ENHANCING EVALUATION CAPACITY IN NEPAL

Proceedings of a Series of Three Meetings
held in Kathmandu, Nepal,
During August and September 2013

National Planning Commission Secretariat
January 2014

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PREFACE

The National Planning Commission (NPC) has accorded high priority to institutionalizing the evaluation of on-going or completed programmes and projects, in order to make decision making processes evidence-based. One of the major areas in which more focus is needed in this institutionalization process is building the capacity of both those who commission or facilitate evaluations and those who conduct evaluations. Evaluation capacities are important to ensure that objectivity in the evaluation process improve its quality and ultimately increase the use of evaluations in decision making processes. In this context, the NPC has conducted a networking meeting with the support of UN agencies (UNDP, UNICEF and UNFPA) in Nepal,followed by a policy forum with the support of the Strengthening Monitoring and Evaluation System (SMES II) project. The meetings and forum were attended by representatives of government agencies and professional networks of evaluators and experts, including those from evaluation societies of Malaysia, Sri Lanka and Japan.

This report is primarily a record of the proceedings of three meetings on enhancing evaluation capacityin Nepal, conducted in Kathmandu during August and September 2013. In addition, it includes the concept note that was developed prior to the series of meetings and the review paper produced by a consultant to provide information on the current enabling environment and the status of evaluation capacity development in Nepal. Annexed to the report are the PowerPoint presentations from the meetings, as well as administrative information on the meetings, and additional information related to the review paper.

I would like to thank all resource persons and participants of all the three events for their valuable inputs and solid recommendations to institutionalize evaluation in the country. The recommendations will be incorporated in the M&E plan of the Commission and gradually implemented, with support from various partners.

Yuba Raj Bhusal
Member Secretary
National Planning Commission
8th January 2014

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ACRONYMS

ADB	Asian Development Bank
CARE	CARE Nepal
CBS	Central Bureau of Statistics
COE	Community of Evaluators
DAC	Development Assistance Committee
DEO	District Education Office/Officer
DfID	Department for International Development
GoN	Government of Nepal
HMGN	His Majesty's Government of Nepal
ICT	Information and Communications Technology
IIDS	Institute for Integrated Development Studies
INGO	International Non-Governmental Organization
JICA	Japan International Cooperation Agency
KU	Kathmandu University
LM	Line Ministry
LSGA	Local Self-Governance Act
M&E	Monitoring and Evaluation
MDAC	Ministerial Level Development Action Committee
MDASC	Ministerial Level Development Action Sub-Committee
MES	Malaysian Evaluation Society
MoF	Ministry of Finance
MoFALD	Ministry of Federal Affairs and Local Development
MoFSC	Ministry of Forests and Soil Conservation
MoGA	Ministry of General Administration
MoHP	Ministry of Health and Population
MoWCSW	Ministry of Women, Children and Social Welfare
NASC	Nepal Administrative Staff College
NDAC	National Development Action Committee
NDASC	National Development Action Sub-Committee
NGO	Non-Governmental Organization
NPC	National Planning Commission
NPCS	National Planning Commission Secretariat
OECD	Organization of Economic Cooperation and Development
OPMCM	Office of the Prime Minister and Council of Ministers
PM&E	Planning, Monitoring and Evaluation
RCT	Randomized Control Trial
RD	Regional Director/Directorate
ROSA	Regional Office for South Asia
SIAS	South Asian Institute for Advance Studies
SLEvA	Sri Lanka Evaluation Association
SMC	Supervision and Monitoring Committee
SMES	Project for Strengthening Monitoring and Evaluation System
SWC	Social Welfare Council
SWOT	Strengths, Weaknesses, Opportunities,Threats
TESA	Teaching Evaluation in South Asia
ToR	Terms of Reference
ToT	Training of Trainers
TU	Tribhuvan University
UN	United Nations
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
VDC	Village Development Committee
VOPE	Voluntary Organization of Professional Evaluators

Executive Summary

The National Planning Commission (NPC) has recently brought into implementation of National M&E Guidelines (2013), which provide concepts, methods of evaluation and indicators at different levels, developed in consultation with relevant government agencies, and with the inputs of external development partners. The NPC started undertaking strategic evaluations of key programs/projects over the past decade. Evaluation has been largely limited to externally funded projects. Overall, promoting an evaluation culture at various levels, utilizing evaluation recommendations, securing a higher level policy commitment to evaluation, and addressing capacity gaps in managing evaluations are some of the important areas which require further attention in Nepal. In this context, three meetings were organized with M&E professionals working in public, private, bilateral and multilateral sectors by NPC to review the existing program/project evaluation capacity, and the enabling environment in the country. First, a preliminary meeting on enhancing evaluation capacity in Nepal was held on 7 August 2013. A second meeting with the network of professional evaluators was held from 9-10 September 2013, and the monitoring and evaluation policy forum meeting was held on 11 September 2013 in Kathmandu. This report is the record of those meeting proceedings.

The main objective of these meetings was to facilitate evaluation capacity building by assessing the enabling environment, and improving evaluation capacity among evaluators/firms/networks and capacity building institutions in Nepal. Specific objectives were: to assess enabling evaluation environment (legislation, policies, procedures and guidelines, institutional environment, and implementation, etc.); identify areas in evaluation that need capacity building (among evaluators' professional society of evaluators, research, training and evaluation institutes); identify potential models for strengthening evaluation capacity, including lessons from other countries; assess knowledge and information sharing needs among evaluators, and existing and potential tools to overcome these gaps; present national and regional institutions that could play important role in capacity building; and formulate a draft action plan. A series of meetings were organized among the professionals to achieve these objectives.

The preliminary meeting was held on 7 August 2013. The primary objective of this meeting was to enhance discussion and dialogue among the professionals and policy makers, review the role of monitoring and evaluation in the Government planning process, and develop a methodology to review the national evaluation capacity and enabling environment in Nepal. This meeting also resulted in the planning of the meeting with the network of evaluation professionals, the planning of the policy forum and the development of a situation report on the enabling environment and evaluation capacity development in Nepal.

The meeting with the network of professional evaluators was held as a follow up to first meeting. The meeting aimed to enhance dialogue and cooperation on evaluation between government agencies, network of professional evaluators, civil society and training institutions. Four papers, entitled: National Evaluation Systems for Evidence Based Policy Making; Development of an Evaluation Culture Based on Sri Lankan Experience; Multi-Dimensional Approach to Institutionalization of Evaluation in the Public Sector-Based on Malaysian Experience; and Enabling Environment and Evaluation Capacity in Nepal were presented in plenary session. After the plenary session, the participants were divided into four groups: policy regulatory framework; capacity building; use of evaluations; and quality of independent evaluations. Based on group discussion and SWOT analysis, the groups recommended different actions, strategies, and policy frameworks to strengthen the evaluation system in Nepal. The recommendations given by this meeting were presented and discussed in the policy forum meeting for finalization.

The Monitoring and Evaluation Policy Forum meeting was held on 11 September 2013. The objective of the Forum was to find out the factors influencing the use of M&E results and policy environment for evidence based M&E in Nepal. Four papers were presented in plenary session of this meeting entitled: Factors for Influencing the Use of M&E Results; Policy Environment for Evidence Based M&E; Best Practices of Evidence Based M&E; and Institutionalization of Evaluation System in Nepal and Recommendations of Professional Network Meeting. The participants discussed these important issues presented by the expert facilitators and reviewed the recommendations of the previous meeting. This meeting was attended by high level policy makers, including secretaries of ministries.

The policy forum meeting discussed and finalized the recommendations to strengthen the national evaluation system. Major recommendations included: develop a results-based framework with key performance indicators for all sectoral ministries; develop costed M&E plan (government to allocate and development partners to mobilize funding for evaluation); implement guidelines defining quality standards for evaluation processes (norms and standards (ethics), including for NGO/INGOs); strengthen oversight functions of NPC in evaluation by involving different stakeholders; recognize M&E as a core function of public management; establish accreditation/certification and ongoing training, tailor-made for civil service; develop comprehensive communication strategy on evaluation processes for all stakeholders; prepare consolidated evaluation recommendations with policy implications (separate unit/experts inputs); implement participatory approach in programme cycle; create separate PM&E cadre to promote retention of staff in M&E units; incorporate key activities of management response plan in the ToR of responsible units/staff; include evaluation reform as part of overall development management reform process; conduct monitoring of M&E ministries from NPC for efficient use of M&E budget; improve data quality (including baseline data), management (MISs, survey) and use in evaluation; expand use of ICT for data management, planning, monitoring and reporting; prepare M&E policy and regulations; and establish evaluation training in universities to strengthen the evaluation system in Nepal.

SECTION 1

Concept Note on Enhancing Evaluation Capacity in Nepal

1.1   Background

The National Planning Commission (NPC) has recently approved and implemented the National M&E Guidelines, 2013 that was developed in consultation with line ministries and development partners. The Guidelines internalized the Results Based Monitoring and Evaluation (RBME) approaches, and designed indicators to track the results of development interventions. Moreover, it emphasizes the need for results-based evaluation and independent evaluation of policies, programmes and projects. It clarifies concepts and methods of evaluation and provides indicators for different levels of evaluation.

The NPC started undertaking strategic evaluations of key programs in the past several years. Evaluation has been largely limited to externally funded projects. Some of the important areas highlighted for improvement in Nepal include the promotion of an evaluation culture at various levels, utilization of evaluation recommendations, higher level policy commitment, and addressing capacity gaps in managing evaluation. NPC has initiated an assessment of the quality of 29 evaluations conducted by engaging third parties. Improving the quality of evaluation, maintaining independence and promoting the use of findings have been a priority, as well as challenge. Nonetheless, Nepal is yet to make a serious effort to strengthen the national evaluation system.

The demand for evaluations in Nepal is mostly met by consultancy firms and individuals. The availability of genuinely evaluation-focused agencies is limited, and there is scope for further improving evaluation standards. An additional obstacle is a lack of coordination among evaluation agencies. There are few active forums for sharing evaluation knowledge effectively. Existing evaluation forums include the Evaluation Society of Nepal and the recently established Community of Evaluators-Nepal (CoE - Nepal; 2012). The latter successfully co-hosted the Evaluation Conclave on Evaluation for Development from 26 February to 1 March 2013 in Kathmandu, Nepal. Although these are significant initiatives, the Government expressed a need to focus on a broader consultation with national stakeholders on evaluation capacity building.

There are several stakeholders working to promote development evaluation in Nepal. NPC has played an important role in guiding evaluation, while sectoral partners, I/NGOs and other institutions such as CERID, SEDA, CENAS and Staff College have engaged in evaluations of their development programmes and projects.

The Rolling Work Plan 2013-15 agreed between GoN/NPC and UNICEF includes support to evaluation networking for strengthening evaluation capacity. In order to strengthen national evaluation capacity, NPC and UN Agencies plan to organize a series of three evaluation capacity strengthening meetings from August to September 2013. The meetings intend to enhance dialogue and cooperation between government agencies, voluntary organizations of professional evaluators (VOPEs) and training institutions. The meetings aim to facilitate evaluation capacity building by assessing the enabling environment (legislation, policies, procedures & guidelines, institutional environment and implementation, etc.), improving evaluation capacity among evaluators / firms / networks and among capacity building institutions in Nepal.

1.2   Objectives

The objectives of evaluation capacity strengthening initiatives are intended to enhance dialogue and cooperation between governmental and non-governmental agencies, voluntary organisations of professional evaluators (VOPEs) and training institutions to increase evaluation capacity in Nepal. Specific objectives of the initiative include:

1.   Assess enabling evaluation environment (legislation, policies, procedures & guidelines, institutional environment and implementation, etc.);
2.   Assess areas of evaluation capacity strengthening;
    a. among evaluators and evaluators' societies
    b. among research, training and academic institutions in Nepal;

3.   Identify potential models for strengthening evaluation capacity (including lessons from other countries);
4.   Assess knowledge and information sharing needs among evaluators, and existing and potential tools to overcome these gaps (including regional examples);
5.   Present national and regional institutions that could play a role in capacity building; and
6.   Formulate draft Action Plan.

1.3   Activities

Four initiatives are proposed as a phased approach for enhancing evaluation capacity in Nepal.

Review: A national consultant will be hired to prepare a review of the current enabling environment and identify areas that need capacity strengthening. This consultant will also provide a comparative analysis of Nepal and models used in other South Asian countries. The consultant will provide an outline and framework of the review for discussion in the preliminary meeting, and will actively participate in all three meetings. Terms of reference for the review have been developed[1].

Preliminary meeting (7 August 2013): A small, informal preliminary meeting will be organized for selected representatives (maximum 20 participants[2]) of private evaluators/firms, government, university, research/training/academic institutions and UN agencies to share initial ideas on strengthening evaluation capacity in Nepal. The consultant will present the review of the enabling environment, capacity strengthening, and regional comparative analysis. Participants will discuss the evaluation policy framework in Nepal and the concept of national evaluation capacity development. They will then formulate, and agree upon, the objectives and agenda for the networking meeting.

Networking meeting (9–10 September 2013): A large-scale, two-day networking meeting will be organized for approximately 60 participants[3] from government ministries, development partners, private evaluation firms, and academic/training institutions. The meeting will aim to facilitate in-depth discussion among stakeholders on evaluation capacity strengthening.

Policy forum (11 September 2013): The networking meeting will be immediately followed by the Fourth Monitoring and Evaluation Policy Forum organized by the NPC/ Strengthening Monitoring and Evaluation System (SMES) project for selected high-ranking officials of various ministries, and representatives of development partners, with the objective of enhancing recognition of the importance of monitoring and evaluation (M&E) for policy development among decision-makers. The analyses, recommendations and draft action plan from the first three stages will be shared in the policy forum.

1.4   Expected outputs

Preliminary meeting: Consultation with key evaluation professionals and stakeholders to share initial ideas on strengthening the national evaluation system, with the following outputs.

- Review of evaluation policy framework in Nepal.
- Clarification of the fundamental concept of national evaluation capacity development.
- Understanding of the gaps that hinder improvements in the national evaluation system.
- Presentation by consultant of initial ideas for the enabling environment and areas requiring capacity strengthening.

Networking meeting: Meeting to facilitate reflection and discussion on evaluation capacity development, with the following outputs.

- Identification of perceived priorities for strengthening evaluation capacity.
- Comparative review of good practices used in evaluation capacity development in Nepal and other countries of South Asian region and beyond.
- Key recommendations for draft action plan (including agreement on themes/important issues, insights, targets for implementation, recommendations for the future cooperation framework, responsible stakeholders and timeline) to be shared at policy forum.

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1   For TOR of review, see Annexes for Section 5.
2   For list of suggested participants, see Annexes for Section 1.
3   For list of suggested participants, see Annexes for Section 1.

Policy forum: Meeting to enhance recognition among decision-makers of the importance of M&E for policy development,with the following outputs.

- Presentation of country-specific experiences on capacity development.
- Sharing by the consultant of capacity assessment findings.
- Presentation of recommendations from the networking meeting on evaluation capacity development.
- Identification of key actions to be taken in the Nepalese context.

1.5 Participants

The meetings will be hosted by the NPC. The preliminary meeting will consist of around 20 participants, selected from private evaluators' agencies, government and non-governmental organizations who have professional evaluation experience. The networking meeting will include around 60 participants. Participants for the policy forum will include selected high-ranking officials of various ministries and representatives of development partners.

1.6 Time and venue

The preliminary meeting will be held on 7 August 2013 at Dhokaima Cafe, Lalitpur.

The networking meeting will be held on 9–10 September 2013 at the Everest Hotel, Kathmandu.

The policy forum will take place on 11 September 2013 at the Everest Hotel, Kathmandu.

SECTION 2

Proceedings of the Preliminary Meeting on Enhancing Evaluation Capacity in Nepal

The Preliminary Meeting on Enhancing Evaluation Capacity in Nepal,held on 7 August 2013 at Dhokaima Cafe in Lalitpur, was attended by 19 participants[1].

2.1   Presentations

Dr.Teertha Dhakal, Joint Secretary, NPC, opened the meeting with a comprehensive presentation on the development of M&E in the Government planning process. He also addressed challenges in evaluation capacity in M&E departments, and in conducting and using quality evaluations in government planning.

Mr.Urs Nagel, Regional Evaluation Advisor, UNICEF Regional Office for South Asia (ROSA), elaborated on the theory and concepts of evaluation capacity-building, and the role of evaluation in government planning.

Dr.Gana Pati Ohja, Consultant, presented the objectives, methodology and stakeholders for the proposed review on national evaluation capacity in Nepal.

Discussion then focused on suggestions for the proposed review, and planning for the networking meeting.

2.2   Planning for review of national evaluation capacity

- The Save the Children representative suggested that in measuring the capacity of evaluators, sectoral/ thematic expertise and knowledge of types of evaluations and evaluation design should be included. He also suggested incorporating information on how problems in the design of projects can impact the quality of evaluations.

- Urs Nagel,and the representative from the United Nations Development Programme (UNDP),suggested focusing the review on the 29 evaluations carried out by the government, and on whether they were done properly and used effectively.

- The CARE representative suggested a focus on the monitoring system used, as the quality of evaluations often depends on this. He also noted that a lack of budget for M&E in Nepal affects the proper conducting and use of evaluations, and that although the Social Welfare Council (SWC) has an extensive database of I/NGO projects, not all projects are yet included.

- The COE-Nepal representative suggested it might be useful to include small district-level project evaluations in the review. He also mentioned that it would be useful to start building evaluation capacity in the government with the management of evaluations (e.g. TESA[2] modules 1 and 8).

2.3   Planning for networking meeting

- Dr. Teertha Dhakal asked whether the meeting would have a broad scope covering all objectives outlines in the concept note,or whether it would have a smaller scope, focusing just on capacity development. Urs Nagel and the UNDP representative both suggested a broad scope, as issues in evaluation capacity lie not only in training, but also in the enabling environment. This would also provide an opportunity to sensitize senior government officials about M&E. Dr. Dhakal noted that the policy forum is an annual event for senior government officials at the secretary level. Thus far,its focus had been mainly on monitoring, but this year it would include evaluation. Using recommendations from the networking meeting, aspects of evaluation could also be discussed. The policy forum would also cover the need to develop M&E plans for every ministry, as stipulated in the National M&E Guidelines. Dr. Dhakal informed the group that

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1   For list of participants, see Annexes for Section 2.
2   TESA = Teaching Evaluation in South Asia

the NPC has been conducting evaluations of three projects. The NPC is independent from these projects, which were implemented by other ministries. Although this process would be less independent than hiring external evaluators, it would help engage ministries, increase participation, provide on-the-job training for M&E staff in conducting evaluations, and help them to take control of evaluations.

- Urs Nagel suggested the following areas of focus for the networking meeting:

  o Training models

  o Professionalization of government M&E function, and quality of staff and training standards

  o Enhancement of evaluation function

  o Opportunities for strengthening civil society

  o Policy/regulatory framework and linkages between ministries work and the overall framework

- Teertha Dhakal suggested summarizing these in the following categories:

  o Policy–regulatory framework

  o Capacity-building of government and other stakeholders

  o Use of evaluations

  o Quality and independence of evaluations as a cross-cutting issue—this could be a separate category or addressed in discussion on all of the above areas

- It was suggested that there should be a mix of government and civil society in all group discussions.

- The New Era representative raised a number of concerns, including:

  o On sustainability, he suggested that the current evaluation initiatives should be a joint endeavour between the government, other stakeholders, civil society and private evaluators to ensure that capacity development is a continuing process.

  o On the sensitivity of data, he suggested that the outcomes of evaluations should be shared widely, as a mechanism for transparency would help develop accountability, and also create opportunities for ensuring and improving the use of evaluations.

  o Finally, he suggested that there should be a focus on how to create demand for quality evaluations.

