Streamlining of EVAL – PARDEV cooperation on quality control for decentralized evaluations

(Second Edition – January 2019)

EVAL[1] is mandated to manage the evaluation function and ensure proper implementation of the evaluation policy. This requires extensive collaboration with PARDEV. The purpose of this note is to explain the process of quality control in line with EVAL's policy guidelines for result-based evaluation and PARDEV's Development Cooperation manual. This document therefore serves as a user guide on requirements for decentralized evaluations from design throughout project delivery and completion.

For quality control purposes, **independent and internal** evaluation TORs, evaluation budgets, selection of consultants (when applicable) and choice of methodologies are overseen by Regional Evaluation Officers (REOs) or Departmental Evaluation Focal Points (DEFPs) on a delegated basis. The final accountability for the quality of evaluation reports is with EVAL, which reviews the draft evaluation report and approves the final report. Evaluation reports, once approved by EVAL, are submitted to the donor by the ILO responsible official or by PARDEV (as reflected in the Approval Minute). The role of key partners and stakeholders[2] in the workflow is described below.

Table 1: Key roles and responsibilities for decentralized independent evaluations
Evaluation manager
- Manages decentralized independent evaluations (appointed by REOs and/or DEFPs)   - Has no links to decision-making for the projects undergoing decentralized independent evaluations   - Drafts TORs in consultation with stakeholders[2] and submits draft TORs to stakeholders for additional comments   - Revises the TORs, and submits the document to REOs or DEFPs for approval   - Finds an evaluator and submits the choice to REOs or DEFPs for approval. EVAL should be consulted as necessary to cross-check with the evaluation consultants' database. Once evaluator is engaged, negotiates terms and finalizes evaluator's contract arrangements, including briefing. Works with project staff to ensure the evaluator is provided with adequate documentation and access to data   - Reviews first draft of inception report   - Assists during consultation phase and in preparation for the evaluation workshop   - Reviews draft evaluation report and circulates it to stakeholders for their comments   - Consolidates comments received from stakeholders and sends them to the evaluator   - Ensures the quality of the revised evaluation report. Submits the evaluation package[3] to REOs or DEFPs for approval, who then sends it to EVAL HQ for final approval. Once the final evaluation report is approved by EVAL, the evaluation manager endorses payment to the evaluator
Regional Evaluation Officer / Departmental Evaluation Focal Point
- Provides support in the planning of evaluations for the region or the department. In the case of REOs this includes the submission of annual plans to EVAL for approval and the implementation of the regional evaluation work plan   - Provides support to evaluability studies and scoping missions   - Identifies and briefs evaluation managers   - Works with the evaluation manager to facilitate access to evaluator profiles for selection. Approves the selection of evaluators, including checking the evaluation consultants' database   - Approves the final version of the TOR and consults with EVAL, as required   - Reviews the draft evaluation report to ensure quality and completes the relevant documents of the evaluation package prior to the submission of the final evaluation report to EVAL for approval   - Participates in the management response to the evaluation recommendations

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[1] The full evaluation team includes EVAL staff, Regional Evaluation Officers (REOs) based in a regional office, and departmental evaluation focal points (DEFPs) associated with a technical sector.

[2] Stakeholders include relevant tripartite constituents, project staff and line management, appropriate external partners and the donor.

[3] The evaluation package comprises the report, the evaluation summary, lessons learned and emerging good practices using the relevant template, the evaluation submission form, the evaluator review form and the evaluator's CV.

Project/ Programme Manager and staff
• Provide input to TORs and draft report, participate in consultations and disseminate lessons learned
• Ensure evaluation consultants have adequate documentation, assist in data gathering and logistical support
• Arrange meetings and coordinate exchanges between the evaluation team and partners
• Participate in evaluation debriefing workshop and provide inputs to the draft evaluation report

ILO Responsible Official
• Provides comments to the ToRs and submits draft ToRs to donors
• Participates in the consultation process and provides comments to the draft report
• Once approved by EVAL, submits the final evaluation report to the donor (if instructed in the Approval Minute)
• Responds to the evaluation recommendations according to ILO's evaluation policy

