies and projects; “good” practices are those that simultaneously contribute to the five areas of critical importance—the five “Ps”—the promotion of people’s dignity, sustainability of the planet, prosperity and well-being, a more peaceful society and greater partnership engagement. The NEC conferences, driven by the UNDP IEO, can continue to bring these normative questions to the table and continue conversations between governments, the United Nations system and the wider development and evaluation communities. Through their mandate and format, the NEC conferences constitute a multi-institutional platform to advocate not only for principles of independence, credibility and use, but also for the relevance of sustainable development values, as an additional ethical principle, in designing and evaluating development policies and programmes.

The emphasis on the practical is key

The UNDP NEC conferences can contribute to the 2030 Agenda by continuing to develop as a multisectoral forum on SDG monitoring and, more particularly, evaluation, bringing together experiences from around the world on strategies, tools and practices for evaluation of public policy and programmes, filling the gaps between other thematic forums on specific SDGs organized by specialized agencies. With the multi-institutional and strategic profile of their participants, NEC conferences are an ideal space to discuss SDG implementation issues, including political, institutional and operational bottlenecks on the design and evaluation of truly sustainable development policies and interventions. Thematic forums on SDGs indicators and programmes organized by United Nations agencies or universities are extremely important, but the NEC conferences can bring together the strategic sponsors and users of SDG data for evaluation and decision-making processes.

Promote pluralist perspectives and explore the multiplicity of evaluation uses

The NEC conferences can continue to legitimate pluralist perspectives in evaluation, in line with the ethical principles of the SDGs. As early as the 1980s, enlarged perspectives in evaluation—with an emphasis on qualitative, less structured and more participatory methods—have been taught, disseminated and used, despite the resistance from some epistemic evaluation communities (such as academic economist “*randomistas*”) or even practitioner communities (such efficiency-driven donors). If evaluation inputs are to be used in the policy cycle, methods must be customized for the problems faced and the demands of their users, not the contrary (as some Cartesian communities would seem to suppose). If SDG ethical principles should be considered in the evaluation, as well as in the design phase, of development programmes, it may be necessary to consider other methodological perspectives to capture less tangible effects of the interventions. Assessments by external advisors and teams may be complemented by internal or participatory evaluations which can delve more deeply in these areas. The NEC conferences can reinforce multiple perspectives and methods, as they have been doing, in the accompanying technical training courses.

At the same time, while advocating for broader and more pluralistic perspectives in the field of evaluation, NEC conferences can continue to be a strategic platform to promote an

already well-known objective of evaluation: programme improvement. Evaluation remains a resource to guarantee accountability and worthy use of public money. But if effectiveness—as advocated in the 2030 Agenda—is the main goal of development programmes, then evaluation strategies, whether quantitative or qualitative, participatory or external, using prospective, formative or summative designs, should be understood as tools to improve public policy and international cooperation on development programmes.

Future NEC conferences should thus deepen the exploration of the multiplicity of evaluation uses. They should also continue to address diverse evaluation needs—a diversity reflective of the differentiated progress in evaluation across the globe. Different levels of progress are in turn reflective of the nature of enabling environments, including elements such as policy, resources and democratic space. Taken as a tool for accountability, citizens using evaluation for empowerment require the space to engage with critique for eventual change and to reduce the discrepancy between plans and actions.

Embrace complexity

The 2017 NEC conference devoted several sessions to complexity, which is increasingly recognized as a key feature in development and progress towards the SDGs. It is now recognized that implementation problems and failures to attain intended impacts may be a consequence of conventional project design methods and logical framework approaches which imply that policy and programme objectives should be very specific, in order to guarantee coherence in the intervention and efficiency in the linkages between activities, outputs and outcomes. Yet, such a narrow focus has often resulted in policy fragmentation. Sectoral policies and programmes may well be effective but as synergies is not a traditional design criterion, the overall impact of government or societal efforts may be compromised. The 2030 Agenda emphasizes concurrent goals of economic growth, social inclusion and environmental protection, which implies a need for new perspectives in intervention planning and in evaluation. The NEC conferences can continue to provide opportunities to debate complexity and its implications for planning, implementation and evaluation.

Strengthen the training component

The NEC conferences moved towards a more robust training offering from 2015, with an emphasis on curricula that are informed by practice and emphasize interaction, exchange and co-creation of knowledge. Future events should build on these experiences, extending the offerings and continuing the shift in the training agenda from one dominated by the North to one more in synch with Southern perspectives.

CONCLUSION—THE NEC CONFERENCES MUST CONTINUE

From the first NEC conference, the idea has been to create space for conversation with evaluators, civil society and national governments that aspire to strengthen their national evaluation functions. However, over the years, the concept has evolved as more national government

joined, national evaluation capacities have matured through learning from mistakes and best practices, and as the development context and priorities have changed.

Overall, the conferences in Morocco and South Africa emphasized the need to build better institutional capacities to manage development programmes through evaluations. The focus was on improving organizational systems and processes and on developing incentives for better performance and results. National systems that facilitate independent and credible evaluations play an important role in achieving these priorities by generating evidence and objective information on how improvements can be made. NEC 2015 responded to the new context of the SDGs, emphasized the importance of institutionalizing monitoring and especially evaluation system practices in the national context and paved the way towards country-led evaluation practices and realities.