- It was suggested that participants of the networking meeting should include:

  o Media

  o Civil society representatives, including South Asia Institute for Advanced Study (SIAS), NGO Federations, Sri Lankan Evaluation Association (SLEvA), Teaching Evaluation in South Asia(TESA)

  o Representatives from capacity-building institutions

  o Any additional suggestions following from the review

- It was suggested that the national facilitator should be Dr.Teertha Dhakal.

SECTION 3

Proceeding of the Evaluation Networking Meeting on Enhancing Evaluation Capacity in Nepal

The Evaluation Networking Meeting on Enhancing Evaluation Capacity in Nepaltook place from 9–10 September 2013 at the Everest Hotel in Kathmandu[1]. The meeting was attended by 53 participants[2] from government (NPCS and line ministries), professional evaluators and firms, capacity-building institutions, I/NGOs, and UN and donor agencies.

3.1   Objective

The objective of the networking meeting was to enhance dialogue and cooperation on evaluation between government agencies, [networks of] professional evaluators, civil society and training institutions.

3.2   Expected results

By the end of the meeting,it was expected that participants would have:
- Identified priorities for strengthening evaluation capacity and the national evaluation system, while focusing on the policy–regulatory framework, capacity-building, use of evaluations, and quality and independence of evaluations;
- Reviewed good practices used in evaluation capacity development in Nepal and other countries of South Asia and beyond; and
- Formulated key recommendations for a draft action plan to be shared with the policy forum.

3.3   Opening addresses

The opening session of the Evaluation Networking Meeting was chaired by Mr. Yuba Raj Bhusal, Member Secretary of the NPC.

Dr. Teertha Dhakal, Joint Secretary, NPC, welcomed participants and distinguished delegates representing SLEvA, the Malaysian Evaluation Society (MES) and the Japanese Evaluation Society. He particularly noted that, in order to make a difference in the lives of people through translating policies, programmes and projects into practices, the role of M&E in achieving desired development results is extremely important. He added that institutionalizing M&E, especially evaluation, is crucial for evidence-based decision-making, for maximizing value for money spent on development, for learning lessons from experience, and for ensuring accountability of results. He also provided a synopsis of the evolution of the evaluation system in Nepal since 1956.

Mr. Jamie McGoldrick, UN Resident Coordinator, commended the NPC on the meeting's well-thought-out objectives of identifying perceived priorities for strengthening evaluation capacity; performing a comparative review of best practices used in evaluation capacity development in Nepal and the region; and coming up with recommendations to be shared with the policy forum. Hestated UN agencies in Nepal are committed to fostering a strong partnership with the Government to build on the strengths and opportunities identified by this meeting, and to address the challenges faced in creating a functional national M&E system. He assured participants that UN agencies would contribute technical expertise through the United Nations Evaluation Group to support the development of strong national evaluation capacity.

The Honourable Dr. Rabindra Kumar Shakya,Vice-Chair, NPC, thanked all delegates for attending the meeting, and expressed his anticipation for the sharing of experiences[3]. He hoped that the meeting would be able to identify where capacity strengthening is required, what modifications to the regulatory framework are needed, and what kinds of evaluation policies and mechanisms are appropriate. He was confident that the wealth of information coming from this meeting would provide good insight on what needs to be done to ensure that Nepal builds an effective evaluation system, capable of addressing its needs.

Mr. Yuba Raj Bhusal, Member Secretary, NPC, and Chairperson of the meeting, thanked all participants and foreign delegates for their presence. He elaborated on the evolution of the focus in planning since the early

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1   For agenda, see Annexes for Section 3.
2   For a list of participants, see Annexes for Section 3.
3   For the text of this speech, see Annexes for Section 3.

1950s. He further emphasized the immense importance of evaluation in light of the Thirteenth Plan, which aims to graduate Nepal from a Least Developed Country to a Developing Country by 2022, and reduce the level of poverty from 23.8 percent to 18 percent within three years.

3.4　First plenary session

In the first plenary session, Mr.Urs Nagel, Regional Evaluation Advisor, UNICEF ROSA, made a presentation on national evaluation systems for evidence-based policy-making[4]. Ms.Nilanthi Bandara, President, SLEvA, focused on the development of an evaluation culture based on the Sri Lankan experience[5]. She also highlighted the need for internalizing evaluation as a management tool and working towards a policy framework. Dr. Aru Rasappan, Secretary, MES, presented a multi-dimensional approach to the institutionalization of evaluation in the public sector[6]. Finally, Dr.Gana Pati Ohja, Consultant on Evaluation Capacity, NPC/UNDP, presented initial findings on the enabling environment and evaluation capacity in Nepal[7].

3.5　Group work

In the afternoon, participants were divided into four groups: policy–regulatory framework; capacity-building; use of evaluations; and quality and independence of evaluations. Each group conducted a SWOT[8] analysis on their respective subjects, facilitated by an expert in the subject. Dr. Aru Rasappan facilitated the group working on the policy–regulatory framework. Ms. Soma de Silva, TESA, presented on evaluation capacity development[9] for the group working on capacity-building, and Dr.Ramesh Tuladhar, Former President,COE-Nepal, presented on professionalization and partnership in evaluation[10]. The two experts then facilitated the group's SWOT analysis. The group working on the use of evaluations was facilitated by Ms. Nilanthi Bandara. Dr Ryo Sasaki, Board Member, Japan Evaluation Society, presented on the quality and independence of evaluations[11] for the group working on this subject, and then jointly facilitated the discussion and analysis with Mr.Urs Nagel.Rapporteurs and presenters were selected for each group. The outputs of the SWOT analyses on the four subjects were presented the following day.

3.6　Second plenary session

The SWOT analysis of the policy–regulatory framework[12]　began by identifying strong institutional mechanisms prevalent in the country, including the Nepal Portfolio Performance Review, National Development Action Committee (NDAC), and Ministerial Level Development Action Committee (MDAC). In addition, the National M&E Guidelines and the results-based framework are in place. The discussion highlighted a significant number of evaluations in the non-governmental sector and the need to encompass a wider range of stakeholders to ensure participation at all levels. It was suggested that, generally,donor support to strengthen M&E was inadequate. The need to incentivize good performance and an evaluation culture while ensuring quality and integrity through a code of conduct and evaluation standards was discussed.

The presentation on capacity-building[13] focused on capacity in the use of evaluations and on technical capacity. The discussion that followed covered topics such as alternatives to classroom training (on-the-job training) and institutional capacity. It was agreed that training should focus on providing evaluators with skills, including in commissioning evaluations and in making evaluation reports usable for policy-makers, (e.g. with consolidated policy briefings). Communication throughout the evaluation process was considered crucial for effective collaboration. Institutional capacity and the capacity of academia were highlighted as areas that need strengthening in addition to the building of capacity in individuals.

Following the presentation on the use of evaluations[14], discussion centred on the link between quality and use of evaluations. In order to increase the use of evaluations, focus should be placed on what can be learned from them. A good evaluation should involve a wide range of stakeholders and should be aimed at the different audiences that might be affected by an intervention. All stakeholders involved in evaluations (e.g. from programme managers to service delivery staff), should be encouraged to engage in wider dissemination of the

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4　　For PowerPoint presentation, see Annexes for Section 3.
5　　For PowerPoint presentation, see Annexes for Section 3.
6　　For PowerPoint presentation, see Annexes for Section 3.
7　　For PowerPoint presentation, see Annexes for Section 3.
8　　 SWOT = strengths, weaknesses, opportunities, threats
9　　For PowerPoint presentation, see Annexes for Section 3.
10　For PowerPoint presentation, see Annexes for Section 3.
11　For PowerPoint presentation, see Annexes for Section 3.
12　For PowerPoint presentation, see Annexes for Section 3.
13　For PowerPoint presentation, see Annexes for Section 3.
14　For PowerPoint presentation, see Annexes for Section 3.

findings. Not involving the grassroots people affected by a particular intervention creates a weakness in any evaluation conducted. The use of ICT[15] in the dissemination of evaluations should be explored.

The presentation on quality and independence of evaluations[16] led to a discussion on the quality of data compiled prior to conducting evaluations. Results-based management should be used as a measure to ensure quality throughout the implementation process from planning for results to improved monitoring measures that lead to better data to support higher quality evaluations. Participation of all stakeholders in the evaluation process should be increased; although,this can pose a challenge to retaining independence in an evaluation. Alternatively, programme staff could perform an initial evaluation, which would promote usage and ownership of results. Subsequently, an external independent evaluation could be carried out. Independence may further be compromised by evaluators fearing to lose their contract. Mechanisms should be established to ensure that evaluators can perform evaluations free from pressure from programme implementers. One such measure could be the establishment of a trust fund that would reduce the financial dependence of evaluators on implementers.

The meeting was closed at the end of the morning by Mr. Yuba Raj Bhusal, Member Secretary, NPCS.

3.7   Recommendations

In the afternoon, a group of selected participants including NPC officials, expert presenters, group facilitators and representatives of UN agencies met to select recommendations and actions, as proposed in the SWOT analysis from the group work. This led to the following short- and long-term recommendations for presentation to policy-makers at the policy forum (Table 1).

Table 1: Recommendations from the Evaluation Networking Meeting

Recommendation	Timeframe	Responsible agency
Develop results-basedframework (ministries → sectoral)	4 months	NPC, LMs
Costed M&E plan (GoN allocation and development partners'support)	1–3 years	NPC, LMs, MoF, development partners
Implement M&E guidelines with added quality standards, norms (ethics) for evaluations including for I/NGOs	1–3 years	NPC, MoWCSW, SWC
Strengthen oversight functions of NPC by involving other stakeholders	3 months Continuing	NPC
Recognize M&E as a core function of public management	6 months	NPC, OPMCM, LMs
Regular training in M&E(accreditation/certification)	1–3 years	NPC, NASC, SWC
Prepare consolidated evaluation recommendations with policy implications	1 year Continuing	NPC, LMs, SWC
Implement participatory approach in programme cycle	1 year Continuing	NPC, LMs, SWC Project management
Create separate PM&E cadre to promote retention of staff in M&E units	1 year	OPMCM, MoGA, NPC
Incorporate key activities of management response plan in the ToRs of responsible units/staff	1 yearContinuing	OPMCM, MoGA, LMs, SWC, development partners
Implement comprehensive communication strategies on evaluation processes for all stakeholders	1 year	NPC, SWC
Improve data quality (also baseline) and use of monitoring data in evaluation	1–5 years	NPC, CBS, LMs, SWC, development partners
Conduct monitoring of M&E of ministries including use of M&E budget	Continuing	NPC
Expand use of ICT for data management, planning, monitoring and reporting	1–5 years	NPC, CBS, LMs, SWC, development partners
Prepare M&E policy and regulations	1–5 years	NPC (engage stakeholders including VOPEs)
Establish evaluation training in universities and NASC	1–5 years	NPC, SWC, regional/global resources
Include evaluation reform as part of overall development management reform process	1–3 years	OPMCM, MoGA, LMs, SWC, development partners

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15   ICT = information and communications technology
16   For PowerPoint presentation, see Annexes for Section 3.

SECTION 4

Proceedings of the Fourth Monitoring and Evaluation Policy Forum: Quality M&E for Evidence-based Policy-making

The Fourth Monitoring and Evaluation Policy Forum, organized by the NPCS/Japan International Cooperation Agency(JICA)-SMES2,was held on 11September 2013 at Hotel Everest, Kathmandu[1]. The meeting was attended by75 participants[2]involved in policy-making. The programme was chaired by Mr. Yuba Raj Bhusal, Member Secretary, NPCS. The theme was 'Quality M&E for Evidence-based Policy-making'. The policy forum followed from the two-day Evaluation Networking Meeting.

Mr. Dilip Kumar Chapagain, Programme Director, M&E Section, NPCS, made the opening announcements. Mr. Purushottam Ghimire, Joint Secretary, NPCS, welcomed participants and distinguished guests to the policy forum. Special guests for the day were Mr. Tsutomu Shimizu, Chief Representative, JICA Nepal; Dr. Rabindra Kumar Shakya, Honourable Vice Chairman, NPC; and Mr. Shuichi Sakakibara, Deputy Chief of Mission, Embassy of Japan. The special guests then delivered the following opening remarks on the importance of the event.

4.1   Opening addresses

Mr. Tsutomu Shimizu was delighted to attend, and expressed his thanks to the NPC for continuing to organize this event over the years. He explained that over six decades of planned development in Nepal, the importance of M&E had gradually increased, with results-based M&E being incorporated since the Tenth Plan. The current Thirteenth Plan envisaged the capacity-building of human resources, the streamlining of indicators, the utilization of management information systems, and the strengthening of M&E at various levels.He expected that experience-sharing by the international guest speakers would be instrumental in shaping M&E practices in Nepal. He noted, however, that no one formula fits all. Therefore, Nepal must develop its own M&E mechanism within its own context. He encouraged the utilization of evaluation resultsto be extended beyond government officials and M&E experts to include political parties and parliamentarians in order to support evidence-based planning. Once politicians and bureaucrats base their planning on evidence from evaluations, then the pace of development will increase. He emphasized the need to develop an M&E culture that would more clearly show the public the results of development policy, programmes and projects. JICA Nepal has supported the Government of Nepal, through the NPC, since 2006 with the SMES1 and SMES2 projects. The second phase covers five partner ministries and five pilot districts along the Sindhuli Road Corridor, with the overall goal of ensuring that NPC and ministryplans are based on the results of M&E. He emphasized the importance of using the M&E knowledge and skills of individuals within institutions to benefit society as a whole.

Dr. Rabindra Kumar Shakya declared that evaluation is an art rather than a science. He feels that at present,evaluation in Nepal is driven by donors, rather than by demand and prioritization from the government. Evaluation results and recommendations are not currently acted upon; this needs to change to ensure better planning. Evaluation should be incorporated into planning from the beginning, and accorded importance throughout the implementation process. M&E should be systematic. The NPC has prepared the National M&E Guidelines to facilitate results-based M&E in the government system, with the intention of improving the results of evaluation. He finished by expressing three thoughts:evaluation is not an end in itself, but a means to correct and improve the results of policies, programmes and projects. The target beneficiaries of development should be able to use the results and recommendations of evaluations. Ultimately, effective evaluation strengthens public accountability and transparency, thus helping to "change the lives of people".

Mr. Shuichi Sakakibara thanked the Government of Nepal for organizing the policy forum and extended the Embassy of Japan's good wishes for its success. Japan is proud of its support for M&E capacity development in Nepal since 2006 through the SMES1 and SMES2 projects. Japan provides support to various sectors in Nepal, including infrastructure, agriculture, forestry, education and governance,and sees M&E as a basic government activity necessary for all forms of development. Japan will continue its support to the promotion of M&E as an essential government activity. Lastly, he hoped that the policy-makers and planners participating in the forum would greatly benefit from the discussion on making the M&E and policy formulation system in Nepal more efficient.

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1   For agenda, see Annexes for Section 4.
2   For list of participants, see Annexes for Section 4.

4.2   Presentations from guest speakers

After the opening remarks, there were four presentations.

4.2.1   Factors for influencing the use of M&E results by Ms. Nilanthi Bandara

Ms.Nilanthi presented on 'Factors for Influencing the Use of M&E Results'[3]. She highlighted that evaluation is a part of an exercise whereby stakeholders participate in the continuous process of generating and applying evaluative knowledge. Therefore, an evaluation framework helps to generate knowledge and promote learning, guide action, and ultimately support the capacity development and sustainability of national results. She emphasized that the use of evaluation reports—which is not only the submission process, but also the acceptance offindings, conclusions, recommendations and lessons learned—needs to be internalized, acted upon and linked with other knowledge and learning. For effective learning, evaluation has to be planned strategically and implemented with the involvement of all stakeholders. The application of new knowledge must be monitored. Key issues in evaluation are the quality and independence of reporting and identification of the audience. Approaches to evaluation were highlighted: utilization-focused;goal-free;theory-driven; empowerment-driven;and strategic. Ms Nilanthi stressed the usefulness of utilization-focused evaluation, which is a 'process for making decisions about issues in collaboration with identified primary users' that focuses on using the results of the evaluation. The conceptual framework begins with the premise that evaluations should be judged on their utility and effective use. Patton's theory postulates the involvement of all stakeholders, from the beginning to the end, in order to ensure that evaluation findings are utilized, and he provides a checklist of actions[4]. Dr. Nilanthi explained the principal function of each step in the checklist, from initial programme/organizational readiness through data collection and analysis to the facilitation of utilization. The strengths of this approach include the pragmatic use of evaluation findings; the inclusion of primary users; and attention to use of process not just use offindings. Weaknesses include the lengthy process; the technical competency required for data collection and analysis; the lack of opportunities to participate for some important stakeholders; and the possibility of losing sight of objectives and increasing biases during the process.

Key messages from the presentation:

- M&E framework → generates knowledge → promotes learning → guides action →increases capacity development and sustainability of national results
- Acted-upon findings, conclusions, recommendations and lessons learned need to be internalized and followed up on in order to implement change that is closely linked to knowledge and learning
- Utilization-focused evaluation is useful for effective decision-making

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4.2.2   Policy environment for evidence-based M&E, by Dr.AruRasappan

Dr. Aru Rasappan presented on'Policy Environment for Evidence-based M&E'[5]. Dr. Rasappan explained that a favourable policy environment helps to institutionalize M&E at all levels. The policy context touches on political, managerial, financial and administrative functions, and can work at many levels, from the constitution to norms and practices. For example, although South Africa's constitution makes M&E mandatory, it has not been effectively implemented because of practical weaknesses in the system. Yet, in Malaysia, although there is no specific legislation for M&E, it has become effective as a tool used in office management systems. There are eight key dimensions for successful institutionalization of M&E: policy framework; regulatory framework; systems and approaches; tools and techniques; budget and resources; values and mindsets; functional setups; and institutional and structural setups. These dimensions function at national, sectoral, organizational, work unit and individual levels. M&E is applicable at all policy implementation levels. Dr. Rasappan characterized some of the common failings regarding the policy environment and M&E, and asserted that, for evidence-based decision-making, information is a must. However, that information must be timely, accurate, reliable and in the right form to make efficient and effective decisions. Key stakeholders using M&E information can be found at the policy level, the management level, the implementation level, the administrative level and the level of overseeing accountability. The principle types of decision that use M&E and evidence-based data are policy, strategic, operational and transactional, and include policy formulation, adjustment and assessment, programme/ project planning, implementation and adjustment, budget building and allocations, and performance assessment.

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3   For PowerPoint presentation, see Annexes for Section 4.

4   Patton, M.Q., 2002. *Utilization-focused evaluation checklist*.

5   For PowerPoint presentation, see Annexes for Section 4.

Key messages from the presentation:
- Decide on trade-off between legislative or administrative policies/mandates.
- Adopt key institutionalization strategies.
- Allocate resources for building sustainable M&E.
- Determine high-level leadership and champions for M&E.
- Secure commitment and buy-in from all parties.
- Ground M&E within mandated systems/sub-systems.
- Use demonstrator projects.
- Link M&E with other catalysts (budget, audit, etc.).
- Internalize M&E as a value system within the public sector.
- Form international partnerships to share information.
- Develop a strong, affirmative and clear policy environment.
- Focus on an integrated approach to M&E with planning, budgeting, & decision-support systems.
- Build on and strengthen the key institutionalization dimensions.
- Develop strong collaboration with aid agencies.
- Partner with evaluation bodies for technical support.
- Allow at least four years for institutionalization to reach sustainable levels.

