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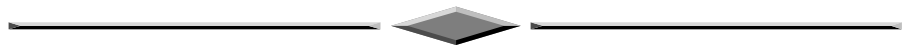
DAC WORKING PARTY ON AID EVALUATION

OVERVIEW OF PARTNERSHIP PRACTICES IN EVALUATION

Draft

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TABLE OF CONTENTS

EXECUTIVE SUMMARY: OVERVIEW OF PARTNERSHIP PRACTICES IN EVALUATION	3
OVERVIEW OF PARTNERSHIP PRACTICES IN EVALUATION	7
I. Introduction	7
Background	7
The purpose and scope of the study	8
II. Approach and methods	9
The survey of multilateral and bilateral donors.....	9
The survey of partner countries.....	10
The review of donors' reports, evaluation guidelines and manuals	10
Data limitations	11
III. Main findings	13
Donors' current partnership practices in evaluation.....	13
Donors' view on factors impeding effective partnership in evaluation.....	22
Donors' suggestions for effective practices for evaluations.....	25
Partner countries' current partnership practices in evaluation	33
Partner countries' view on factors impeding effective partnership in evaluation	34
Partner countries' suggestions for effective practices for evaluations	35
IV. Conclusions and Recommendations	40
Conclusions	40
Recommendations to improve current partnership practices in evaluations.	41
V. Appendixes	44
Appendix 1. DAC DONORS' QUESTIONNAIRE FOR A SURVEY ON PARTNERSHIP PRACTICES IN EVALUATION.....	44
Appendix 2. DAC PARTNERS' QUESTIONNAIRE FOR A SURVEY ON PARTNERSHIP PRACTICES IN EVALUATION	56

EXECUTIVE SUMMARY: OVERVIEW OF PARTNERSHIP PRACTICES IN EVALUATION

Already in 1991, the DAC Principles for the Evaluation of Development Assistance stated that “whenever possible, donors and recipients should be involved in the evaluation process”. Subsequently, the development strategy “*Shaping the 21st Century*”, endorsed by DAC Member countries underlined that development partnership should be encourage to promote “local responsibility through respectful dialogue, capacity development and effective, co-ordinated support for locally-owned, participatory development strategies”. Since then, planning, identifying, designing, implementing and evaluating development assistance programmes jointly with partner countries has gained importance in most donors’ development agenda.

In 1998, the Working Party on Aid Evaluation completed a review of the DAC Principles for Evaluation and found that, in practice, donor and partner countries have not often taken part in joint evaluations. Several impediments to participatory evaluation practices were identified. These included: recipients’ unwillingness, or lack of interest to participate in joint evaluations; time constraints and higher costs; communication problems and delays; increased complexities and, occasionally, political obstacles. The fact that partner countries have inadequate knowledge of donor countries’ programme has also been identified as one of the possible impediments to partnership in evaluation.

As a result, the DAC Working Party on Aid Evaluation (WP-EV) agreed, at its meeting on 27-28 January 1999, to carry out work on partnership practices in evaluation¹. Subsequently, a survey and a review of a selected number of DAC Members’ evaluation reports were undertaken. These two exercises were aimed to review DAC Members’ and partner countries’ experience with partnership practices in evaluation, during the last three years. It focused on three main areas: current practices used to carry out participatory evaluations with partner countries; obstacles to their realisation; and suggestions for good practices.

Main findings

The survey and the review have showed that most DAC Members and partner countries have not yet systematically carried out joint evaluations, either because they simply chose not to do so, or because they encountered obstacles. None of the partner countries, who answered the questionnaire, have taken the initiative to commence or lead a joint evaluation with donor countries.

Answers to the questionnaire illustrated that partnership in evaluation is a real challenge for most donor development agencies -- approximately 80 per cent (see Table 3). On the other hand, most partner countries responded that they have not encountered important difficulties in undertaking joint-

1. Partnership practices in evaluation comprise any evaluation undertaken with the participation of both donors and partner stakeholders, regardless of the degree of participation. The evaluation partnership concept also encompasses the capacity building aspect of joint evaluation and learning from past experience.

evaluations with donor countries (see Table 4). This discrepancy between the donor and partner countries' views may be due to the limited number of answers from partner countries. It may also reveal that none of the respondent partner countries have not yet directed or initiated a joint evaluation, which usually imply to be able to face and resolve large part of the obstacles to effective partnership in evaluation; and, in most cases, they have played a relatively marginal role in the evaluation process.

However, lack of partner and donor governments' commitment to the process; discrepancies between the donor and partner country's objectives or motivations for carrying out the evaluation; and insufficient evaluation capacity within the partner country have been identified as the most relevant obstacles impeding an effective implementation of partnership in evaluation, by both the surveyed donor and partner countries.

Those, who have gained experience with partnership practices in evaluation, have often used varied approaches. They have undertaken joint evaluations at country, programme, thematic, sectoral and project level. They have involved different partner country government's representatives, institutions and stakeholders, and asked them to play diverse roles in the evaluation process.

This variety of participatory approaches to evaluation reflects the fact that donors have decided on the appropriateness and degree of partnership according to several factors. First, whether and to what extent development strategy and programmes were designed and implemented with the partner countries' involvement. Secondly, on the basis of the purpose and intended use of the evaluation. Thirdly, on the scope and nature of the evaluation, and the available resources.

In general, it is easier to develop full partnership in evaluation between partner and donor countries when development programmes have been jointly designed and implemented. Similarly, donors' evaluation policies or guidelines, which encourage the use of participatory approaches in the evaluation process, can promote the use of partnership practices in evaluation.

According to the findings of the survey and the review, if the donor's evaluation manuals or guidelines recommend that evaluations focus on the control and accountability function, joint evaluations with partner countries are carried out very rarely. Also, the stronger emphasis on the internal use of the evaluation, the less it employs a participatory approach.

According to donors' agencies, partnership practices in evaluation are appropriate because they facilitate an understanding of the relationship between donor countries and partner countries in terms of development policies and each party's agendas. They have mainly used participatory approaches in evaluation to exchange views, collect information and to better understand partner countries' perception of development programmes.

According to partners, participatory approaches are useful to improve development programme performance and to meet donor and partner countries' information needs. In most cases, joint evaluations are also carried out to obtain donors' views and perspectives.

In general, the type of evaluation (e.g. country, thematic, project, etc) has influenced the choice of whom to invite to participate in the joint evaluation from partner countries. Programme beneficiaries were more often involved in project or thematic evaluations, than in country programme evaluation. Similarly, government representatives have more frequently taken part in country or sectoral evaluation than project ones. In some cases, all the partner country's stakeholders were invited to participate in the joint evaluation of the development assistance programme.

The survey and the review have showed that most donor and partner countries have most frequently undertaken joint evaluations of development assistance at project level. Beneficiaries and stakeholders in the partner countries are more frequently involved in designing and implementing development projects, whose evaluations more often are carried out with their participation to collect information and views on the project performance.

When participation occurred, partner country representatives have been asked to participate in the evaluation process as a member of the evaluation team either to act as a key informant, a member of a focus group, a researcher, an interviewer, a country regional expert, or simply to gather data. To a lesser extent, partner countries were part of the evaluation team to define the terms of reference, *i.a.* objectives, questions, scope, methods, uses of the joint evaluations.

When deciding whether participatory approaches are appropriate for a specific evaluation, time and available resources are also crucial. Both partner and donor countries recognise that joint evaluations usually require longer time and, consequently, more financial resources. In addition, it can happen that evaluation capacity is insufficient, because of lack of skilled personnel.

Suggestions to improve current partnership practices in evaluation

Most DAC Members and partner countries suggested that the following elements should be considered if donor and partner countries are to improve partnership practices in evaluations:

General

- Strengthen governments' commitment to the partnership strategy for development to facilitate jointly identified, designed, and implemented development strategies and programmes.
- Facilitate government organisational and institutional reforms, which enable participatory approaches in development.
- Take into account co-financing of development programmes either at sectoral or project level, among donors and between donor and partner countries.
- Better anchor evaluation to the formulation of development policy and programme, by improving feed back and use of findings.

Specific

- Equally involve donor and partner country representatives in the whole evaluation process.
- Jointly discuss objectives and uses of evaluations during the evaluation design phase to find a common ground between donor and partner country interests.
- Simplify and harmonise evaluation practices among donors, to facilitate partner countries' participation in joint efforts and reduce costs and administrative burdens.
- Include among evaluation goals the need for learning lessons as well as control and accountability requirements.
- Include requirement for participatory approach in evaluation manuals and guidelines.
- Make participatory evaluation an integral component of projects' extension strategy.
- Ensure that sufficient time, financial resources and evaluation capacity are available.

- Establish mechanisms to support evaluation capacity development.

However, if partner and donor countries want to successfully move toward a fuller partnership in evaluation, they should consider that not only new approaches and techniques to development co-operation are needed but also a more empowering process. In order to enhance the sense of ownership of the development process, it is important that partner and donor countries are equally involved not only in the evaluation but also in the planning process. Partnership can not start at the evaluation phase.

Moreover, different and more balanced ways of distributing responsibilities between partner and donor countries may be needed to create an enabling framework for partnership. Organisational and or institutional changes in both donor and partner countries may, then, be necessary to reach a fuller partnership.

Conclusions and suggestions for follow-up

This overview of partnership practices in evaluation has clearly shown that partner and donor countries are still experimenting with a variety of approaches to partnership in evaluation. They have identified common obstacles and some practical suggestions to improve partnership practices in evaluation.

This overview has also concluded the first phase of the process, which is also aimed at producing guidance for effective partnership practices in evaluation. During the second phase of this process, in order to gain wider experience and understanding, it is suggested to consider some fuller consultations with partner countries during spring 2000. These consultations will aim to obtain fuller views from partner countries, which so far have been somehow limited, and to discuss the results from the first phase.

Members of the OECD/DAC Working Party on Aid Evaluation are asked to discuss next steps including possible consultations with partner country representatives.

Results from these two phases will be used to extract and define effective partnership practices in evaluation. A document containing good/effective practices in evaluation will be presented for consideration at the next meeting of the working party.

OVERVIEW OF PARTNERSHIP PRACTICES IN EVALUATION

I. Introduction

Background

1. In the recent past, donors² have increasingly considered it crucial to more fully engage with partner countries in a partnership strategy for development, in order to reduce poverty and improve living conditions more effectively. It is clear that by jointly identifying developmental needs, opportunities and challenges, both donor and partner countries can better define development programmes, share experience, and exchange views. They can discuss and agree on common goals, objectives and means to implement the development programmes, and thereby enhance their sense of ownership and responsibility for the development process.

2. Joint evaluations and feedback activities are also important to improve the effectiveness of the development process and the sense of ownership. More precisely, evaluations carried out with the participation of donor and partner country representatives can generate the following benefits:

- An enhanced sense of ownership for the partner countries of the development process.
- A better understanding of the results.
- A greater acceptance or sense of ownership of the results.
- An enhanced credibility and validity of the findings.
- Increased sense of responsibility and fuller use of the findings and recommendations formulated by the evaluation, while defining new development programmes.
- Improved partner countries' evaluation capacity.

3. Based on these and other considerations, the *DAC Principles for the Evaluation of Development Assistance* (OECD, 1991) state that “whenever possible, donors and recipients should be involved in the evaluation process”. In practice, several factors influence the decision on the appropriateness and degree of partnership between donor and partner country representatives. Notably, these are:

- Whether and to what extent development strategies and programmes have previously been designed and implemented with partner country involvement.

2. For the purpose of this study, the word “donors” comprises the multilateral and bilateral donors. It includes :

- Among the multilateral: the African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank, IMF, World Bank, the European Commission and UNDP.
- Among the bilateral: the DAC Members (Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States). Exceptionally, Greece was not included in the survey, as it has only recently become a DAC Member.

- The purpose and the intended use of the evaluation.
- The scope and nature of the evaluation report, and the available resources.

4. Theoretically, only when partner and donor countries jointly contribute to the definition of goals, objectives and implementation of development programmes, can **full** participation of donor and partner countries in joint evaluations be possible and effective. Only then can donor and partner countries be encouraged to share the same interest in accountability, lessons learned and improved programme effectiveness. In all the other cases, donor and partner countries can contribute to the whole process, but attaining low or medium degrees of participation.

5. A review of the *DAC Principles for the Evaluation of Development Assistance*, which was completed during 1998, reported that, in practice, donors and partners do not always participate throughout the whole evaluation process. In very few cases, partner countries took full part in the evaluation process. In most cases, they were asked to help define the terms of reference (ToRs); in others they were asked to provide information at field level, or during the discussion and dissemination of the Evaluation Report's findings.

The purpose and scope of the study

6. To better understand the scope and extent of joint evaluations among donor and partner countries, the DAC Working Party on Aid Evaluation (WP-EV) agreed, at its meeting on 27-28 January 1999, to carry out work on partnership in evaluation³. As a result, the OECD Secretariat undertook a survey to review the experience that donor and partner countries have gained with partnership in evaluation in the last three years. This survey focused on three main areas: current practices used to implement joint evaluations with partner countries; obstacles to their realisation; and suggestions for good practices.

7. At the same time, a selected number of donors' evaluation reports and development agencies' evaluation manuals or guidelines were reviewed, to analyse conclusions on, and experience with, partnership in evaluation and evaluation capacity development. (E.g. results from the Regional Seminars and workshops on Monitoring and Evaluation Capacity Building, Africa, 1998; Asia, 1992; Latin America and the Caribbean, 1993; and *Evaluation Capacity Building: Donor Support and Experiences*, 1996).

8. This study presents the findings of both the survey and the review of selected donors' evaluation reports, manuals and guidelines. It aims to provide a review of current partnership practices in evaluation, and investigate obstacles and possible solutions to facilitate joint evaluations between donor and partner countries.

9. It is comprised of three parts: section 1) presents the approach and methods used to carry out the study; section 2) illustrates the findings from the survey of donors and partner countries' current partnership practices in evaluation as well as the results from the review; section 3) concludes and suggests some guidance for good partnership practices in evaluation.

3. In this context, partnership in evaluation comprises any evaluation undertaken jointly, or with the participation of both donor and partner stakeholders, regardless of the degree of participation. The evaluation partnership concept also encompasses the capacity building aspect of joint evaluation and learning from past experience

II. Approach and methods

10. The approach used to carry out this study comprised three activities: a survey of multilateral and bilateral donors' partnership practices in evaluation; a survey of partner countries' partnership practices in evaluation; and a brief review of DAC Members' evaluation reports, manuals and guidelines. These three activities responded to diverse, although complementary, needs for the analysis.