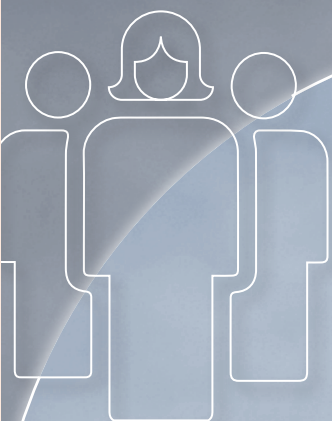
The discussions and papers in 2017 highlight the need to shift the discussion more fully from development evaluation to public policy evaluation, as relevant to national governments working on the complex task of SDG localization, review and follow-up. As illustrated during the conference, many countries have been adapting or establishing institutional arrangements to integrate the SDGs in national (and subnational) development strategies and budgeting processes and have assessed the availability of data in view of the SDG indicators. Countries are also adjusting their M&E systems, but to date, not much attention has been given to evaluation systems and capacities with respect to the new challenges of the SDGs.

The trajectory of the conferences' themes has been developing from enabling environment for evaluation and the utility of evaluation for decision-making, to evaluation principles with respect to the SDGs, institutionalization of evaluation and finally to a more targeted discussion on what reviewing and following up on the SDGs implies for national governments. Yet, many of the challenges that inspired the first NEC conference were still discussed at the fifth event in the series.

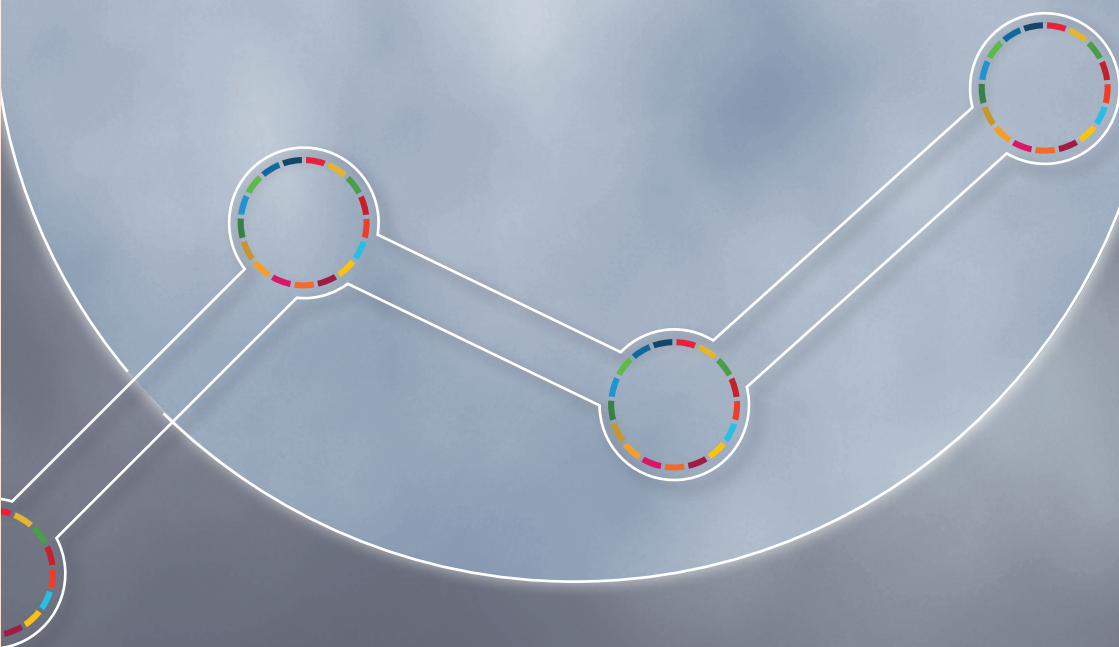
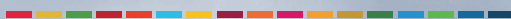
The NEC conferences thus still have an important niche, providing a platform for a unique mix of stakeholders focused on the triptych of evaluation, development and public policy: government officials tasked with commissioning, managing, conducting and/or using evaluations, evaluation experts, academics, civil society and international development partners.

The SDGs bring a heightened awareness of the complexity of development, with the need for synergies, recognition of trade-offs, strengthened partnerships and evaluations that integrate the principles of "no one left behind" and the indivisibility of the economic, social and environmental goals. Countries to date have been focused primarily on the integration of the SDGs into their national development agendas and aligning national statistics systems with the new demands of the SDG indicator framework, and the role of evaluation in the review and follow-up of the SDGs still needs to be better understood and the capacities required for this new level of country-led evaluations still need to be strengthened. The NEC conferences and training workshops can continue to play a key role in developing capacities and providing a space to learn from peers and experts from around the world.

In summary, over the past decade, the NEC conferences have become truly global, both geographically and substantively, and these unique gatherings of evaluators from multiple communities merge complementary strengths to advance evaluation as a discipline, a practice and an agenda—the 2030 Agenda—and its explicit call for measuring results to ensure that no one is left behind. The NEC conferences must continue.



ANNEXES



Annex 1. Programme

Wednesday, 16 October 2017

08:00 – 08:45 REGISTRATION

OPENING CEREMONY

08:45 – 10:00 WELCOMING ADDRESSES BY THE CONFERENCE HOSTS

Indran Naidoo, *Director, Independent Evaluation Office, UNDP*

Cihan Sultanoglu, *Assistant Secretary-General, Assistant Administrator and Director, Regional Bureau for Europe and the Commonwealth of Independent States, UNDP*

H.E. Ambassador Ahmet Yıldız, *Deputy Minister of Foreign Affairs of the Republic of Turkey*

Keynote speaker: Michelle Gyles-McDonnough, *Director, Sustainable Development Unit, Executive Office of the United Nations Secretary-General*

10:00 – 11:00 BREAK

PLENARY 1

11:00 – 12:30 NEC 2017: PEOPLE, PLANET AND PROGRESS IN THE SDG ERA

This session will explore the key themes of the conference. The plenary will share lessons, experiences, challenges and progress since 2015 in establishing and strengthening national evaluation systems? What are the implications of the SDGs for evaluation practice and national evaluation capacities? In light of this, what are new directions for evaluation and national evaluation systems?