4.2.3 Best practices of evidence-based M&E by Ryo Sasaki

Dr. Ryo Sasaki presented on the theme of 'Best Practices of Evidence-based M&E'[6]. He explained that public policy should be well informed by rigorously established objective evidence. It is an extension of the idea of evidence-based medicine to all areas of public policy. He explained that the most rigorous approach to collecting evidence was the randomized control trial (RCT); this is followed by other more quantitative approaches. He shared examples of evidence-based M&E from around the world including in the medical and health sectors, and the development and micro finance sectors. After evidence that de-worming of children increased school attendance and education performance, Kenya's Prime Minister Odinga announced a national programme to provide de-worming medicine to all primary school children, and Bihar Chief Minister Nitish Kumar provided de-worming treatment to over 17 million children in the Indian state of Bihar. Dr. Sasaki explained that since Japan had introduced the Policy Evaluation Act 2001, mandating the use of rigorous and quantitative approaches to evaluation, a number of sectors, including development and roads, had begun to use evidence-based M&E.

Key messages from the presentation:
- Develop legislation like the Policy Evaluation Act in Japan.
- Promote a strong national evaluation society in collaboration with the government.
- Support sectoral ministries to test innovative ideas for a rigorous evaluation approach (e.g., RCT).
- Ensure that the Ministry of Finance supports such initiatives by sectoral ministries.
- Build the capacity of consultancy firms and NGOs to implementing rigorous evaluation in the field.

4.2.4 Institutionalization of evaluation system in Nepal by Dr Teertha Dhakal

Dr. Teertha Dhakal presented on the theme of 'Institutionalization of Evaluation System in Nepal'[7]. The process of M&E institutionalization in Nepal has been divided into four broad phases. During the first phase, within the first to fourth plan cycles (up to 1974), the major focus was on progress review of programme with no systematic M&E. During the second phase (the fifth to seventh plan cycles, 1975–1990), a weightage system was introduced and focus on physical progress was tied to performance of budget spent. In the third phase (the eighth and ninth plan cycles, 1992–2002), a new M&E system was established, and institutions, guidelines, indicators and formats were developed. Since the Tenth Plan (2003–2007), results-based M&E has been implemented, and now the National M&E Guidelines 2013 are in place. Dr. Dhakal highlighted the government's strengths in M&E: institutional arrangements (NDAC, MDAC, central M&E committees and M&E divisions/sections); the guidelines for defining processes, delineating roles, and providing indicators and formats; policy commitments in plans and budgets; the Nepal Portfolio Performance Review action plan; and support from development partners for capacity-building on M&E. However, the main weaknesses are that M&E is not taken as a core function and there is no evaluation culture. Dr. Dhakal shared an assessment of 29 project evaluations carried out by the NPC over the last 15 years. Most studies were from the agricultural sector and focused on projects rather than programmes and policy. Three of the most important findings were: impact

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6   For PowerPoint presentation, see Annexes for Section 4.
7   For PowerPoint presentation, see Annexes for Section 4.

evaluations were conducted before the full development of the project; half of the projects did not collect baseline data; and the most common approach used was the methodologically weak before–after analysis. However, the recommendations had been used for introducing or refining policies; for instigating institutional reform; and for establishing gender-responsive budgeting. The main issues were lack of quality of evaluation studies/reports; non-use of evaluations as a measure to ensure accountability; and weak capacity to facilitate/conduct evaluations. Dr. Dhakal finished by assuring participants that the new National M&E Guidelines will strengthen evaluation quality and capacity in Nepal.

4.3   Recommendations from the Evaluation Networking Meeting

Dr. Dhakal also presented the recommendations of the Evaluation Networking Meeting to the policy forum.

- Develop results frameworks (ministries-sectoral): Seven ministries have already started to prepare their results framework. The first focus will be on developing results frameworks at the ministry level; these will then be linked to sectoral results from different line agencies. Ministries are aware of this and are asking line agencies to prepare results frameworks.

- Costed M&E plan:The government M&E plan should be costed, taking into account both government budget (NPC, Office of the Prime Minister and Council of Ministers (OPMCM), Ministry of Finance (MoF), ministries, etc.) and development partner allocations.

- Implement M&E guidelines with quality standards and norms (ethics) including for INGOs: A code of conduct should be developed for evaluators in order to improve the quality of evaluation reports.

- Strengthen oversight functions of NPC and involve other stakeholders: All stakeholders (government, consulting firms, universities, private sectors, communities, etc.) should be involved in the oversight function for evaluations.

- Recognize M&E as a core function of public management: M&E trainings are being conducted by NPCS, NASC and universities. These courses should be standardized and provided with some form of accreditation/certification.

- Regular training in M&E (accreditation/certification): It was reported that more than 90 evaluations are done by the SWC each year, so capacity-building should be provided.

- Prepare consolidated evaluation recommendations with policy implications: Every recommendation cannot be respond to on a one-to-one basis but recommendations from various studies can be consolidated and responded to over a one-year period.

- Implement participatory approach in programme cycle.

- Create a separate PM&E cadre to promote retention of staff in M&E units: The high turnover of staff in M&E units is a big issue. Following discussion, it was recommended that there should be a separate PM&E cadre, as mentioned in the Eighth Plan (1990). Perhaps the Secretary of the Ministry of General Administration (MOGA) could consider this.

- Incorporate key activities of the management response plan in the ToRs of responsible units/staff: The National M&E Guidelines clearly explain the management response plan. Respective ministries, units and individuals should be made responsible for implementing relevant activities of the management response plan through their ToRs.

- Implement comprehensive communication strategies on evaluation processes for all stakeholders: To adopt and implement recommendations, there should be a clear and comprehensive communication and dissemination plan, down to the local and community level, which creates pressure to implement recommendations up to the policy level.

- Improve data quality (also baseline) and use monitoring data in evaluation: Evidence-based decision-making processes depend on quality reports; quality reports depend on quality data analysis; and quality data analysis depends on quality data. Therefore, the data generation process, such as a management information system,needs to have standardized norms and processes.

- Conduct monitoring of line ministries including the use of M&E budget: M&E is low priority and allocated budget is often used for other purposes. This should be monitored by NPCS, not by ministries or other bodies.

- Expand use of ICT for data management, planning, monitoring and reporting: ICT is already used by ministries, OPMCM and NPC for reporting. It should also be used to manage data for planning and knowledge management.

- Prepare M&E policy and regulations: Separate evaluation policy and regulations should be in place to compel concerned organizations to conduct M&E. This needs to be discussed by government organizations, civil society, universities, consultants and others such as INGOs and VOPEs.

- Establish evaluation training in universities: Tribhuvan University (TU) and Kathmandu University (KU) include some M&E topics in various courses. However, information is often outdated. Universities need guidance on updating and incorporating topics,such as how to facilitate and conduct impact evaluation into training/degree courses.

- Include evaluation reform as part of overall development management reform process: There should be overall development management reform,with M&E as a part, supporting the establishment of evidence-based decision-making processes.

4.4 Plenary discussion

Following the presentations, participants took part in a plenary discussion. The following are the some suggestions, queries and responses that came out of the discussion.

Questions and Suggestions	Response
1. M&E is anintegral part of our system. M&E should be strengthened with capacity-building. (Bishnu Pant, IIDS) 2. NPCS conducted many evaluations last year. Karnali Employment and Social Security Programme evaluation was completed and there were several recommendations.What is the status of using these recommendations by the respective ministries and agencies? There should be a good mechanism to use recommendations. (Pushpa LalShakya, NPCS) 3. How are recommendations used for future policy or programmes? (Bijaya Kumar Singh, NES)	• The government needs support from different agencies to build capacities for conducting M&E, especially in evaluation. • KU, TU and NASC are running M&E courses and trainings. • Multiple organizations have to engage in trainings. • NPC will share new National M&E Guidelines with KU, TU and request to update new information regarding M&E. • The practice of preparing the management response plan has been initiated by the NPC in order to address lack of use of evaluation recommendations.

Questions and Suggestions	Response
4. Are there separate cadres for M&E in Sri Lanka and Malaysia? 5. Are all service holders willing to workin M&E units in Sri Lanka and Malaysia? (Purusottam Ghimire, NPCS)	Nilanthi Bandara responded as follows: • In Sri Lanka there is a department for M&E, and all ministries have M&E units. • There is no retention problem. Aru Rasappan responded. • Malaysia does not have separate M&E cadre. • Every programme and project manager and official should know about M&E. • Budgetary process—money for monitoring personnel and programme performance should be linked. Ryo Sasaki responded. • In Japan, all government officials should have training on M&E. • Any interested personnel from Japanese government can have training.
Some suggestions	
Importance of evaluation is not yet highlighted, so M&E should create demand for planning. (RachanaShrestha, ADB).	
Government needs to support and coordinate with civil societies such as Nepal Evaluation Society and Community of Evaluators. Besides RCT, there are many others evaluation tools that can be used to collect evidence for evaluations. (Urs Nagel, UNICEF ROSA)	
There are many good recommendations and areas. It would be good to prioritize the main recommendations, and start with important ones first. Professionalization of M&E is a necessary step in the institutionalization of M&E. Therefore, it is important to develop M&E professionals in both public and private sectors.The emergence of concern for M&E will help improve the success of programmes and projects.(Ms.de Silva, TESA)	
How can we sensitize parliamentarians and politicians about the issue of M&E? (Gopal Gurung, JICA)	Dr. Teertha Dhakal responded. • NPC has already uploaded all evaluation reports conducted by NPC thus far to itswebsite so that everyone interested can access them. Evaluation reports have been reviewed and linked with policies and programmes. • Policy levels can be sensitized while formulating evaluation policy.

4.5   Remarks from secretaries

After the plenary session, secretaries from the various ministries had an opportunity to voice their comments on issues related to M&E, as follows.

Durga Nidhi Sharma, Secretary, MoGA, said that there are more than 8,000 officials working for the government. At the ministry level, there are M&E divisions led by a Joint Secretary and M&E sections lead by an Under Secretary. He suggested that it would be good to have a separate PM&E cadre; however, if this was not possible, an alternative would be to transfer officials with M&E experience between jobs of a similar nature within the government system. He recommended training more government officials in M&E, and equipping the government appropriately.

Madhav Regmi, Executive Officer, National Vigilance Centre, commended the policy forum and acknowledged its importance in creating an enabling environment for M&E, especiallyfor development programmes. He agreed that it is difficult to make decisions without reliable and appropriate evidence-based information. He reminded participants that the National Vigilance Centre is an oversight agency of the government,under the direct supervision of the Prime Minister, and is involved in technical audits under four categories: design, procurement, implementation and use.

Krishna Gyanwali, Secretary, Ministry of Industry, said that organizing such events is very important and thanked the NPC for doing a wonderful job. The recommendations from the networking meeting can be regarded as a skeleton for a plan of action on M&E. Evaluation should be critically analysed, and recommendations for correction and improvement made. People are confused and uneducated about M&E, and this knowledge gap needs to be addressed. Therefore, adequate resources are needed for capacity-building, and an environment conducive for M&Eis a must. M&E is a technical subject; the attitudes of people in positions of authority need to change so that they are more open to learning about M&E.

4.6   Concluding remarks

The policy forum was concluded with remarks from the chairperson, Mr. Yuba Raj Bhusal. He expressed his sincere appreciation to the special guests who travelled from Sri Lanka, Malaysia and Japan. He thanked to Dr. Teertha Dhakal, who gave a good summary of the findings from the two-day networking meeting. He acknowledged that it is now the Government's responsibility to address these findings and recommendations properly. He reiterated the Government's commitment to using evidence-based policy-making with a strengthened M&E system. For a robust M&E system, the appropriate institutional arrangements need to be established. Once again, he congratulated Dr. Dhakal and his vibrant team for their marvellous work in making the policy forum a success, and gave sincere thanks to his fellow secretaries for their valuable time and comments. He finished by thanking the development partners for their continuing support in strengthening Nepal's development endeavours.

4.7   Final recommendations for strengthening the quality and use of evaluations for improved development results

Short term goals	Timeframe	Responsible agency
Develop results based framework with key performance indicators (ministries→sectoral)	1 year	NPC, SWC& respective sectors
Costed M&E plan: government to allocate and development partners to mobilize funding for evaluation	1–2 years	NPC & development partners
Implement guidelines defining quality standards for evaluation processes: norms & standards (ethics), including for I/NGOs	1–2 years	NPC, SWC& VOPEs
Strengthen oversight function of NPC by involving different stakeholders	1 year	NPC, respective sectors, VOPEs & development partners
Recognize M&E as a core function of public management	1 year	NPC & OPMCM
Establish accreditation/certification & regular ongoing training tailor-made to civil service	1–3 years	NPC, SWC, VOPEs & academic institutions

Develop comprehensive communication strategy on evaluation processes for all stakeholders	1–3 years	NPC, SWC& expert communication organizations
Prepare consolidated evaluation recommendations, targeted at different stakeholders, with policy implications (separate unit/experts input)	1 year, continuing annually	NPC, SWC & expert evaluation organizations
Implement participatory approach in programme cycle	1 year, continuing	NPC, SWC, VOPEs& expert evaluation organizations
Create separate PM&E cadre to promote retention of staff in M&E units	1 year, continuing	OPMCM, NPC & SWC
Incorporate key activities of management response plan in the ToRs of responsible unit/staff	1 year, continuing	OPMCM, NPC, SWC, sectors& development partners
Include evaluation reform as part of overall development management reform process	1–3 years	OPMCM, NPC, SWC, sectors & development partners
Conduct monitoring of M&E of ministries from NPC for efficient use of M&E budget	2–3 years	NPC & sectors
Improve data quality (including baseline data) and management (MISs, surveys) and use of monitoring data in evaluation	1–5 years	NPC, SWC, CBS & respective sectors
Expand use of ICT for data management, planning, monitoring and reporting	1–5 years	NPC, SWC, CBS & respective sectors
Prepare M&E policy and regulations	1–5 years	NPC, SWC, VOPEs & development partners
Establish evaluation training in universities	1–5 years	NPC, SWC, VOPEs, development partners, regional & global resources

SECTION 5

Enabling Environment and Evaluation Capacity Development in Nepal[1] by Gana Pati Ojha

5.1   Introduction

Evaluation, as an instrument of gauging what works and what does not, for whom and in what situation, and for providing ways to revise interventions/plans/policies accordingly, has gained momentum in the development discourse over the last decade. Development agencies are realizing the importance of evaluation in development effectiveness, and partnering for its expansion. It is increasingly realized that evaluation can strengthen the basis for effective management, foster learning, generate knowledge, and support public accountability functions[2]. Its usefulness has also been recognized by national governments committed to improving governance, transparency, accountability and learning. Along this line, the GoN has been engaged in the development of an evaluation system and in facilitating the creation of an enabling evaluation environment and an enhanced capacity in evaluation.

The M&E Division of the NPCS, which is responsible for coordinating M&E development in Nepal, has organized a series of meetings with stakeholders in order to enhance dialogue and cooperation between government and non-governmental agencies, organizations of professional evaluators and training institutions with the aim of strengthening evaluation capacity in Nepal. This review study is part of that process.

5.2   Objectives

The study's objectives are listed below.

- Assess the enabling environment (legislation, policies, procedures and guidelines, institutional environment, and implementation, etc.).
- Analyse whether the current environment is conducive for strong evaluation capacity.
- Provide insight and make recommendations on potential strengths, weaknesses, opportunities and threats of the current enabling environment.
- Assess evaluation capacity needs among:(i) evaluators/firms and networks; and (ii) academic/ capacity-building institutions.
- Identify potential models for strengthening evaluation capacity in the South Asian region and provide a comparative analysis of Nepal and models used in other South Asian countries for evaluation capacity-building.

5.3   Methodology

The methodology[3] for this studyincluded desk review, interviews, and participation in a series of meetings. The desk review covered literature on national capacity development with a focus on similar initiatives in South Asia, including government M&E guidelines and United Nations Evaluation Group guidelines. It also included related acts, rules and regulations,and GoN policy and plans[4]. These documents helped in assessing what information is available, and what is required for collection from primary sources. Interviews were conducted with 35 persons[5] from 24 agencies including the Government, UN agencies, bilateral and multilateral development partners, INGOs, academic institutions, training centres and individual evaluators. Agencies/persons were identified for interview at a core group meeting held at UNICEF on 12August 2013. One criterion for selecting government agencies was to select ministries and departments not selected for the SMES2 baseline study conducted in 2012. That baseline study had selected five partner ministries[6] and their

1   For Executive Summary of this paper, see Annexes for Section 5.
2   UNDP. 2012. *National Evaluation Capacities: Proceedings from the 2nd International Conference, 12–14 September 2011, at Johannesburg, South Africa*. New York: UNDP.
3   For TOR for this review, see Annexes for Section 5.
4   For a list of documents reviewed, see Annexes for Section 5.
5   For a list of persons interviewed and organizations visited, see Annexes for Section 5.
6   The five ministries were: Ministry of Agriculture Development, Ministry of Education, Ministry of Federal Affairs and Local Development (MOFALD), Ministry of Forest and Soil Conservation, and Ministry of Physical Planning and Transport.

departments. Information about these ministries and departments was taken from the SMES2 baseline study. In addition, two ministries (Ministry of Health and Population, and Ministry of Finance) and the Central Bureau of Statistics were selected for this study for primary information collection. In terms of persons, those involved in M&E, including the head of the M&E unit, were selected in all cases. The main study instrument was five customized checklists[7] (UN / donors, training institution, individual trainer / teacher / manager, government ministry / department,and evaluation experts).

The analytical framework of the study is aligned with the study objectives and contains three major components: enabling environment for capacity development; evaluation capacity strengthening; and models for national capacity development. The enabling environment is divided into general environment and institutional environment. Evaluation capacity strengthening describes the current situation of capacity-building organizations and assesses their needs for capacity development. Regional and domestic capacity development models are compared in terms of institutionalization of evaluation, approaches used for evaluation capacity development, current shift in approaches, actual capacity, evaluation culture and challenges. The analytical framework was approved at the Preliminary Meeting.

Preliminary findings of this study were presented at the Evaluation Networking Meeting. Participants were also provided with a summary of findings[8]. Feedback made by participants at the Preliminary Meeting, the Evaluation Networking Meeting and the M&E Policy Forum was incorporated into this report.

5.4   Enabling environment

The enabling environment is examined from the perspective of legislation, policies and plans, procedures and guidelines, institutional environment, and implementation of evaluation.

5.4.1   Legislation

There is no separate law or act wherein M&E of development programmes and projects at the central level is reflected explicitly. The constitution is silent on it,with no specific provision made[9]. However, M&E is well reflected in the Local Self-Governance Act 1999[10] (LSGA). This act has provisions for evaluating all projects at Village Development Committee (VDC) level (Article 52), municipality level (Article 118) and district level (Article 211). The act also has provisions for forming a Supervision and Monitoring Committee (SMC) at the district level (Article 210), headed by each of the parliamentarians of the district for a one-year period in alphabetical order. The district-level SMC is responsible for the effect and sustainability of the district development plan, such as the impact of every completed project, the repair and maintenance of completed projects, the type of community benefitting from the project result, changes in production and employment opportunities, and the environmental effect due to project implementation. SMCs at VDC/municipality levels are formed under the Local Self-Governance Rules[11] (Rules 69 and 139, respectively). These SMCs are more focused on supervision and monitoring of ongoing projects for ensuring that work is completed to fixed standards within a given timeframe, implementation progress is in proportion to expenditure, and that bills, receipts and documents for expenditure are kept properly.The LSGA also has provisions to mobilize NGOs for identification, formulation, approval, operation, supervision, evaluation, repair and maintenance of village development programmes within each VDC (Article 51).