11. The two surveys allowed for the collection of useful information on the current partnership practices in evaluation, and to better understand the extent, to which donor and partner countries have completed joint evaluations. The two surveys also helped to identify those factors which donor and partner countries perceive as hindering the realisation of joint evaluations, and to investigate possible solutions to facilitate partnership in evaluation. It was seemed important to prepare partially diverse questionnaires for donors and partners⁴, as they often participate in joint evaluations for different reasons.

12. The review of donors' evaluation reports, guidelines and manuals aimed to complement answers to the questionnaire with some practical examples and with deeper analysis of those factors which most impede the realisation of joint evaluations (e.g. partner countries' evaluation capacity). The sections which follow describe in greater depth the methods used to finalise the surveys and the report review.

The survey of multilateral and bilateral donors

13. To undertake the survey of donors, a questionnaire was sent to all multilateral and bilateral donor representatives who are Members, hold the status of observers or usually participate in the OECD/DAC Working Party on Aid Evaluation. Notably, these are: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States, the African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank, IMF, World Bank, the European Commission and UNDP. Greece was not included in the survey, as it became a DAC Member after survey was completed.

14. The questionnaire was structured in four main parts and identified joint evaluations undertaken in the past three years (please see Appendix 1). The first part concerned the profile of the respondents. The second part investigated the number and types of joint evaluations, the purpose of past joint evaluations, and the modalities according to which joint evaluations were completed (e.g. how and at what level partner country representative were involved in the evaluation process; and whether mechanisms to develop evaluation capacity were considered).

15. The third section focused on factors impeding partnership in evaluation. Questions concerned the kind of obstacles and the impact that these had on the realisation of joint evaluations. The fourth part sought suggestions for good practices to facilitate fuller participation of partner and donor countries in joint evaluations. It mainly focused on issues relative to the requirements for an

4. For the purpose of this study, the word "partners" comprises partners in those countries which were surveyed. It includes: Bolivia, Cape Verde, Costa Rica, Côte d'Ivoire, Egypt, Eritrea, Indonesia, Hungary, Madagascar, Malaysia, Mali, Morocco, Niger, South Africa, Sri Lanka, Tanzania, Uganda, Zimbabwe.

effective partnership in evaluation and the best approaches to fully engaging partner countries in joint evaluations.

16. Multilateral and bilateral donor representatives were asked to carry out a self-evaluation of their agencies' partnership practices in evaluation and to use, as a basis for their answers, their own experience, discussions with colleagues and, possibly, a review of relevant agency studies. To facilitate the task of responding, the questionnaire was kept as brief as possible and multiple choice questions were prepared. Nevertheless, respondents were encouraged to comment when they thought it was appropriate.

The survey of partner countries

17. A questionnaire was also sent to a selected group of almost 20 partner country's representatives. They were: Bolivia, Cape Verde, Costa Rica, Côte d'Ivoire, Egypt, Eritrea, Indonesia, Hungary, Madagascar, Malaysia, Mali, Morocco, Niger, South Africa, Sri Lanka, Tanzania, Uganda, Zimbabwe.

18. Most surveyed partner country's representatives were identified by Members of the DAC Working Party on Aid Evaluation on the basis of work that they had jointly undertaken with them. Other representatives were chosen among participants who had contributed to previous OECD/DAC seminars and conferences on evaluation issues. In order to balance the sample, partner country representatives were also chosen on the basis of their geographical provenance.

19. The structure of the questionnaire and modalities for responding were the same as those used for the donors' survey. However, most questions were partially modified to consider partner countries' different points of view and experience with joint evaluations (see Appendix 2).

The review of donors' reports, evaluation guidelines and manuals

20. A number of selected evaluation reports, which were submitted by DAC Members with the responses to the questionnaire, were also reviewed. They concerned either evaluations, which were undertaken jointly with partner country representatives, or appraisal of the role and usefulness of the evaluation and monitoring in development co-operation.

21. It was also judged useful to analyse more broadly two factors, which, from the analysis carried out to prepare the questionnaire, seemed to most hinder the realisation of joint evaluations:

- the lack of sufficient evaluation capacity in partner countries; and
- the emphasis stated in donor agencies' evaluation policies on either accountability or lessons learned; either on internal or external use of evaluations.

22. Therefore, a review of studies on evaluation capacity development, from recent regional OECD/DAC seminars was undertaken to clarify obstacles and provide solutions to improve partner countries' capacity. At the same time, selected donors' development policy statements and evaluation manuals or guidelines were reviewed to understand to what extent donor countries are committed to the partnership strategy and how far they implemented it into evaluation practices. These reports were chosen on the basis of their availability.

Data limitations

23. The information collected through the survey presents some limitations, as the number and quality of the responses to the questionnaires varied significantly. In the case of donor countries, the total number of respondents is sufficient to give a good overview of partnership practices in evaluation. In fact, the average response rate was 59 per cent, which is relatively high for a postal questionnaire. Of the 29 donors, who received the questionnaire, 17 had responded by October 1999 (see Table 1).

24. In the case of partner countries, although the sample was representative, the small number of respondents compromises the statistical significance of the results. Actually, only 37 per cent of the partner representatives, 7 out of 19 that received the questionnaire, had answered by October 1999 (see Table 1).

25. The quality of the survey responses has also been varied. While some of the responses by both donor and partner country representatives were comprehensive and gave a consistent picture of partnership practices used in evaluation, others were incomplete and tended to be inaccurate. In some cases, as donor or partner representatives have gained little or no experience with joint evaluations, responses were brief. For example, some of the regional development banks did not undertake any joint evaluations with partner countries, therefore their answers were poor and focused on the fourth part of the questionnaire (suggestions for good practices). In other cases, questions were answered randomly.

26. These limitations, of course, weakened the significance of the survey findings. This is particularly true for the partner countries' survey. It is, thus, suggested to consider the findings of partner countries' partnership practices in evaluation as tentative and incomplete.

Table 1. Partnership practices in evaluation: who, and to what degree, has undertaken joint evaluations

Country	Answered the questionnaire	Had some experience with donor-partner joint evaluations	Degree of partnership ¹
Bilateral Donors:			
Australia	No	Yes, resulting from other reviewed reports	Low/Medium
Austria	No	-- ²	--
Belgium	No	--	--
Canada	No	--	--
Denmark	Yes	Yes	Medium
Finland	Yes	Yes	
France	Yes		
MEEP		Yes	
AFD		No	
Germany	No	--	--
Ireland	Yes	Yes	Medium
Italy	No	Yes, from other sources	Low
Japan	Yes		
MoF		No	Low/Medium
OECD		Yes	
Luxembourg	No	--	--
Netherlands	Yes	Yes	Medium
New Zealand	Yes	Yes	Medium
Norway	Yes	Yes	Medium
Portugal	Yes	No	--
Spain	No	--	--
Sweden	Yes	Yes	Low/Medium
Switzerland	Yes	Yes	Medium
United Kingdom	Yes	Yes, but only at country office level	Low/Medium
United States	Yes	Yes	Medium
Multilateral Development Banks:			
World Bank	No	Yes, resulting from other reviewed reports	--
African Development Bank	Yes	No	None
Asian Development Bank	Yes	No	None
European Bank for Reconstruction And Development	Yes	No	None
Inter-American Development Bank	Yes	Yes	Medium
Other Multilateral Donors:			
European Union	Yes	Yes	Medium
UNDP	No	Yes, resulting from other reviewed reports	--

Country	Answered the questionnaire	Had some experience with donor-partner joint evaluation	Degree of partnership
Partner Countries:			
Bolivia	Yes	No	None
Cape Verde	No	--	--
Costa Rica	Yes	Yes	Low
Côte d'Ivoire	No	--	--
Egypt	No	--	--
Eritrea	No	No	--
Indonesia	Yes	Yes	--
Hungary	No	--	--
Madagascar	Yes	Yes	Medium
Malaysia	No	--	--
Mali	No	--	--
Morocco	Yes	No	None
Niger	Yes	No	None
South Africa	Yes	Yes	Low
Sri Lanka	No	--	--
Tanzania	No	--	--
Thailand	No	--	--
Uganda	No	--	--
Zimbabwe	Yes	No	None

Notes: 1. The degree of partnership is evaluated on the basis of Table 2, page XX.

2. It is not possible to express any opinion.

III. Main findings

Donors' current partnership practices in evaluation

Deciding on the appropriateness of joint evaluations and the degree of participation

27. As previously mentioned, the decision on the appropriateness of joint evaluations and the degree of participation are taken mainly on the basis of the following factors:

- Whether and to what extent development strategies and programmes have been previously designed and implemented with partner countries' involvement.
- The purpose and the intended use of the evaluation.
- The scope and nature of the evaluation report, and the available resources.

28. Figure 1 illustrates the decision process that determines the degree of partnership. Theoretically, partner countries should contribute substantially to the definition of goals, objectives and implementation of development programmes, to attain **full** and effective engagement in joint evaluations, and be able to share responsibility and ownership with donor countries. Naturally, the more donor countries are committed to the partnership strategy for development, the more fully partner countries participate in the development programme planning and implementing process.

29. Similarly, to reach partner countries' full involvement in joint evaluations, it is important that they participate in the entire evaluation process, from the design to the feedback and results dissemination phases. The extent, to which partner countries participate in the evaluation process, it seems largely influenced by donor agencies' evaluation manuals or guidelines, which focus on either accountability or lessons learned.

30. When donor agencies' evaluation manuals or guidelines mainly focus on control and accountability, partner country representatives will generally be asked to play a marginal role as focal points for data and information gathering. Sometimes, they may be requested to give comments on the findings and recommendations of the first draft of the evaluation report, or to be marginally involved in the dissemination of evaluation findings, once the draft is finalised.

31. By inviting partner country representatives to take part in the evaluation team, donor evaluators permit a high degree of partnership; they increase the level of transparency, and favour the process of mutual learning and cross fertilisation with partner countries. This approach is often undertaken, when donor agencies' evaluation manuals or guidelines focus on learning lessons and enhancing partners' sense of ownership and performance of development programmes, rather than fulfilling the control and accountability function.

32. In general, donor agencies' evaluation manuals or guidelines provide broad indications on whether evaluation reports should be for internal or external use. When evaluation reports are principally intended for internal use, they have to meet donor Governments' accountability requirements to Parliament, taxpayers, and civil societies, and be fed back to donor policy and programming cycles; therefore partner countries are moderately involved in the evaluation process. However, when evaluation reports are used externally to develop evaluation capacity and to enhance partner countries' sense of ownership of development programmes, partner countries are more fully involved in the evaluation process.

33. In conclusion, the more donor agencies' evaluation manuals or guidelines focus on the control and accountability function, the less evaluations are carried out jointly with partner countries. Similarly, the more they focus on internal use, the less evaluations employ participatory approaches. Table 2 illustrates the differing degrees of partner countries' participation to the whole planning and evaluation cycle, which result from the combination of these factors.

34. The decision on the appropriateness and degree of partnership in evaluation also depends on the nature of evaluation reports, the available time and resources and the partner country's evaluation capacity. Country programme evaluations usually engage the participation of partner country nationals, who represent their governments, while project evaluations tend to involve stakeholders and beneficiaries of the project itself. Scarce resources and time constraints can challenge partners' involvement in the evaluation process, just as limited evaluation capacity on the partners side can have the same effects.

35. The section which follow analyses the results of both the donors' survey and the document review, to assess, on the basis of these factors, their experience and practices with partnership in evaluation.