Moderator: **Rastislav Vrbensky**, *Deputy Assistant Administrator and Deputy Director, Regional Bureau for Europe and the Commonwealth of Independent States, UNDP*

Speakers:

Indran Naidoo, *Director, Independent Evaluation Office, UNDP*

Riitta Oksanen, *Deputy Director General, Department for Development Policy, Ministry for Foreign Affairs, Finland and President, European Evaluation Society*

12:30 – 14:00 LUNCH

PARALLEL SESSIONS – SET A

14:00 – 15:30 SESSION 1: LEAVING NO ONE BEHIND: FROM GLOBAL COMMITMENTS TO NATIONAL EXPERIENCES TO SET UP A FRAMEWORK FOR THE EVALUATION OF SDGs

Achieving the SDGs will require “leaving no one behind”. This means new opportunities to further strengthen national evaluation capacities to evaluate localized SDGs and national development policies/strategies with a human rights and gender-responsive lens. The multi-stakeholder panel will generate a discussion about global trends and national practices.

14:00 – 15:30 Moderator/Speaker: **Inga Sniukaite**, *Director a.i., Independent Evaluation Office, UN Women*
(continued)

Speakers:

Olfa Soukri Cherif, *Member of Parliament, Tunisia*

Alejandra Faundez, *Director, Inclusion and Equity, Chile*

Adeline Sibanda, *President, African Evaluation Association*

Alan Fox, *Evaluation Advisor, Independent Evaluation office, UNDP*

SESSION 2: EVALUATION AND INNOVATION FOR SUSTAINABLE DEVELOPMENT

This session will explore innovations and lessons learned in strengthening enabling environments, national evaluation policy frameworks and institutional set-ups in different contexts.

Moderator: **Arild Hauge**, *Deputy Director, Independent Evaluation Office, UNDP*

Speakers:

Sabina Sadiyeva, *Head of the Center for State Bodies' Performance Assessment, JSC Economic Research Institute, Kazakhstan*

Ruijun Wang, *Director General, National Center for Science and Technology Evaluation, China*

El Hassan El Mansouri, *General Secretary, National Observatory for Human Development, Morocco*

Nina Sarishvili, *Head of Service, Policy Planning and Strategic Coordination, Secretary of the SDGs Council, Georgia*

SESSION 3: PARTNERSHIPS WITH CIVIL SOCIETY TO ELEVATE NATIONAL EVALUATION CAPACITIES

What makes for effective partnerships with civil society actors? How can such partnerships be leveraged to elevate national evaluation capacities? This session will explore factors that make such partnerships successful and the challenges that may be encountered by various actors in this sphere.

Moderator: **Emma Fawcett**, *Evaluation, Learning and Effectiveness Advisor, Oxfam America*

Speakers:

Iván Morales, *Country Director Oxfam, El Salvador*

Ana Liliana Vega, *President, Agricultural Development Bank, El Salvador*

Ana Ella Gómez, *Manager, Economic Autonomy Programme, Ciudad Mujer (Women's City), El Salvador*

Indrani Barrón Illescás, *Monitoring, Evaluation and Learning Manager, Oxfam, Mexico*

Alfredo González Reyes, *Director of Programmes, Oxfam, Mexico*

Tilahun Gameda, *R4/Microinsurance Program Officer, Oxfam, Ethiopia*

15:30 – 16:00 BREAK

PARALLEL SESSIONS – SET B

16:00 – 17:30 SESSION 4: COUNTRY-LED EVALUATION IN THE ERA OF THE SUSTAINABLE DEVELOPMENT GOALS: GUIDANCE NOTE AND ON-LINE ASSESSMENT TOOL

The UNDP Independent Evaluation Office has developed a diagnostic guidance to assist in developing a systematic approach to determining key areas, pathways, and parameters for evaluating national development strategies and the SDGs. The main purpose of the session is to share the guidance with government and discuss national evaluation issues in the SDGs context and lessons from countries where there has been progress in the national evaluation systems. The session will also offer the possibility of identifying champion countries for piloting the guidance.

Moderator: **Arild Hauge**, *Deputy Director, Independent Evaluation Office, UNDP*

Speakers:

Vijayalakshmi Vadivelu, *Evaluation Advisor, Independent Evaluation Office, UNDP*

Per Øyvind Bastøe, *Director, Evaluation Department, Norwegian Agency for Development Cooperation and Chair, OECD Development Assistance Committee (DAC)*

Nina Sarishvili, *Head of Service, Policy Planning and Strategic Coordination, Administration of the Government of Georgia*

Mohd. Monirul Islam, *Deputy Chief, General Economics Division, Planning Commission, Bangladesh*

Iye Moakofi, *Principal District Plans Coordinator, Ministry of Local Government & Rural Development, Botswana*

Timothy Lubanga, *Commissioner of Monitoring & Evaluation, Office of the Prime Minister, Uganda*

SESSION 5: EVALUATING PROGRESS IN SDG16: EFFECTIVE GOVERNANCE AND SUSTAINING PEACE

SDG 16 on just, peaceful and inclusive societies is not only a valuable and important objective in its own right, it is also an important enabling goal for the entire sustainable development agenda. There are few agreed methodologies to measure and evaluate the issues addressed in SDG 16. Eight of the 23 indicators are tier 3, demanding new methodologies and the use of alternative measures. This session will explore how to measure and evaluate dimensions of SDG 16 and the factors that hamper progress in achieving its targets.