Although the Health Service Act 1997[12] does not specifically mention the evaluation of health programmes and projects, talking only about evaluation of staff performance at various levels, the Ministry of Health and Population has developed a M&E framework[13] for the Nepal Health Sector Programme, as suggested by the NPC. The Nepal Health Research Council (NHRC) coordinates health related activities in Nepal.

Other acts,such as the Forest Act 1993[14] and the Education Act 2004[15], do not have any provisions for M&E, but such provisions have been included in the rules or regulations. For example, the Education Rules 2004[16]

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7   For checklists, see Annexes for Section 5.

8   For PowerPoint presentation and summary of findings from networking meeting, see Annexes for Section 5.

9   GoN. 2007. *Interim Constitution of Nepal 2007*. Kathmandu: GoN.

10   HMGN, 1999. *Local Self-Governance Act 1999*. Kathmandu: GoN.

11   HMGN. 1999. *Local Self-Governance Rules 1999*. Kathmandu: GoN.

12   HMGN. 2006. *Nepal Health Service (Third Amendment) Act 2006*. Kathmandu: GoN.

13   MoHP. 2010. *Monitoring and Evaluation Framework: Nepal Health Sector Programme II (2010–2015)*.
         Kathmandu: MOHP.

14   HMGN, 1993. *Forest Act 1993*. Kathmandu; GoN.

15   HMGN. 2004. *Education (Eighth Amendment) Ordinance 2004*. Kathmandu: GoN.

16   HMGN. 2004. *Education (Second Amendment) Rules 2004*. Kathmandu: GoN.

specify detailed M&E roles and responsibilities for officials and management committees at various levels. The rules state that the Director General will make arrangements for M&E of educational programmes implemented by the Education Department, and also for supervising and evaluating the work of Regional Directors (RDs) and District Education Officers (DEOs). The responsibilities of RDs include evaluating the work of DEOs, monitoring the work of school inspectors, overseeing non-formal and special education, and monitoring teacher training programmes. The DEO is responsible for evaluating the quality of education in schools, and monitoring of the work of inspectors and resource centres, utilization of the Rural Education Development Fund, and implementation of the annual education programme. Responsibility for monitoring the use of approved curricula, textbooks and support materials by schools rests with both the RDs and DEOs. School inspectors evaluate the working capability of teachers in non-formal education, special education and the food-for-education programme. The Education Rules also have a provision for involving local-level education committees in M&E. For example, the Village Education Committee is responsible for monitoring local schools and for recommending quality improvements at schools; local community organizations are responsible for monitoring community schools and making recommendations for improvements; and Education Centres are responsible for monitoring and evaluating their work.

According to the Forest Regulations, M&E of the Forest Plan including the Leasehold Forest Plan is mandatory; the Regional Director shall monitor and evaluate the Forest Plan of the region and send the report to the Department of Forests. Likewise, anyone submitting an application to take up leasehold forest should evaluate possible impacts on the environment, and the leaseholder should conduct an evaluation and submit a report to the director each fiscal year.

Despite some sectoral acts, rules and regulations having provisions for evaluation, Nepal does not have a national act regarding M&E. The SMES2 baseline survey[17] tried to assess the appropriateness of prevailing acts, rules and regulations using a five-point scale[18]. Of the five ministriesasked to assess current legislation, none responded that it was 'very appropriate', 40 percent responded that it was 'appropriate', another 40 percent responded that it was 'partially appropriate' and the remaining 20 percent could not assess the level of appropriateness. This indicates that existing acts, rules and regulations require improvement.

5.4.2   Evaluation policy and plan

There is no separate evaluation policy in Nepal, but evaluation, along with monitoring, is integrated into a number of more recent development plans and policies. Up until the Seventh Plan (1985–90), evaluation of development plans and policies was limited to review of past performance and incorporation of lessons learned into the following plan. The Eighth Plan initiated a more comprehensive evaluation of plan achievements, and developed an M&E system and guidelines for conducting the evaluation. The Ninth Plan has a specific chapter on M&E with a vision, goal, objectives and strategies. The Tenth Plan adapted a logframe approach for managing development, as well as developing a poverty monitoring system. The Eleventh and Twelfth Plans (Three-Year Interim Plan and Three-Year Plan, respectively) institutionalized M&E in each sector with more inclusive indicators[19]. The Approach Paper of the Thirteenth Plan has placed an emphasis on results-oriented M&E. It has a policy to evaluate both completed and ongoing policies, plans and projects, and use the recommendations for policy decision-making. It has stressed the importance of capacity strengthening for human resources involved in evaluation. To develop human resources, the M&E concept is introduced to both pre-service and in-service training of government officials[20]. The SMES2 baseline survey[21] reports that 40 percent of the five ministries surveyed found existing policies to be'appropriate' and another 40 percent indicated that they were 'partially appropriate',while the remaining 20 percent were unable to make a response. None found policies to be very appropriate.This, again, indicates the need for improvement.

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17   Institute for Integrated Development Studies (IIDS), 2012. *Baseline Survey of the Project for the Strengthening M&E System in Nepal Phase II (SMES2)*. Unpublished document, obtained from SMES2.

18   The baseline survey asked respondents to rate the current status of policies, mandates, acts, rules, regulations and guidelines on a five-point scale: very appropriate, appropriate, partially appropriate, not appropriate and not able to identify.

19   NPC, 2010 and COE-Nepal, 2012

20   NPC. 2013. *National Monitoring and Evaluation Guidelines 2013*. Kathmandu: NPC.

21   Institute for Integrated Development Studies (IIDS), 2012. *Baseline Survey of the Project for the Strengthening M&E System in Nepal Phase II (SMES2)*. Unpublished document, obtained from SMES2.

5.4.3 Guidelines and procedures

In compliance with the Thirteenth Plan, the government has published the National M&E Guidelines 2013[22] for use by concerned agencies for planning and managing M&E. These guidelines provide information on the concept of M&E and the distinction between monitoring and evaluation, and on the use of results-based management, monitoring and evaluation. Importantly, it is now mandatory for management to respond actively to evaluation. The guidelines also emphasize the capacity-building of government human resources, especially through training and exposure–learning visits. There is also a provision for employing a third party to evaluate a certain number of projects/programmes each year. Although the target number is quite small, limited to 2–3 each year, this provision is seen as a positive step towards making evaluation more independent. A third party is defined as any individual or organization including government staff members and organizations not involved in the design, implementation or monitoring of the project being evaluated. The guidelines, and the NPCS, perceive this provision of inclusion of government staff members to be useful to promote ownership and accountability; however, it may create issues related to the credibility and independence of evaluation. It may also narrow the scope for involving non-government independent evaluators. One common observation about these guidelines is that, despite being national guidelines, they only deal with government M&E. They are silent on M&E outside the government system, even M&E conducted by the SWC, which conducts more than 80 evaluations each year (target for 2013/14is 90 evaluations). From this viewpoint, the guidelines are basically for government use.The previous guidelines were 'appropriate' for only one of the five ministries surveyed (Ministry of Federal Affairs and Local Development (MoFALD)). For the other four ministries, they were'partially appropriate'. The newly developed national guidelines are yet to be put into practice and, therefore, their appropriateness could not be assessed. Nevertheless, some of the respondents who have gone through the new guidelines have indicated that they are an improvement on the previous ones, although they do require some information that might be difficult to fill in given the specified format.

International bilateral and multilateral partners including the Department for International Development (DfID), United States Agency for International Development (USAID), JICA, Danish International Development Agency (DANIDA), World Bank, Asian Development Bank and the UN system have policies to support national governments, civil society organizations and evaluation societies in building their evaluation capacity and to support the creation of an enabling environment. DfID has a policy commitment[23] to build the capacity of evaluation systems and evaluators, and to strengthen evaluation culture and evaluation use. Likewise, USAID has a policy[24] to build the local capacity of partners in government and civil society to undertake evaluation and use results. Provision is also made to support professional evaluation associations to create linkages with USAID missions and build a network of local evaluators. It also specifies that fund allocation for external evaluation should be about three percent of the total budget of the operational unit of the project being evaluated. These organizations, however, have yet to provide direct practical support to the GoN for creating both an enabling environment and capacity development,with the exception of involving local experts in third party evaluations of their respective projects or sometimes supporting government staff to manage for development results.

5.4.4 Institutional arrangements

Institutional arrangements for M&E of development policies, plans and programmes/projects include the National Development Action Committee (NDAC), chaired by the Prime Minister; National Development Action Sub-Committee (NDASC), chaired by the Vice-chairperson of NPC; Ministerial Level Development Action Committee (MDAC), chaired by the concerned minister; and Ministerial Level Development Action Sub-Committee (MDASC), chaired by the secretary of the ministry.

Table 2: Institutional arrangement for M&E in Nepal

A study on Survey of the Project for the Strengthening M&E System in Nepal[25] reports the ineffectiveness of these committees in implementing their decisions. Some ministries also fail to submit regular analytical reports. This brings into question the commitment of both submitting ministries and receiving committees. The situation of organizing the committee meetings, however, has improved in recent years,with meetings being held regularly in 2012 and 2013[26].

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22   NPC. 2013. *National Monitoring and Evaluation Guidelines 2013*. Kathmandu: NPC.

23   DFID. 2013. *International Development Evaluation Policy*. London: DFID.

24   USAID. 2012. *USAID Evaluation Policy: Year One. First Annual Report and Plan for 2012 and 2013*. Washington DC: Office of Learning, Evaluation and Research of the Bureau for Policy, Planning and Learning.

25   Institute for Integrated Development Studies (IIDS), 2012. *Baseline Survey of the Project for the Strengthening M&E System in Nepal Phase II (SMES2)*. Unpublished document, obtained from SMES2.

26   NPC, 2013. *National Monitoring and Evaluation Guidelines 2013*. Kathmandu: NPC.

Other institutional arrangements include divisions in the OPMCM, NPCS, and ministries. In the OPMCM, the Social Development, Planning and Monitoring Division has been assigned the M&E of annual, medium-term and long-term government policies. The M&E Division in NPCS plays a key role in M&E including institutionalization and strengthening of the overall M&E system of development programmes/projects as well as managing the Poverty Monitoring and Analysis System. It also carries out impact evaluation of policies, programmes/projects; organizes NDAC meetings, participates in ministry-level M&E meetings, and prepares plans for capacity-building of M&E staff in the NPCS and at the ministry level. There are M&E divisions in the majority of ministries although some ministries have an M&E section under a division, usually the planning division. The major role of the M&E division/section is to conduct field inspection of programmes/projects, act as representative in the MDAC, organize discussions with project in-charges, and appraise new project proposals. Discussions with the responsible persons in these institutions reveal that they are not working effectively. Field inspections are not undertaken seriously as many field visits are made without development indicators to hand and those who go on field visit rarely submit field visit reports despite this being encouraged to by the M&E division/section.

5.4.5   Implementation environment

Linkage between the ministries and NPCS

The NPCS provides training to M&E staff and issues directives to ministries. Ministries are mandated to implement directives issued by the NPCS and report back regularly at a given interval. With the exception of one ministry (Ministry of Forests and Soil Conservation MoFSC, who implemented directives to a great extent, the remaining four ministries implemented them only to some extent, as reported in the SMES2 baseline survey. The website of the NPC also provides somewhat similar information; some ministries, including the Ministry of Irrigation and the MoF, did not submit progress reports in the recent NDAC meeting. This indicates weak coordination between the NPCS and ministries and reveals the need for strengthening of coordination between them.

Use of M&E reports in planning

The SMES2 baseline survey provided information on the partial use of M&E reports in preparing the Three-Year Plan both by ministries and the NPCS.

Working environment in M&E units

Almost all respondents indicated that the working environment in M&E units is not favourable, with meagre resources, few opportunities for career development, low respect compared with other units, few/no executive powers, and understaffing resulting in too much work. In general, transferred staff members come in with a demoralized mentality and try to escape as soon as possible. In one M&E division of one of the ministries visited for this study, three chiefs had been transferred within one fiscal year. In the public's eye, the M&E division is powerless as it does not have executive function; thus it has little, if anything, to offer directly to the general public, especially in comparison to other divisions such as planning. Visitors to M&E divisions give sympathy to the transferred staff, perceiving this as a powerless division. This was noted also in this study. Despite periodic plans giving importance to resource allocation for this division, resources for conducting evaluations were extremely low. As a result of this situation, staff retention is a massive challenge. This was also evidenced by the SMES2 baseline survey which found that there were no adequately trained staff members in the M&E division of four of the five ministries; one ministry (MoFSC) had a few trained people still working.

5.4.6   SWOT analysis of enabling environment

Table 3 provides a SWOT analysis of the enabling environment.

Table 2: SWOT Analysis

Strengths	Weaknesses
Structure/institution (NPC/Ministry; SWC/I(NGO)	No evaluation act/rules/regulation/policy
Some acts/regulations have M&E mandatory provision (Education, Forest Regulations and LSGA and Local Self-Governance Rules)	Focus on government M&E, not national M&E in existing guidelines
Guidelines/framework (comprehensive)	Low level of high-level political commitment, including ineffectiveness of different committees (NDAC, MDAC), low allocation of resources
Provision for revising guidelines (2010, 2012)	Low priority given to M&E in general and evaluation in particular
Result-based M&E (logframe) mandatory	
Emphasis on use of M&E results in decision-making: management response to evaluation	Weak coordination: NPCS–ministries; NPCS–other agencies including SWC
Provision for third party involvement in evaluation	Low retention of trained M&E human resource
National plans have mainstreamed evaluation	Inadequate M&E training received by M&E staff
Provision for capacity-building of GoN staff	Lack of conceptual clarity among some M&E
Committed and knowledgeable current leadership	Indicator-based monitoring is insufficient
Opportunities	**Threats**
Supportive global environment	Low priority by GoN and donor community
Support agencies working in country (JICA, UNDP and others)	Evaluation culture is low
VOPEs are emerging: opportunity for partnership	Limited number of VOPEs; some VOPEs are young, inexperienced and low quality
Curricula for training available – SMES, TESA, TU, KU	No forum for sharing
Training institutions have some capacity to provide M&E-specific training	Low membership of professional societies and networking
Increased awareness by state and non-state actors	Public perception of M&E staff is low: limited executive function
Training centres have some sessions allocated for M&E—NASC, Local Development Training Academy, National Health Training Centre	Weak linkages
TU and KU have human resources and space to provide M&E specific training	Low demand for and low supply of quality evaluation
Some civil society organizations are organizing M&E-specific training	

The current enabling environment has several major weaknesses and threats. Important among them are: neglect by the government system of the evaluation community outside of government and viceversa; the low priority given to evaluation; weak linkages; and low demand for and supply of quality evaluation. The current environment talks only of capacity-building of government staff, and forgets that capacity development is also required for stakeholders outside the government. This indicates that the prevailing environment requires improvement using a systemic approach with coordinated multiple efforts.

To create a better enabling environment for national evaluation capacity development, national evaluation policy should be developed in a participatory way so that it addresses these and other issues more comprehensively. An environment for developing evaluation policy exists nationally, regionally and globally. Globally, 2015 has been declared the Year of Evaluation. Conferences are being held that focus on national evaluation capacity development and the creation of an environment for evaluation. Countries in South Asia are involved in developing national evaluation policies. One focus of some VOPEs, including the COE South Asia, is to work on helping to develop national evaluation policy in South Asian countries. Many donor agencies in Nepal including DfID, USAID, Australian Agency for International Development (AusAID), Swiss Development Cooperation (SDC), UNICEF and UNDP have their own evaluation policies and are interested in supporting Nepal to develop evaluation policies and national evaluation capacity, as given in their programme documents. This was also confirmed during interviews for this study. More importantly, the M&E Division[27] of the NPCS

27   Dhakal, T., 2013. *Institutionalization of Evaluation System in Nepal*. PowerPoint presentation at Fourth Monitoring and Evaluation Policy Forum. Kathmandu: NPCS. Unpublished.

has also acknowledged the importance of an evaluation policy, and has supported the evaluation networking meeting and policy forum in September.

The evaluative culture in Nepal is weak—recognizing and using evaluation findings in decision-making is low, the value given to evaluation is small, and learning from lessons drawn from evaluation is negligible. As the current national evaluation leadership has recognized these issues and the global and regional environment is supportive, the evaluative culture can be improved through sharing of updated knowledge/information/tools among stakeholders including public sector agencies, private organizations and VOPEs, universities and training centres. A forum for sharing can be created and regular sharing can be organized by involving stakeholders. Sharing of knowledge and information between M&E divisions of NPC and SWC is crucial to improve the quality of evaluation.

Several actors are involved in evaluation. These actors want to contribute to promoting evaluation in Nepal. However, an encouraging environment that motivates them to contribute is yet to be developed. A mechanism should be created to provide an opportunity for those who want to contribute to national evaluation capacity development.

The reward (punishment) system of the government is not based on the work performance of the institution as revealed by M&E; this observation is supported by respondents to this study. Linking the reward system to evaluation may be helpful for improving management's perception of the M&E division, on the one hand, and for making the reward system more systematic and objective, on the other. Linkages between the human resources division and M&E division need to be harmonized.

The new National M&E Guidelines are a forward looking document for institutionalizing evaluation in Nepal. However, they could be improved further by making them more inclusive so that they guide not only the government but also those playing a role in evaluation beyond the government.

5.5 Evaluation capacity needs

This section deals with the capacity needs of different evaluation stakeholders in Nepal. It first provides a brief description of the institutions involved in capacity development and then assesses their needs.

5.5.1 M&E capacity development system

Training institutions, NPCS, private institutions and academic institutions are all involved in evaluation capacity development.

M&E capacity development by training institutions

Most development ministries have training centres at central and regional levels. Some training centres conduct training at both central and regional training centres, whereas some central training centres are limited to coordinating but not conducting training. The National Health Training Centre is an example of the latter, only coordinating regional training programmes. Agricultural trainings, for instance, are provided at both central and regional training centres.

Training centres have incorporated M&E in many of their training programmes, with a focus on monitoring. M&E training for non-gazetted officers is based less on theory and more on practice in filling up formats, tick-marking checklists and preparing reports. Courses for gazetted officers deal with basic theoretical aspects such as concepts, importance, design, tools as well as analysis of monthly target achievement, identification of areas for improvement and provision of feedback.Content differs not only by level of trainee but also by institution. The duration of M&E training is about 3–5 hours in a five-week course for the Local Development Training Academy and NASC, and 5–6 hours in a six-month course for the National Health Training Centre.

The training is provided with participatory methods in most cases using interactive lecture, discussion, question–answer and presentation techniques.

Human resources for M&E training within training institutions are limited. Since the focus of M&E courses is on monitoring and basic evaluation, specific trainers are not assigned for evaluation training;they deal mostly with introductory evaluation and how to fill up forms for reporting. Trainers in some places had taken a short M&E course, whereas in some institutions they have not. However, at NASC, the M&E trainer is strong and has been teaching M&E for 25 years. He has taught about 20 packages for M&E courses and conducted four evaluations (as Team Leader in three and a Team Member in one). He has also written a book entitled *Monitoring and Evaluation*, published in 2007, and about 20 papers on M&E.

Training institutions need training of trainers on M&E, specifically on planning and managing evaluation. Institutions such as SIAS and ELD Training (ELD) have a strong background in methodology and are equipped with a roster of M&E trainers to deal with evaluation approaches and their practical use.