**Figure 1. Joint evaluation with partner countries:
deciding on the degree of participation**

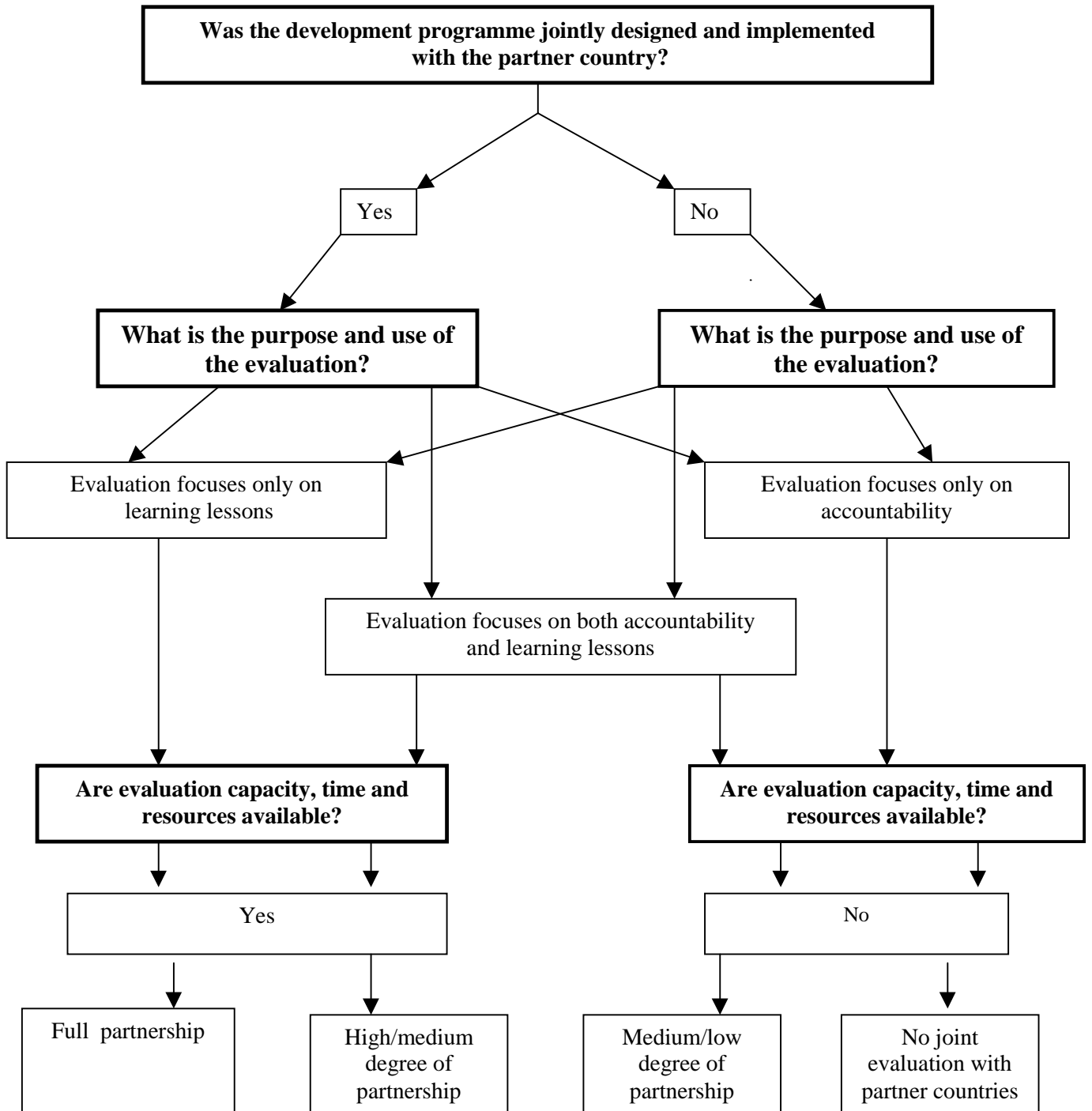


Table 2. Degrees of participation in the planning and evaluation cycle

Degree of Participation	Low	Medium	Full
Programme Cycle Phases			
Formulation of the development strategy	Bilateral consultation lead by the donor country.	Bilateral consultation aiming to share information and understand partner countries' needs to be included in the development strategies.	Bilateral consultations during which the development strategy is formulated on the basis of the partner country's real needs. All the stakeholders are represented and contribute to the discussion.
Development programmes/project identification, preparation and design	Key stakeholders are consulted and asked for comments during the programme preparation process.	Key stakeholders primarily discuss and provide information on their needs that are used for the preparation and design of the donors' programmes.	Key stakeholders are involved in identifying their needs and assessing the appropriate options for meeting these needs.
Implementation and monitoring project and programme.	Donor agency is responsible for the implementation and monitoring of the programme/project.	Donor and partner countries jointly implement and monitor the programme. Donors decide on the planning and organisation of activities, use of resources, and assign responsibilities.	Donor and partner countries jointly implement and monitor the programme. Stakeholders participate in the programme's implementation by assisting in decision making of the planning and organisation of activities, use of resources, and responsibilities.
Evaluation			
<i>Purpose of the evaluation</i>	Ensure accountability. Provide information to decide whether to continue or end the development programme	Ensure accountability and learn lessons to improve programme performance.	Learn lessons, promote programme ownership, and develop evaluation capacity.
<i>Designing and implementing the evaluation</i>	Partner country nationals are involved in the evaluation process as focal points for information and data gathering.	Partner country nationals are invited to comment on ToRs, and evaluation findings. They participate in the evaluation as focal points for data and information gathering.	Partner country nationals are members of the evaluation team and contribute to planning and designing the evaluation, gathering data and identifying evaluation findings.
<i>Recommendations and follow-up</i>	Partner country representatives do not participate in drawing up recommendations or follow-up.	Partner country nationals are invited to comment on the recommendations and follow up.	Partner country nationals, jointly with donor representatives, draw recommendations, and prepare follow-up.
Feedback	The evaluation report is sent to partner country representatives for information.	Workshops or seminars are organised to broadly discuss the evaluation recommendations with partner country representatives.	Partner country nationals, jointly with donor representatives disseminate results and also feedback recommendations in the new programme planning.

Source: OECD Secretariat

Donors' development policies and the partnership strategy

36. The review of selected donors' development policy statements showed that, in general, partner participation is high on of their development agendas. The majority of DAC Members clearly state in their development policies that the Partnership Strategy is crucial for the development process. Australia, for example, in its *Better Aid for a Better Future* (AusAID, 1997), affirms that "the aid programme will be determinate and implemented in partnership with developing countries. It will guarantee that the programme remains focused on meeting priority needs of partner countries. Our aid also forges strategic partnership with other key players in the development process - both Australia and overseas". Similarly, New Zealand in the *Investing in a Common Future*, which is the policy framework for NZODA, has adopted partner responsibility as one of the guiding principles. In particular, the framework states that "New Zealand recognises that development will be achieved primarily through the policies and efforts of the governments and people of partner countries themselves. New Zealand will respond to their priorities and needs where these are consistent with the principle" (NZODA, 1999).

37. Most multilateral donors have stressed the importance of partnership in development in their general policy framework. The UN in its *United Nations Development Assistance Framework* (UNDAF, United Nations, 1999a and 1999b) states that "full Government participation and its ...full ownership through the agreement of the recipient Governments concerned to the finalised Framework" it is required. The World Bank has put partnership with partner countries, along with ownership and results orientation, at the centre of its Comprehensive Development Framework (World Bank, 1998a). Finally, the European Commission usually develops a Partnership Agreement with countries receiving development assistance.

38. On the basis of these findings, it appears that most donors have stated their commitment to partnership in their development policies. However, some have expressed doubts concerning the implementation of partnership in the development process, and its effectiveness.

39. For example, Finnida, the Finnish development agency, clearly suggested in its questionnaire responses, that a fundamental problem for partnership "remains the general framework of contradictory goals and *modus operandi* of aid management". The Swiss *Getting to Know Planning, Evaluation, Monitoring and Transference* (SDC, 1996) shares the same concern when it advocated that "Members of development agency from North...must ask themselves how far they are ready to act against home-made constraints which are an obstacle to the development of consistent participation: for example, one's own wish to steer matters, rigid following and interpretation of guidelines and, most of all, time pressure, so that no genuine participation is allowed to develop... Participation [should be decided] according to level and the tasks, competence and role of the various participants".

40. In other cases, donors, while defending the partnership principle, assign the task of managing development co-operation programmes exclusively to nationals. This practice can prevent partner country representatives from fully participating in both the programme and evaluation processes. This is the case with the Australian *Better Aid for a Better Future* (AusAid, 1997), which points out that it is important to support the Australian Identity. "The simplest and most effective method of guaranteeing the Australian identity relates to how we use Australians in the delivery of aid programmes. AusAid is to continue only to engage firms that are registered with the Australian Security Commission or New Zealand to manage Australian Aid projects".

Donors' evaluation manuals and guidelines orientations

41. The review of selected donors' evaluation manuals and guidelines shows that each country emphasises differently either the accountability or the learning lesson function of the evaluations. Some OECD development agencies' evaluation manuals encourage the use of participatory approaches in the evaluation process by clearly suggesting that evaluations should be used as an instrument for learning lessons. For example, *Danida's Evaluation Guidelines* (1999) indicate that "evaluations are intended as a management tool that should serve two main objectives: accumulation of experience... and lessons learned".

42. In other cases, although the importance of partner countries' involvement in development process is recognised, it seems that partnership in evaluation is incompatible with other agencies' goals and needs. For example, a recent Sida study on the usefulness of evaluations (Sida, 1999) concluded that there are some inconsistencies between development policies and evaluation practices in use. Sida evaluation policy conceives the evaluation function more as an instrument of control, to examine uses and results of Swedish development assistance than as a learning process and, thus leaves little room for a participatory approach. Similarly, the Agence Française du Développement (AFD), although it is open to the possibility of having partnership in evaluation, recognises in its response the need to respect bank secrecy may impede its participatory approach in full.

43. Other DAC Members' evaluation manuals stress the importance to engage partner countries in the whole planning and evaluation processes. For example, the Norwegian *Handbook for Evaluators and Managers* (Ministry of Foreign Affairs, Norway, 1993), includes a section on the recipient /donor priorities and on the recipient responsibility in evaluation. The latter suggests that "In formal terms, the recipient country is responsible for the planning, implementation and evaluation of development projects. The decision to evaluate should, as a matter of principle, be stipulated in bilateral agreement...In principle, both parties (donor and recipient) should be involved on an equal basis".

44. The Dutch Evaluation Guidelines also welcome partner countries' participation in the evaluation process by stressing that "whenever possible, the DGIS and the relevant institutions in each developing country shall be jointly responsible for designing and implementing (project) evaluations". The Danish, Portuguese and Spanish evaluation manuals also state that in the choice of the evaluation team, professional expertise from partner countries shall be as far as possible represented and included.

45. Multilateral donors also attach great importance to partnership in evaluation. For example, in 1997, the UNDP published a specific manual for partnership in evaluation, entitled "Who are the Question-makers *A Participatory Evaluation Handbook*"(UNDP, 1997). In 1997, the Operation Evaluation Department of the World Bank changed its evaluation strategy to encourage the participation of partner countries, private sector, development programme beneficiaries and other donor organisations in its development programme evaluations (World Bank, 1998b)

46. Some donors' evaluation manuals or guidelines provide broad orientations for use of the evaluations. For example, the *Danida's Evaluation Guidelines* indicate that one of the tasks of the Evaluation Secretariat is to "disseminate and contribute to the dissemination of evaluation results and experience to Danida staff, authorities in partner countries, other interested bodies and the public". Similarly, the World Bank suggests that evaluation is intended for both internal and external use. However, Sida's evaluation policy states that "evaluation primarily serves the Swedish public, the Government and Sida's Board of Directors". It is natural to think that either Danida's or the World Bank's evaluations will be more likely to be jointly carried out with the participation of partner countries, than those of Sida.

Donors responses to the questionnaire on joint evaluation's purpose and use

47. The questionnaire results show that most of the surveyed donors (67 per cent) decided to undertake joint evaluations with partner countries in the past three years. However, bilateral development agencies have tended to carry out joint evaluations with partner countries more than multilateral development banks. In fact, only the World Bank and the Inter-American Development Bank have experienced partnership in evaluation, while all the other regional development banks, notably the African Development Bank (AfDB), Asian Development Bank⁵ (AsDB), and the European Bank for Reconstruction and Development (EBRD) have not (see Table 1).

48. Most donors, when they have carried out joint evaluations, have used a variety of approaches with different degrees of partnership. Table 1 illustrates that 54 per cent of those who gained experience with joint evaluations decided to limit the degree of participation and reach a moderate level of partner country involvement. A smaller portion of donors, 23 per cent of total, decided to engage partner countries in partnership at an even lower degree, while 23 per cent had no partner country participation whatever.

49. The questionnaire responses show that in most cases, donors have involved partner country representatives in the evaluation process by either selecting nationals to be members of the evaluation team (around 88 per cent of the respondents who experienced joint evaluation) or by asking them to assume different roles such as that of key informant, a member of a focus group, a researcher, an interviewer, a country regional expert, or simply by gathering data (around 81 per cent of the respondents). To a lesser extent (approximately 63 per cent), partner countries participate in the evaluation team to define terms of reference (i.e. objectives, questions, scope, methods, uses, etc.).

50. This picture reveals that donors have tended to prefer approaches that involved low or medium degrees of participation in joint evaluations. This may be due to the fact that evaluation is still used as an internal instrument for control and accountability of development assistance more than as a mechanism to learn lessons. Additionally, it maybe that, due to partnership in evaluation being a relatively new concept, donors are still experimenting in search of good practices.

51. According to the survey results, DAC Member countries decided to undertake a joint evaluation with partner countries, when they considered it crucial to the need for obtaining partners' views and perspectives (with an average score of 4.2 out of 5). Otherwise, DAC Members carried out joint evaluations when they needed to benefit from partners' knowledge of programme activities and goals - with an average score of 4.1 out of 5 (see Table 3).

52. This implies that DAC agencies mainly use joint evaluation as a mean to exchange views, collecting information and to better understand partner countries' perception of development programmes. According to DAC Members, partnership practices in evaluation are appropriate because they facilitate an understanding of the relationship between donor countries and partner country governments in terms of development policies and each party's agendas.

53. To a lesser but, nevertheless, significant extent, DAC Member countries use joint evaluations to enhance partners' ownership of the evaluation and improve partner countries' evaluation capacity (both with an average score of 4 out of 5). This confirms that DAC Members judge partners' enhanced ownership of development programmes as critical to the improvement of the quality and,

5. The Asian Development Bank has involved partner country staff in mission work and study preparation, but not in the evaluation, therefore it is considered to have not carried out joint evaluations

subsequently, aid performance. Permitting a greater role to partners in the formulation and management of aid is the first step to enhancing their commitment and involvement in the development process. Carrying out joint evaluations is the second step of this process, which increases sustainability, transparency and accountability of aid programmes.

54. According to donors, joint evaluations are useful as they can be used to improve evaluation capacity in partner countries. In fact, The deeper partner country representatives are involved in the evaluation process, the more widely they are exposed to new evaluation methods and approaches, and the learning process is smoother as a result. It is also true that the “learning by doing” training approach is, in general, efficient and effective regardless of the case-specific conditions.

55. DAC Members consider less fruitful to engage partner countries in joint evaluation with the aim of improving development programme performance, increasing the credibility of the evaluation findings or meeting general information needs. They gave an average score of respectively 3.7, 3.3 and 3.2 out of 5.

56. According to the responses of the questionnaire, multilateral donors have carried out joint evaluations primarily to obtain the partners’ views and prospective (with an average score of 4.2 out of 5). In all other cases, multilateral donors considered joint evaluations important for reasons, which differ from those of DAC Members (see Table 3).

57. Improving programme performance was indicated in the multilateral donors’ responses as the second most important reason (with an average score of 3.7 out of 5) for joint evaluations with partner countries. This was especially true for the regional banks, which have necessarily been more concerned with having good development programme economic results.

58. Enhanced partners ownership of the evaluation and improved partner country evaluation capacity (with respectively an average score of 3.2 and 2.7 out of 5) are, according to multilateral donors, the third and fourth most relevant reasons for undertaking partnership in evaluation. Unlike DAC Member countries, multilateral donors do not often use joint evaluations to benefit from the partners’ knowledge of programme activities and goals (the average score was of 2.5 out of 5).

Donors responses to the questionnaire on the scope and nature of the evaluation report

59. The responses to the questionnaire revealed that approaches differ widely among donors according to the type of development assistance programme to be evaluated. Who should be involved, and during which phase of an evaluation depends on whether the evaluation aims to assess project, sector, thematic (e.g. environment, gender, poverty reduction etc), or country programmes. For example, in the case of Danida, the 1992 country programme assessment of Bangladesh involved government planning ministry officers and private consultants during the planning and data collection phases of the evaluation. In the case of the 1996 environment and development evaluation, only programme beneficiaries and stakeholders contributed to the collection of data and information.

60. Answers to the questionnaire showed that in the majority of cases (approximately 80 per cent) donor and partner countries have carried out joint evaluations at project level. There are two reasons why partnership in evaluation may be more concentrated at project level. First, most aid from bilateral sources is still disbursed in the form of projects, although DAC Members have moved significantly towards a more programme-based way of delivering development assistance. Second, development projects have tended to be increasingly designed and implemented with the participation

of the beneficiaries, as increased participation leads to improved performance more directly in the case of the development project (World Bank, 1994).