Moderator: **Shelley Inglis**, *Regional Cluster Leader, Governance and Peacebuilding, Regional Centre for Europe and the Commonwealth of Independent States, UNDP*

Speakers:

Dmitri Belan, *Research Officer, Moldova Social Innovation Hub (MiLab), UNDP*

Edward K. Mulbah, *Executive Director, Peacebuilding Office, Ministry of Internal Affairs, Liberia*

Elnura Omurkulova-Ozierska, *Researcher, National Strategic Studies Institute in Kyrgyzstan*

Alexandra Wilde, *Advisor, Oslo Governance Centre, UNDP*

16:00 – 17:30
(continued)

SESSION 6: SDG INDICATOR FRAMEWORK, DATA AND EVALUATION: GLOBAL, REGIONAL AND NATIONAL FOLLOW-UP AND REVIEW PROCESSES.

This session will provide updates on the overarching SDG indicator framework, data and the implications for evaluation and discuss global, regional and national follow-up and review processes.

Moderator: Paulo Jannuzzi, *Professor, National School of Statistical Sciences, Brazilian Institute of Geography and Statistics, Brazil*

Speakers:

Yongyi Min, *Chief, SDG Monitoring Unit, Statistics Division, United Nations Department of Economic and Social Affairs*

Phindile Masango, *Economist, Ministry of Economic Planning and Development, Swaziland*

Entela Lako, *Programme Specialist, UNDP Albania*

SESSION 7: PARTNERSHIPS FOR EVIDENCE-BASED POLICY

This session will seek to break barriers in evaluation by (1) connecting experiences of building partnerships between evaluation associations and governments, (2) describing the useful practices of feeding knowledge into political systems and (3) facilitating the potential of evaluation units as knowledge brokers.

Moderator: Irena Vojackova-Sollorano, *United Nations Resident Coordinator and UNDP Resident Representative in Turkey*

Speakers:

Prudence Kaoma, *Assistant Director, Research and Evaluation, Ministry of National Development Planning, Zambia*

John Njovu, *Honorary Member, Monitoring and Evaluation Association (ZaMEA), Zambia*

Jennifer Mutua, *Chair, Evaluation Society of Kenya*

Tomasz Kupiec, *Researcher, Evaluation for Government Organizations (EGO), Poland*

SESSION 8: THE EVALUATION HAS BEEN COMPLETED – NOW WHAT?

This session outlines the vital steps that should follow the completion of an evaluation to enhance its utility. The panellists discuss a management perspective and share strategies applied, ideas and innovations useful in communicating and disseminating evaluations.

Moderator: Karla Hershey, *United Nations Resident Coordinator and UNDP Resident Representative in Serbia*

Speakers:

Gerd Trogemann, *Manager, Istanbul Regional Hub, UNDP*

Toily Kurbanov, *Deputy Executive Coordinator, United Nations Volunteers programme (UNV)*

Sasha Jahic, *Communications Specialist, Independent Evaluation Office, UNDP*

Clair Grant-Salmon, *Head of Audience Development, International Institute for Environment and Development (IIED)*

16:00 – 17:30
(continued) **SESSION 9: MULTIPLE DIMENSIONS AND MULTIPLE
STAKEHOLDERS: INNOVATIONS IN MONITORING AND
EVALUATION FOR THE SDGs**

Achieving the SDGs requires, among other things, a credible country-led evaluation system that evaluates the impact of large scale policies and programmes and generates actionable findings. Finding appropriate measures of poverty is also part of the challenge. What else do we need?

Moderator: **Gonzalo Guerra**, *Regional Adviser on Monitoring and Planning, Regional Hub for Latin America and the Caribbean UNDP*

Speakers:

Marco Vinicio Espinal Martínez, *Monitoring and Evaluation Specialist, National Competitiveness Council, Dominican Republic*

Amos Misomali, *Resident Advisor, Johns Hopkins University, Malawi*

Thursday 19 October

PLENARY 2

09:00 – 10:30 **PEOPLE AND THE PLANET: IS THE ENVIRONMENT BEING LEFT
BEHIND? WHAT ARE EVALUATIONS TELLING US?**

A high-level panel will answer a series of questions about using evaluation as a methodological lens. Climate change for many countries has become largely about adaptation: to what extent is this emphasis justified (are evaluations underscoring the greater effectiveness of adaptation action rather than mitigation action?) What are evaluations saying about trade-offs? Are win wins possible? Can livelihoods be secured while ensuring increased resilience? What are the lessons for other SDGs?

Moderator: **Heather Bryant**, *Evaluation Advisor, Independent Evaluation Office, UNDP*

Speakers:

Jyotsna (Jo) Puri, *Head, Independent Evaluation Office, Green Climate Fund*

Juha Uitto, *Director, Independent Evaluation Office, Global Environment Facility (GEF)*

Diann Black-Layne, *Ambassador, Chief Environment Officer, Ministry of Agriculture, Lands, Housing and the Environment, Government of Antigua and Barbuda*

10:30 – 11:00 **BREAK**

PLENARY 3

11:00 – 12:30 **DEALING WITH COMPLEXITY IN AN INCREASINGLY
INTERCONNECTED WORLD: RETHINKING THE DAC CRITERIA**

Does the 2030 Agenda require a rethink of what has become known as the “DAC evaluation criteria”? A high-level panel will discuss this question and engage the audience in their reflections.