M&E capacity development by NPCS

In addition to training institutions, the NPCS organized M&E training programmes annually between 2006 to 2009 for NPCS staff and five ministries with support from SMES1[28]. SMES1 also provided M&E training to M&E personnel of district offices of these ministries, plus Women's Development Offices and District Health Offices in five project districts. The project first sent 15 government officers to Japan for M&E training to develop core trainers. These trainers were involved in providing training of trainers to 15 national trainers in Nepal upon their return from Japan. Now, the NPCS annually provides two central-level trainings and five district-level trainings. NPCS core staff members, project staff members and some ministry personnel are involved in providing training. Training content includes field monitoring, reporting, and use of reports for further improvement of programme/project. A training manual with six modules has been developed, based on which the training programme is delivered. In addition, NPCS has developed and updated monitoring and reporting formats and prepared results-based M&E guidelines. It has also been organizing policy forums to increase the understanding of and gain support from policy-makers, such as the Fourth Policy Forum organized on 11 September 2013. To build the capacity of government staff engaged in M&E, the NPCS has taken the following four approaches.

- Capacity-building of NPCS and ministry persons directly by NPCS (M&E Division) and ministries to respective departments and district offices;
- Training of more staff members to retain trained staff;
- Linking training with on-the-job training;
- Involving young M&E staff in evaluations together with senior M&E evaluators.

M&E capacity development by private institutions

Private institutions also offer M&E courses. Prominent among them are ELD and SIAS. ELD[29] is an international organization, active since 2000, focusing on training and consultancy. It works mainly in Asia, Europe and Africa. ELD offers four main services: open training courses; toolkits and manuals; distance training programmes; and customized training and consultancy services. One demand-based training offered by them is a five-day M&E course covering philosophy of participation, types of M&E, collection and analysis of information, and tools for M&E (including participatory rural appraisal, survey, logical framework approach, SWOT analysis and group facilitation).

SIAS[30] was established in Nepal in 2011 as a non-profit organization aimed at promoting quality research and evaluation through studies, scholarships and teaching and training. The institute has conducted several studies, evaluation and training programmes. Training programmes to date include scientific writing, STATAstatistical analysis package, and epistemology. SIAS has planned for other training programmes on climate change and development and also on evaluation. For evaluation, they plan on using the TESA curriculum. They are planning to run the TESA curriculum on a modular form. TESA[31] has eight modules of 222 hours in total which cover introduction to evaluation, approaches of evaluation, evaluation design, quantitative methods in evaluation, qualitative methods in evaluation, communications in evaluation, norms, standards and ethics in evaluation, and management in evaluation. Based on demand, they are going to conduct planning and managing evaluation training that focuses on managers, commissioners and users of evaluation. They have qualified trainers in-house as well as a pool of committed resources persons. According to their brochure, the course is planned for 30 hours overfive days.

M&E capacity development by academic institutions

TU and KU both offer long-term and specialized courses on M&E. In TU, evaluation is compulsory component of the Bachelor of Education degree, and an optional specialization in the Master of Education degree.Under the Faculty of Education's Curriculum and Evaluation programme, a two-year evaluation course of 150 periods (equivalent to 137.5 hours) is offered for a Masters. There is a related Masters course called Educational

28   SMES2 has been implemented since 2012.
29   ELD website: http://eldtraining.com
30   SIAS website: sias-southasia.org
31   TESA website: teachingevaluationinsouthasia.org

Measurement and Evaluation under the Educational Planning and Management programme of three periods per week, for a total of 75 periods; however, it is entirely focused on measurement and tests; evaluation-related topics are not included.

Likewise, KU offers an evaluation course of three credit hours in seven programmes under the School of Education. These include: one-year postgraduate diploma; one-year Masters; two-year Masters; and a Masters in Environment Education and Sustainable Development. These programmes have a course entitled Curriculum and Evaluation. In addition, the two-year Masters has two specialized courses in evaluation each of three credit hours: evaluation and assessment in education; and programme evaluation in education. The Masters in Public Health includes evaluation methods.

The curriculum in both universities is comprehensive and includes the concept and rationale, development, planning and aspect of programme evaluation; design, approaches, methods and tools of data collection; and developing proposal for programme evaluation in education. These courses, however, are general and do not cover contemporary issues related to the rights-based approach, utilization-focused evaluation, strength-based evaluation, transformative evaluation, or equity and gender equality.

Capacity development achievements

With all these efforts, 31.5 percent of M&E-related officers working at the central level of the five ministries in the SMES2 baseline survey have taken training. Despite the LSGA providing a basis for promoting evaluation at the local level (VDC/municipality and district), and the District Planning, Monitoring and Analysis System (DPMAS) being promoted by the NPCS and MOFALD, less than 10 percent of district-level officers involved in M&E had received any appropriate training at the time of the SMES2 baseline survey. This means that more than two-thirds of central-level M&E-related officers and over 90 percent of district-level officers have yet to receive any M&E training.

5.5.2 Evaluation capacity needs assessment

Training needs for evaluation capacity enhancement within the government system, including the NPCS, ministries/departments and districts, are provided in the SMES2 baseline survey,which was conducted in 2012,. It is assumed that these needs are still equally relevant as the period between the survey and this report is not long. Additional government needs and the needs of non-state actors have been identified during this study. Both are presented here.

Evaluation capacity needs of the government

Respondents were asked to provide suggestions for improving capacity within the government system generally. They suggested that the government should take a leadership role in national evaluation capacity development, especially in creating an enabling environment. Other suggestions included training of M&E staff and those involved in policy and budget formulation, strengthening of the database, clarifying of the roles and responsibility of M&E divisions/staff members, and developing capacity on data analysis.

Evaluation capacity needsof NPCS

At the NPCS, three types of training needs are proposed[32]:

- Internal capacity-building on M&E knowledge and skills for evaluation/analysis of policy, programmes, projects and third party evaluation processes
- Analysis of existing data and reporting to policy-makers for use in informed decision-making
- System strengthening through cross-learning visits to other countries

Specific training needs for enhancing the evaluation capacity of NPCS staff include:
- Results-based M&E
- IT-based M&E
- Skills enhancement activities to monitor indicators
- Practical job-oriented training
- Training on incorporating M&E results into planning
- Design and implementation of M&E systems
- M&E tools and techniques

New staff members at the NPCS who have not received any M&E training should be required to take a complete M&E training package.

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32   Institute for Integrated Development Studies (IIDS), 2012. *Baseline Survey of the Project for the Strengthening M&E System in Nepal Phase II (SMES2)*. Unpublished document, obtained from SMES2.

Evaluation capacity needs at ministry level

At the ministry level, there are several donor-funded projects with specific reporting systems. At present, ministries do not have adequate M&E human resources to meet these requirements. Furthermore, there is no explicit plan to train sufficient M&E staff members. Even when training is provided to some staff members, they are frequently transferred and replaced by untrained staff. This frequent transfer indicates the need for continuous practical training on relevant topics.

The following training is required for ministry-level M&E officers.

- Results-based M&E
- Participatory monitoring
- Evaluation system
- Overall M&E cycle
- Data collection, analysis and reporting
- Management response to evaluation
- Use of evaluation findings in sectoral policy and planning
- Planning based on results-based M&E

Evaluation capacity needs at district level

According to the LSGA, the effect and sustainability of the district development plan needs to be assessed. It should assess the effect of every completed project, repair and maintenance of completed projects, type of community benefitting from each project, changes in production and employment opportunities, and the environmental impact of project implementation. This means that district-level offices need to collect, store and retrieve data related to these aspects and participate in assessing them. The SMES2 baseline survey has also identified M&E issues in the districts. Based on the issues and expected roles, the following training needs have been identified to improve the capacity of district officials involved in M&E.

- Roles of M&E officers in project evaluation and monitoring
- Different approaches to M&E
- Results-based M&E
- Data collection, data entry, data analysis
- Database management
- Report preparation
- Two-way communication in M&E reporting (feedback system)
- Vertical and horizontal coordination among agencies in M&E
- Specific intensive M&E training for statistical/M&E officer
- General M&E training for managers
- Project evaluation general training
- Collecting and assessing perceptions of beneficiaries
- Assessment of environment impact of the project

Evaluation capacity needs of SWC

The SWC is closely involved in M&E, from the proposal appraisal stage to the conducting of evaluations. It not only manages evaluations but also provides staff members for evaluation teams. Capacity needs were assessed in discussions with relevant officials. Suggestions provided by respondents include laying more emphasis on improving the quality of evaluation, making the process more transparent, and disclosing evaluation findings to related stakeholders. It was also suggested that, at the project registration stage, the SWC should ensure that a certain percentage of funds are allocated for capacity-building. Suggestions were also made about conducting meta-evaluations and comparative studies on the different M&E approaches of various INGOs in order to develop a national development model. The following needs have been identified for improving evaluation capacity.

- General training on evaluation design, methods, approaches and ethics for SWC personnel on evaluation teams
- Planning- and management-focused evaluation training for M&E division personnel
- Project appraisal training for relevant staff members
- Training on management response to evaluation for staff members in M&E division

Evaluation capacity needs of training institutes

Many training institutions do have training on progress monitoring but trainers are not adequately trained in other aspects of M&E. One common suggestion provided by respondents was to allocate more time in pre-service and in-service training courses to evaluation. The following training needs were identified.

- Training of trainers on M&E
- Curriculum updating while incorporating M&E appropriately
- Planning and managing evaluation for relevant staff

Evaluation capacity needs of universities

Both of the universities (KU and TU) have evaluation coursesunder their Faculty of Education. Other faculties do have some evaluation courses, but only of short duration and on basic concepts. The following needs wereidentified.

- Updating of curriculum incorporating contemporary approaches, methods, tools and techniques
- Linking curriculum with practice
- Evaluation of curriculum and pedagogy/andragogy
- Offer evaluation in different faculties including rural development and general management

Evaluation capacity needs of consulting firms and individual evaluators

The quality of evaluation provided by local non-government suppliers depends largely on the knowledge and skills of staff members within local consulting firms, or of individual consultants. Respondents from local consulting firm suggested the following needs for capacity enhancement.They also ranked these topics by demand; however, as they were already involved in the planning and managing of evaluations, they have tended to place greater importance on training in design, ethics and methods.

- Evaluation design
- Evaluation standard and ethics
- Evaluation approaches
- Qualitative methods in evaluation
- Quantitative methods in evaluation
- Communication in evaluation
- Evaluation plan
- Evaluation management
- Rigorous analytical techniques

Evaluation capacity needs of VOPEs

VOPEs work on establishing an evaluation culture through development and dissemination of knowledge in evaluation, capacity-building of evaluation stakeholders, and promotion of evaluation theory and practice with the aim of promoting quality evaluation. They need to grow individually as well as institutionally to perform these tasks effectively. Some areas for capacity development identified through in-depth discussions are listed below.

Capacity-building of individual VOPE members
- New paradigms, theory, tools, methods and practices (in evaluation)
- Participatory techniques in evaluation
- Communication tools/methods for sharing evaluation findings
- Data/information analysis skills/tools
- Impact evaluation methods and tools (experimental and quasi-experimental)
- Contribution analysis
- Writing effective evaluation report

Institutional capacity-building of VOPEs
- Institutional strengthening of VOPEs
- Networking and partnership in evaluation
- Research on evaluation including meta evaluation
- Organizing effective sharing forum
- Publishing of a Journal of Evaluation
- Developing advocacy materials in evaluation

5.5.3 Capacity needs in summary

The capacity needs analysis indicates that the different types of stakeholder involved in evaluation have different capacity needs. Consulting firms and VOPEs have more technical needs, where as government agencies have needs for topics that come to immediate use. Training institutions have needs for training of trainers on evaluation, whereas universities have to open evaluation courses to more faculties with updated curricula.

As different types of agencies involved in evaluation capacity development have different needs, and all types of agencies are required to contribute to the overall quality evaluationin the country, the national evaluation capacity development system should create a rich environment where each agency is encouraged to develop its capacity based on its needs.

5.6 Potential models for strengthening evaluation capacity in the South Asian region

The experience of Sri Lanka provides a good model from which Nepal can learn, as the two countries have similar contexts in terms of national evaluation capacity development.

5.6.1 Overview of Sri Lankan evaluation model

Like Nepal, Sri Lanka started institutionalization of evaluation in the early 1990s, with support from a project[33] funded by the Asian Development Bank. The project introduced methodology, techniques and procedures for evaluation, and provided on-the-job training to M&E-related government officials, linking theory and practice. Through the project, policy-makers and senior government officials were sensitized, and arrangements were made for feedback by disseminating evaluation findings. In addition, an information system for storing and retrieving evaluation findings was developed.

Sri Lanka uses five evaluation criteria, adapted from standards developed by the Development Assistance Committee of the Organization for Economic Cooperation and Development (DAC/OECD): relevance, effectiveness, efficiency, impact and sustainability. The country has now shifted its attention[34] from ex-ante evaluation to relevance in terms of programme theory and logic; from project to programme/institution/policy/sector/thematic evaluation; and from donor-driven evaluation to joint evaluation to improve national ownership, national evaluation capacity development and feedback.

There is a strong relationship between and among stakeholders[35]. The Government of Sri Lanka and SLEvA, for example, are strategic partners with strong collaboration. Emphasis has been placed on developing capacity of all sectors (public, private and civil society) and at all levels (national and sub-national). The culture ensures that evaluation is well respected as a management tool and that evaluation findings are used in policy-making and other decisions. There is active involvement of the government in several activities launched by VOPEs including in national conferences, international conferences, and seminars organized by SLEvA.

Despite these, there are some challenges which are almost similar to Nepal situation. These are[36]:

> Weak formal feedback link between evaluation, policy and policy arrangement; weak link between evaluation and planning, policy formulation, budgeting and programme implementation; poor use of evaluations; evaluation methodology (evaluation question, attribution and policy evaluation methodology) and weak dissemination.

5.6.2 Comparing the Nepali evaluation model with the Sri Lankan evaluation model

A comparison showing the similarities and differences in characteristics of the evaluation models of Sri Lanka and Nepal is presented in Table 3 in terms of institutionalization, approaches, shift in evaluation approach, capacity, evaluation culture and challenges.

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33   Sivagnanasothy, V., 2013. *Evaluation for Evidence-Based Policy*. Power Point presentation at the Fourth International Conference on Evaluation for Change, organized by Sri Lanka Evaluation Association in partnership with Government of Sri Lanka at Colombo, Sri Lanka, 24–25 July 2013.

34   Sivagnanasothy, V. and Anushyanthan, V., 2012. *Sri Lanka: Use of Evaluation in Public Policy – Sri Lankan Experience*. In National Evaluation Capacities: Proceedings from the Second International Conference, 12–14 September 2011, at Johannesburg, South Africa. New York: UNDP.

35   Bandara, N., 2013.*Developing an Evaluation Culture, and Working Towards a Policy Framework*. PowerPoint presentation at the Evaluation Networking Meeting organized by the NPC in partnership with UN agencies in Nepal, 9–10 September, 2013.

36   Ibid.

Table 3: Comparing evaluation models of Sri Lanka and Nepal

Indicator	Sri Lanka	Nepal	Remarks
Institutionalization of evaluation	Early 1990s	Early 1990s	Similar
Approaches used for evaluation capacity development			
On-the-job training to M&E related government officials	Yes	Yes	Similar
Sensitization of the policy-makers and senior government officials on evaluation	Yes	Yes	Similar
Arrangement for evaluation feedback	Yes	Yes	Similar
Disseminating evaluation findings	Partial	Partial	Similar
Development of evaluation information system	Yes	Partial	Difference
Adaptation of DAC/OECD definition	Yes	Yes	Similar
Adaptation of DAC/OECD 5 criteria	Yes	Yes	Similar
Shift in evaluation approach	Yes	Yes	Similar
Project to programme evaluation	Yes	Yes with GoN but project by SWC	Difference
Donor-driven evaluation to joint evaluation	Yes	Yes	Similar
Actual capacity			
Knowledge, skills and attitude of personnel of government	Relatively high	Low	Difference
Retention/placement	High	Low	Difference
Relation between and among stakeholders	Strong	Weak	Difference
Emphasis on developing capacity of all sectors (public, private and civil society organizations)	High	Low	Difference
Use of ICT	High	Low	Difference
Evaluation culture			
Evaluation is respected as a management tool	Highly	Low	Difference
Value given to evaluation in decision-making	High	Low	Difference
Active involvement of government in VOPE activities and viceversa	High	Low	Difference
Challenges			
Formal feedback link between, evaluation, policy and policy arrangement	Medium	Low	Difference
Link between the evaluation and planning, policy formulation, budgeting and programme implementation	Weak	Very weak	Difference
Use of evaluation	Poor	Poor	Similar
Dissemination of evaluation to primary stakeholders	Low	Very low	Difference
Enabling environment			
Evaluation policy	Draft stage	Not started yet	Difference
Parliamentary forum for evaluation	Active members	Less active members	Difference

Sources: Based on presentations of Bandara, 2013; Sivagnanasothy, 2013; Dhakal, 2013 and interviews with various stakeholders in Nepal in connection of this study.

There are similarities in terms of time of institutionalization of evaluation, current shift towards client ownership, and approaches taken to develop evaluation capacity; broad differences are seen in actual capacity, evaluation culture, and the level of challenges. Specific differences are found in the level of relation between and among stakeholders, emphasis on developing capacity of all sectors (public, private and civil society), value given to evaluation in decision-making, involvement of government in VOPE activities, and respect attached to evaluation. Sri Lanka gives higher value to these indicators than Nepal. In terms of challenges, both have similar challenges but while talking with stakeholders and listening to presentations from both countries, this author suggests that these are less severe in Sri Lanka than in Nepal.

Regarding evaluation policy, although neither country had one as of September 2013, Sri Lanka is working on preparing one, whereas Nepal is yet to start. Evaluation policy is one of the recommendations of the recent Evaluation Networking Meeting that was presented at the Policy Forum. Once the Sri Lankan evaluation policy is prepared and made public, Nepal can learn from it to prepare its own evaluation policy.

29

5.6.3   Lessons from Sri Lankanevaluation model

- Strong relationship between the evaluators and evaluation institutions belonging to both public sector and non-public sector enhances national evaluation capacity.
- For a strong relationship between both demand- and supply-side evaluation institutions, each side should be competent in its respective area of evaluation.
- Government should use evaluation as a tool for learning, accountability and transparency in its governance system.
- There should be a forum for sharing evaluation information and knowledge. This forum could serve as a venue for inviting experts in specific areas and also provide learning opportunities for evaluators.
- Networking among national organizations and with international evaluation societies helps keep knowledge and practices updated.
- Developing a national evaluation policy involving government and non-government sectors would make the policy applicable to both sides as a whole, including policy on national evaluation capacity development.

5.7   Recommendations

Based on the above information, the following recommendations are developed for enhancing the enabling environment and increasing national evaluation capacity in Nepal:

- As the capacity of all sectors including the public, private, and civil society is low, involve all sectors in preparing a national evaluation capacity development plan, including an accreditation system.
- Recognize evaluation as a learning, accountability and transparency tool in the overall development cycle.
- As there is a weak link between evaluation and planning, policy formulation, budgeting and programme implementation, make special efforts to strengthenthe linkage between evaluation and these other tasks.
- Organize more networking meetings or similar activities to strengthen relations between and among stakeholders.
- Create a sharing forum and organize seminars, workshops, talk programmes, etc. to increase awareness of the importance of evaluation and the use of evidence-based information in decision-making.
- Develop an evaluation policy, associated regulations andan overall development framework that includes a course for senior managers on evidence-based policy-making and implementation.
- Make parliamentary portfolio committees aware of how they can use M&E findings to support their oversight functions.

