



## Annual report on results and impact >

Evaluation synthesis

Corporate and thematic evaluations

Sub-regional evaluations

Country strategy and operations

Project cluster

# University of KwaZulu Natal, South Africa 14 August 2023 Guest lecture Dr IA Naidoo IFAD, focus and measurement of the interventions, case study Ethiopia

# Evaluation assumptions

*Rationality in decision-making*

*Governance in place, traceability*

*Evidence is privileged*

*All interventions can be measured*

- Prepared by a task force IOE and Management (per Peer Review 2019); for the first time, covers self and independent evaluation\*
- Promotes: (i) accountability; (ii) learning; and (iii) collaboration between IOE and Management

**Common principles**  
(for self and independent evaluation)

Usefulness

Impartiality and credibility

Transparency

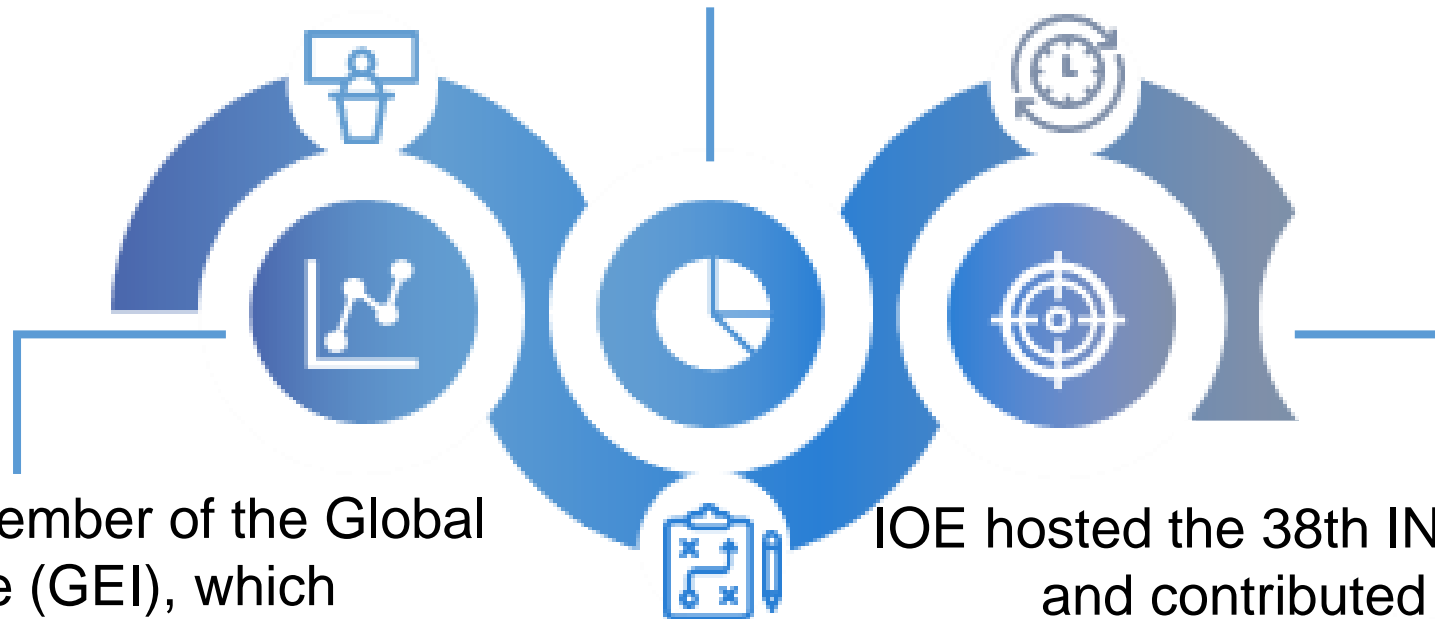
Partnership, consultation and collaboration

Evaluability

Value for money / cost effectiveness

**IOE is a member of reputed international networks: ECG, UNEG, GEI and INTEVAL**

Our methodology and practices are in line with established standards and principles of the professional networks of the evaluation offices of the International Financial Institutions (ECG) and the United Nations (UNEG)



IOE is a Council member of the Global Evaluation Initiative (GEI), which supports government evaluation capacity

IOE hosted the 38th INTEVAL meeting, and contributed to the esteemed network by co-publishing latest book in Routledge series