61. Donors have also carried out participatory evaluations of thematic, country and sector development programmes, though to a lesser extent. For example Denmark, Ireland, New Zealand, Norway, and the European Commission have used participatory approaches in sector evaluations. More than half of donor countries (60 per cent) have gained experience with thematic and country programme participatory evaluations.

62. In a quarter of the cases (27 per cent), joint evaluations have included the participation of several donors whose development programmes share similar goals, and who are focused on the same partner country. For example, the Japanese evaluation of the poverty alleviation programme in Africa was jointly undertaken with UNDP. Among those who answered the questionnaire, only New Zealand, the European Commission and the Inter-American Development Bank have carried out joint evaluations with both partner and other donor country representatives.

63. According to donors' responses to the questionnaire, partner country representatives have, in most cases (approximately 83 per cent), been involved in joint evaluations to gather and analyse data. In 63 per cent of the cases, partner country representatives contributed to the planning and design phases of the evaluation cycle, and, in 57 per cent of the cases, to identifying evaluation findings, conclusions and recommendations.

64. None of the multilateral development banks, which responded to the questionnaire, have included partner countries in the planning and design phases of the evaluation cycle, while bilateral donors have done so more often. For example, Denmark, New Zealand, Switzerland and the European Commission have involved partner representatives more fully in the evaluation process by including them in the following phases: planning and design; gathering and analysing data; identifying evaluation findings, conclusions and recommendations.

65. The Swiss development agency (SDC) reported that partner country representatives were involved in the entire planning and evaluation process: "Local partners are involved to differing degrees. Generally they participate in workshops for the definition of the country programme. The most outstanding examples of involvement can be found in Burkina Faso and Benin where partner organisations from all sectors were invited to formulate their programmes and the expected SDC contribution. These inputs are considered in the formulation of country programmes" (SDC, 1999a). Similarly, in the case of Tanzania, SDC organised a series of workshops with partner country representatives, first of all to share the findings and recommendations of the previous country evaluation, and then to design the new evaluation programme. It is in DSc's plans to involve the same people in the implementation and evaluation of the future Tanzanian country programme (SDC, 1999b).

66. However, the Netherlands, in its response to the questionnaire, recognised that sometimes "Local evaluators play a subordinate role in relation to their expatriate colleagues. Since both the design and preparation of the evaluation and the final reporting all normally take place in the Netherlands, local evaluators have no part in them. They do, however, play an important role as facilitators providing access to groups of respondents and as interpreters of local and social phenomena".

67. In the case of the Netherlands, 27 per cent of past evaluation teams have comprised solely of Dutch evaluators, while only 2 per cent have comprised partner country representatives. In 71 per cent of cases, Dutch and partner country evaluators undertook evaluations jointly, but not fully. Similarly,

Norway indicated that “Partner countries are usually involved in all the phases of the evaluation process, *but not* in the design, management, and follow up phases. Partner country participants in the evaluation team *occasionally* operate as equal members”.

68. Multilateral development banks have disseminated or prepared follow-up action with the participation of partner countries, while only a small number of bilateral donors have done so. This is the case of the European Commission, Japan (OECD), New Zealand and Switzerland (e.g. in the case of the Tanzanian country programme).

69. In most cases (81 per cent) donors prefer to deal with government planning ministries or private consultants (75 per cent). Government line and executing agency officers, programme beneficiaries or research institutes have participated in joint evaluations at the same level (63 per cent), although to a lesser extent. However, multilateral and bilateral donors’ practices partially diverge from these general results. Bilateral donors tend to involve government planning ministries or research institutes in joint evaluations as much as private consultants (see Table 3), while multilateral donors prefer executing agency officers and private consultants to government line officers.

70. In the case of the Netherlands, most partner country nationals involved in joint evaluations were civil servants, and approximately 30 per cent, worked in the private sector. It is important to note that in 85 per cent of the cases the leader of the evaluation team was a Dutch national.

71. Some donors have used a more “holistic approach” to partnership in evaluation as they include simultaneously different stakeholders in the evaluation process. For example, Danida for the assessment of the transport sector in Ghana has planned to invite the participation of representatives from the line ministry (e.g. Ministry for Finance or Transport), the executing agencies, research institutes and private consultants.

72. NORWAY, in its answer to the questionnaire, indicated that “all categories mentioned [government planning ministry and co-ordination officers, government line ministries, executing agencies, research institutes, private consultants, programme beneficiaries and stakeholders] are involved in the evaluation process but not in the design, management and follow-up. Their involvement is basically as informants in various capacities”.

73. Sida’s evaluation of the “Health through Sanitation and Water” programme in Tanzania used a SWOT (Success, Weakness, Opportunities, Threats) workshop approach for participation. “The evaluation team had discussions at zonal and regional offices, had participatory SWOT workshops in nine districts, and focus group discussions and observations in 19 villages” (Sida, 1997).

74. From the findings presented in the above sections, it seems that most donors have asked partner country representatives to be part of evaluation teams at the project level, with the task of gathering data and information. According to their responses, partner country government planning and co-ordination officers have participated most often in the planning and designing of joint evaluations, as well as identifying evaluation findings and recommendations, but only rarely have they participated in disseminating results or preparing follow-up action. Private consultants have also often been included in the evaluation process, but as facilitators providing access to groups of respondents.

Donors’ view on factors impeding effective partnership in evaluation

75. The 1998 review of the *DAC Principles for the Evaluation of Development Assistance* has identified some of the difficulties encountered when implementing partnership in evaluation. These

included recipients' unwillingness, or lack of interest to participate in joint evaluations; time constraints and higher costs; communication problems and delays; increased complexities and, occasionally, political obstacles. The fact that partner countries have inadequate knowledge of donor countries' programmes has also been identified as one of the possible impediments to partnership in evaluation.

76. Donors' answers to the questionnaire confirmed that approximately 81 per cent of development agencies found partnership in evaluation to be a challenge. Lack of partner government commitment to the process, insufficient evaluation capacity within the partner country and discrepancies between the donor and partner country's objectives or reasons for carrying out the evaluation have been identified as the most relevant obstacles impeding an effective implementation of partnership in evaluation. They obtained respectively an average score of 3.4, 3.0 and 2.8 out of 5 (see Table 3). Lack of donor government commitment to the process was not indicated as a major obstacle to joint evaluations, although bilateral donors attached greater relevance to it than multilateral donors did.

77. According to multilateral donors' responses (especially those from the development banks), the strong focus on control and accountability of the evaluation is impeding most (with an average score of 3.0 out of 5) the realisation of joint evaluations with partner countries. According to them, this factor is second only to the lack of partner government commitment to the process (with an average score of 3.3 out of 5). However, most of multilateral donors have recently reoriented their evaluation strategies to use more evaluations as a source of knowledge to improve performance for future development programmes.

78. Governments in partner countries may not be as interested as donor governments are in assessing development assistance effectiveness as they do not share the same evaluation goals and objectives. Often, partner countries' main reasons to engage in joint evaluations is to exchange points of view and, sometimes, to negotiate an extension of the development programmes.

79. Moreover, according to donors' answers, partner countries often have limited interest in participating in the preparation of the terms of reference of evaluation studies. In general, they prefer to accept them and appoint local evaluators and they often manifest little interest in learning lessons to improve their own policy and development programme.

80. There are, of course, exceptions. For example when development programmes encounter some difficulties during the implementation phase, or when the extension of the project is questioned, then partner governments seek to have fuller involvement in the evaluation process and to learn lessons for their development policies (the Netherlands, 1995).

81. According to the survey results, donors still consider partner countries' limited evaluation capacity to be a stumbling block to the execution of joint evaluations. Although they have devoted some effort over several decades to strengthen it, evaluation capacity in many cases remains a major challenge for the development community.

82. The review of evaluation reports and studies on evaluation capacity development showed that three categories of factors are largely responsible for impeding partner countries' governments from having a strong evaluation capacity. The first is related to the demand for evaluation; the second relates to the supply; and the third to the mismatch existing between demand and supply.

83. On the demand side, although many partner countries have created an evaluation unit attached to the planning or finance ministry, they have not yet committed themselves to evaluation

activities. In many cases, Governments are not yet results-oriented. The need for accountability, participation, transparency, and the rule of law has only recently been considered necessary for improving governance practices. Moreover, the demand for evaluation comes more often from the donor community (which has limited influence), than from the partner countries' parliament or taxpayers.

84. These findings are confirmed by some commentaries that donors have added to their responses to the questionnaire. Finnida, for example, suggested that "a strong reason for the 'lack' of full partnership is the role of evaluations, which is still part of our (donor) procedure in our administration system". Similarly, the Netherlands reported that some partner countries (e.g. Pakistan) have a considerable evaluation capacity in the private and semi-governmental sectors (the Netherlands, 1995). This development in consultancy services in the private and semi-governmental sectors is mainly due to the demand from donors for local expertise to use in project formulation, supervision and evaluation.

85. On the supply side, development agencies have not always co-ordinated their activities internally and externally and has caused confusion and incoherence in the objectives and the expected development results. Partner countries were being urged to move in different directions by different donors. Differences in donors' evaluation and management requirements have also hindered partner countries' development of evaluation capacity. In addition, development programmes have been supply driven for a long time. Little attention has been given to the analysis of evaluation needs in partner countries.

86. The development of evaluation capacity in partner countries is also hindered by the mismatch existing between demand and supply. Sometimes, evaluation capacity is available in partner countries, but because of scarce or lack of information, it is not entirely exploited. In other cases, partner countries have developed evaluation capacity in the private sector. However, as partner countries' governments have been asked to accomplish other functions than evaluation and programme management, partner countries have developed, to a lesser extent, evaluation capacity in the public sector.

87. Commentaries which donors added to their responses confirmed the need for an improved matching between demand and supply for evaluation. For example, Norway indicates in its response that "Northern consultants familiar to the Ministry claim that a market of consultants and researchers is already in existence in many partner countries and that this market is rich and untapped from all disciplines. This market is not yet organised and largely unknown to staff of the Ministry".

88. According to the donors' responses, participatory evaluations often require considerable time, which is not feasible in all cases. As a result, many donors considered that lack of sufficient time to carry out evaluations can impede partnership in evaluation. For this reason, adequate forward planning is important.

89. Some donors (29 per cent) when faced with these concerns have decided not to carry out or limit the number of future joint evaluations with partner countries. This is the case with the Asian and Inter - American Development Banks, and the European Commission. Others have simply recognised that it takes longer, and is sometimes more expensive to involve partner countries in the evaluation process. For instance, New Zealand pointed out in its response that "Participatory evaluation is a complex process, which depends on a lot of different factors. Thus, it is necessary to balance time and cost against anticipated benefits".

90. Some donors' responses suggested different factors that impede effective partnership in evaluation from those included in the multiple-choice questions. For example, Norway indicated that their evaluations are not always fully undertaken in partnership with partner countries for the following reasons:

- (a) "A large part of our evaluations synthesises are based on experience and lessons from sector or country level. Nevertheless, the participation principle is observed while carrying out sector or project level evaluations.
- (b) A number of evaluations have dealt with multilateral aid issues or domestic interaction with foreign aid arrangements and practices. In these cases, partner countries' participation has not been seen as practical or necessary.
- (c) The issue of joint evaluations has, so far, not been strongly anchored in the Ministry's instructions and routines. Thus, the annual evaluation plans and terms of reference are worked out without the formal consultation of partner countries. Such plans may be sent to partner countries for comments, but this practice is not yet mandatory. However, practical problems of implementing the evaluation exercise in the field are regularly discussed with partner countries.
- (d) Terms of reference, which are worked out by the staff, will call for partner countries' participation in the evaluation teams, only when the evaluation is focused on Norwegian projects/programmes to individual countries or cluster of countries. ToRs are the basis for competitive bidding among Norwegian and/or international consultants. Until recently, the staff left it to the successful bidder to find suitable national evaluators to fill the partner countries' role in the evaluation.
- (e) A clearly stated policy intention on partner participation in evaluation in the operational manual is lacking."

91. Similarly, Finnida suggested that "the existing Finnida's evaluation guidelines are outdated and need to be rewritten. [...]. New, more participatory evaluation methods and new forms of feedback must be developed" (Finnida, 1996). Portugal suggested that it is having difficulties in undertaking joint evaluations with partner countries mainly because of "lack of experience in evaluation on both sides, although there are greater needs to promote evaluation capacity in partner countries". The Netherlands Development Agency noted that "since evaluation is often considered to be purely a donor exercise, it is not only difficult to carry out joint evaluations, but also to feed back lessons learned to partner countries". Among multilateral donors, the Inter-American Development Bank considers it difficult to carry out joint evaluations with partner countries because of "lack of staff continuity in project executing units".

Donors' suggestions for effective practices for evaluations

92. In their responses to the questionnaire, multilateral and bilateral donors' agreed that donor and partner governments' commitment to partnership is the most relevant prerequisite for effectively implementing partnership in evaluation (83 per cent). Finnida suggested that to enhance donor and partner governments' commitment to partnership, it is necessary to "promote strong leadership and ownership of the partner countries in initiating reform, in developing related policies and strategies and in designing the implementation programmes. Strong commitments to the reform process itself (the object of the evaluation) leads automatically to high interest in its evaluation. Then joint evaluation involving all relevant donors and the government also become possible". USAID and Norway also suggested that it is important for successful partnership in evaluation to "ensure partners

are involved in the planning of donor's programmes". Only if governments assure partnership at policy and programme level, is it possible for donor and partner countries to engage in an effective and fruitful partnership in evaluation.

93. DAC Members also stressed that for partnership in evaluation to be effective, it is essential that partner country representatives are included in all phases of the evaluation process (77 per cent). In the NGOs evaluation report (Finnida, 1997)', Finnida reaffirmed that "Participatory evaluation cannot be bolted on at the end of a project; it must be incorporated at the design stage. There are many instances when we cannot utilise participatory evaluation principles. Community participation in evaluation, that is participatory evaluation, is best suited to evaluations, which are designed to inform participants of the progress of their activities and to help them improve the design of their implementation approach. Participatory evaluation is ideally implemented in a project which has an explicit output of building community capacity to plan, manage, and evaluate project activities at the community level".

94. Conversely, multilateral donors' responses underlined that both donor and partner governments should not only be committed to partnership in evaluation but also to the utilisation of its findings (80 per cent). More widespread use of evaluation results and more fully informed partner countries can boost their interest and participation in joint evaluations and enhance their sense of responsibility, and thus ownership for development programmes and results.

95. Most donors (67 per cent), in their responses to the questionnaire, have stressed that it is also crucial for effective joint evaluations to share the same objectives. For this reason, both donor and partner country representatives should participate in the programming phase of the evaluation. Full participation of recipient countries' representatives helps to find and agree upon common objectives. A majority of donor respondents to the questionnaire (67 per cent) have emphasised that both time and resources are more crucial to effective partnership in evaluation, than simply partner country evaluation capacity alone.