11:00 – 12:30 (continued) Moderator: **Caroline Heider**, *Director General, Independent Evaluation Group, World Bank*

Panellists:

Susanne Frueh, *Director, Internal Oversight Service, United Nations Educational, Scientific and Cultural Organization (UNESCO) and Chair, United Nations Evaluation Group*

Per Øyvind Bastøe, *Director, Evaluation Department, Norwegian Agency for Development Cooperation and Chair, OECD Development Assistance Committee (DAC)*

Riitta Oksanen, *Senior Advisor, Development Evaluation, Ministry for Foreign Affairs, Finland and President, European Evaluation Society*

Indran Naidoo, *Director, Independent Evaluation Office, UNDP and Vice Chair, United Nations Evaluation Group*

12:30 – 14:00 LUNCH

PARALLEL SESSIONS – SET C

14:00 – 15:30 **SESSION 10: SDGs AND THE PRIVATE SECTOR: HOW ARE COMPANIES MEASURING THEIR CONTRIBUTIONS TO DEVELOPMENT?**

Achieving the SDGs will require far more action and capital than governments, multilaterals, and foundations can provide. As the public sector looks to the private sector as a partner for sustainable development, understanding the contribution of companies and investors becomes critical. The session will share with opportunities and lessons from both the public and private sectors on the monitoring and evaluation of social and environmental impact.

Moderator: **Marcos Neto**, *Director, UNDP, Istanbul International Center for Private Sector in Development*

Speakers:

Prateek Ahuja, *Regional Manager, Medtronic, India*

Asher Hasan, *Founder & CEO, Naya Jeevan, Pakistan*

Gonca Ongan, *Managing Director, Koç University Social Impact Forum, Turkey*

Tomohiro Nagasaki, *Impact Team Lead, Business Call to Action*

14:00 – 15:30
(continued) **SESSION 11: MISSING THE FORESTS FOR THE TREES? WHAT ARE GLOBAL EVALUATIONS OF FORESTRY PROGRAMMES TELLING US?**

Agencies are spending a lot on forestry related interventions. REDD+, payment for ecosystem services (PES), regulatory mechanisms and enabling activities are drawing a lot of resources from multilateral and bilateral agencies. What do we know (and don't) about how well these programs are working? What are evaluations telling us about the value for money?

Moderator: **Jyotsna (Jo) Puri**, *Head, Independent Evaluation Office, Green Climate Fund*

Speakers:

Alan Fox, *Evaluation Advisor, Independent Evaluation Office, UNDP*

Mario Boccucci, *Head, UN-REDD Programme Secretariat*

Nuri Ozbagdatli, *Climate Change and Environment Portfolio Manager, UNDP*

SESSION 12: CIVIL SOCIETY'S ROLE IN EVIDENCE AND SOCIAL ACCOUNTABILITY TO ENSURE NO ONE IS LEFT BEHIND

Social accountability strategies can further equitable development policy and practice – but leveraging their power relies on evidence gathering and use. This participatory session will explore the intersection of civil society, social accountability, government performance-based accountability systems and evaluation.

Moderator: **Haneen Malallah**, *Knowledge, Learning, and Accountability Advisor, Oxfam America*

Speakers:

Sulley Gariba, *Evaluation specialist; public policy analyst, Institute for Policy Alternatives, Ghana*

Seble Tewldebirhan, *Communications Officer, Oxfam, Ethiopia*

Mohammad-Anwar Sadat Adam, *Economic Justice Programme and Campaigns Manager, Oxfam, Ghana*

Stefano D'Errico, *Monitoring, Evaluation, Accountability and Learning Manager, International Institute for Environment and Development (IIED)*

15:30 – 16:00 BREAK

PARALLEL SESSIONS – SET C

16:00 – 18:00

SESSION 13: FROM DATA TO DECISIONS: HOW IS NEW DATA ALTERING EVALUATION, POLICY AND PROGRAMMING IN REAL TIME?

The session seeks to explore the political economy and technical challenges and opportunities underlying the use of new data in evaluations and public policy-making. The multi-stakeholder panel will bring to the NEC some of the latest approaches in measuring impact in real time, and how those could be applied to the SDG agenda. The session will also serve as a forum to share and reflect upon the kick-off meeting of the cross regional project for data innovation in the measurement of SDGs.

Moderator: **Lejla Sadiku**, *Open Data Specialist, Regional Centre for Europe and the Commonwealth of Independent States, UNDP*

Speakers:

Emmanuel Letouzé, *Data-Pop Alliance and MIT Media Lab*

Paula Hidalgo-Sanchis, *Manager, United Nations Global Pulse Lab, Uganda*

Chitra Deshpande, *Senior Evaluation Officer, Independent Office of Evaluation, International Fund for Agricultural Development (IFAD)*

Dmitri Belan, *Research Officer and Service Designer, MiLab Moldova*

SESSION 14A: REVIEW OF NATIONAL EVALUATION SYSTEMS AND CAPACITIES IN ASIA PACIFIC FOR EVALUATING PROGRESS TOWARDS SDGs

In 2017 UNDP and the United Nations Children's Fund (UNICEF) launched a joint initiative in the Asia-Pacific region to develop country case studies to assess evaluation systems and capacities. The objective of the initiative is to generate knowledge to guide national evaluation capacity development for the SDGs; identify national evaluation systems successes and lessons; foster peer learning; and inform global, regional guidance through the production of readiness assessments at the country level. The framework, methodology and research tools as well as emerging findings from country case studies and the region will be shared.

Moderator: **Arild Hauge**, *Deputy Director, Independent Evaluation Office, UNDP*

Speakers:

Riccardo Polastro, *Regional Evaluation Advisor, East Asia and Pacific Regional Office, UNICEF*

Michaela Prokop, *Regional Programme Advisor, Sustainable Development Goals, Regional Centre for Asia and the Pacific, UNDP*

Hanani binti Sapit, *Director, Outcome Evaluation Division, Implementation Coordination Unit, Prime Minister's Department, Government of Malaysia*

Ayanthi De Silva, *Director General, Department of Project Management and Monitoring, Ministry of Development Assignments, Sri Lanka*

Dorothy Lucks, *Co-Chair, EvalSDGs*

16:00 – 17:00
(continued)

SESSION 14 B: PARTNERSHIPS: PEER-TO-PEER LEARNING FOR STRENGTHENED EVALUATION CAPACITIES

Collaboration and peer learning between governments is likely to lead to better M&E systems, which have larger impacts on government performance. This session will explore lessons from different continents.