## Three dimensions of independence

Organizational  
Avoidance of conflicts of interest  
Behavioural



## Safeguard elements

- IOE reports to the Executive Board (EB)
- Only the EB can appoint and remove the Director IOE (single tenure, 6 years, no reemployment by IFAD)
- EB and Gov Council approve IOE's work programme and budget
- Director IOE clears reports without need of external authorization
- Director IOE has autonomy in selecting and managing staff



INAUGURAL MEETING OF THE IOE

## EVALUATION ADVISORY PANEL

EAP Seminar Series

EAP Brochure

EAP Booklet

[\[here\]](#)



DONNA  
MERTENS



ROB D.  
VAN DEN  
BERG



BAGELE  
CHILISA



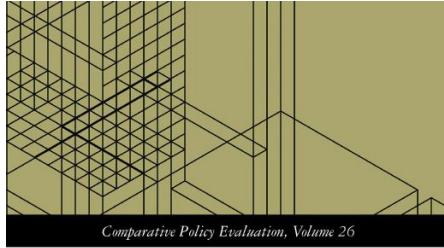
GONZALO  
HERNÁNDEZ  
LICONA



HANS  
LUNDGREN



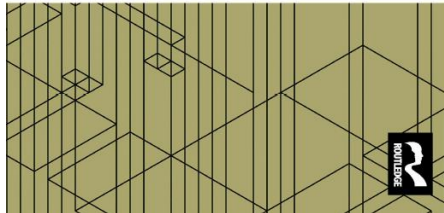
IOE Evaluation Advisory Panel  
Inaugural annual meeting  
[\[here\]](#)



## CROSSOVER OF AUDIT AND EVALUATION PRACTICES

CHALLENGES AND OPPORTUNITIES

Edited by  
Maria Barrados, Jeremy Lonsdale



[[access](#)]

Visit to the world of practice

**Audit and evaluation:  
Working collaboratively to  
support accountability**

Indran Naidoo  
United Nations Development Programme, USA

**Abstract**  
Audit and evaluation play crucial roles in the oversight function of organizations. Both professions share commonalities that have led some to call for "enhanced oversight" through stronger collaboration of the two functions. Our experience suggests that joint assessments can help promote a holistic three-dimensional view of performance, which looks both inside and outside organizations to see whether inputs matched with outputs and outcomes. However, tangible differences in paradigm and approach need discussion before further convergence of the functions is countenanced. The separation of the two functions ensures their independence, which is a guarantee of the credibility of the auditors and evaluators' work.

**Keywords**  
accountability, audit, evaluation, independence, performance

**Introduction**  
In an increasing number of countries and organizations, there is growing pressure for adequate scrutiny and demand for accountability, driven by social media, which highlights glaring performance deficits. The causes of such deficits are diverse. In some cases, failures have arisen from non-compliance with rules and regulations that are central to good governance. In others, failures occurred because of slavish or unthinking application of rules or procedures which are not delivering results, or worse, are doing harm. And in other cases, failures arise from faulty policies, built on flawed assumptions that are never subject to the rigorous scrutiny that would expose their inability to produce results. As key producers of evidence and promoters of accountability, evaluation and audit functions have important roles to play in addressing and preventing such failures. This has led

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[[access](#)]

**JOINT ASSESSMENT  
OF THE INSTITUTIONAL  
EFFECTIVENESS OF UNDP**

Independent Evaluation Office  
and Office of Audit and Investigations  
United Nations Development Programme

[[access](#)]

Coffee Talk

24 August 2021

**Audit and evaluation:  
Collaborative possibilities**

Key Lesson n.1 Invest in distinguishing the different and complementary roles to be played by audit and evaluation as well as sorting out decision rights, communication channels and protocols for scoping, data collection, analysis, triangulation, structure of the report, report writing, peer-reviewing and quality assurance

Key Lesson n.2 Developing a shared repository of operational concepts is critical in a joint exercise to create a commonly informed approach and methodology, thereby avoiding the inevitable contestation that arises when two disciplinary professions need to work together

Key Lesson n.3 Auditing and evaluation have very different interests and approaches but can complement and strengthen each other's analysis and contributions, particularly regarding results-based assessment. The enhanced triangulation of methods, extended consultations, and improved understanding of the context promoted by this joint approach led to a more robust assessment.

Key Lesson n.4 The report structure of a joint exercise should have common sections but can most profit from also having separate evaluation and audit sections, findings, conclusions and recommendations but with a common quality assurance process done by professionals with experience from audit and evaluations endorsed any both offices from the beginning.