EVAL
• Ensures project proposal cites appropriate evaluation requirements, including options for cluster evaluations
• Conducts M&E (*evaluability*) appraisals of projects over US$5 million and provides technical advice to the mandatory evaluability reviews after one year of project start-up
• Advices on standards and provide guidance on evaluation procedures and methodologies
• Ensures evaluation reports meet international standards; monitors compliance with ILO evaluation policy
• Approves the final evaluation report and sends a formal communication to PARDEV or to the ILO responsible official (as instructed in the Approval Minute) for the submission of the approved report to the donor
• Stores all evaluation reports and related documents in i-eval Discovery database
• Initiates the procedure for management response to evaluation recommendations for independent and internal evaluations
• Conducts regular ex-post quality assurance assessments of decentralized evaluation reports

PARDEV
• Conducts appraisal of projects, encouraging that project proposers have reviewed previous evaluations on the relevant subject when available, highlighting this in the appraisal workspace
• Ensures adequate resources for monitoring (minimum of 3% of the total project budget) and evaluation (minimum of 2% of the total project resources) are foreseen in the project proposal and budget document, underscoring the usefulness of doing a real-cost estimate to cover evaluation[4] and related baseline studies and monitoring activities
• Shares the revised version of the proposal with EVAL and other relevant offices and departments for final revision, as needed
Specific details for projects over US$5 million
o PARDEV shares proposal of projects over US$5 million with the responsible officer in EVAL (see table 2), with copy to EVAL Secretariat (eval@ilo.org), who will then conduct the M&E (*evaluability*) appraisal and upload results to the appraisal workspace
o EVAL appraisals will highlight that funds are to be set aside to conduct the mandatory evaluability review after one year of project start-up
o PARDEV ensures that mandatory evaluability reviews after one year of project start-up are cited in the Approval Minute
• Closes appraisal process when comments from relevant stakeholders are addressed or will be actioned upon after appraisal
• Ensures that the correct and agreed upon (consistent with donor agreement) evaluation requirements, including clustering if appropriate, are entered into an evaluation paragraph in the Approval Minute
• Ensures that all Approval Minutes, Approval Corrigenda and Close-out emails are copied to EVAL for registration or discussion
• Submits draft TOR and the EVAL-approved final evaluation report to donor (if instructed in Approval Minute).
• Is responsible for oversight of donor reporting.

The attached Appendices (I-IV) describe the evaluation workflow in more detail according to project budget, and identifies the text to be included in approval minutes. Emails requesting support or clearance should be addressed to the designated Evaluation Officer in EVAL with copy to EVAL Secretariat. The response time should normally not take more than a week.

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[4] Per ILO policy guidelines for evaluation, on a case-to-case basis EVAL may allow a different percentage than 2 per cent dedicated for evaluations depending on certain variables, such as the size and nature of the project, and expectations in terms of evaluation deliverables. DEPFs and REOs are available for consultation to help determine an appropriate cost estimate for evaluation activities in case the 2 per cent provision is considered excessive or not adequate. EVAL approval is required for such exceptions.

Table 2. Regional and departmental responsibilities assigned to Evaluation Officers in EVAL HQ
Regional responsibilities
Africa: Ms Mini Thakur: thakur@ilo.org (English language)   Ms Patricia Vidal: vidalhurtado@iloguest.org (French Language)
Asia: Mr Craig Russon: russon@ilo.org
Americas: Ms Patricia Vidal: vidalhurtado@iloguest.org
Europe: Mr Craig Russon: russon@ilo.org
Arab States: Ms Mini Thakur: thakur@ilo.org
Departmental
EMPLOYMENT, NORMES   Mr Peter Wichmand: wichmand@ilo.org
ACTRAV, ACTEMP, SECTOR, RESEARCH, STAT, ITC   Mr Craig Russon: russon@ilo.org
GOVERNANCE, WORKQUALITY, SOCPRO   Ms Mini Thakur: thakur@ilo.org
ENTERPRISES   Ms Patricia Vidal: vidalhurtado@iloguest.org
CABINET, PROGRAM, PARDEV, DDG/MR, DDG/P. DDG/FOP, IAO,   Mr Guy Thijs: thijs@ilo.org   With support from P. Wichmand for PROGRAM and P. Vidal for PARDEV
Thematic Responsibilities (some examples below)
Impact evaluation, Sustainable Development Goals, UNEG/ UN-reform   Mr Guy Thijs, who will further refer to the relevant colleague in EVAL
Communication and Knowledge Management
Database management, evaluation planning, management response, research support, evaluation guidance and guidelines, communication products   Ms Janette Murawski: murawski@ilo.org
EVAL Secretariat
General enquiries, administrative processes and office support.   Ms Patricia Rangel: rangel@ilo.org or eval@ilo.org