96. Some donors in their responses suggested that differences in goals and objectives could eventually be minimised if donor and partner countries were to jointly finance their development programmes. In this way, they would be more likely to see evaluations as instruments for control and accountability. They could carry out joint evaluations to demonstrate to each other, and to the public, development programme effectiveness and good performance.

97. However, bilateral and multilateral donors do not share the same views on the most effective approaches for engaging partner country representatives in joint evaluations. Bilateral donors estimate that it is more useful to identify partner country nationals to participate in the definition of the evaluation's terms of reference (with a score of 4 out of 5); while multilateral donors think it more appropriate to identify partner country nationals to be members of the evaluation team (with a score of 4.3 out of 5). On the whole, donors think that these latter two modalities are the most effective, if full participation is to be attained.

98. According to bilateral donors' answers to the questionnaire (see Table 3), it is considered important to involve partner country representatives in the planning and design phases when carrying out joint evaluations (with a score of 4.8 out of 5). It also is important, although to a lesser extent (with a score of 4.0 out of 5) to jointly identify evaluation findings, conclusions and recommendations to be able to enhance partner countries' sense of ownership of the evaluation results.

99. According to multilateral donors, to successfully carry out joint evaluations, partner country representatives should be primarily involved in gathering and analysing data and information, and then in disseminating results and preparing an action plan to improve programme performance.

100. Bilateral donors share the view that it is useful to involve government officers, private consultants, as well as other stakeholders and beneficiaries in joint evaluations. The executing agency's staff, research institutes, and field staff's participation is considered less essential. On the other hand, multilateral donors think that for joint evaluations to be successful it is important to involve first partner countries' programme stakeholders and beneficiaries and then government and executing agency officers.

101. The majority of donor respondents note that participatory approaches are most appropriate for project, country programme and joint evaluations with other donor countries. Others hold the view that partnership practices in evaluation should be systematically employed regardless of the kind of programme, which needs to be evaluated.

102. Many suggested that joint evaluations should include means and instruments to develop evaluation capacity in partner countries. Donors agencies dispose of different tools to promote the development of evaluation capacity, notably "learning by doing" training (e.g. their involvement in the definition of questions, data collection, methods); or technical assistance to personnel, as part of monitoring programmes/projects, or other kinds of training.

103. Some donors in their responses recognised that evaluation know-how is more effectively transferred to partner country representatives when the latter are directly involved in a joint evaluation, since evaluation is a process of learning in itself. They suggested that public sector reforms can also open new opportunities to stimulate demand and increase supply of evaluation and performance management systems. Some countries, i.e. Denmark, the United States and the World Bank have recognised the importance of enhancing evaluation capacity in partner countries, and included this goal in their evaluation manuals or guidelines. Sida has suggested that, in order to develop evaluation capacity effectively, development agencies could also provide financial and technical resources to conduct programme evaluations separately from donors' projects. This could also create demand for evaluation independently from donors' needs.

104. The review of DAC Member countries' reports show that in deciding which instrument to use, donor development agencies should analyse the following factors to determine the opportunities and limitations of pursuing evaluation capacity development activities in partner countries:

- Ministries and other bodies' commitments to result-based management systems, and incentive systems under which they operate, if any.
- Decision-making processes, to have a more precise idea whom to target within governments.
- Current supply and demand of evaluations within the government or executing agencies to identify evaluation needs and gaps.
- Evaluation activities of other multilateral and bilateral development assistance programmes to avoid duplication and to consider the possibility of undertaking joint activities.
- Public sector reform processes, which may provide opportunities to undertake evaluation capacity support more effectively.

105. Suggestions have been made that joint evaluations could be promoted by using common evaluation methodologies and approaches and by co-ordinating sector, thematic and country programme evaluations among donors and with recipient countries. Some donors even suggested that partner countries could play the role of co-ordinator. For example Norway indicated that “One key requirement (for effective partnership) is an agreement on good evaluation practices so that donors can entrust concrete evaluation operation (of co-financed project and projects) to one lead agency (or a very small group of lead agencies) and the partners. This will lead to a cut in administrative costs and burdens associated with the current single donor initiative.”

106. Member agencies brought up other suggestions for effective partnership practices in evaluation. For example Norway suggested that partnership in evaluation should be made mandatory, and that some trade agreement, which does not allow nationality specification in services contracts, or the practice of tied aid, should be modified.

107. The Netherlands and New Zealand development agencies have proposed that evaluations should be designed from the outset as joint evaluations, possibly with the partner country’s participation. Terms of reference for the evaluations, the need for local evaluators and participation, should be discussed well in advance with partner countries when development assistance programmes are at the conceptual stage. France suggested that, to enhance the use of joint evaluations, it is important to link participation to use.

Table 3. Results from the questionnaire on partnership practices in evaluation: multilateral and bilateral donors' responses

II. Current partnership practices in evaluation

	Multilateral ⁶ Sub-total	Bilateral ⁷ Sub-total	Total
Q.II.1. Has your agency recently undertaken any joint evaluations with partners from developing countries?			
Yes	50%	73%	67%
No	50%	27%	33%
How many?	4	24	28
Are any joint evaluations with partner countries now being planned?			
Yes	25%	79%	60%
No	75%	21%	30%
How many?	2	2	4
Q.II.2. Based on your review of recent cases, what were the most relevant reasons for undertaking these joint evaluations with partner countries? Please rate the importance of each of the following factors by circling the most appropriate number -- from 1 (least relevant) to 5 (most relevant)			
Obtaining the partner's views and perspectives	4.2	4.2	4.2
Increasing the credibility of the evaluation findings	2.2	3.3	3.0
Enhancing the partner country's ownership of the evaluation	3.2	4.0	3.8
Improving programme performance	3.7	3.7	3.7
Benefiting from partner's knowledge of programme activities and goals	2.5	4.1	3.7
Meeting donor and partner country's information needs	1.5	3.2	2.7
Enhancing the partner country's evaluation capacity	2.7	4.0	3.7
Other. Please specify	--	--	--
Q.II.3. How have partner countries generally been involved in these joint evaluations?			
By inviting the partner country representatives to participate on the evaluation management group	25% ⁸	33%	31%
By selecting partner country nationals to be members of the evaluation team	75%	92%	88%
By selecting partner country nationals to participate in the definition of the evaluation's terms of reference (i.e., in determining the evaluation's objectives, questions, scope, methods, uses, etc.)	75%	58%	63%
By forming an advisory panel comprised of partner country nationals to advise the evaluation team and review findings	0%	33%	25%
By involving partner country nationals in the evaluation process via other roles e.g. key informant interviews; focus group members; researchers; interviewers; country regional experts, etc.	75%	83%	81%
Other. Please specify	25%	25%	25%

6. The category "Multilateral" donors includes: the multilateral banks (World Bank, African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank), the European Commission and the UNDP. Inter-American Development Bank provided two answers to the questionnaire.

7. The category "Bilateral" donors includes DAC Members: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States. Exceptionally, Greece was not included in the survey, as it has only recently become a DAC Member. France and Japan provided two answers to the questionnaire as the development programme is planned and implemented by different parts of the government.

8. As respondents left free to select more than one of the proposed answers, the sum does not equal 100 per cent.

II. Current partnership practices in evaluation	Multilateral Sub -total	Bilateral Sub -total	Total
Q.II.4. How have partner countries generally been involved in these joint evaluations?			
Project	67%	83%	80%
Sector programmes	100%	33%	47%
Thematic programme (e.g. environment; gender; poverty reduction, etc.)	100%	50%	60%
Country programme	67%	58%	60%
Joint evaluation with other donor countries	67%	17%	27%
Others. Please specify	--	--	--
Q.II.5. In which of the following evaluation phases or processes have partner country personnel typically participated?			
Planning and design	25%	67%	56%
Gathering and analysing the data	100%	83%	88%
Identifying the evaluation findings, conclusions and recommendations	50%	67%	63%
Disseminating results and preparing follow-up action	25%	50%	44%
Others. Please specify	--	25%	19%
Q.II.6. Who from the partner countries has usually been involved in the joint evaluation process?			
Government planning ministry – co-ordination officers.	100%	75%	81%
Government line ministry officers	50%	67%	63%
Executing agency	75%	58%	63%
Research institute	25%	75%	63%
Private consultant	75%	75%	75%
Field staff	25%	50%	44%
Programme beneficiaries and stakeholders	50%	67%	63%
Others. Please specify	50%	17%	25%
Q.II.7. Did your agency promote the development of evaluation capacity by conducting these joint evaluations with partner countries?			
Yes	75%	75%	75%
No	25%	25%	25%
Through a “learning by doing” approach (e.g. their involvement in the definition of questions, data collection, methods)	100%	75%	80%
Through training organised prior to the joint evaluation in the recipient country	33%	17%	20%
Through technical assistance personnel, as part of monitoring programme/project	33%	42%	40%
Others. Please specify.			--

III. Factors impeding effective partnership in evaluation: donors' view

	Multilateral Sub -total	Bilateral Sub - total	Total
Q.III.1 Based on your review, were any obstacles encountered by your agency while undertaking these evaluations in partnership with recipient countries?			
Yes	75%	92%	81%
No	25%	8%	13%
Q.III.2 To what extent has each of the following factors or obstacles impeded effective implementation of partnership in evaluation? Please rate each factor by circling the most appropriate number -- from 1 (least important) to 5 (most important). If a particular actor was never an impediment (i.e., was of no importance at all), just leave it blank.			
Lack of donor government's commitment to the process	1.3	2.4	2.1
Lack of partner government's commitment to the process	3.3	3.5	3.4
Donor and partner had different objectives/reasons for carrying out the evaluation	2.5	2.9	2.8
Insufficient evaluation capacity in the partner country	2.5	3.2	3.0
Inadequate time to carry out the evaluation	1.8	2.8	2.6
Inadequate resources to carry out the evaluation	2.3	1.9	2.0
Donor's unwillingness to participate	0.5	1.5	1.3
Partner's unwillingness to participate	2.3	1.5	1.7
Lack of leadership	1.8	1.4	1.5
Strong focus on control and accountability of the evaluation	3.0	1.8	2.1
Q.III.3 Have these obstacles had any consequences or impacts on the evaluation process?			
Higher costs	25%	20%	21%
Longer time	50%	50%	50%
Decision to not undertake or to limit the number of future joint evaluations with partner countries	75%	30%	29%
Others. Please indicate	--	--	--
Q.III.4 Did your agency consider any means to overcome any of these obstacles?			
Yes	50%	67%	62%
No	50%	33%	38%

VI. Donors' suggestions for good practices

	Multilateral Sub -Total	Bilateral Sub - total	Total
Q.IV.1. In your opinion, what are the key requirements for effectively implementing partnership in evaluation?			
Donor's and partner government's commitment to partnership	80%	85%	83%
Donor's and partner's participation in all phases of the evaluation process	40%	77%	67%
Partner and donor countries sharing common objectives/reasons for carrying out a joint evaluation	60%	69%	67%
Partner and donor countries sharing commitment to utilising the evaluation findings	80%	54%	61%
Adequate evaluation capacity in partner country	60%	62%	61%
Adequate time and resources	60%	69%	67%
Others. Please indicate	20%	15%	17%
Q.IV.2. In your view, how effective are the following approaches for engaging developing country partners in a joint evaluation? Please rate each of the following approaches from 1 (least effective) to 5 (most effective) by circling the appropriate number			
Invite the partner country representatives to participate in the evaluation management group	2.0	3.2	2.9
Identify partner country nationals to participate in the definition of the evaluation's Terms of Reference	3.0	4.0	3.8
Identify partner country nationals to be members of the evaluation team	4.3	3.9	4.0
Form an advisory panel comprised of partner country nationals to advise the evaluation team and review findings	2.0	2.3	2.3
Involve partner country nationals in the evaluation process via other roles e.g. key information interviews; focus group members; researchers, interviewers; country regional experts, etc.	2.8	3.8	3.5
Others. Please specify	--	--	--
Q.IV.3. In your opinion, what is the importance of involving partners at each of the following stages of the evaluation process? For each stage, please rate from 1 (least important) to 5 (most important) by circling the appropriate number.			
Planning and design	3.6	4.8	4.4
Gathering and analysing data and information	4.6	3.9	4.1
Identifying the evaluation findings, conclusions and recommendations	4.0	4.0	4.0
Disseminating results and preparing an action plan to improve programme performance	4.2	3.9	4.0
Others. Please specify	1.0	-	0.3
Q.IV.4. In your view, which types of personnel and institutions from partner developing countries is it most appropriate and useful to involve in evaluations?			
Government officers.	80%	62%	67%
Executing agency	80%	46%	56%
Research institute	60%	46%	50%
Private consultants	60%	62%	61%
Field staff	60%	46%	50%
Beneficiary and stakeholder representatives	100%	54%	67%
Others. Please specify	--	--	--

IV. Suggestions for good practices	Multilateral Sub - total	Bilateral Sub - total	Total
Q.IV.5. In your opinion, is it more suitable to undertake a joint evaluation with partners for particular types of evaluations?			
Yes	40%	54%	50%
No	60%	46%	50%
If yes, for which of the following is it more suitable?			
Project	67%	71%	70%
Sector programmes	67%	29%	40%
Thematic programme (e.g. environment; gender; poverty reduction; etc.)	67%	29%	40%
Country programme	67%	43%	50%
Joint evaluation with other donor countries	67%	57%	60%
Others. Please specify	--	--	--

Partner countries' current partnership practices in evaluation

108. Information on partner countries' evaluation policy and practices is scarce and insufficient to draw comprehensive conclusions. None of the partner countries that responded to the questionnaire submitted development policy statements, evaluation reports, manuals or guidelines that could be reviewed. Therefore, the analysis of partner countries' partnership practices in evaluation cannot cover to the same extent the issues that were included in the donor countries' partnership practices review.

109. As previously mentioned, only 37 per cent of the total surveyed partner countries responded to the questionnaire, which means that the results presented here are based on 7 answers. Consequently, these findings are statistically not significant. However, it is worth considering them as they can provide an indication of partner countries' views on joint evaluations with donor countries.

110. Half of the partner country representatives who answered the questionnaire gained some experience with partnership in evaluations (see Table 4). However, Morocco's director of the National Centre of Programme Evaluation (CNEP), indicated that the CNEP did not undertake any evaluation in partnership with donor countries because of "total lack of relations with donor countries". Similarly, the Zimbabwe National Economic Planning Commission did not carry out any joint evaluation with donor countries.