Key Lesson n.5 Having audit and evaluation conduct this assessment together and present one joint report attracted much more attention, enhanced the credibility of the outcome and trust in the results' rigor. It was above all a strong statement for transparency accountability and learning in the UN.

Resources

- Naidoo, I. (2020). 'Audit and evaluation: Working collaboratively to support accountability', *Evaluation*, vol.26(2), pp.177-189 [[link](#)]
- Barrados, M., Lonsdale, J. (eds.) (2020). 'Crossover of Audit and Evaluation Practices', *Comparative Policy Evaluation*, Vol.26, [[link](#)]
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[[access](#)]

## Evaluation and independence

- Naidoo, I. (2021). "Evaluation for Transformational Change: Learning from Practice". Chapter 2. In Transformational Change for People and the Planet. Sustainable Development Goals Series, Juha. Uitto and Geeta Batra (Eds), Springer [[here](#)].
- Naidoo, I. (2021). 'Evaluation Capacities to Advance Sustainable Development for All', Japanese Evaluation Society Journal Special Edition, vol.21, n.2 [[here](#)].
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- Sheikh, A., Atun, R., & Bates, D. W. (2014). The need for independent evaluations of government-led health information technology initiatives. BMJ quality & safety, 23(8), 611-613 [[here](#)]
- Weaver, C. (2010). The politics of performance evaluation: Independent evaluation at the International Monetary Fund. Rev Int Organ 5, 365–385 (2010) [[here](#)].

### Additional resources

- IPDET 2018 – keynote speech [[here](#)]
- IPDET 2016 – Opportunities and challenges for evaluators [[here](#)]
- IPDET 2016 – Ethics, independence and credibility for evaluations [[here](#)]



NEC 2019: Opening speech



National Evaluation Capacities Conference (NEC) 2019 - Proceedings



## Methodological pluralization

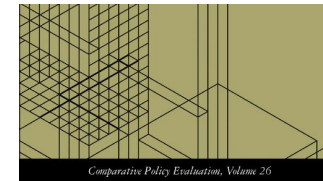
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- Woolcock, Michael (2009) 'Toward a Plurality of Methods in Project Evaluation: A Contextualized Approach to Understanding Impact Trajectories and Efficacy' Journal of Development Effectiveness 1(1): 1-14 [[here](#)].
- Greene, J. C., Caracelli, V. J., & Graham, W. F. (1989). Toward a conceptual framework for mixed-method evaluation designs. Educational evaluation and policy analysis, 11(3), 255-274 [[here](#)]

### Additional resources



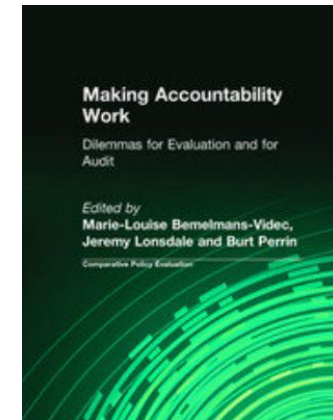
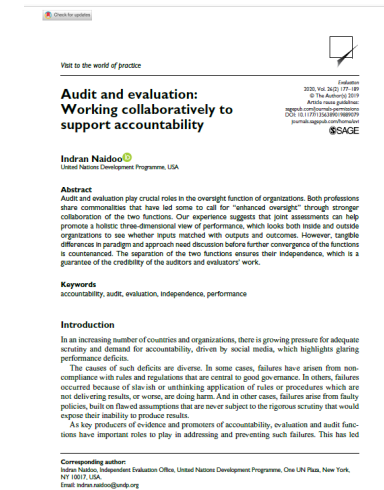
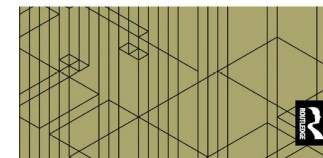
## Crossing boundaries