Moderator: **Arild Hauge**, *Deputy Director, Independent Evaluation Office, UNDP*

Speakers:

Timothy Lubanga, *Commissioner for Monitoring and Evaluation, Office of the Prime Minister and Chair of The Twende Mbele Management Committee, Uganda*

Ana Laura Garcia, *Deputy Director, Management and Evaluation, Planning and Budget Office, Presidency of the Republic of Uruguay*

Miguel Angel Lombardo, *Administrator, South Cooperation for Policy Evaluation, International and Ibero-American Foundation for Administration and Public Policies, Spain*

SESSION 15 A: FISHBOWL: INDEPENDENCE, CREDIBILITY & USE OF EVALUATIONS

This highly participatory session will look at the latest issues surrounding independence, credibility and use of evaluations.

Facilitator: **Riitta Oksanen**, *Deputy Director General, Department for Development Policy, Ministry for Foreign Affairs, Finland*

SESSION 15 B: PARTNERSHIPS: DAC DONORS AND THEIR ROLE IN EVALUATION CAPACITY DEVELOPMENT FOR SDGs

This participative session will discuss the role of donors in strengthening evaluation capacity development (management by governments and other partners as well as the actual conducting of evaluations). It will start with an introduction of the work and proposals of the Evaluation Capacity Development (ECD) Working Group within Evalnet (OECD/DAC) and then aims to discuss and inventory the practical needs from the demand side and the potential role of donors.

Moderator: **Riitta Oksanen**, *Deputy Director General Department for Development Policy, Ministry for Foreign Affairs, Finland and President, European Evaluation Society*

Speaker: **Antonie de Kemp**, *Team leader Development Cooperation, Policy and Operations Evaluation Department, Netherlands Ministry of Foreign Affairs*

16:00 – 17:00
(continued)

SESSION 16 A: MURDER ON THE ORIENT EXPRESS? MYSTERIOUS WAYS OF IMPACT INVESTING

A group of evaluators from around the world are invited to board the NEC 'train' at Istanbul to solve the case of the missing Belgian impact investor with global reach and blue-chip assets. In a race against time, the evaluators have to solve the case by studying the impact investing model, following the clues provided (intentionality, theory of change, indicators), and figuring out the mysterious proponents behind Global Impact Investing Network (GIIN).

Moderator: **Fredrik Korfker**, *Development Finance Consultant*

Speaker: **Raghavan Narayanan**, *Industry Lead, Independent Evaluation Group Private Sector Evaluations, World Bank*

SESSION 16 B: THEORY-BASED EVALUATION OF PUBLIC-PRIVATE PARTNERSHIP PROJECTS AND PROGRAMMES

Do public private partnerships (PPPs) actually create value for money? Do the OECD-DAC criteria cover the complexities of PPPs or are there additional how and why questions that need to be asked? Can theory-based evaluation in PPP intervention contribute to better policy formulation?

Moderator: **Fredrik Korfker**, *Development Finance Consultant*

Speakers:

Elsa de Sarmiento, *Associate researcher at Novafrica, Nova Business School of Management and Economics, Portugal*

Mehmet Uzunkaya, *Planning Expert, Ministry of Development, Turkey*

SESSION 17: EVALUATIONS: A MISSED OPPORTUNITY FOR THE SDGs VOLUNTARY NATIONAL REVIEW?

This session will analyse how evaluation has been addressed in the Voluntary National Reviews presented to the UN's High Level Political Forum and generate discussion with participants on how country-led evaluations will contribute to progress towards the SDGs.

Moderator: **Indran Naidoo**, *Director, Independent Evaluation Office, UNDP*

Speakers:

Stefano D'Errico, *Monitoring, evaluation, accountability and learning manager, International Institute for Environment and Development (IIED)*

Sami Pirkkala, *Prime Minister's Office, Finland*

Izzet Ari, *Head of Department, Ministry of Development, Turkey*

Luz Keila Virginia Gramajo Vilchez, *SDGs Technical Coordinator, Presidential Secretariat for Planning and Programming, Guatemala*

16:00 – 17:00
(continued) **SESSION 18: DEALING WITH COMPLEXITY: AN INNOVATIVE META-RESULTS FRAMEWORK FOR THE EVALUATION, MONITORING AND REPORTING OF TRANSFORMATIVE INTERVENTIONS AT SCALE ON THE NEXUS FOREST-CLIMATE CHANGE MITIGATION-SUSTAINABLE DEVELOPMENT**

The session will introduce and discuss with participants the M&E challenges, opportunities as well as the elements of possible solutions related to the complex transformation on the management of land and forest that is being attempted globally in response to the Paris Agreement (specifically article 5) and the SDGs (specifically SDG15)

Facilitator: **Mario Boccucci**, *Head, UN-REDD Programme Secretariat*

Friday 20 October

PLENARY 4: KEYNOTE ADDRESS

09:00 – 10:00 **DEALING WITH COMPLEXITY IN AN INCREASINGLY INTERCONNECTED WORLD**

Keynote speaker: **Michael Woolcock**, *Lead Social Development Specialist, Development Research Group, World Bank*

Assessing ‘complex’ development interventions requires extended engagement with contextual idiosyncrasies and implementation processes. As such, making warranted claims about ‘effectiveness’ entails integrating theory with the full arsenal of research methods and data (qualitative, quantitative, and comparative-historical) available to social scientists. The future will surely be more rather than less ‘complex’, as will the policy responses demanded by citizens, as will the binding constraints on the full effectiveness of most interventions. Evaluations addressing these issues must themselves be designed accordingly, rather than imagining that singular (putatively ‘rigorous’) approaches can elicit the “key facts” needed to verify claims about impact, and inform decisions regarding whether to scale up successes and/or replicate them elsewhere.