111. None of the partners⁹ took the initiative of carrying out a joint evaluation of development programmes. Several partner countries pointed out that, in most cases, evaluations are donor driven. In general, partners perceive that joint evaluations are carried out to facilitate donors in understanding and collecting information on programme performance.

112. In fact, those partner countries, who answered the questionnaire and who contributed to joint evaluations, considered improved programme performance as being the most relevant reason for undertaking a joint evaluation with donor countries (with a score of 4.3 out of 5). Otherwise, they became involved in partnership in evaluation to meet donor and partner countries' information needs

9. For the purpose of this study, the word "partners" comprises respondents from the following countries which were surveyed. It includes: Bolivia, Cape Verde, Costa Rica, Côte d'Ivoire, Egypt, Eritrea, Hungary, Indonesia, Madagascar, Malaysia, Mali, Morocco, Niger, South Africa, Sri Lanka, Tanzania, Uganda, Zimbabwe

(with a score of 4.0 out of 5). Partners also engaged in joint evaluations to obtain the donor's views and prospective (with a score of 3.3 out of 5), to enhance their ownership of the evaluation results as well as to increase credibility of the evaluation findings (both with a score of 3.0 out of 5).

113. Partners, when they took part in joint evaluations, were generally asked to be members of the evaluation team, form an advisory panel to advise the evaluation team and review findings, and be involved in the evaluation process as key informants (in 67 per cent of the cases). To a less extent, partners participated in the definition of the joint evaluation's terms of reference or in the evaluation management group (in 33 per cent of the cases).

114. According to partners' responses, in most cases they were engaged either in joint project evaluations with donor countries (100 per cent), or in joint evaluations of thematic programmes (e.g. environment; gender; poverty reduction - 75 per cent). None of them took part in joint evaluations involving several donor countries, while half of them gained experience with country programme evaluations and only 25 per cent of with joint sector evaluations.

115. Partner countries' responses show that, in most cases, they participated in the planning and design phases of joint evaluations, they gathered and analysed data, and they identified evaluation findings and recommendations when they undertook participatory evaluations.

116. Partner countries' answers to the questionnaire show that programme beneficiaries and stakeholders are more frequently (75 per cent of the cases) asked to take part in the evaluation process, than officers representing planning ministries or co-ordination officers, executing agency officers, research institutes and field staff (50 per cent of the cases). Private consultants are those who are the least frequently implicated in joint evaluations (25 per cent of the cases).

117. This brief overview shows that partners have, in most cases, undertaken joint evaluations at project level to improve programme performance and satisfy general information needs. They were asked to take part in the evaluation team and advisory panel or to play the role of key informant. In general, programme beneficiaries and stakeholders participate in the planning and design phases of joint evaluations, in gathering and analysing data, and in identifying evaluation findings and recommendations.

Partner countries' view on factors impeding effective partnership in evaluation

118. Most partner country representatives who responded to the questionnaire said that they did not encounter any obstacles while carrying out joint evaluations with donor countries (75 per cent). Only the Madagascar respondent pointed out that there were some difficulties as "donors and partners have different points of view, objectives and motivations. Donors tend to impose their rules during the process, and the evaluation methods often change. The ownership process is not evident"

119. However, partners' responses suggested that, in principle, the most relevant obstacle to partnership in evaluation is the difference between donor and partner countries' objectives or reasons for carrying out the evaluation (see Table 4). Donor countries' strong focus on control and accountability of the evaluation has also impeded the effective implementation of partnership in evaluation, as well as the lack of partner governments' commitment to the process.

120. According to partners, these obstacles have delayed the evaluation process and required longer periods of time for the completion of the evaluation reports. Moreover, the obstacle obliged to

limit the number of future joint evaluation, or not to undertake them at all. A small number of partners considered ways to overcome these obstacles.

121. Partners also suggested that the large number of different evaluation approaches and practices hindered their capacity to successfully contribute to joint evaluations. Each donor has different information requirements, which constantly change over time. To be able to engage in partnership in evaluation, partners have to continually receive training to gain experience, and thus, are never in the position to fully contribute to joint evaluations.

Partner countries' suggestions for effective practices for evaluations

122. Commitment by donor and partner governments to partnership and to utilising the joint evaluation findings for new development programme design, are according to partners the two key requirements for effectively implementing partnership in evaluation. Multilateral donors provided a similar response.

123. According to partners, it is most important for effectively implementing partnership in evaluation to be fully involved in the planning and design phases of the evaluation process (with a score of 4.1 out of 5). The Madagascar respondent suggested that “the participation and the motivations of both partner and donor countries should be considered during the whole evaluation process and not only at the planing and design phase.

124. Partners' responses show that the evaluation's terms of reference should be defined jointly by donor and partner countries in order to attain successful partnership in evaluation. Partner country nationals should also take part in the evaluation as key information interviewers, focus group members, researchers, country or regional experts.

125. Partners indicated in their responses to the questionnaire that executing agency officers, field staff and programme's beneficiaries and stakeholders are the personnel the most appropriate and useful to be involved in partnership in evaluation (67 per cent). To engage research institutes or private consultants in joint evaluations with donor countries is, according to partners, less efficient. The participation of government officers is considered even less fruitful.

126. Partners view thematic programme (100 per cent of the cases) and project (83 per cent) evaluations as the most suitable to undertake joint evaluations with donor countries (see Table 3). Sector or country programme evaluations are less interesting for partnership in evaluation (both 50 per cent). Differently from donors, partners consider appropriate to carry out joint evaluation with several donors

127. Partners also suggested that it is crucial to standardise donors' evaluation procedures in order to enhance frequency of joint evaluations. For this reason, an evaluation system could be developed and proposed to donors by partner countries. For example, the National Agriculture Research Organisation of Uganda, which was created in 1992 to undertake, promote and co-ordinate agricultural research, has recently developed a performance self-evaluation system. As this Research Organisation is mainly financed by the Ugandan Government and by some donors, the Head of the Planning, Monitoring and Evaluation Unit would like to propose to use this evaluation system to satisfy their different evaluation and information requirements.

Table 4. Results from the questionnaire partnership practices in evaluation’’: partner countries’ responses

II. Partner countries’ current partnership practices in evaluation

	Total
Q.II.1. Has your agency/institution recently undertaken any joint evaluations with donors countries?	
Yes	50%
No	50%
How many?	3
Are any joint evaluations with partner countries now being planned?	
Yes	57%
No	43%
How many?	--
Q.II.2 Based on your review of recent cases, what were the most relevant reasons for undertaking these joint evaluations with donor countries? Please rate the importance of each of the following factors by circling the most appropriate number -- from 1 (least relevant) to 5 (most relevant).	
Obtaining the donor’s views and perspectives	3.3
Increasing the credibility of the evaluation findings	3.0
Enhancing the partner country’s ownership of the evaluation	3.0
Improving programme performance	4.3
Benefiting from donor’s knowledge of programme activities and goals	2.8
Meeting donor and partner countries’ information needs	4.0
Enhancing the partner country’s evaluation capacity	2.0
Other. Please specify	--
Q.II.3 How have donor countries generally involved partner country representatives in these joint evaluations?	
By inviting the partner country representatives to participate on the evaluation management group	33%
By selecting partner country nationals to be members of the evaluation team	67%
By selecting partner country nationals to participate in the definition of the evaluation's terms of reference (i.e., in determining the evaluation objectives, questions, scope, methods, uses, etc.)	33%
By forming an advisory panel comprised of partner country nationals to advise the evaluation team and review findings	67%
By involving partner country nationals in the evaluation process via other roles e.g. key informant interviews; focus group members; researchers, interviewers; country regional experts, etc.	67%
Other. Please specify	--
Q.II.4 When your agency/institution was engaged in joint evaluations with donors, it has usually been for the following types of evaluation: (Check the appropriate boxes).	
Project	100%
Sector programmes	25%
Thematic programme(e.g. environment; gender; poverty reduction; etc)	75%
Country programme	50%
Joint evaluation with other donor countries	--
Others. Please specify	--

II. Current partnership practices in evaluation	Total
Q.II.5 In which of the following evaluation phases or processes have your country personnel typically participated? (Please check the appropriate boxes)	
Planning and design	75%
Gathering and analysing the data	75%
Identifying the evaluation findings, conclusions and recommendations	75%
Disseminating results and preparing follow-up action	25%
Others. Please specify	--
Q.II.6 Who from your countries has usually been involved in the joint evaluation process? (Please check the boxes that apply)	
Government planning ministry – co-ordination officers.	50%
Government line ministry officers	50%
Executing agency	50%
Research institute	50%
Private consultant	25%
Field staff	50%
Programme beneficiaries and stakeholders	75%
Others. Please specify	--
Q.II.7 Did your agency/institution promote the development of evaluation capacity by conducting these joint evaluations with donor countries	
Yes	75%
No	25%
Through a “learning by doing” approach (e.g. their involvement in the definition of questions, data collection, methods)	75%
Through training organised prior to the joint evaluation in the recipient country	--
Through technical assistance personnel, as part of monitoring programme/project	50%
Others. Please specify.	--

III. Factors impeding effective partnership in evaluation: partners' view

	Total
Q.III.1 Based on your review, were any obstacles encountered by your agency/institution while undertaking these evaluations in partnership with donor countries?	
Yes	25%
No	75%
Q.III.2. To what extent has each of the following factors or obstacles impeded effective implementation of partnership in evaluation? Please rate each factor by circling the most appropriate number -- from 1 (least important) to 5 (most important). If a particular factor was never an impediment (i.e., was of no importance at all), just leave it blank	
Lack of donor government's commitment to the process	0.7
Lack of partner government's commitment to the process	2.3
Donor and partner had different objectives/reasons for carrying out the evaluation	4.3
Insufficient evaluation capacity in the partner country	1.7
Inadequate time to carry out the evaluation	1.3
Inadequate resources to carry out the evaluation	1.3
Donor's unwillingness to participate	1.0
Partner's unwillingness to participate	1.7
Lack of leadership	1.3
Strong focus on control and accountability of the evaluation	2.7
Others. Please specify	--
Q.III.3. Have these obstacles had any consequences or impacts on the evaluation process? (Please check the boxes that apply)	
Higher costs	--
Longer time	67%
Decision to not undertake or to limit the number of future joint evaluations with partner countries	67%
Others. Please indicate	--
Q.III.4. Did your agency/institution consider any means to overcome any of these obstacles?	
Yes	33%
No	67%
If yes, please indicate which actions or means were taken to overcome which obstacles.	--

VI. Partners' suggestions for good practices

IV. Suggestions for good practices	Total
Q.IV.1. In your opinion, what are the key requirements for effectively implementing partnership in evaluation?	
Donor's and partner government's commitment to partnership	71%
Donor's and partner's participation in all phases of the evaluation process	57%
Partner and donor countries sharing common objectives/reasons for carrying out a joint evaluation	43%
Partner and donor countries sharing commitment to utilising the evaluation findings	71%
Adequate evaluation capacity in partner country	57%
Adequate time and resources	57%
Others. Please indicate	
Q.IV.2. In your view, how effective are the following approaches for engaging in a joint evaluation with donor countries? Please rate each of the following approaches from 1 (least effective) to 5 (most effective) by circling the appropriate number.	
Invite the partner country representatives to participate in the evaluation management group	3.3
Identify partner country nationals to participate in the definition of the evaluation's Terms of References	3.8
Identify partner country nationals to be members of the evaluation team	3.0
Form an advisory panel comprised of partner country nationals to advise the evaluation team and review findings	3.3
Involve partner country nationals in the evaluation process via other roles e.g. key information interviews; focus group members; researchers, interviewers; country regional experts, etc.	4.0
Others. Please specify	
Q.IV.3. In your opinion, what is the importance of be involved at each of the following stages of the evaluation process? For each stage, please rate from 1 (least important) to 5 (most important) by circling the appropriate number.	
Planning and design	4.1
Gathering and analysing data and information	2.9
Identifying the evaluation findings, conclusions and recommendations	3.3
Disseminating results and preparing an action plan to improve programme performance	2.9
Others. Please specify	
Q.IV.4. In your view, which types of personnel and institutions from donor countries is it most appropriate and useful to involve in evaluations? (Please check boxes that apply).	
Government officers.	33%
Executing agency	67%
Research institute	50%
Private consultants	50%
Field staff	67%
Beneficiary and stakeholder representatives	67%
Others. Please specify	
Q.IV.5. In your opinion, is it more suitable to undertake a joint evaluation with donors for particular types of evaluations	
Yes	71%
No	29%
If yes, for which of the following is it more suitable?	
Project	83%
Sector programmes	50%
Thematic programme (e.g. environment; gender; poverty reduction; etc.)	100%
Country programme	50%
Joint evaluation with other donor countries	33%
Others. Please specify	17%

IV. Conclusions and Recommendations

Conclusions

Development strategies and purpose and intended use of evaluations

128. This overview of donor and partner countries' partnership practices in evaluations, clearly confirm that, before carrying out a joint evaluation with a partner country, it is necessary to determine if a participatory evaluation approach is appropriate, and to what degree participation will be suitable. Several factors influence this decision: whether and to what extent development strategies and programmes have previously been designed and implemented with partner country involvement; the purpose and the intended use of the evaluation; the scope and nature of the evaluation report, and the available resources.

129. The review of donor countries' development policy statement, evaluation reports, manuals and guidelines showed that partnership cannot start only during the evaluation process. In fact, the more development strategies and programmes are jointly defined and implemented between donor and partner countries, the more partnership in evaluation is possible and effective. Similarly, the stronger the emphasis on lessons learned and external uses of evaluations are stated in donors' evaluation guidelines, the easier it is to carry out joint evaluations between donors and partner countries.

130. Both donors' and partners' responses suggested that government's commitment to partnership in development is the most relevant element to ensure successful partnership in evaluation. When the development strategy and programmes are identified and designed with the full participation of donor and partner countries, joint evaluation involvement is more appropriate and effective.

131. The evaluation reports and manuals overview also validate the idea that if evaluations are asked to respond to the need for internal control and accountability, full participation of partner country representatives in joint evaluations may not be the most appropriate approach. However, if evaluations are intended to be used principally to improve programme performance and increase the use of results, then it will be easier to envisage a wider partnership.

132. The survey results illustrated that donors decided to undertake joint evaluations with partner countries when they considered it crucial to the need for obtaining the partners' views and prospective. Otherwise, joint evaluations were conducted when they needed to enhance partner countries' sense of ownership of the findings.