5.8   Conclusion

The overarching finding of this study is that the enabling environment for national evaluation capacity is improving in Nepal. Although there is no separate legal status or policy document on evaluation, some laws/acts, rules and regulations,as well as sectoral policies, have integrated evaluation to some extent. More importantly, senior management within the government is positive toward improving the evaluation system, including the enabling environment. The networking meeting and policy forum, recently organized by the NPC, to improve evaluation quality for evidence-based policy-making is one indicator of the positive attitude and growing commitment by senior management towards building evaluation capacity. The enabling environment needs improvement, especially in mobilizing resources (human, physical, and others),within both state and non-state sectors for quality evaluation and its use. An opportunity for developing an inclusive evaluation policy that mobilizes national resources from all sectors exists, and has been recommended by the networking meeting to the policy forum.

Likewise, national evaluation capacity development is becoming stronger, with more trained human resources available in both state and non-state sectors through capacity-building provided by NPCS/SMES, sectoral projects and other institutions. The strength of trained human resources, however, is still meagre, especially within the public sector,when compared to the requirements. It also remains grossly uncoordinated between different sectors. Mobilizing human resources available in different sectors would help to strengthen and develop national evaluation capacity. There is a need to address the issue of retaining trained human resources for M&E work within government, as at present the work does not have executive function. Using M&E information for policy decisions and for the government's reward system, as well as providing equal opportunity to M&E division staff members,like in other government divisions might be a viable strategies to increase retention rates.

Evaluation as a whole is weak in South Asia, and finding a successful model is difficult. However, national evaluation capacity is stronger in Sri Lanka than in other countries, especially in terms of the relations between and among stakeholders, emphasis on developing the capacity of all sectors (public, private and civil society), value given to evaluation in decision-making, involvement of government in VOPE activities, and respect attached to evaluation. Nepal needs to give greater importance to these areas to enhance national evaluation capacity and create an enabling environment more conducive to evaluation.

ANNEXES

ANNEXES FOR SECTION 1: CONCEPT NOTE

A1.1   List of suggested participants for preliminary and networking meetings

Participant	Preliminary Meetings	#	Networking Meeting	#
Government / line ministries	National Planning Commission	4	National Planning Commission	20
	Ministry Health & Population	1	Office PM & Council of Ministers	1
	Ministry Education	1	Ministry Forestry	1
	Ministry Fed. Affairs & Local Development	1	Ministry Labour	1
	Ministry Phys. Infrastructure & Transport	1	Ministry Phys. Infrastructure & Transport	1
			Ministry Agriculture & Cooperatives	2
			Ministry Finance	2
			Ministry Health & Population	3
			Ministry Education	3
			Ministry Urban Development	1
			Ministry Fed. Affairs & Local Development	2
			Ministry Home Affairs	1
			Ministry Women & Children	2
			Central Bureau of Statistics	1
			Office of Auditor-General	1
			National Vigilance Centre	1
			Ministry of Industry & Commerce	1
			Ministry of General Administration	1
			Ministry of Energy, Ministry of Irrigation, Ministry of Information	1
Projects	SMES / JICA	1	LGCDP	1
			Strengthening National Planning and Monitoring Capacity (SNPMC)/ UNDP/SMES	1 / 2
Development Partners	UNDP	1	UNDP	2
	UNICEF CO, ROSA/HQ	2	UNICEF CO, ROSA/HQ	4
	UNFPA	1	UNFPA	2
	JICA	1	JICA	1
	Save the Children	1	Save the Children	1
			Care Nepal	1
			World Bank	1
			SDC	1
			ADB	1
			DFID	1
			USAID	1
			DANIDA	1
			NORAD	
			GIZ	

Participant	Preliminary Meetings	#	Networking Meeting	#
Evaluation Society / Private / Civil Society	Community of Evaluators (COE)-Nepal New ERA Care Nepal	1 1 1	Community of Evaluators (COE)-Nepal Evaluation Society of Nepal New ERA Care Nepal, ADDCN Centre for Public Policy Dialogue	1 1 1 1
Universities / Research Institutes / Training Institutes	IIDS Nepal Administrative Staff College (NASC) CEDA	1 1 1	Kathmandu University IIDS Nepal Administrative Staff College (NASC) CEDA CENAS CERID SIAS	1 1 1 1 1 1
Total		21		56

ANNEXES FOR SECTION 2: PRELIMINARY MEETING

A2.1 List of participants for preliminary meeting

S.N	Name	Organization	Designation
1	Dr. Teertha Raj Dhakal	NPCS	Joint Secretary
2	Dharma Sornakar	UNDP	Program Analyst
3	Catherine Breen Kamkong	UNFPA	Deputy Representative
4	Yoko Ishida	JICA/SMES2	Deputy Team Leader
5	Tarun Adhikari	Save the Children	Sr. Manager MEAL
6	Amleshwar Singh	CARE Nepal	Impact Measurement and Learning Manager
7	Ramesh Tuladher	COE-Nepal	Former President
8	Bobby Rawal Basnet	UNFPA	M&E Officer
9	Shyam Pd. Bhandari	NPCS	Program Director
10	Anna Maria Vangoor	UNICEF Nepal	PME Officer
11	Dilip K. Chapagain	NPCS	Program Director
12	Satya Tamatta	UNICEF Nepal	Program Assistant
13	Surendra Pd. Sigdel	MoHP	Section Officer
14	Shyam Raj Khanal	MOFALD	Joint Secretary
15	Yam Bdr. KC.	MoE	Under Secretary
16	Bal Gopal Baidya	New Era	Sr. Research Associate
17	Gana Pati Ojha	COE-Nepal	Consultant
18	Urs Nagel	UNICEF ROSA	Regional Evaluation Advisor
19	Ashok Vaidya	UNICEF Nepal	M&E Specialist

ANNEXES FOR SECTION 3: NETWORKING MEETING

A3.1   Agenda for networking meeting

Monday 9ᵗʰ September			
Time	Topic	Presenter / Facilitator	Method
08:30 – 09:00 Registration & breakfast			
Opening Session – Chair: Mr Yuba Raj Bhusal, Member Secretary, NPC			
09:00 – 10:15	Welcoming remarks Meeting objectives Evaluation Policy Framework (30 min)	Dr Teertha Dhakal, Joint Secretary, NPC	
	Remarks (15 min)	Mr Jamie McGoldrick, UN Resident Coordinator	
	Remarks (15 min)	Hon'ble Dr Rabindra K. Shakya, VC, NPC	
	Closing remarks (15 min)	Mr Yuba Raj Bhusal, MemberSecretary, NPC	
10:15 – 10:45 Tea Break			
Plenary Session I – Chair: Mr Yuba Raj Bhusal, Member Secretary, NPC			
10:45 –11:15	National evaluation systems for evidence-based policy-making	Mr Urs Nagel, ROSA, UNICEF	Presentation Q&A
11:15 –11:45	Developing an evaluation culture, internalizing evaluation as a management tool and working towards a policy framework	Ms Nilanthi Bandara, Sri Lanka Evaluation Association (SLEvA)	PresentationQ&A
11:45 – 12:15	Institutionalization of evaluation in public sector:a multi-dimensional approach	Dr Aru Rasappan, Malaysian Evaluation Society (MES)	PresentationQ&A
12:15 – 12:45	Assessment of enabling environment and evaluation capacity development in Nepal	Dr Gana Pati Ojha (Consultant)	Presentation Q&A
	Wrap-up and Closing of the Plenary Session I by the Chair		
12:45 – 13:45 Lunch Break			
13:45 –14:45	Group work: Policy–regulatory framework Capacity-building Use of evaluations Quality and independence of evaluations	Facilitators: Group 1: Dr Aru Rasappan; Group 2: Ms Soma De Silva: Presentation on Evaluation Capacity Development /Teaching Evaluation in South Asia (TESA) and & COE/NES: Presentation on professionalization and partnership in evaluation by Dr Ramesh Tuladhar; Group 3: Ms Nilanthi Bandara; Group 4: Mr Urs Nagel:Presentation on Quality and Independence by Dr Ryo Sasaki	SWOT
14:45 – 15:15 Tea break			
15:15 –17:00	Continue group work		SWOT and power point presentation
Tuesday 10th September			
Time	Topic	Presenter / Facilitator	Method
09:00 – 09:30	Breakfast		

09:30 – 10:30	Finalization of group presentation		
Plenary Session II – Chair: Mr LeelaMani Paudyal, Chief Secretary, Government of Nepal (GoN) (TBC)			
10:30 –13:00	Group presentations (20 min. presentation and 10 min. discussion per group)	Group Presenters	Power point presentation
	Plenary and Closing	Mr Shanta Raj Subedi, Finance Secretary	Q&A and discussion
		Mr Yuba Raj Bhusal, Member Secretary, NPC	
		Mr LeelaMani Paudyal, ChiefSecretary (GoN)	
13:00 – 14:00 Lunch Break			
Policy Forum Preparation Facilitator: Dr Teertha Dhakal, Joint Secretary, NPC			
14:00 –15:30	Preparation for the Policy Forum (to be held following day)	Facilitators, Group Presenters and Rapporteurs	Discussion and Power Point

A3.2   Address by the Honourable Dr. Rabindra Kumar Shakya

Mr. Chairman, Mr. Jamie McGoldrick, UN Resident Coordinator Development Partners, Distinguished guests, Participants, Ladies and Gentlemen

Right at the outset, let me thank all concerned for inviting me to this event. This is an event where we are ready as well as eager to share our respective experiences in areas of evaluation of development programmes and projects. We all have experiences in evaluation activities and the networking of institutions in this field is sure to be an advantage for all of us.

Networking of institutions involved in the field offers comparative advantages in that we can together make efforts to address common weaknesses in our evaluation system. We do not have to reinvent the wheel. We can draw dividends from each other's investment and efforts. This is where our common strength lies.

I expect that this evaluation networking meeting will identify areas where capacity strengthening is required and where the regulatory framework demands modifications, as well as what kind of evaluation policies and mechanisms are appropriate. All of these issues have an impact on the pace and pattern of implementation. If we all are serious about accelerating our development process, which I think we are, our common wisdom is sure to contribute to achieving our common goals.

I understand that four papers are going to be presented in the session that follows. These papers will highlight experiences, document best practices and lay down the future course of action that needs to be followed to make practices more effective. This wealth of information will undoubtedly provide us all with good insight on what needs to be done in the days to come.

In Nepal, during its planned development history of almost six and a half decades, we have made efforts to introduce a monitoring and evaluation system that is responsive to our needs. The system has undergone significant changes and modifications as and when needed. Our latest efforts have been the publication and execution of the National Monitoring and Evaluation Guidelines. We would appreciate receiving your comments and observations on the guidelines for our future use. These guidelines will constitute an integral part of our development process which will help us realize our vision of graduating from the list of least developed countries to that of developing nations by 2022, while at the same time, helping us to reduce poverty from the present level of 23.8 percent to 18 percent by the end of the current Thirteenth Plan (2013/14–2015/16).

Let us hope that our efforts will help us build on what we already have and expand our collaborative efforts towards achieving an effective networking system among us—a system capable of addressing our needs, yet implementable.

With these words, I would like to thank you all for your presence here today and wish you all rewarding deliberations.

A3.3 National evaluation systems for evidence-based policy-making by Mr Urs Nagel

National evaluation systems for evidence-based policy making

Urs Nagel
Regional Evaluation Adviser
UNICEF Regional Office for South Asia

Outline

- What do we mean by evidence-based policy making?

- How to ensure evaluation is used in evidence-based policy making?

- What are the key elements of a systemic approach towards national evaluation capacity development?

- How to strengthen national evaluation capacities for evidence-based policy making?

What do we mean by evidence-based policy making?

On what basis are decisions on public policies and programmes made?

- Opinion?
- Ideology?
- Convenience?
- Personal gain?
- Consensus?
- Convention?
- Etc

What about evidence?

What is evidence-based policy making?

- An approach that helps people make **informed decisions** about policies, programmes and projects by placing the **best available evidence** at the heart of policy development and implementation

Growing demand for evidence-based policy making

- Better (results-based) management

- Improved public accountability

- Enhanced learning from positive and negative lessons

- Strengthened knowledge management

How to ensure evaluation is used in evidence-based policy making?

Where does evidence come from?

- Research
- Audit
- Investigation
- Monitoring
- Evaluation

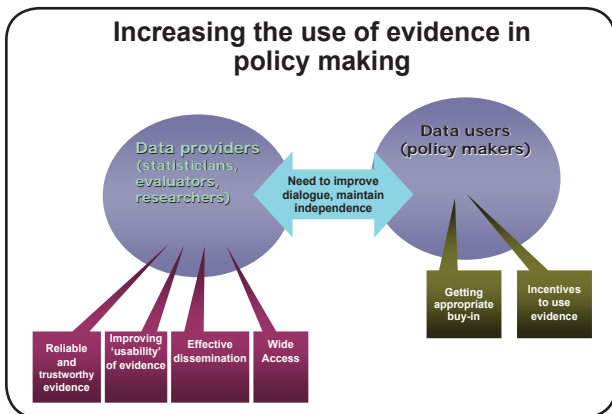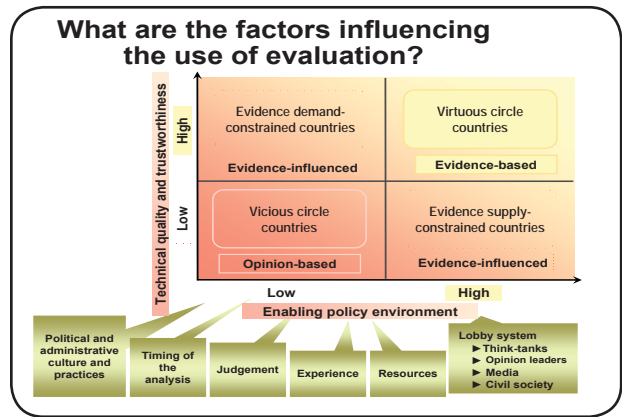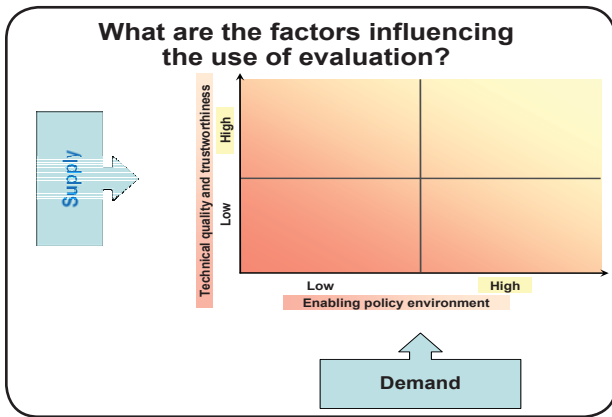**Are policies and programmes making a difference in the lives of people?**
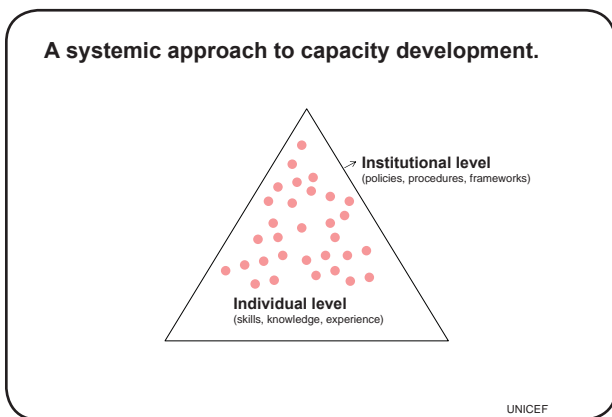
➡ Are we doing the right thing?

➡ Are we doing things right?

➡ Why do the things we do work or not work?

What are the factors influencing the use of evaluation?

What are the factors influencing the use of evaluation?

Increasing the use of evidence in policy making

What are the key elements of a systemic approach towards national evaluation capacity development?

A systemic approach to capacity development.

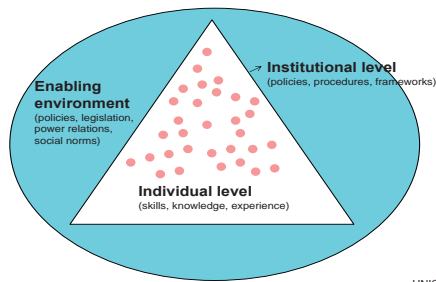**Individual level**
(skills, knowledge, experience)

UNICEF
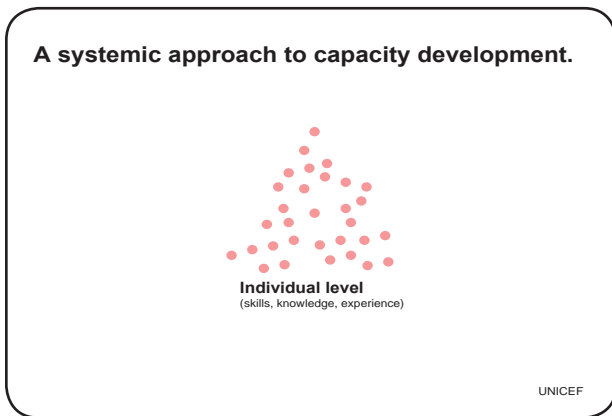
Individual level

- Supply side: Capacity to conduct good evaluations

  - Independence of mind and integrity
  - Knowledge and respect of evaluation standards
  - Agreed evaluation processes and products
  - Formal education
  - Specialized training
  - Professional conferences and meeting
  - On the job training
  - Community of practices and networking

- Demand side: Capacity to plan and use evaluations

  - Strategic planning and ability to ask the right questions
  - Evaluation management for independence and credibility
  - Evaluation use

A systemic approach to capacity development.

Institutional level
(policies, procedures, frameworks)

Individual level
(skills, knowledge, experience)

UNICEF

Institutional level

- Evaluation culture
  - Set of values and attitudes
  - Institutional commitment
  - Mutual support and learning
  - Protective culture (remove repercussions on careers)
  - Understanding of the foundations and principles of M&E
- Institutionalizing independence, credibility and utility
  - Institutional evaluation policies
- Work programme and budget
  - Independence and adequacy of budget
- Conduct of evaluations
  - Institutional endorsement of standards
  - In-built quality assurance systems
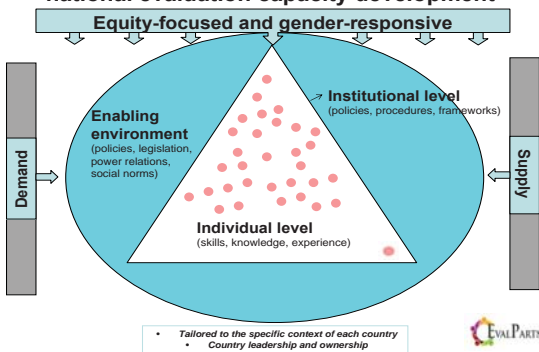
A systemic approach to capacity development

Enabling environment
(policies, legislation, power relations, social norms)

↗ **Institutional level**
(policies, procedures, frameworks)

Individual level
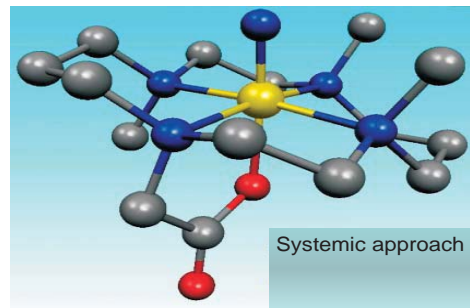(skills, knowledge, experience)

UNICEF

Enabling environment

- Public administration committed to manage for results and accountability
  - National evaluation policy
  - Transparency and accountability
  - Results-based public budgeting
  - Evidence-based policy making

- Strong civil society
  - Rights holders able to demand for and monitor quality of public services

- Strong national evaluation association
  - Foster national demand for M&E, and strengthen national supply

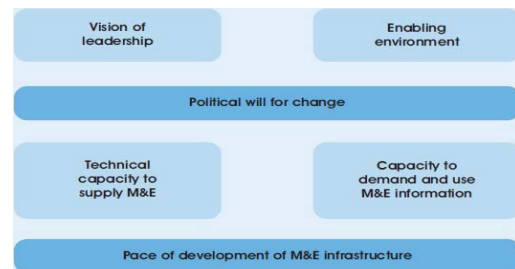**A systemic approach to national evaluation capacity development**

Equity-focused and gender-responsive

Demand

Enabling environment
(policies, legislation, power relations, social norms)

↗ **Institutional level**
(policies, procedures, frameworks)

Individual level
(skills, knowledge, experience)

Supply

- *Tailored to the specific context of each country*
- *Country leadership and ownership*

EvalPartners

Remember: Systemic approach!