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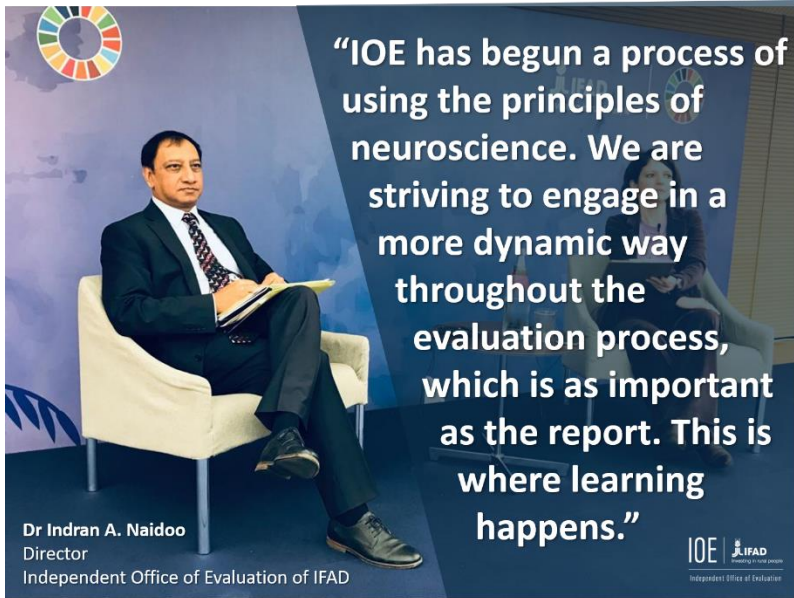


### CROSSOVER OF AUDIT AND EVALUATION PRACTICES CHALLENGES AND OPPORTUNITIES

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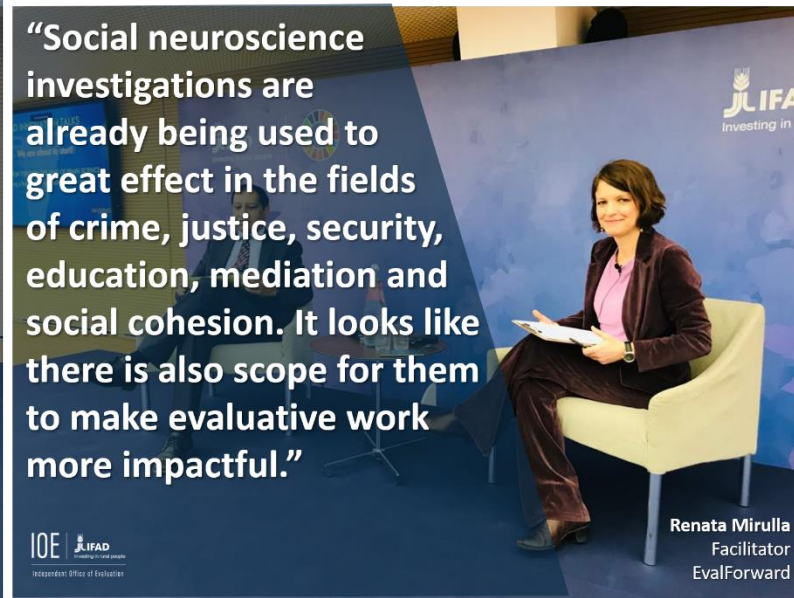


# Psychological dimensions of evaluation



**“IOE has begun a process of using the principles of neuroscience. We are striving to engage in a more dynamic way throughout the evaluation process, which is as important as the report. This is where learning happens.”**

**Dr Indran A. Naidoo**  
Director  
Independent Office of Evaluation of IFAD



**“Social neuroscience investigations are already being used to great effect in the fields of crime, justice, security, education, mediation and social cohesion. It looks like there is also scope for them to make evaluative work more impactful.”**

**Renata Mirulla**  
Facilitator  
EvalForward

**IFAD Innovation Talk**

**EVALUATION THROUGH THE LENS OF BRAIN SCIENCE:**  
Building a humanized approach for better results


**IFAD INNOVATION talks**

**Dr. Indran A. Naidoo**  
Director  
Independent Office of Evaluation  
IFAD

**Dr. Srin Pillay, M.D.**  
CEO  
NeuroBusiness Group

**Renata Mirulla**  
Facilitator  
EvalForward  
Community of Practice

Wednesday 22 March 2023  
14:00-15:00 CET  
Italian Room or via Zoom



**“Having a deeper understanding of what is going on in the brain can help us understand both the evaluator and the evaluand. By understanding the principles of brain science, we can most likely improve evaluative outcomes.”**

**Dr Srin Pillay**  
CEO  
NeuroBusiness Group



**There is scope for applying the principles of social neuroscience investigations to the field of evaluation. Doing so would likely enhance the transformative potential of evaluation by helping evaluators to find the mechanisms that make policies, programmes and interventions work.**

IFAD Innovation Talk  
Evaluation through the lens of brain science:  
Building a humanized approach for better results

[access]