Moderator: **Indran Naidoo**, *Director, Independent Evaluation Office, UNDP*

10:00 – 10:30 BREAK

PARALLEL SESSION E

10:30 – 12:00
(continued)

SESSION 19: NEW DIRECTIONS: DEALING WITH COMPLEXITY IN EVALUATION UNDER REAL-WORLD CONSTRAINTS

What are the most important conceptual or methodological challenges for evaluation in terms of dealing with complexity? Is evaluation as currently institutionalized in many public policy contexts equipped to adequately address complexity issues in policy interventions? What are the main institutional constraints for evaluation as a practice to deal with complexity issues in function of generating credible/useful knowledge regarding the merit and worth of policy interventions? The panel will seek to answer these questions and more.

Moderator: **Caroline Heider**, *Director General, Independent Evaluation Group, World Bank*

Speakers:

Michael Woolcock, *Lead Social Development Specialist, Development Research Group, World Bank*

Jos Vaessen, *Adviser on evaluation methods, Independent Evaluation Group, World Bank*

Ricardo Wilson-Grau, *Independent evaluator and organizational development consultant*

10:30 – 12:00

SESSION 20: NEW PARTNERSHIPS: PRIVATE SECTOR, THE SDGs AND EVALUATION. CURRENT CHALLENGES IN PRIVATE SECTOR EVALUATION

The private sector is a major driver of development and many business opportunities can contribute to the SDGs. With respect to evaluation, new configurations lead to new questions. This session will explore evaluation of interventions in support of the private sector and public sector development, highlight the specificity and dynamics of private sector evaluation, and discuss the potential for harmonizing approaches across development evaluation and evaluation of social impact investing.

Moderator: **Raghavan Narayanan**, *Industry Lead, Private Sector Evaluations, Independent Evaluation Group, World Bank*

Speakers:

Fredrik Korfker, *Development Finance Consultant*

Kashif Iqbal, *Senior Strategy Manager, Strategy & Organisational Performance Office, International Islamic Trade Finance Corporation, Saudi Arabia*

Bas Warmenhoven, *PricewaterhouseCoopers, Manager, Dutch Good Growth Fund, Netherlands*

Elsa Sarmiento, *Evaluation Consultant*

10:30 – 12:00 (continued) **SESSION 21: EVALUATIONS ARE NOT ENOUGH: TRANSLATING EVIDENCE INTO ACTION**

Policies are in place, programmes have been implemented and evaluated. But have the changes needed to achieve the SDGs really occurred? What does it take to go the “last mile,” to galvanize lasting behavioural change? What does this imply for evaluation?

Moderator: **Jyotsna (Jo) Puri**, *Head, Independent Evaluation Office, Green Climate Fund*

Speakers:

Toby Park, *Senior Advisor, Energy and Sustainability, Behavioural Insights Team, U.K.*

Nilesh Chatterjee, *Consultant/Advisor, Public health/behavioural sciences, India*

Arab Hoballah, *Team Leader, SWITCH-Asia SCP Facility*

12:00 – 13:30 LUNCH

PARALLEL SESSION F

13:30 – 15:00 **SESSION 22: EVALUATION AND THE SDGs: COMPLEXITY AND THE FUTURE WE WANT**

This session will explore the use of SDG data and indicators to support a model-based approach to dealing with complexity and inform evaluation tools and frameworks that respond to such complexities.

Moderator: **George Bouma**, *Team Leader, Sustainable Development Cluster, Regional Centre for Europe and the Commonwealth of Independent States, UNDP, Turkey*

Speakers:

Yulduz Abduganiyeva, *Head of Department on Living Standards of Population, Ministry of Economy, Uzbekistan*

Odiljon Mamadaliev, *Head, Department on Information Dissemination, International Data Exchange and Public Relations, State Committee of the Republic of Uzbekistan on Statistics, Uzbekistan*

Adrian Lupusor, *Executive Director, Expert-Grup, Moldova*

Maja Jovovic Schmidt-Gutzat, *Department Head, Economic, Development and Financial Affairs, Ministry of Foreign Affairs, Montenegro*

Antonina Rishko-Porcescu, *Evaluator, Ukrainian Evaluation Association/EvalYouth, Ukraine*

Mihail Peleah, *Programme Specialist, Green Economy and Employment, Packaging policies for SDGs, Regional Centre for Europe and the Commonwealth of Independent States, UNDP, Turkey*

13:30 – 15:00
(continued)

SESSION 23: EVALUATION IN A WORLD OF RISK AND UNCERTAINTY. HOW TO EVALUATE RESILIENCE?

Do the traditional evaluation criteria work in a world of volatility and increasing disaster and climate risks? What is resilience and how does one evaluate it? A panel of evaluators and development practitioners will explore these questions.

Moderator: **Armen Grigoryan**, *Team Leader, Climate Change and Disaster Risk Reduction (DRR), Regional Centre for Europe and the Commonwealth of Independent States, UNDP Turkey*

Speakers:

Karen Ortega, *Programme Officer, Mitigation, Data and Analysis (MDA), United Nations Framework Convention on Climate Change Secretariat*

Magda Stepanyan, *Founder and CEO, Risk Society, Netherlands*

Alan Fox, *Evaluation Advisor, Independent Evaluation Office, UNDP*

Krunoslav Katic, *Technical Consultant, SEE URBAN, Regional Centre for Europe and the Commonwealth of Independent States, UNDP Turkey*

Ala Druta, *Team Leader, Climate Change Office, Ministry of Agriculture, Regional Development and Environment, Republic of Moldova*

Olga Atroshchanka, *Programme Officer, UNDP Belarus*

SESSION 24: AVANCÉES ET INNOVATIONS EN ÉVALUATION (CETTE SESSION SERA PRÉSENTÉE EN FRANÇAIS)

Cette session offrira l'occasion de partager, en français, les progrès et les innovations en matière d'évaluation.