133. In the case of partners, improved programme performance was considered as being the most relevant reason for undertaking joint evaluations with donor countries. Otherwise, partners got involved in partnership in evaluation to meet donor and partners countries' information needs.

The scope, nature of the evaluation and available resources

134. When deciding on whether it is appropriate to undertake joint evaluations with partner countries, and to what degree to involve them, donors have also considered the scope and nature of the evaluation, and the available resources. It is evident that country programme evaluations will require a different type of participation than that for project evaluations. Moreover, an appropriate division of

tasks among members of evaluation teams prevents overlap of responsibilities between partner and donor representatives.

135. According to donors' responses, it seems that most donors have asked partner country representatives to be part of evaluation teams at project level, with the task of gathering data and information. According to their responses partner country government planning and co-ordination officers have usually participated in the planning and designing of joint evaluations, as well as identifying evaluation findings and recommendations, but only rarely they have participated in disseminating results or preparing follow-up action. Private consultants have also tended to be included in the evaluation process, but as facilitators providing access to groups of respondents.

136. Similarly, partners undertook joint evaluations at project level to improve programme performance and satisfy general information needs. They were asked to take part in the evaluation team and advisory panel to play the role of key informants. In general, programme beneficiaries and stakeholder participate in the planning and design phase of joint evaluations, in gathering and analysing data; and identifying evaluation findings and recommendations.

Factors impeding the effective implementation of partnership in evaluation

137. Donors' answers to the questionnaire showed that development agencies found partnership in evaluation to be a challenge. Lack of partner government commitment to the process, insufficient evaluation capacity within the partner country and discrepancies between the donor and partner country's objectives or reasons for carrying out the evaluation have been identified as the most relevant obstacles impeding an effective implementation of partnership in evaluation. Time constraints were also indicated as an impediment to joint evaluations.

138. Partners' responses suggested that the most relevant obstacle to partnership in evaluation is the difference between donor and partner countries objective or reasons for carrying out the evaluation. They recognise that this obstacle has delayed the evaluation process and asked for longer period of time for the completion of the evaluation reports. Partners also suggested that the large number of differing evaluation approaches and practices hinders their capacity to successfully contribute to joint evaluations.

Recommendations to improve current partnership practices in evaluations

139. If partner and donor countries want to successfully move toward a fuller partnership in evaluation, they should consider the fact that, not only are new approaches and techniques to development co-operation are needed, but also a more empowering process. Different and more balanced ways of distributing responsibilities between partner and donor countries should be put in place in order to create an enabling framework for partnership.

140. According to the survey results, it is important to keep in mind that to have successful partnership in evaluation, partner and donor countries should, at least partially, share the same objectives. This normally calls for joint elaboration of goals and, thus, partner representatives' participation during the programming phases.

141. Donor and partner country governments should be committed at senior level to a joint evaluation process. For these reasons, evaluations should shift their focus away from the control and accountability functions, to become more of a learning instrument to improve development assistance

performance and to learn lessons. Parliament, stakeholders, beneficiaries and civil society in both donor and partner countries should be kept informed about the results of joint evaluations so as to enhance the sense of ownership, not only of the evaluation findings but also of the development programmes.

142. When planning joint evaluations, it is important to link participation to use. Therefore, it is worth spending time to think about whom will use them. It is a prime condition to identify whose needs will be necessary to address, and how, and organise mechanisms to disseminate evaluation reports. Possible mechanisms include: involving local embassies in the distribution of the findings, seminars and press conferences; discussions with partner representatives involved in previous evaluation findings, while planning new development programmes.

143. According to both donor and partner countries, it is important to allow sufficient time to carry out joint evaluations since participatory processes tend to take longer. During the design phase, it is necessary to plan the number of evaluators and financial resources needed, bearing in mind that joint evaluations generally involve more people and call for greater co-ordination.

144. It is also appropriate to consider to what extent partner countries will be able to share the costs of the evaluations, since this may be an indication of ownership. Moreover, it is important to ensure that partner and donor countries have sufficient evaluation capacity to carry out independent and credible evaluations.

145. When evaluation capacity is insufficient in partner countries, donor agencies can plan to take actions to develop this capacity, simultaneously as they carry out the joint evaluation. Donor agencies dispose of different tools to promote the development of evaluation capacity, notably “learning by doing” training (e.g. their involvement in the definition of questions, data collection, methods), or technical assistance to personnel, as part of monitoring programmes/projects, or other kinds of training.

146. Therefore, if donor and partner countries are to improve partnership practices in evaluations, they should consider the following:

Development programme planning and designing process

- Strengthen governments’ commitment to a partnership strategy for development.
- Facilitate reform within government policy, priority and practices, which enable participatory approaches.
- Move towards jointly designed, identified and implemented development strategies and programmes.
- Take into account the co-financing of development programmes, among donors and between donor and partner countries.
- Better anchor evaluation to development policy, by improving feedback and use of findings.

Evaluation process

- Jointly discuss objectives and uses of evaluations during the evaluation design phase, and find a common ground between donor and partner country interests.
- Involve donor and partner countries equally as representatives in the entire evaluation process.
- Put more emphasis on the need to learn lessons among evaluation goals as well as control and accountability requirements.
- Include requirements for participatory approaches in evaluation manuals and guidelines.
- Make participatory evaluation an integral component of a project's extension strategy and capacity development.
- Ensure that sufficient time, financial resources and evaluation capacity are available.
- Establish mechanisms to support evaluation capacity development.
- Create, and agree upon, common evaluation practices among donors.

V APPENDIXES

APPENDIX 1. DAC QUESTIONNAIRE FOR DONORS FOR A SURVEY ON PARTNERSHIP PRACTICES IN EVALUATION

Introduction

147. At its last meeting on 27-28 January 1999, the DAC Working Party on Aid Evaluation agreed to undertake work on partnership in evaluation, as part of the follow-up to the “Review of the DAC Principles for Evaluation of Development Assistance”. The objective is to extract and define good practices for partnership in evaluation based on the experience of DAC Member countries and their partners from developing countries, which could be applied more broadly in the field of development co-operation.

148. To develop this work the DAC Secretariat proposes to undertake a two-phase approach:

- a first phase during which a survey will be undertaken to identify and clarify current practices and obstacles to partnership in evaluation; and
- a second phase during which a good practices paper will be developed.

149. This questionnaire is part of the first phase. In the context of this work, partnership in evaluation comprises evaluations undertaken jointly or with the participation of both donors and partner stakeholders. The evaluation partnership concept also encompasses the capacity building aspect of joint evaluation and learning from past experience.

Scope of the questionnaire

150. The objective of the questionnaire is to obtain information on current partnership practices in evaluation. It also aims to clarify obstacles and identify suggestions for good practices for donor and partner countries.

151. This version of the questionnaire is designed for respondents from Member donor countries. Another version will be prepared for response by partners from developing countries.

152. This questionnaire has four sections: i) identification of the respondents; ii) current practices for partnership in evaluation; iii) factors impeding effective partnership in evaluation; iv) suggestions for good practices.

Procedure for responding to the questionnaire

153. Members themselves will be in the best position to determine how to proceed with preparing their response to the questionnaire. However, the process of responding can provide Members with an opportunity for a careful and independent self-evaluation of their donor agency's practices that facilitate partnership in evaluation. We suggest the following steps before responding:

- You may wish to review your agency's studies on lessons from joint evaluations with partner countries, possible relevant studies on ownership of evaluation findings, or individual evaluation reports which you recall have had a particularly strong partner involvement or where a lack of involvement has had repercussions. These may be useful when answering the questions.
- You may also wish to consult with colleagues within the evaluation office or elsewhere in your agency to broaden perspectives on experience with partnerships in evaluation.
- To facilitate the task of responding, multiple choice questions have been prepared. However, Members are strongly encouraged to supplement and elaborate on their answers with brief comments and notes at the end of each section or on a separate sheet. This will be particularly important for getting a complete picture and for capturing your additional thoughts and insights.

154. Respondents are asked to send the completed questionnaire so that it arrives by Friday 16 July 1999 at the following address: Ms. Maria Iarrera, OECD/DCD, RAN 1622, 2 rue André Pascal, 75775 Paris Cedex 16, France.

155. If you need any clarifications, please do not hesitate to contact Ms. Maria Iarrera (Tel: 33 (1) 45 25 16 48, Fax: 33 (1) 44 30 61 47, E-mail: Maria.Iarrera@oecd.org), Fax: 33 (1) 44 30 61 47).

WE WOULD LIKE TO THANK RESPONDENTS FOR THEIR TIME AND EFFORTS, AND STRESS THAT RESULTS FROM THIS SURVEY ARE A CRITICAL INPUT FOR THE ELABORATION OF THE WORK ON PARTNERSHIP IN EVALUATION.

I. Profile of the respondent

[If you are a member of the WP-EV, you need only to fill in your name]

First and Last Name:

Responsibility/Position title:

Organisation/Agency address:

Telephone:

Fax:

Email:

II. Current practices in joint evaluation with partner countries

This section of the questionnaire asks respondents for information about the practices of their donor agency in carrying out joint evaluations with partner countries. It should be based as much as possible upon a review of actual agency experience rather than personal opinions.

II.1 Has your agency recently undertaken any joint evaluations with partners from developing countries?

Yes

No

If yes, approximately how many during the last three years?

Please list some recent examples, specifying the evaluation's title, the year it was conducted, which the partner country was and the type of evaluation (e.g., project, sector programme, thematic, etc.)

Are any joint evaluations with partner countries now being planned?

Yes

No

If yes, please list them.

Comments:

II.2. Based on your review of recent cases, what were the most relevant reasons for undertaking these joint evaluations with partner countries? Please rate the importance of each of the following factors by circling the most appropriate number -- from 1 (least relevant) to 5 (most relevant).

Obtaining the partner's views and perspectives

Least relevant 1 2 3 4 5 *Most relevant*

Increasing the credibility of the evaluation findings

Least relevant 1 2 3 4 5 *Most relevant*

Enhancing the partner country's ownership of the evaluation

Least relevant 1 2 3 4 5 *Most relevant*

Improving programme performance

Least relevant 1 2 3 4 5 *Most relevant*

Benefiting from partner's knowledge of programme activities and goals

Least relevant 1 2 3 4 5 *Most relevant*

Meeting donor and partner countries' information needs

Least relevant 1 2 3 4 5 *Most relevant*

Enhancing the partner country's evaluation capacity

Least relevant 1 2 3 4 5 *Most relevant*

Other. Please specify

Comments:

II.3. How have partner countries generally been involved in these joint evaluations? (Please check the appropriate boxes).

- By inviting the partner country representatives to participate on the evaluation management group
- By selecting partner country nationals to be members of the evaluation team

- By selecting partner country nationals to participate in the definition of the evaluation's terms of reference (i.e., in determining the evaluation objectives, questions, scope, methods, uses, etc.)
- By forming an advisory panel comprised of partner country nationals to advise the evaluation team and review findings
- By involving partner country nationals in the evaluation process via other roles e.g. key informant interviews; focus group members; researchers, interviewers; country regional experts, etc.
- Other. Please specify

Comments:

II.4 When your agency has engaged in joint evaluations with partners, it has usually been for the following types of evaluation: (Check the appropriate boxes).

- Project
- Sector programmes
- Thematic programme (e.g. environment; gender; poverty reduction; etc.)
- Country programme
- Joint evaluation with other donor countries
- Others. Please specify

Comments:

II.5 In which of the following evaluation phases or processes have partner country personnel typically participated ? (Please check the appropriate boxes)

- Planning and design
- Gathering and analysing the data
- Identifying the evaluation findings, conclusions and recommendations
- Disseminating results and preparing follow-up action

- Others. Please specify

Comments:

II.6 Who from the partner countries has usually been involved in the joint evaluation process? (Please check the boxes that apply).

- Government planning ministry – co-ordination officers.
- Government line ministry officers
- Executing agency
- Research institute
- Private consultant
- Field staff
- Programme beneficiaries and stakeholders
- Others. Please specify

Comments:

For what reasons were the above participants selected for participation by your agency?
Please specify.

II.7 Did your agency promote the development of evaluation capacity by conducting these joint evaluations with partner countries?

- Yes
- No

If yes, how? (Please check the appropriate boxes)

- Through a “learning by doing” approach (e.g. their involvement in the definition of questions, data collection, methods)
- Through training organised prior to the joint evaluation in the recipient country

- Through technical assistance personnel, as part of monitoring programme/project
- Others. Please specify.

Comments:

III Factors impeding effective partnership in evaluation

This section of the questionnaire asks respondents for information about the obstacles their agency encountered while implementing joint evaluations with partners, and should be based on their review of agency experience.

III.1 Based on your review, were any obstacles encountered by your agency while undertaking these evaluations in partnership with recipient countries?

- Yes
- No

Comments:

III.2 To what extent has each of the following factors or obstacles impeded effective implementation of partnership in evaluation? Please rate each factor by circling the most appropriate number -- from 1 (least important) to 5 (most important). If a particular factor was never an impediment (i.e., was of no importance at all), just leave it blank.

Lack of donor government's commitment to the process

Least important 1 2 3 4 5 *Most important*

Lack of partner government's commitment to the process

Least important 1 2 3 4 5 *Most important*

Donor and partner had different objectives/reasons for carrying out the evaluation

Least important 1 2 3 4 5 *Most important*

Insufficient evaluation capacity in the partner country

Least important 1 2 3 4 5 *Most important*

Inadequate time to carry out the evaluation

Least important 1 2 3 4 5 *Most important*

Inadequate resources to carry out the evaluation

Least important 1 2 3 4 5 *Most important*

Donor's unwillingness to participate

Least important 1 2 3 4 5 *Most important*

Partner's unwillingness to participate

Least important 1 2 3 4 5 *Most important*

Lack of leadership

Least important 1 2 3 4 5 *Most important*

Strong focus on control and accountability of the evaluation

Least important 1 2 3 4 5 *Most important*

Others. Please specify

Comments:

III.3 Have these obstacles had any consequences or impacts on the evaluation process? (Please check the boxes that apply)

- Higher costs
- Longer time
- Decision to not undertake or to limit the number of future joint evaluations with partner countries
- Others. Please indicate

Comments

III.4 Did your agency consider any means to overcome any of these obstacles?

- Yes
- No

If yes, please indicate which actions or means were taken to overcome which obstacles.

IV. Suggestions for good practices

This section of the questionnaire solicits the suggestions, opinions and perspectives of the respondent concerning future good practices for joint donor-partner evaluations.

IV.1 In your opinion, what are the key requirements for effectively implementing partnership in evaluation?