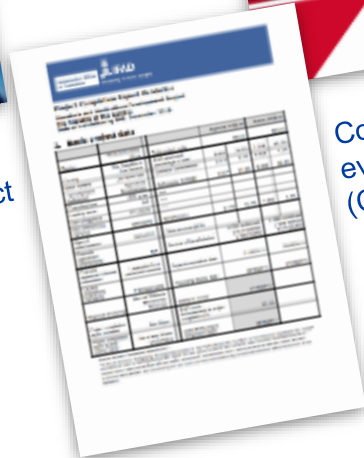
## Evaluation reports



Annual Report on Results and Impact of IFAD Operations (ARRI)



Corporate-level evaluations (CLEs)



Project Completion Report Validations (PCRVs)



Project Performance Evaluations (PPEs)



Impact evaluations



Evaluation synthesis reports



Country strategy and programme evaluations (CSPEs)



The IOE Team [\[access\]](#)

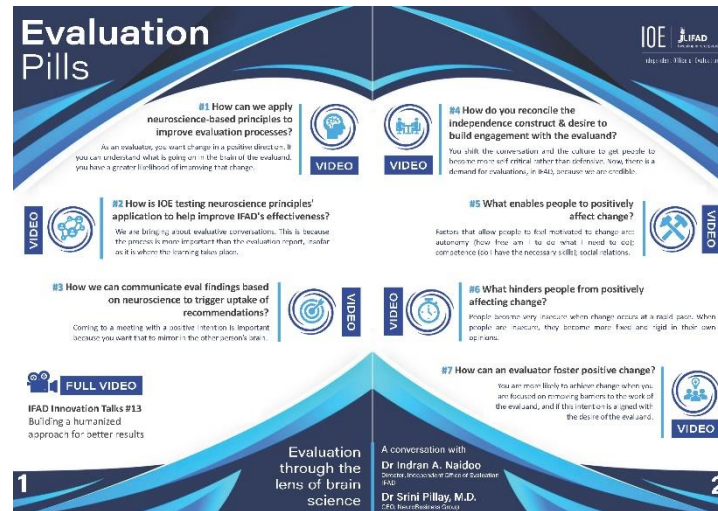


Evaluation: moving beyond what is right or wrong

[ioe.ifad.org](http://ioe.ifad.org) [\[access\]](#)



Emotional intelligence: the (missing) link between evaluators and management [\[access\]](#)



Take your 'evaluation pills': Join Dr Naidoo and Dr Pillay for IFAD Innovation Talk n.13 [\[access\]](#)

Independent  
Accountability. Learning. Partnership. **MAGAZINE**

**THE NEW DIRECTOR**  
Dr Indran A. Naidoo: Captain on board

**BREAKING THE MOULD**  
Discussing pandemic-shaped evaluations

**INFRASTRUCTURE**  
Most successful IFAD investments

Issue n.1 | 2021

IOE | IIFAD  
Independent Office of Evaluation

Evaluation  
**NEWS**

Issue No.35 – October 2021

**Feature:**  
Evaluation for transformational change award

Director's Column  
INDRAN NAIDOO, PhD

Latest evaluation reports  
Project Performance Evaluations  
Impact Evaluations

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**NEW IOE Website**

Annual report on results and impact >

- Evaluation synthesis
- Corporate and thematic evaluations
- Sub-regional evaluations
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IOE



Investing in rural people

Independent Office of Evaluation



Nexus hotel -  
Addis Ababa  
17 Nov. 2022

## Country Strategy and Programme Evaluation (CSPE) of IFAD's in Ethiopia (2016-2022)

*Presentation of preliminary results*

- Theory of change reconstructed, reflecting main impact pathways and assumptions to guide analyses;
- Identification of main themes to deepen analyses;
- Mixed-methods approach including: secondary data analysis, (thorough) desk review, virtual and in-person interviews of various stakeholders, direct observations during field visits (in Amhara, SNNPR and Somali region).
- Purposely sampling for site visits.
- Limitations: inconsistency between baseline and subsequent surveys.
- Overall good diversity of information sources for triangulation.



- The third country-level evaluation in Ethiopia, covering the period 2016-2022.
- Purpose: generating findings and recommendations to improve the future partnership between IFAD and government of Ethiopia for enhanced development effectiveness and sustainable rural development.
- IFAD in Ethiopia since 1980: Approved 20 loan funded projects with a total cost of US\$4319.57 million, of which IFAD has financed US\$761.4 million (17.6%).
- Main Co-financiers: World Bank, European Investment Bank, African Development Bank
- Evaluated portfolio: amount of US\$1.6 billion, IFAD financing: 565.5 million.