Médiateur: **Mamadou N'Daw**, *Conseiller en évaluation et gestion axée sur les résultats, Bureau Régional pour l'Afrique, PNUD*

Intervenants:

Etienne Lupaka, *Expert chargé de suivi et évaluation, Ministère du Plan, République démocratique du Congo*

Mahamadou Zibo Maiga, *Coordonnateur, Cellule Technique du Cadre Stratégique de lutte contre la pauvreté, Mali*

Chiaka Dembélé, *Association pour la Promotion de l'évaluation au Mali (APEM)*

Mahamadou Boukoum, *Directeur du suivi et de l'évaluation des politiques économiques et sociales, Direction du suivi et de l'évaluation des politiques économiques et sociales (DSEPES), Burkina Faso*

Achille Yameogo, *Secrétaire général adjoint, Réseau Burkinabè du Suivi & Evaluation*

Aida Kraiem, *Directeur, Présidence du Gouvernement, Tunisie*

Ghofran Ajimi, *Directeur, Présidence du Gouvernement, Tunisie*

13:30 – 15:00
(continued) **SESSION 25: CHALLENGES AND OPPORTUNITIES IN EVALUATING
SDGs – NATIONAL GOVERNMENT PERSPECTIVES**

What are the main challenges that governments face in evaluating public policies and programmes in the context of SDGs? How are governments preparing to respond to these challenges? This session will explore challenges and opportunities in establishing robust evaluation systems in different countries and contexts.

Moderator: **Arild Hauge**, *Deputy Director, Independent Evaluation Office, UNDP*

Speakers:

Rhodora G. Alday, *Director, Policy Development and Planning Bureau, Department of Social Welfare and Development, Philippines*

Shi Xiaoyong, *Head of the Strategy Evaluation and Research Department of National Centre for Science and Technology Evaluation (NCSTE), Associate Research Fellow, China*

Fidelity Kepeletswe, *National Strategy Office, Botswana*

Victoria Geresomo, *Acting Director Monitoring and Evaluation, Department of Economic Planning and Development, Malawi*

Ida Lindkvist and **Anette Wilhelmsen**, *Evaluation Department, Norwegian Agency for Development Cooperation*

**SESSION 26: MULTI-STAKEHOLDER PARTNERSHIPS AND THE
SDGs: ANALYTICAL APPROACHES FOR THEIR EVALUATION**

This discussion-oriented session will explore issues surrounding multi-stakeholder partnerships and evaluation. Are specific methods required for multi-stakeholder partnerships and what would be needed to bring such methods into the evaluation mainstream? Bring your lessons and examples to share.

Moderator: **Angela Bester**, *Evaluation Practitioner, South Africa*

Speaker: **Leon M. Hermans**, *Assistant Professor, Delft University of Technology, Netherlands*

13:30 – 15:00
(continued) **SESSION 27: EVALUATION AND NO ONE LEFT BEHIND: WHAT HAVE YOUR EXPERIENCES TAUGHT YOU?**

If you feel like something was missed out during the conference – this open session gives you a chance to bring it up. This participatory session will offer opportunities to share practical lessons, opportunities and challenges in ensuring our countries leave no one behind and how evaluations can support this goal.

Moderator: **Sasha Jahic**, *Communications Specialist, Independent Evaluation Office, UNDP*

Conversation starters:

Towfiqul Islam Khan, *Research Fellow, Centre for Policy Dialogue, Bangladesh*

Habib Jabbari, *Deputy Director, Planning, Spatial Planning and Environment, Plan and Budget Organization, Islamic Republic of Iran*

Irene Molly Doroh, *Director, Department of Implementation, Monitoring and Evaluation, Office of the President and Cabinet, Zimbabwe*

15:00 – 16:00 BREAK

CONCLUDING PLENARY AND CLOSING CEREMONY

16:00 – 17:00 This session will bring together the findings of the conference sessions to formulate answers to the following questions:

- In the current, rapidly evolving development context and the framework of the SDGs, how do principles and practices of evaluation need to change?
- What are the implications for national evaluation capacities?
- What needs to be done to ensure that evaluation enhances progress towards the SDGs and responds to the 2030 Agenda for Sustainable Development?

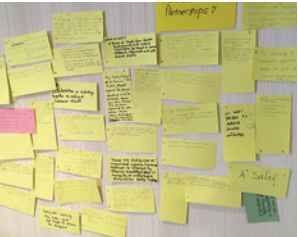
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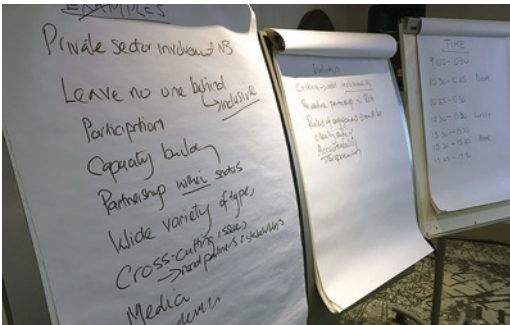
















**United Nations Development Programme
Independent Evaluation Office**

**One UN Plaza, 20th Floor
New York, NY 10017, USA
Tel. +1(646) 781 4200
Fax. +1(646) 781 4213**

Web: www.undp.org/evaluation

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