Table 3. PARDEV contact information	
PARDEV general mailbox	Pardev@ilo.org
Head- Development Partner Relations	Mr Peter Rademaker, Rademaker@ilo.org
Head – Development Cooperation Support	Ms Carlien van Empel, Vanempel@ilo.org
Project portfolio management	Ms Erlien Wubs, Wubs@ilo.org
PARDEV intranet site	https://intranet.ilo.org/departments/PARDEV/Pages/Who-does-what.aspx

APPENDIX I: Workflow for projects above US$ 500,000 and below US$ 1 million - Internal evaluations*

Internal evaluations are managed by the project administration and should be conducted by an evaluation consultant or an ILO certified internal evaluator. If an ILO official is appointed, no ties or conflict of interest should exist with the management of the project under evaluation.

Project Design
- Proposal cites evaluation requirements and knowledge of relevant previous evaluations
- The M&E plan and schedule are summarized, which will be enhanced during project implementation.
- When setting evaluation require-ments, projects should reserve funds (a minimum of 2% or a cost estimate for evaluation activities that has been approved by EVAL)

Project Appraisal and Approval
- Appraisal indicates any changes needed, including evaluation requirements and budget allocation to evaluation
- Project drafters make adjustments (appraisal tier 2: line managers sign off on quality of proposal)
- PARDEV closes appraisal process when comments from all relevant stakeholders, including EVAL, are addressed or agreed to be acted upon after appraisal
- PARDEV sends approval minute notifying EVAL, which registers evaluation plan in i-eval Discovery

Project Implementation
- Project management sets aside appropriate evaluation budget allocation
- The project develops a more detailed M&E plan
- REOs or DEFPs follow up with line management for planned evaluations
- Project management is reminded when an evaluation is due by REOs or DEFPs

Internal Project Evaluation
- Project management writes TORs in consultation with stakeholders; identifies an evaluator (ILO certified internal evaluator or evaluation consultant); manages the evaluator's work and receives deliverables.
- Project management ensures the quality of the report and sends it to EVAL for inclusion in i-eval Discovery
- The evaluation report, once approved by EVAL, is submitted to the donor by the ILO responsible official or by PARDEV (as reflected in the Approval Minute).

Evaluation Storage and management response
- The evaluation report is stored and made accessible to the public via i-eval Discovery
- EVAL initiates the management response via a web-enabled application. Line managers complete it
- EVAL reports to the GB on complete and incomplete management responses
- Completed management responses will be made accessible on i-eval Discovery

*For projects with budgets under US$ 500,000 self-evaluations are to be conducted as a minimum requirement. Self-evaluation reports are merged with progress reports using a specific template.

APPENDIX II: Workflow for projects above US$ 1 million and below US$ 5 million – Final independent evaluations**

Independent evaluations are overseen by EVAL and managed and carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention.

Project Design

- Proposal cites knowledge of relevant previous evaluations
- Proposal puts forward a funded M&E plan and schedule as part of the project document, which will be enhanced during project implementation.
- Proposal includes appropriate evaluation requirements and reserves funds (a minimum of 2% or a cost estimate for evaluation activities that has been approved by EVAL)

Project Appraisal and Approval

- Appraisal indicates any changes needed, including evaluation requirements and budget allocation to evaluation
- Project drafters make adjustments
- PARDEV closes appraisal process when comments from all relevant stakeholders, including EVAL, are addressed or agreed to be acted upon
- PARDEV issues approval minute notifying EVAL, which registers evaluation plan in i-eval Discovery