Systemic approach

How to strengthen national evaluation capacities for evidence-based policy making?

Four essential building blocks for an effective M&E system

Vision of leadership	Enabling environment
Political will for change	
Technical capacity to supply M&E	Capacity to demand and use M&E information
Pace of development of M&E infrastructure	

Source: UNEG

Good practices in building a national M&E system

- Understanding the national context

- Making the link to results-oriented management practices

- Clarifying the range of uses and opportunities for M&E information

Lessons in building national M&E systems

- Existence of an M&E driver (e.g. central leadership)

- Incentives to use M&E information (e.g. civil society demand, VOPEs, parliamentarians)

- Stewardship close to the centre

- The danger of over-engineering

- Training should go beyond M&E competencies

Critical success factors

- Policy and organizational framework
- Values and ethics
- Infrastructure to use M&E information
- Oversight
- Sustainability

Key stakeholders

- Senior government official, e.g. Office of the PM (leadership)
- Central agency, e.g. Ministry of Planning (stewardship)
- Ministries (operationalization)
- Senior M&E committee (guidance)
- National statistical agency (expertise)
- National audit office (oversight)
- Parliamentarians (accountability)
- Civil society (advocacy)
- Training institutions (skills)
- Private sector (consolidation)
- Other non-public agencies (partnership)

An international collaborative initiative with a growing number of key partners

THANK YOU!

A3.4 Developing an evaluation culture, internalizing evaluation as a management tool and working towards a policy framework by Ms Nilanthi Bandara

Developing an Evaluation Culture, and working towards a policy FRAMEWORK

Nilanthi Bandara
President, Sri Lanka Evaluation Association

Evaluation Culture

- If an organisation has a culture of Evaluation then the members of that organisation,
  – accept the use of evaluation;
  – understand why the organisation uses evaluation;
  – can design or get advice on design of necessary evaluations;
  – use evaluation, particularly to support change and development.
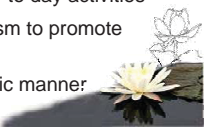
In other words, they refer to a known, shared policy about evaluation within the organisation.

(Source: http://www.tesol-france.org)

Need for an Evaluation Culture

- ❖ To perceive Evaluations positively and not as mere fault finding missions
- ❖ Active involvement of all stakeholders in a participatory manner – not just lip service
- ❖ To accept evaluations as another essential management tool
- ❖ For evaluation to be embedded in day to day activities
- ❖ To establish an institutional mechanism to promote evaluation disciplines
- ❖ To approach evaluation in a systematic manner

An Evaluation Culture

- Stresses accountability
- Stresses scientific credibility
- Is prospective and forward looking
- Encourage open commentary and debate on the results of evaluations

Role of the Sri Lanka Evaluation Association (SLEvA) in promoting an evaluation culture in the development process in SRI LANKA

Why SLEvA

- · Prevailing mindsets and practices failed in optimum utilization of resources
- · Existing evaluation practices left much to be desired as assessment and learning processes
- · Evaluations were mainly donor driven
- · Evaluations were considered to be fault finding missions
- · Absence of an institutional mechanism to promote evaluation disciplines

How SLEvA came to be ?

- A group of like-minded individuals (interested professionals & development practitioners) acting together to foster, nurture and develop concepts towards common good and betterment of society

- Initially catalyzed by UNICEF and the governance project of UNDP under the Ministry of Plan Implementation (MPI)

- Institutionalized as a Voluntary Civil Society Organization in 1999

Vision

Promotion of an evaluation culture in the country

Objectives of SLEvA

- **To promote evaluation as an integral element in the development process**

- **To contribute to better management of development processes in Sri Lanka**

- **To promote transparency and accountability in Governmental and Non Governmental development organizations/ processes**

Membership

- Individual and organizations (corporate) who support the aims of SLEvA

- Current membership – 229

- Composition of membership – Multi disciplinary
  - Practitioners
  - Professionals
  - Academics from different sectors / institutions
  - Government functionaries
  - Civil society / NGOs,
  - Private sector

Management

- Governing council elected by the membership at Annual General Meeting comprising 11 members (current) - voluntary service

- One full time Administration Secretary

- Sub committees - voluntary service
  - 5 to7 members
  - Capacity building
  - Documentation, dissemination and publicity
  - Research and policy implementation
  - Networking

Strategy

Areas of Focus:

- ✓ Capacity building
- ✓ Information dissemination and sharing
- ✓ Assisting policy formulation
- ✓ Networking

Capacity Building

- **Professional development workshops** for capacity building in M&E – throughout the year

- Conducting **national conferences / seminars** for sharing of experience in evaluation and related aspects – annually

- **International conferences** – bi annual, on current themes on evaluation: 04 international conferences

Professional Development Workshops

- Eg. 2012 - four workshops
  1. 'The Past, Present and Future of Evaluation Research' Prof. Ray Pawson
  2. 'Evaluation Management'
  3. 'Quantitative Methods in Evaluation'
  4. 'Mixed Method Approaches to Evaluation' Prof. Donna Mertens

41
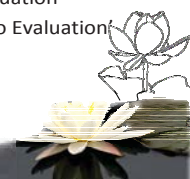
In 2013
1. Qualitative Methods in Evaluation
2. Managing Evaluation
3. Applying Program Logic Tool for Results & M&E Planning and Management
4. Training Workshop on "Teaching Evaluation in South Asia (TESA)"
5. Theory of Change
6. Designing and Managing Impact Evaluation

- ***Small Grant Facility from EvalPartners – P2P projects***
  SLEvA submitted a proposal for P2P with the Malaysian Evaluation Society on "Facilitating Institutionalization of Evaluation in Sri Lanka" and received a grant amounting to US$ 5140/-.

**International Conferences/
Professional Development Workshops**

- **2001** - "Evaluation, Good Governance and Development"
- **2003** - "Development Evaluation for Improving Outcomes"
- **2007** - "Evaluation; An essential element in the development process"
- **2009** - "Evaluation for Development Results"
- **2011** – "Evaluation for Policy and Action"
  - *2013 - "Evaluation for Change"*

Formal Study Program in Evaluation
TESA (Teaching Evaluation in South Asia)

- Post Graduate Diploma in Evaluation
  - Initiated in 2010
  - Funded by IDRC
  - *Coordinated by SLEvA*
- Member countries –
  - India
  - Bangladesh
  - Afganistan
  - Sri Lanka – USJP and SLEvA

Information Dissemination and Sharing

- Bi-annual Newsletter, emails and Website to inform members of SLEvA activities and current evaluation trends and standards
- Special presentations by subject specialists on evaluation by national and international resource persons

– **Dr. Adil Khan Chief, Socio-economic Governance and Management Branch, United Nations on, "Accounting and Monitoring for Results: Emerging Practices and Options"**

– **Dr. Ray C. Rist, the World Bank Adviser for Monitoring and Evaluation on, "From Studies to Streams - Coming Transformation of Evaluative Knowledge"**

– **Dr. Jon Bennett, Team Leader, Impact Evaluations of UNICEF Tsunami Programmes in Sri Lanka, Indonesia & Maldives on, "Independent evaluation in fragile states"**

– Mr. D. Dissanayake, Secretary, Ministry of Public Administration and Home Affairs "The Citizen's Charter"

– Ms. Katherine Hay, Senior Program Officer, IDRC, Regional Office for South Asia &China with Dr. Raj Kr Verma, Deputy Team Leader – NEPED & Joint Secretary, Govt of Nagaland on, "Outcome Mapping"

– Dr. Howard White, Director, International Initiative for Impact Evaluation – 3ie on, "Designing Theory-based Impact Evaluations"

– Prof. Sanjeev Sridharan, Health Policy Management & Evaluation, University of Toronto, Canada on, "User-friendly Practical Statistical Methods in Evaluation"

– Ms. Ada Ocampo, Regional Advisor- Evaluation, APSSC, UNICEF, Bangkok on, "How to Manage and Contract Evaluations"

Contribution to Public Sector and Policy formulation

- Strong collaboration with the then Ministry of Plan Implementation (MPI) and now Department of Project Management and Monitoring of Ministry of Finance and Planning as a CSO partner in influencing policy and implementation

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Networking and Links with organizations with similar interests

- Main Strategic Partner – Government, Department of Project Management and MOnitoring
- UN Collaboration – UNICEF, UNDP
- Close ties with GTZ, JBIC and the American Red Cross: collaboration for various SLEvA activities in capacity building and dissemination of information
- Member of the International Organization for Cooperation in Evaluation (IOCE), Evalpartners
- Member of Community of Evaluators (COE)

- Hosting formation of the Evaluation Network of South Asia (ENSA): an initiative of the UNICEF Regional Office
- Several Visits - Yemen, Afganisthan, Nepal, Uganda- study about the modality of SLEvA as a Civil Society Organization
- Collaboration with GEF Evaluation Office on reviewing support to Sri Lanka.
- Parliamentarians Forum on Development Evaluation in South Asia

Membership in other organizations promoting evaluation

- IOEC - International Org for Evaluation Cooperation

- ENSA – Evaluation Network for South Asia

- COE

Funding/ Resources

- Council members work **voluntarily – personally committed**

- Special events/ activities through **fund raising**
  – Support up to now: UNDP, UNICEF, GTZ, Am. Red Cross, JBIC

- Conferences

- Training workshops on related, current themes
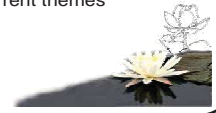
Challenges / Sustainability

Challenges

- **Volunteerism has limitations conflicting with personal priorities**
  - **Need a secretariat to meet expanding scope and demand**

- Limited financial resources

- **Limited Influence over Government**

Sustainability

- **Endowment fund**

- **Charging fees for participation in workshops/ conferences organized by SLEvA**

- **Fund raising for special events**

Key enabling factors

- Commitment of our members.
  - SLEvA members constitute a close knit community. Respect the voluntarism of the organization and contribute as and when they can.
- Good will and assistance of donor agencies
- Government blessings and collaboration
  – SLEvA has been identified as an Evaluation Champion in Sri Lanka
  "SLEvA has been and continue to advocate the Government, private and civil society sector for 13 years to promote an evaluation culture in the Country" – Mr Lalith Weeratunga, Secretary to the President

Towards a Policy Framework

- Preparation and submission of Draft National Policy paper on evaluation to MPI in June 2006 to enable the Ministry to commence a process in formulating a National Policy
- *Draft Proposal for National Evaluation Policy*
  Subsequent to the interest expressed by Mr Lalith Weeratunga, Secretary to His Excellency the President at the International Conference, SLEvA is in the process of developing an updated version of the draft National Evaluation Policy for the Government of Sri Lanka, to be handed over to the relevant authorities.
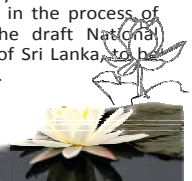
Initiatives

- **Establishment of an endowment fund**

- **Maintenance of Independence and integrity**

- **Cater to the Needs – Capacity Building**

Recent Initiatives

- To inculcate a culture of evaluation at sub-national level, SLEvA proposed a programme to institutionalise evaluation which was discussed with the Finance Commission. It is on hold until the conclusion of an on-going programme of a similar nature.

Future Proposals

- Acting as a **capacity builder, advocate, lobbyist** with Governmental and Non-Governmental development Agencies / processes
  - assisting the Government to set up small units for evaluation in institutions, conduct evaluations and disseminate information to stakeholders on some selected mega projects
  - develop evaluation capacities at grass root levels -to engage in self-evaluations
- Conduct **training programs, Workshops, Conferences & action research** related to the concept of evaluation at both National and International levels
- **Network** with National and International promoters of evaluation
  - form links with academic institutions in the country for both dissemination of information
  - inclusion of the subject of "Evaluation" to academic curricula
  - conduct research in the field of evaluation, and in capacity building / training
- Function in **close collaboration** with the Dept of project management and monitoring and varied Agencies engaged in development processes
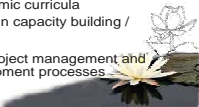
Suggestions for Nepal

- Promote a strong Evaluation Culture in the country
- Invest in a few Champions
- Capacity building in all sectors
- Public, Private and CSO s
- Networking
- Government collaboration and commitment
  - But maintain independence

A3.5 Institutionalization of evaluation in public sector:a multi-dimensional approach by Dr Aru Rasappan

EVALUATION NETWORKING MEETING, NEPAL
HOTEL EVEREST: 9-10 SEPTEMBER, 2013

**Institutionalization of
Evaluation in Public Sector:
A Multi-Dimensional Approach**

Arunaselam Rasappan Ph.D.
Secretary
Malaysian Evaluation Society (MES) / Asia-Pacific Evaluation Association (APEA)
Senior Advisor, Center for Development & Research in Evaluation (CeDRE) International
E-Mail: arasappan@cedre.org.my
Internet: www.cedre.org.my

Evaluation Institutionalization

First Things First!

What is Institutionalization?
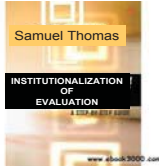
Why do we need it?

Why is it a problem?

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Evaluation Institutionalization

a. Creating awareness?
b. Providing Exposure?
c. Mentioned?
d. Studied?
e. Appreciation?
f. Mandated for implementation?
g. Applied on paper?
h. Reported?
i. Utilized purposefully?
j. A Value System and Way of Life!

Samuel Thomas
INSTITUTIONALIZATION OF EVALUATION
A STEP-BY-STEP GUIDE
www.e-book-3000.com

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3

Evaluation Institutionalization

Institutionalisation -
- **process of embedding something (for example a concept, a social role, a particular value or mode of behavior)**
- **within an organization, social system, or society as a whole.**

Source: Wikipedia

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Evaluation Institutionalization

Institutionalization means:

Active adoption, practice, and utilization…

for…

Evidence-based decision-making!

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Evaluation Institutionalization Challenges!

THE PROBLEM:
The Situation in Developing Countries

1. Lack of specific/clear policy & regulatory framework
2. Hodge-podge of systems & approaches
3. Too much diverse donor-driven agendas and prescriptions
4. Diverse tools and techniques and confusion
5. Agenda there but no resources (all types)
6. No evaluation mind-set
7. Confusion with even terms and understanding
8. Lack of clear institutional/functional clarity all round
9. Getting by meeting donor demands is the game of the day
10. No agenda for internalising evaluation
11. Remnants of evaluation taboo (though maybe not officially)
12. Other inhibitors – at each level ►

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Evaluation Institutionalization Focus?

THE PROBLEM:
Which Dimensions Need Institutionalization?

1. Policy Framework
2. Regulatory Framework
3. System & Approaches
4. Tools and Techniques
5. Budget & Resources
6. Values and Mind Sets
7. Functional Setups
8. Institutional Setups

Avoid problems & you'll never be the one who overcame them. ~Richard Bach

Problem

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Evaluation Institutionalization Focus?

THE PROBLEM:
Focus for Institutionalization?

1. National
2. Sector
3. Organizations
4. Work Units
5. Individuals
6. All of the above?

Quick Fix   Problem
Burying it Deeper

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Slide 9

Dimensions

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Slide 10

EI – LEVELS & SUB-SYSTEMS

- National
- Organizations
- Sectors
- **SYSTEMS & SUB-SYSTEMS**
- Work Units
- Individuals

Adapted from: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 11

EI – KEY SUCCESS DIMENSIONS

- Regulatory Framework
- Policy Framework
- Systems & Approaches
- Institutional & Structural Setups
- **EI**
- Tools & Techniques
- Functional Setups
- Budget & Resources
- Values & Mind Sets

Source: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 12

EI In Perspective

Policy Framework
Regulatory Framework
Institutional/ Structural Setups
Functional Setups
Systems & Approaches
Tools & Techniques
Budget & Resources
Values & Mind Sets
Others

⇔

National
Sector
Organization
Work Unit
Individuals

Adapted from: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 13

CSFs for EI

Environmental Dimensions
Policy & Regulatory Framework
Institutional/ Structural Setups
Functional Setups
Systems & Approaches
Tools & Techniques
Budget & Resources
Local/Community Value System
Others (role models, norms, standards)

Personal Dimensions
Awareness
Appreciation
Skills
Competencies
Values
Mind Set
Motivation

Source: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 14

EI – INTEGRATED PERSPECTIVE

ECD Component / Levels	Policy Framework	Regulatory Framework	Systems & Approaches	Tools & Techniques	Budget & Resources	Values & Mind Sets	Functional Setups	Institutional & Structural Setups
National								
Sector								
Organization								
Work Units								
Individuals								

Adapted from: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 15

EI – INTEGRATED PERSPECTIVE

ECD Component / Levels	Policy Framework	Regulatory Framework	Systems & Approaches	Tools & Techniques	Budget & Resources	Values & Mind Sets	Functional Setups	Institutional & Structural Setups
National	√	√	√		√		√	√
Sector	√	√	√		√		√	√
Organization		√	√	√	√		√	√
Work Units			√	√	√	√	√	√
Individuals			√	√		√	√	

Adapted from: Sept.,2011 Arunaselam Rasappan & Jerome Winston, CeDRE International

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Slide 16

Some Key Questions!