- Donor's and partner government's commitment to partnership
- Donor's and partner's participation in all phases of the evaluation process
- Partner and donor countries sharing common objectives/reasons for carrying out a joint evaluation
- Partner and donor countries sharing commitment to utilising the evaluation findings
- Adequate evaluation capacity in partner country
- Adequate time and resources
- Others. Please indicate

Comments:

IV.2 In your view, how effective are the following approaches for engaging developing country partners in a joint evaluation? Please rate each of the following approaches from 1 (least effective) to 5 (most effective) by circling the appropriate number.

Invite the partner country representatives to participate in the evaluation management group

Least effective 1 2 3 4 5 *Most effective*

Identify partner country nationals to participate in the definition of the evaluation's Terms of References

Least effective 1 2 3 4 5 *Most effective*

Identify partner country nationals to be members of the evaluation team

Least effective 1 2 3 4 5 *Most effective*

Form an advisory panel comprised of partner country nationals to advise the evaluation team and review findings

Least effective 1 2 3 4 5 *Most effective*

Involve partner country nationals in the evaluation process via other roles e.g. key information interviews; focus group members; researchers, interviewers; country regional experts, etc.

Least effective 1 2 3 4 5 *Most effective*

Others. Please specify

Comments:

IV.3 In your opinion, what is the importance of involving partners at each of the following stages of the evaluation process ? For each stage, please rate from 1 (least important) to 5 (most important) by circling the appropriate number.

Planning and design

Least important 1 2 3 4 5 *Most important*

Gathering and analysing data and information

Least important 1 2 3 4 5 *Most Important*

Identifying the evaluation findings, conclusions and recommendations

Least important 1 2 3 4 5 *Most Important*

Disseminating results and preparing an action plan to improve programme performance

Least important 1 2 3 4 5 *Most important*

Others. Please specify

Comments:

IV.4 In your view, which types of personnel and institutions from partner developing countries is it most appropriate and useful to involve in evaluations? (Please check boxes that apply).

- Government officers.
- Executing agency
- Research institute
- Private consultants
- Field staff
- Beneficiary and stakeholder representatives
- Others. Please specify

Please discuss below whether you think the appropriateness of each of these partner/institutions might vary according to characteristics of the evaluation or programme being evaluated. For example, whether it is an impact or process evaluation; whether it concerns a project, sector programme, thematic programme, country programme, etc.; according to size or political implications of the programme, etc.

IV. 5 In your opinion, is it more suitable to undertake a joint evaluation with partners for particular types of evaluations?

- Yes
- No

If yes, for which of the following is it more suitable?

- Project
- Sector programmes
- Thematic programme (e.g. environment; gender; poverty reduction; etc.)
- Country programme
- Joint evaluation with other donor countries
- Others. Please specify

Comments:

IV.6 If you were asked for advice on how to promote more effective practices in joint evaluations between donor and partner countries, what would be your three most important suggestions?

(f)

(g)

(h)

APPENDIX 2. DAC PARTNERS QUESTIONNAIRE FOR A SURVEY ON PARTNERSHIP PRACTICES IN EVALUATION

Introduction

156. At its last meeting on 27-28 January 1999, the Working Party on Aid Evaluation to the OECD/Development Assistance Committee (DAC) agreed to undertake work on partnership in evaluation, as part of the follow-up to the “Review of the DAC Principles for Evaluation of Development Assistance”. The objective is to extract and define good practices for partnership in evaluation based on the experience of DAC Member countries and their partners from developing countries, which could be applied more broadly in the field of development co-operation.

157. To develop this work the DAC Secretariat proposes to undertake a two-phase approach:

- a first phase during which a survey will be undertaken to identify and clarify current practices and obstacles to partnership in evaluation; and
- a second phase during which a good practices paper will be developed.

158. This questionnaire is part of the first phase. In the context of this work, partnership in evaluation comprises evaluations of development assistance programme or project undertaken jointly or with the participation of both donors and partner stakeholders. The evaluation partnership concept also encompasses the capacity building aspect of joint evaluation and learning from past experience.

Scope of the questionnaire

159. The objective of the questionnaire is to obtain information on current partnership practices in evaluation. It also aims to clarify obstacles and identify suggestions for good practices for partner and donor countries.

160. This version of the questionnaire is designed for respondents from partner countries.

161. This questionnaire has four sections: i) identification of the respondents; ii) current practices for partnership in evaluation; iii) factors impeding effective partnership in evaluation; iv) suggestions for good practices.

Procedure for responding to the questionnaire

162. Respondents themselves will be in the best position to determine how to proceed with preparing their response to the questionnaire. However, the process of responding can provide partner countries with an opportunity for a careful and independent self-evaluation of their practices in evaluation of development assistance programmes, which facilitate ownership. We suggest the following steps before responding:

- You may wish to review studies or joint evaluations undertaken with donor countries, possible relevant studies on ownership of evaluation findings, or individual evaluation reports which you recall your agency/institution has had a particularly strong involvement or where a lack of involvement has had repercussions. These may be useful when answering the questions.
- You may also wish to consult with colleagues to broaden perspectives on experience with partnerships in evaluation.
- To facilitate the task of responding, multiple choice questions have been prepared. However, respondents are strongly encouraged to supplement and elaborate on their answers with brief comments and notes at the end of each section or on a separate sheet. This will be particularly important for getting a complete picture and for capturing your additional thoughts and insights.

163. Respondents are asked to send the completed questionnaire so that it arrives by Friday 20 August 1999 at the following address: Ms. Maria Iarrera, OECD/DCD, RAN 1622, 2 rue André Pascal, 75775 Paris Cedex 16, France.

164. If you need any clarifications, please do not hesitate to contact Ms. Maria Iarrera (Tel: 33 (1) 45 25 16 48, Fax: 33 (1) 44 30 61 47, E-mail: Maria.Iarrera@oecd.org), Fax: 33 (1) 44 30 61 47).

WE WOULD LIKE TO THANK RESPONDENTS FOR THEIR TIME AND EFFORTS, AND STRESS THAT RESULTS FROM THIS SURVEY ARE A CRITICAL INPUT FOR THE ELABORATION OF THE WORK ON PARTNERSHIP IN EVALUATION.

I. Profile of the respondent

First and Last Name:

Responsibility/Position title:

Organisation/Agency address:

Telephone:

Fax:

Email:

II. Current practices in joint evaluation with donor countries

This section of the questionnaire asks respondents for information about their practices in carrying out joint evaluations with donor countries. It should be based as much as possible upon a review of actual experience rather than personal opinions.

II.1 Has your agency/institution recently undertaken any joint evaluations with donor countries?

Yes

No

If yes, approximately how many during the last three years?

Please list some recent examples, specifying the evaluation's title, the year it was conducted, which the donor country was and the type of evaluation (e.g., project, sector programme, thematic, etc.)

Are any joint evaluations with donor countries now being planned?

Yes

No

If yes, please list them.

Comments:

II.2. Based on your review of recent cases, what were the most relevant reasons for undertaking these joint evaluations with donor countries? Please rate the importance of each of the following factors by circling the most appropriate number -- from 1 (least relevant) to 5 (most relevant).

Obtaining the donor's views and perspectives

Least relevant 1 2 3 4 5 *Most relevant*

Increasing the credibility of the evaluation findings

Least relevant 1 2 3 4 5 *Most relevant*

Enhancing ownership of the evaluation

Least relevant 1 2 3 4 5 *Most relevant*

Improving programme performance

Least relevant 1 2 3 4 5 *Most relevant*

Benefiting from knowledge of donor's programme activities and goals

Least relevant 1 2 3 4 5 *Most relevant*

Meeting donor and partner countries' information needs

Least relevant 1 2 3 4 5 *Most relevant*

Enhancing your evaluation capacity

Least relevant 1 2 3 4 5 *Most relevant*

Other. Please specify

Comments:

II.3. How have donor countries generally involved partner country representatives in these joint evaluations? (Please check the appropriate boxes).

- The partner country representatives was invited to participate on the evaluation management group
- Partner country nationals were selected to be members of the evaluation team

- Partner country nationals were selected to participate in the definition of the evaluation's terms of reference (i.e., in determining the evaluation objectives, questions, scope, methods, uses, etc.)
- An advisory panel was formed, which comprised partner country nationals to advise the evaluation team and review findings
- Partner country nationals were involved in the evaluation process via other roles e.g. key informant interviews; focus group members; researchers, interviewers; country regional experts, etc.
- Other. Please specify

Comments:

II.4 When your agency/institution was engaged in joint evaluations with donors, it has usually been for the following types of evaluation: (Check the appropriate boxes).

- Project
- Sector programmes
- Thematic programme (e.g. environment; gender; poverty reduction; etc.)
- Country programme
- Joint evaluation with other donor countries
- Others. Please specify

Comments:

II.5 In which of the following evaluation phases or processes have your country personnel typically participated? (Please check the appropriate boxes)

- Planning and design
- Gathering and analysing the data
- Identifying the evaluation findings, conclusions and recommendations
- Disseminating results and preparing follow-up action

- Others. Please specify

Comments:

II.6 Who from your countries has usually been involved in the joint evaluation process? (Please check the boxes that apply).

- Government planning ministry – co-ordination officers.
- Government line ministry officers
- Executing agency
- Research institute
- Private consultant
- Field staff
- Programme beneficiaries and stakeholders
- Others. Please specify

Comments:

For what reasons were the above participants selected for participation? Please specify.

II.7 Did your agency/institution promote the development of evaluation capacity by conducting these joint evaluations with donor countries?

- Yes
- No

If yes, how? (Please check the appropriate boxes)

- Through a “learning by doing” approach (e.g. their involvement in the definition of questions, data collection, methods)
- Through training organised prior to the joint evaluation in your country
- Through donor technical assistance personnel, as part of monitoring programme/project

- Others. Please specify.

Comments:

III Factors impeding effective partnership in evaluation

This section of the questionnaire asks respondents for information about the obstacles encountered while implementing joint evaluations with donors, and should be based on their review of agency experience.

III.1 Based on your review, were any obstacles encountered by your agency/institution while undertaking these evaluations in partnership with donor countries?

- Yes
- No

Comments:

III.2 To what extent has each of the following factors or obstacles impeded effective implementation of partnership in evaluation? Please rate each factor by circling the most appropriate number -- from 1 (least important) to 5 (most important). If a particular factor was never an impediment (i.e., was of no importance at all), just leave it blank.

Lack of donor government's commitment to the process

Least important 1 2 3 4 5 Most important

Lack of partner government's commitment to the process

Least important 1 2 3 4 5 Most important

Donor and partner had different objectives/reasons for carrying out the evaluation

Least important 1 2 3 4 5 Most important

Insufficient evaluation capacity in the partner country

Least important 1 2 3 4 5 Most important

Inadequate time to carry out the evaluation

Least important 1 2 3 4 5 *Most important*

Inadequate resources to carry out the evaluation

Least important 1 2 3 4 5 *Most important*

Donor's unwillingness to participate

Least important 1 2 3 4 5 *Most important*

Partner's unwillingness to participate

Least important 1 2 3 4 5 *Most important*

Lack of leadership

Least important 1 2 3 4 5 *Most important*

Strong focus of donor country on control and accountability of the evaluation

Least important 1 2 3 4 5 *Most important*

Others. Please specify

Comments:

III.3 Have these obstacles had any consequences or impacts on the evaluation process? (Please check the boxes that apply)

- Higher costs
- Longer time
- Decision to not undertake or to limit the number of future joint evaluations with partner countries
- Others. Please indicate

Comments

III.4 Did your agency/institution consider any means to overcome any of these obstacles?

- Yes
- No

If yes, please indicate which actions or means were taken to overcome which obstacles.

IV. Suggestions for good practices

This section of the questionnaire solicits the suggestions, opinions and perspectives of the respondent concerning future good practices for joint donor-partner evaluations.

IV.1 In your opinion, what are the key requirements for effectively implementing partnership in evaluation?

- Donor's and partner government's commitment to partnership
- Donor's and partner's participation in all phases of the evaluation process
- Partner and donor countries sharing common objectives/reasons for carrying out a joint evaluation
- Partner and donor countries sharing commitment to utilising the evaluation findings
- Adequate evaluation capacity in partner country
- Adequate time and resources
- Others. Please indicate

Comments:

IV.2 In your view, how effective are the following approaches for engaging in a joint evaluation with donor countries? Please rate each of the following approaches from 1 (least effective) to 5 (most effective) by circling the appropriate number.

Be invited to participate in the evaluation management group

Least effective 1 2 3 4 5 *Most effective*

Participate in the definition of the evaluation's Terms of References

Least effective 1 2 3 4 5 *Most effective*

Be members of the evaluation team

Least effective 1 2 3 4 5 *Most effective*

Form an advisory panel comprised of partner country nationals to advise the evaluation team and review findings

Least effective 1 2 3 4 5 *Most effective*

Be involved in the evaluation process via other roles e.g. key information interviews; focus group members; researchers, interviewers; country regional experts, etc.

Least effective 1 2 3 4 5 *Most effective*

Others. Please specify

Comments:

IV.3 In your opinion, what is the importance of be involved at each of the following stages of the evaluation process? For each stage, please rate from 1 (least important) to 5 (most important) by circling the appropriate number.

Planning and design

Least important 1 2 3 4 5 *Most important*

Gathering and analysing data and information

Least important 1 2 3 4 5 *Most Important*

Identifying the evaluation findings, conclusions and recommendations

Least important 1 2 3 4 5 *Most Important*

Disseminating results and preparing an action plan to improve programme performance

Least important 1 2 3 4 5 *Most important*

Others. Please specify

Comments:

IV.4 In your view, which types of personnel and institutions from your country is it most appropriate and useful to involve in evaluations? (Please check boxes that apply).

- Government officers.
- Executing agency
- Research institute
- Private consultants
- Field staff
- Beneficiary and stakeholder representatives
- Others. Please specify

Please discuss below whether you think the appropriateness of each of these partner/institutions might vary according to characteristics of the evaluation or programme being evaluated. For example, whether it is an impact or process evaluation; whether it concerns a project, sector programme, thematic programme, country programme, etc.; according to size or political implications of the programme, etc.

IV. 5 In your opinion, is it more suitable to undertake a joint evaluation with donors for particular types of evaluations?

- Yes
- No

If yes, for which of the following is it more suitable?

- Project
- Sector programmes
- Thematic programme (e.g. environment; gender; poverty reduction; etc.)
- Country programme
- Joint evaluation with other donor countries
- Others. Please specify

Comments:

IV.6 If you were asked for advice on how to promote more effective practices in joint evaluations between donor and partner countries, what would be your three most important suggestions?

1.

2.

3.

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