Project Implementation

- Project management sets aside appropriate evaluation budget allocation
- The project develops a more detailed M&E plan
- M&E plan is reviewed by REOs or DEFPs with project management
- REOs or DEFPs signals when an evaluation is due and checks that appropriate funds have been set-aside by the project
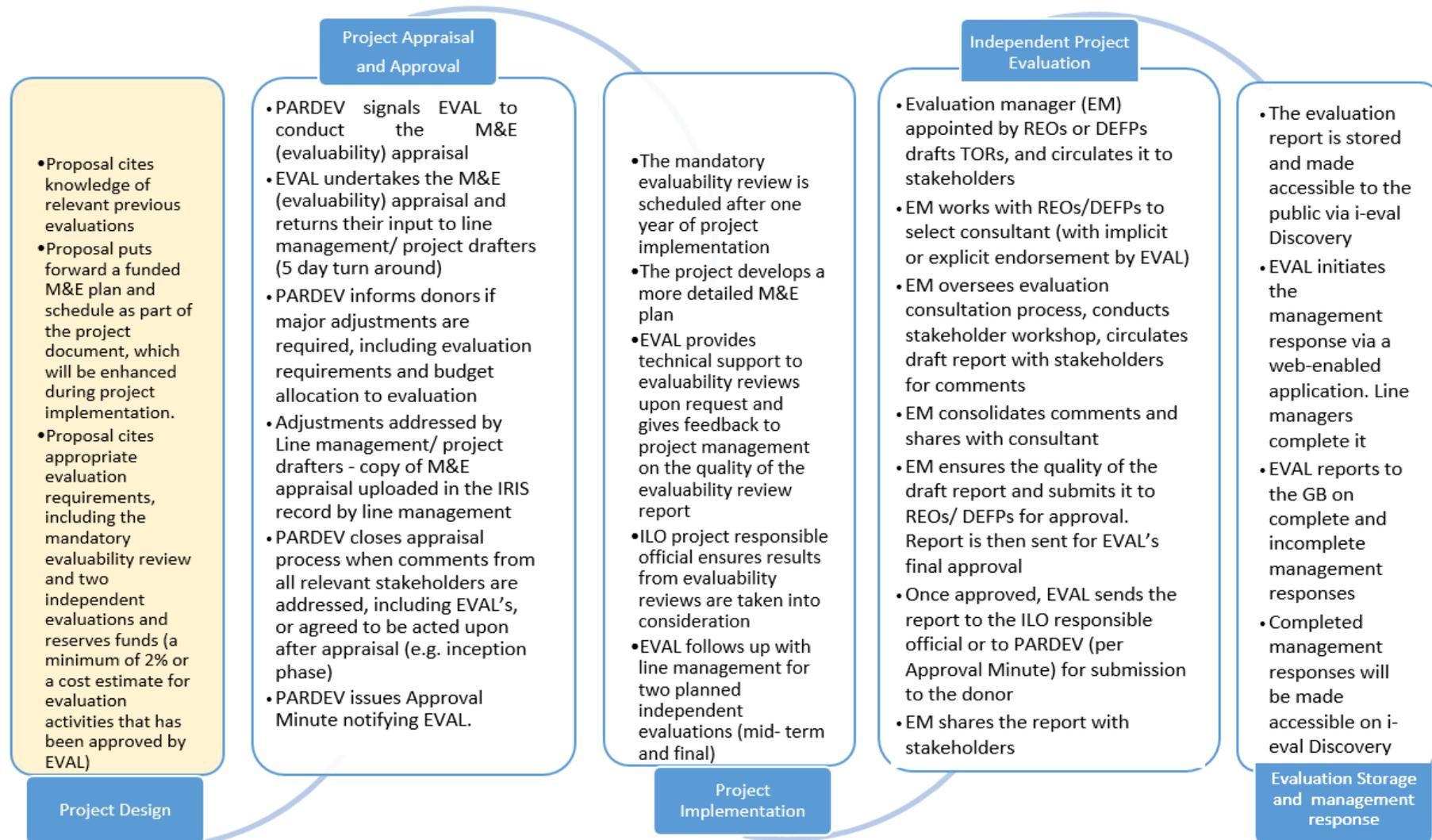- Evaluation plan is updated in i-eval Discovery

Independent Project Evaluation

- An ILO certified Evaluation Manager (EM) is selected by either a REO or a DEFP, who then drafts TORs, and circulates it to stakeholders for comments
- EM, REOs/DEFPs agree on a consultant (with implicit or explicit endorsement from EVAL)
- EM oversees evaluation consultation process and conducts stakeholder workshop, circulates draft report with stakeholders for comments. Evaluator reviews the report accordingly
- EM ensures the quality of the report and submits draft to REOs/DEFPs for approval. Report is then sent to EVAL for final approval
- Once approved, EVAL sends the report to the ILO responsible official or to PARDEV (per Approval Minute) for its submission to the donor
- Dissemination of the report to identified stakeholders conducted by the EM

Evaluation Storage and management response

- The evaluation report is stored and made accessible to the public via i-eval Discovery
- EVAL initiates the management response via a web-enabled application. Line managers complete it
- EVAL reports to the GB on complete and incomplete management responses
- Completed management responses will be made accessible on i-eval Discovery

**Mid-term evaluations of projects over US$ 1 million and under US$5 million are internal and follow the workflow indicated in Appendix I.