- Main aspects: (i) IFAD's strategic orientation and support; (ii) lending portfolio; (iii) Non-lending activities; and (iv) performance of partners
- Strategy: one COSOP of 2016 and interventions in 7 regions.
- Lending portfolio: 8 projects, 5 completed and 3 on-going.
- Non-lending aspects covering: knowledge management, partnership-building, country-level policy engagement and grants.
- Evaluation criteria: relevance, coherence, effectiveness, efficiency, impact, gender equality, sustainability and scaling up.

## Achievements

- IFAD's contribution to Rural Economic Development and Food Security (REDFES) working group.
- Policy relevant analytical studies were conducted jointly with the World Bank.
- A policy expert seconded to the Ministry of Agriculture (MoA).
- Evidence of policy change achieved linked to results of IFAD supported projects:
  - NBE enhanced its regulation and supervision procedures for MFIs.
  - Proclamation of Irrigation Water Users Associations (IWUAs).
  - Improvement of cooperatives directives.

## Challenge

- Insufficient capacity for effective policy analysis, review and follow up within IFAD country team.

## **Achievements**

- Positive incorporation of gender aspects in the overall country strategy and program (designs, implementations, supervisions and monitoring).
- Evidence of women economic empowerment observed through activities supported.
- Positive change recorded in relationships and work within households due to the implementation of the gender model family (PASIDP).
- Anecdotal evidence of easing household work for women with technologies introduced (e.g. stove, bio gas) and improved access to water.

## **Challenges**

- Lack of cross learning between projects, leading to mixed results on gender mainstreaming.
- Mixed results in relation to rural women leadership and voices in communities.

## **Favorable sustainability factors**

- Embedment of interventions within strong governmental institutions.
- Good linkages between technical offices (woredas and kebeles) and grassroots.
- Community contribution in investment costs and matching funds.
- Community driven demand, participatory approach implemented;
- Existence of IWUAs (legally established) and management committees.
- Well institutionalized and strong AEMFI (for financial inclusion)

## **Limiting sustainability factors**

- Weak technical, management capabilities and limited resources mobilization by IWUAs, RuSACCOs and cooperatives.
- Limited scale of watershed conservation measures.
- No formal exit strategy developed and tested at project level.

- Lack of cross learning over the program and overall within the rural sector.
- Limited access to credit for smallholder farmers through supported rural finance interventions.
- Slow pace of gender transformative results.
- Persisting challenges with storage and processing of agricultural products, and sustaining profitable markets for smallholder farmers.
- Limited partnerships with the private sector.
- Insufficient promotion of youth employment in line with demand.
- Positive trend linked to resilience of ecosystems and in enabling adaptive strategies. However water efficiency, environmental protection and watershed conservation remain key challenges.

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## **Achievements**

- Disbursement of IFAD fund: 100% for all completed projects
- High speed of disbursement of funding after project started (LLRP & PASIDP II).
- Proportion of final management cost is less than 10% for all projects (7.5% average) excluding PASIDP I (18.3%).
- Favorable unit cost of realizations compared with those of similar interventions for rehabilitation of degraded lands overall.
- Average of 6.5 months effectiveness time for projects.

## **Challenges**

- 15.5 months average duration between approval and first disbursement.
- Implementation delays caused extension for 3 out of 5 completed projects.
- Covid-19, conflicts and drought caused implementation delays (on-going projects).
- Costs per irrigation scheme much higher than planned at the design stage.



## CLE Collaboration among UN RBA (2021) → [\[HERE\]](#)

- Advocates setting more realistic expectation on synergies within the framework of UNDS reform
- Despite the daily reality of RBAC, there is widespread ambivalence about the concept. Beneath the strong official commitments to collaboration lie complex layers of doubt and reluctance, and diverse mixtures of motives for urging RBAC or appearing to believe in the official version of RBAC that is formally agreed between the agencies and their Governing Bodies. Not all donors fund RBAC as strongly as they advocate it.

## TE: Smallholder Adaptation to Climate Change (2022) → [\[HERE\]](#)

- Supports the updating of IFAD Strategy and Action Plan on Environment and CCA; argues for more attention to non-lending activities to support scaling up efforts on CCA
- The report found that IFAD's experience with working with marginalized communities in the rural agricultural sector, which often faces adverse climatic and environmental conditions, has positioned it well to address the accelerating risks from climate change and to make climate change adaptation (CCA) a strategic institutional priority.

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# Questions