APPENDIX III: Workflow for projects above US$ 5 million – Evaluability review, mid-term and final independent evaluations***

Project Design

- Proposal cites knowledge of relevant previous evaluations
- Proposal puts forward a funded M&E plan and schedule as part of the project document, which will be enhanced during project implementation.
- Proposal cites appropriate evaluation requirements, including the mandatory evaluability review and two independent evaluations and reserves funds (a minimum of 2% or a cost estimate for evaluation activities that has been approved by EVAL)

Project Appraisal and Approval

- PARDEV signals EVAL to conduct the M&E (evaluability) appraisal
- EVAL undertakes the M&E (evaluability) appraisal and returns their input to line management/ project drafters (5 day turn around)
- PARDEV informs donors if major adjustments are required, including evaluation requirements and budget allocation to evaluation
- Adjustments addressed by Line management/ project drafters - copy of M&E appraisal uploaded in the IRIS record by line management
- PARDEV closes appraisal process when comments from all relevant stakeholders are addressed, including EVAL's, or agreed to be acted upon after appraisal (e.g. inception phase)
- PARDEV issues Approval Minute notifying EVAL.

Project Implementation

- The mandatory evaluability review is scheduled after one year of project implementation
- The project develops a more detailed M&E plan
- EVAL provides technical support to evaluability reviews upon request and gives feedback to project management on the quality of the evaluability review report
- ILO project responsible official ensures results from evaluability reviews are taken into consideration
- EVAL follows up with line management for two planned independent evaluations (mid- term and final)

Independent Project Evaluation

- Evaluation manager (EM) appointed by REOs or DEFPs drafts TORs, and circulates it to stakeholders
- EM works with REOs/DEFPs to select consultant (with implicit or explicit endorsement by EVAL)
- EM oversees evaluation consultation process, conducts stakeholder workshop, circulates draft report with stakeholders for comments
- EM consolidates comments and shares with consultant
- EM ensures the quality of the draft report and submits it to REOs/ DEFPs for approval. Report is then sent for EVAL's final approval
- Once approved, EVAL sends the report to the ILO responsible official or to PARDEV (per Approval Minute) for submission to the donor
- EM shares the report with stakeholders

Evaluation Storage and management response

- The evaluation report is stored and made accessible to the public via i-eval Discovery
- EVAL initiates the management response via a web-enabled application. Line managers complete it
- EVAL reports to the GB on complete and incomplete management responses
- Completed management responses will be made accessible on i-eval Discovery

***Projects of any duration under this category are subject to a mid-term and a final evaluation, both of which must be independent

APPENDIX IV: Suggested paragraphs on minimum evaluation requirements[5] for Approval Minutes

Duration	Key requirements	Suggested paragraphs for Approval Minutes

FOR PROJECTS OVER US$ 5 MILLION

Duration	Key requirements	Suggested paragraphs for Approval Minutes
Irrespective of project duration	• **Evaluability review within first year of start-up** • **Both independent mid-term and final evaluations**	*Evaluation Paragraph:* As per ILO evaluation policy, this project has been subject to an initial M&E (evaluability) appraisal by EVAL. The project is subject to 1) a mandatory evaluability review within one year of start-up, and 2) both mid- term and final evaluations, which must be independent. The resources set-aside for evaluation can only be used for evaluation purposes. The independent evaluations are to be managed by an ILO certified evaluation manager overseen by EVAL and conducted by an external evaluation consultant. Evaluations must be submitted to EVAL for approval prior to dissemination to the donor by the ILO responsible official or by PARDEV (as instructed in the Approval Minute). Kindly refer to the ILO Policy Guidelines for Evaluation.

FOR PROJECTS OF US$ 1 TO US$ 5 MILLION[6]

Duration	Key requirements	Suggested paragraphs for Approval Minutes
Over 18 months duration	• **Mid-term internal and final independent evaluations**	*Evaluation Paragraph:* As per ILO evaluation policy, this project is subject to a mid-term internal evaluation and a final independent evaluation. The resources set-aside for evaluation can only be used for evaluation purposes. The final independent evaluation has to be managed by an ILO certified evaluation manager and conducted by an external evaluation consultant. Evaluations must be submitted to EVAL for approval prior to dissemination to the donor by the ILO responsible official or by PARDEV (as instructed in the Approval Minute). Kindly refer to the ILO Policy Guidelines for Evaluation.
Under 18 months duration	• **Final independent evaluation**	*Evaluation Paragraph:* As per ILO evaluation policy, this project is subject to a final independent evaluation. The resources set-aside for evaluation can only be used for evaluation purposes. The independent evaluation has to be managed by an ILO certified evaluation manager overseen by EVAL and conducted by an external evaluation consultant. Evaluations must be submitted to EVAL for approval prior to dissemination to the donor by the ILO responsible official or by PARDEV (as instructed in the Approval Minute). Kindly refer to the ILO Policy Guidelines for Evaluation.

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[5] In consultation with EVAL, PARDEV Approval and Corrigenda Minutes should indicate evaluation requirements in instances when ILO project staff and the donor have agreed on evaluation requirements that are not aligned with what is provided under the ILO Evaluation policy 2017.

[6] In cases when a project is subject to a budget increase that reaches a total of US$ 5 million or more, a Corrigenda Minute should be issued which updates the minimum evaluation requirements.

FOR PROJECTS OF US$ 500,000 TO US$ 1 MILLION[7]

Over 30 months duration	• Both mid-term and final internal evaluations	*Evaluation Paragraph:* As per ILOs evaluation policy, this project is subject to both mid-term and final internal evaluations. The resources set-aside for evaluation can only be used for evaluation purposes. The internal evaluations are managed by project management and conducted by an evaluation consultant or by an ILO certified internal evaluator. Evaluations must be submitted to EVAL for their documentation. Dissemination of evaluation reports to the donor is done by the ILO responsible official or by PARDEV (as instructed in the Approval Minute). Kindly refer to the ILO Policy Guidelines for Evaluation.
Under 30 months duration	• Final internal evaluation	*Evaluation Paragraph:* As per ILOs evaluation policy, this project is subject to a final internal evaluation. The resources set-aside for evaluation can only be used for evaluation purposes. The final internal evaluation is managed by project management and conducted by an evaluation consultant or by an ILO certified internal evaluator. Evaluations must be submitted to EVAL for their documentation. Dissemination of evaluation reports to the donor is done by the ILO responsible official or by PARDEV (as instructed in the Approval Minute). Kindly refer to the ILO Policy Guidelines for Evaluation.

FOR PROJECTS UNDER US$ 500,000[8]

Over 30 months duration	• Both mid-term and final self-evaluation	*Evaluation Paragraph:* As per ILOs evaluation policy, this project is subject to both mid-term and final self-evaluations. The resources set-aside for evaluation can only be used for evaluation purposes. The self-evaluation has to be managed and conducted by project management. Self-evaluations are built into progress reports using the specific template. Kindly refer to the ILO Policy Guidelines for Evaluation.
Under-30 months duration	• Final self-evaluation	*Evaluation Paragraph:* As per ILOs evaluation policy, this project is subject to a final self-evaluation. The resources set-aside for evaluation can only be used for evaluation purposes. The self-evaluation has to be managed and conducted by project management. Self-evaluations are built into the progress reports using the specific template. Kindly refer to the ILO Policy Guidelines for Evaluation.

Joint UN projects and multi-donor projects

Joint-evaluations	When a project is part of a Joint UN project or multi-donor arrangement, the evaluation paragraph should cite the lead agency of the joint project, and which agency will be conducting the evaluation. The ILO responsible official needs to ensure ILO's participation in the joint evaluation. *Evaluation Paragraph:* The _____ is the lead agency for this project and is responsible for setting aside appropriate funds for the conduct of a joint evaluation. _____ agency will be responsible for managing the evaluation. Any evaluation should be submitted to ILO EVAL for their documentation. Kindly refer to the ILO Policy Guidelines for Evaluation.

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[7] In cases when a project is subject to a budget increase that reaches a total of US$ 1 million or more, a Corrigenda Minute should be issued which updates the minimum evaluation requirements.

[8] In cases when a project is subject to a budget increase that reaches a total of US$ 500,000 or more, a Corrigenda Minute should be issued which updates the minimum evaluation requirements.