- What is our country's approach to EI?
- How is EI being promoted by donors?
- How is EI being positioned by government?
- What are evaluation bodies doing about it?
- What should key stakeholders do about EI?
- How shall we go about it?
- When is this all going to happen?
- Who will help us do it?
- When can we expect to see the Outcomes? ►

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A3.6 Assessment of enabling environment and evaluation capacity development in Nepal by Dr Gana Pati Ojha

ENABLING ENVIRONMENT AND EVALUATION CAPACITY DEVELOPMENT IN NEPAL
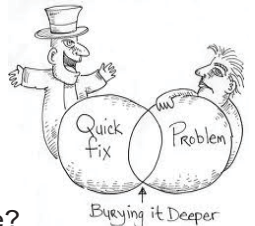
Gana Pati Ojha

Presented at
EVALUATION NETWORKING MEETING

Organised by
National Planning Commission in partnership with the UN agencies in Nepal
September 9, 2013

Framework for Presentation

- Methodology
- Enabling Environment for Evaluation capacity development
- Institutional Environment
- SWOT Analysis of Enabling Environment
- Capacity development
- Actors in capacity development
- Prominent actors of long-term courses
- Prominent actors of short-term courses
- Approach taken for capacity development by NPCS
- Challenges for NECD

Methodology

- **Document review**
  - Legislation, policies, procedures & guidelines, institutional environment, and implementation, training reports, modules, curriculum, etc
- **Interview/consultation** with state and non-state actors
- GO: NPC, SWC, MoHP, MoF, OPMCM, CBS
- UNICEF, UNDP
- ADB, DfID, USAID, JICA
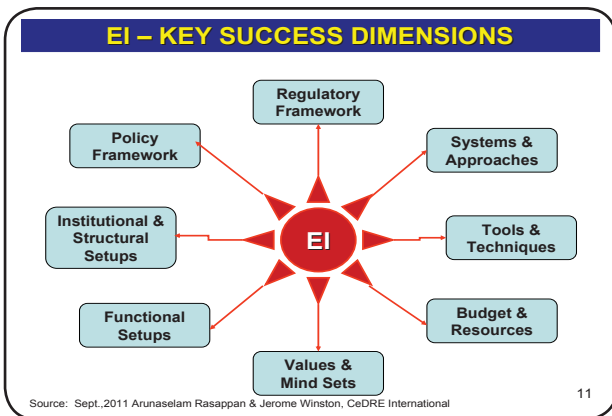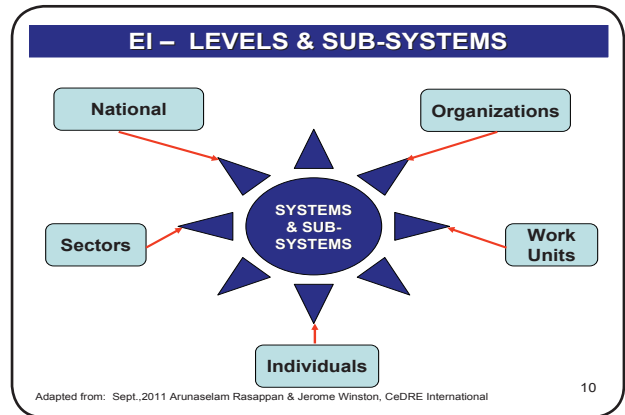- NASC, LDTA, SIAS, TU, KU
- CARE, SC

Enabling Environment

Enabling Environment for capacity strengthening

- Legislative provision
- Plan, policies
- Evaluative culture
- Institutional environment
  - Guidelines/procedures
  - Mechanisms of evaluation policy implementation
  - Quality assurance system
  - Working environment

Enabling environment

- No evaluation Acts/Rules/Regulation
- Some other Acts/Rules/Regulations have provision for evaluation (Example)
  - LSGA 1999: Provision for evaluation of VDC, Municipality and DDC projects
  - Health Service Act 1997 Performance Eval of staff
  - Education Rules 2004: M&E of educational programs
  - Forest Regulation (1995): M&E of Forest Plan
- Appropriateness of these: Partial (SMES2/IIDS, 2012)
- Need for improvement

Policies, Plan

- No separate M&E policy
- M&E Integrated into national plans and sectoral policies
- Appropriateness: (SMES2/IIDS, 2012)
  - Appropriate 40%,
  - Partially appropriate 40%,
  - No response 20%
- Opportunity for revision of sectoral policies

Evaluative culture

- Less value given to evaluation but changing toward positive direction
- Environment for quality evaluation
- Interactions among stakeholders: Low

Institutional Environment

Guidelines/frameworks

National Monitoring and Evaluation Guidelines 2013

- Comprehensive: planning and managing of M&E, specially M of results
- Emphasis on Use of evaluation: MRE
- Capacity building of GON staff of M&E
- Third party evaluation: New definition
- Limited to government M&E
- As a national guidelines it should include other sectors as well

Quality Assurance

- NPCS forms a sub-taskforce committee under NPCS M&E Coordination Committee to facilitate third party evaluation (ToR, firm selection, monitoring and feedback)
- SWC forms special sub-committee to select evaluation team, organises pre-field meeting, post-field meeting, correction

Working Environment

- Intra /inter organisation coordination
- Low priority, (meagre resources, less opportunities, low respect, over burden)
- Low priority by donors, planning div gets higher priority
- Perceived as powerless: no executive function
- Staff retention a big challenge

SWOT ANALYSIS

- Strengths
- Weaknesses
- Opportunities
- Threats

Strengths

- Structure/Institution (NPC/Ministry; SWC/I(NGO)
- Some Acts/regulations have M&E mandatory provision (Education, Forest regulations and LSGA act and rule)
- Guidelines/framework (Comprehensive)
- Provision for revising guidelines (2010, 2012)
- Result-based M&E (Logframe) mandatory
- Emphasis on use of M&E results in decision-making: MRE
- Provision for Third party involvement in evaluation
- National plans have mainstreamed evaluation
- Provision for capacity building of GON staff
- Committed and knowledgeable current leadership

Weaknesses

- No evaluation Act/Rules/Regulation/Policy
- Focus on government M&E, not national M&E: The existing guidelines
- High level political commitment – low, including ineffectiveness of different Committees (NDAC, MDAC)
- Low priority given to M&E in general and 'E' particular
- Weak coordination: NPCS-ministries; NPCS—other agencies including SWC
- Low retention of trained M&E human resource
- Inadequate M&E training received by M&E staff
- Conceptual unclarity among some M&E staff (M means F visit)
- Indicator-based monitoring – Not enough

Opportunities

- Supportive Global environment
- Support agencies working in countries (JICA, UNDP and others)
- VOPEs are emerging: Opportunity for partnership
- Curricula for training available – SMES, TESA, TU, KU
- Training institutions have some capacity to provide M&E specific training
- Increased awareness in state and non-state actors
- Training centers have some sessions allocated for M&E—NASC, LDTA, HTC
- TU and KU have human resources and space to provide M&E specific training
- Some CSOs are organising M&E specific training

Threats

- Low priority by GON an donor community
- Evaluative culture--low
- Limited number of VOPEs; Young VOPEs
- Sharing forum-none ?
- Low membership to professional societies and networking
- Public perception to M&E staff low: Limited executive function
- Less opportunity to give and to get
- Weak linkage
- Low demand and low supply of quality evaluation

Improving Enabling Environment

- Prevailing enabling environment requires improvement using **systemic approach** with coordinated multiple efforts
- Developing evaluation policy involving all major actors
- Regular sharing on evaluation with updated knowledge/ information / tools among evaluators
- Coordination between and among NPC, SWC, other actors
- A mechanism to unitedly contribute to the NECD
- New M&E Guidelines in positive direction

Capacity Development

Current Capacity Situation

- Limited number of trained human resource (GON) (SMES2/IIDS, 2012)
  - 7% in district and
  - 31.5% in centre
- Infrequent submission of M&E report s to NDAC
- Partial review meeting based on M&E results
- Partial utilization of M&E reports in plans

Actors in M&E Capacity Development

- NPC: NPCS and Ministries
- Ministries: District
- Training centers: Integrate M in regular training
- SWC: No CDE activities
- INGO: M&E staff and related partner staff
- UN: GO and related staff of project partner
- Donor: Project staff
- Firms/civil society: Demand based
- Universities: Long-term course

Prominent Actors of Long Term Course		
Actors	TU	KU
Program	M.Ed in curriculum and evaluation	M.Ed, MEESD, MPH, MPhil
Length of course	150 period of 55 min	3 credit
Curriculum/Content/ Comprehensiveness	design, approaches, methods and tools of data collection; and developing proposal for programme evaluation in education	
Not covered	Equity, gender equality, RBA, UFE, SBE, TE	
Teaching/learning methods	Interactive	Interactive
Theory-practice balance	Theory and exercises	Theory and exercises
No. of students trained	700/ yr from 25 campuses	49 Mphil (Dev studies)
Decision-making authority	TU Executive Council	

Prominent Actors of Short term course			
	GON Training centre (NASC, LDTA, HTC)	NPC/ministries/SMES	Private (SIAS (planned), ELD)
Program	M&E in General training, regular	Special training, regular, project-bound. Centre, regions, 5 districts	Special training on demand
Length of course	2-5 hours in 5 week training; 5-8 hrs in 6 month training	3-4 days	3-5 days
Curriculum/Content/ Comprehensiveness	concepts, importance, design, tools, analysis of target achievement	M&E guidelines, joint field monitoring, report preparation	Demand-based content (Participatory M&E , Planning and managing eval)
Need	TOT on M&E	M&E Planning and management as per the role at various levels	Rigorous analytical techniques, demand analysis, customised M&E training
Teaching/learning methods	Interactive		Interactive
No. of M&E trainers	1		2-3 and pool of resource persons

Capacity Development Approach of NPCS
- Capacity building of NPCS and Ministry persons directly by NPCS (M&E Div) and ministries to respective departments and district offices
- Training to more number of staff to retain trained staff
- Linking training with on-the-job
- Involving young M&E staff in evaluation together with senior
- Missing: Training centers
- Will it get sustained?

Challenges for NECD

- Providing training to large number of workforce requiring evaluation training within the GON
- Retaining trained workforce for the M&E job
- Quality evaluation under the environment that management influences evaluation
- Creating evaluative culture under governance and transparency at risk due to unstable political scenario
- Using evaluation in decision-making
- Trust building among actors to unitedly contribute to NECD

Some Recommendations

- National evaluation policy
- Advocacy group involving all stakeholders including Nepali members of parliamentary forum
- Regular sharing forum
- Meta-evaluation in certain interval
- MRE to promote evaluation use by related stakeholders, NPC, ministry, SWC, INGO, UN , donor
- Certain budget for NECD
- Donors and UN for NECD

UNITED WE WIN

THANK YOU

A3.7   Evaluation capacity development by Ms Soma De Silva

Nepal Evaluation Network Meeting

Capacity Development

What do we need capacity for?
- To use evaluation process and findings
- To communicate evaluation process and findings
- To commission evaluations
- To do evaluations

What capacities do we need?
- Awareness of the role of evaluation in the development processes
- Communication process
- Established commissioning process including quality assuarence
- Technical capacity

Type of capacity and the purpose	Who needs it	How to develop it	Resources needed	Resources available	Actions to use the available resources and to meet the gap

Resource for Academic Training

- Lack of evaluation professionals
- Weak evaluation culture
- Graduate level training - a sustainable solution
- A curriculum
- Trained Faculty
- Administrative arrangement

Where we are

- Some admin in place
- Piloted
- Curriculum developed
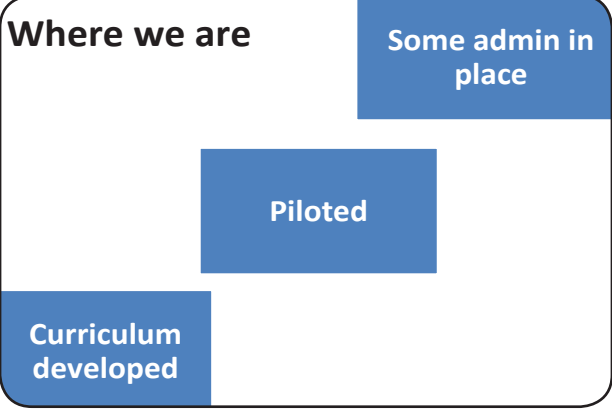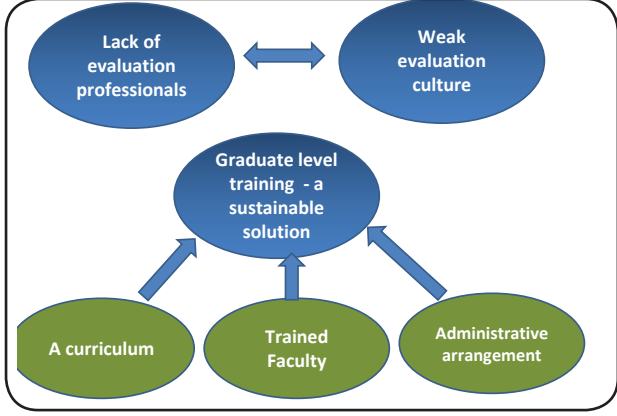
Modules   ■ Practicum
- Introduction to Evaluation
- Evaluation Design
- Evaluation Approaches
- Quantitative Methods in Evaluation
- Qualitative Methods in Evaluation
- Evaluation Standards and Ethics
- Communication in Evaluation
- Managing Evaluation

Opportunities

Partnerships

IDRC UNICEF CLEAR EvalPartners

Individual fund raising

Challenges

Institutional arrangements

Trained Teachers

Recruitment of students

Way forward

Prepare others for phase 2 → **Upscale**

Implementing in one (or two) country → **Review** ↑
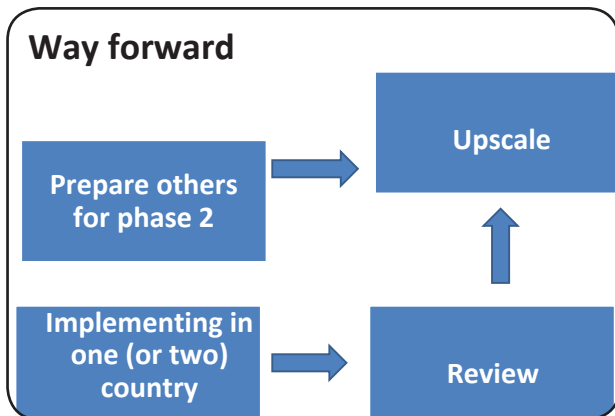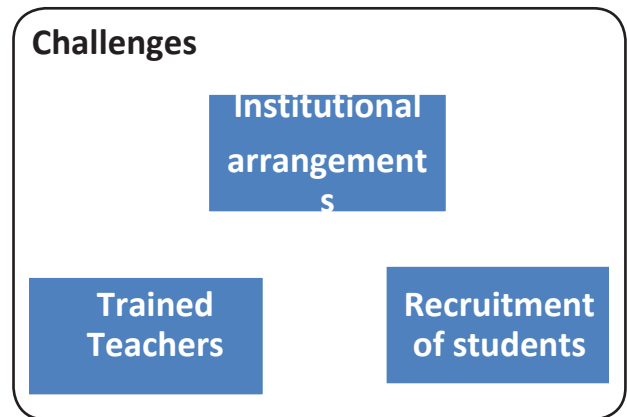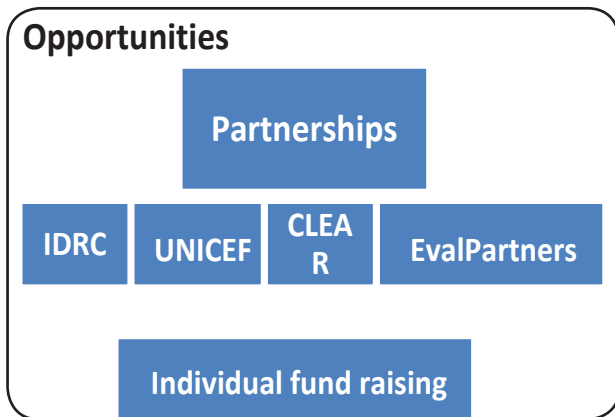
Implementation

- 🔴 **Identify teachers**
- 🔴 Review all 8 modules
- 🔴 **Attend orientation**
- 🔴 **Select 2-3 modules**
- 🔴 **Training on specific modules**
- 🟢 **Co-teaching**
- 🟢 **Faculty exchange**
- 🟢 **Placements for champions**

Current Members

- University of Sri Jayawardenapura
- Institute of Public Health and Management Sciences, Afghanistan
- Institute of Health Management Research, India
- Administrative Staff College of India
- University and Industry Alliance from the University of Dhaka, Bangladesh
- Himgiri Zee University, Dehradun, India

TESA Website

www.teachingevaluationinsouthasia.org

Thank You

A3.8 Quality and independence of evaluators byDr Ryo Sasaki

Quality and independence of evaluators

Some General principles required for evaluators -

Ryo SASAKI and Urs NAGEL

Guiding Principles for Evaluators

- American Evaluation Association (AEA), Japan Evaluation Society (JES), Canadian Evaluation Society (CES), and Australasian Evaluation Society (AES) have developed their own "Principles" (or ethical codes) for evaluators.
- The following slides are generally agreed principles for evaluators among those Societies/Associations that I have observed.
- By discussing the practice of those principles in Nepal, some recommendations and lessons learned would be able to be obtained.

1. Independence:

Evaluators should be independent from pressures to jeopardize objectivity of evaluation, and those who commission evaluation should respect independency of evaluation either internal evaluation or external evaluation. (Ethical code of JES)

2. Responsibilities for General and Public Welfare:

Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation. (Guiding Principles For Evaluators of AEA)

3. Respect for People:

Evaluators respect the security, dignity and self-worth of respondents, program participants, clients, and other evaluation stakeholders. (Guiding Principles For Evaluators of AEA)

4. Honesty:

Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process. (Guiding Principles For Evaluators of AEA)

5. Systematic Inquiry:

- Evaluators conduct systematic, evidence-based inquiries. (Guiding Principles For Evaluators of AEA)

6. Utility:

- Evaluators should design, implement and report evaluations in order to provide useful evaluation information to those who utilize them for better and rational decision-making. (Ethical conduct of Japan Evaluation Society)

Also you can learn Norms and Standard of the UNEG.

http://www.uneval.org/normsandstandards/
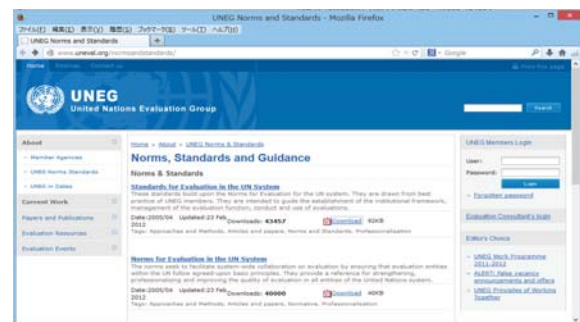
Arrangement for securing quality and independence of evaluation.

Professional arrangement
- Ethical code prepared by National Evaluation Society/Association

Report writing arrangement
- Disclaimer (e.g., "the evaluation results are the ones made by evaluators independently")
- Inclusion of two competing views in one report.
- Inclusion of "Management response/view"

Institutional arrangement
- Ministries set independent third-party committee to where evaluators submit their evaluation reports (rather than directly to Ministries).
- Metaevaluation by local third-party professional.
- Other institutional arrangement….

SWOT Analysis

- What strengths and weaknesses exist in terms of respective principles (including evaluators' independence)?
- What opportunities and threats exist in terms of respective principles (including evaluators' independence)?

=> What are recommendations/lessons learned for improving the practice of evaluation in Nepal?

A3.9 SWOT analysis of Group 1: Policy–regulatory framework

Group 1 : Policy

Evaluation Networking Meeting

M&E related policies and Regulations

Strengths

- Strong instructional Mechanism (NPPA, NDAC, MDAC, DDAC)
- Coverage at all levels (from policy to regulatory and implementation).
- Allow for participation
- Availability of guidelines
- Some laws/regulations (sector) mentioned in M&E
- Performance audit requirement for priority projects
- NPC Guidelines require Monitoring Plan
- Result based M&E framework/guidelines
- National Dev. Plans are results based and have M & E plan

Weaknesses

- Red art over taps
- Gaps in existing policy and regulator instruments
- Omofilate
- Generic and Complete

Opportunities

- Supporting global environment-evaluation year 2015, COE, South Asia, VOPE
- Recognition of M&E as key component
- Partnership options
- International/regional evaluation policy examples
- Social audit requirement in LSGA 1999
- TESA/Academia in evaluation
- LSGA provision for evaluation, M & E
- Political stability after elections

Threats

- Inadequate donor support
- Law evaluation culture
- Political interference
- Political instability
- Donor driven agenda and not harmonized

Key Issues

- Issues
- Compliances
- Resources
- Regulatory requirements and instruments
- Coverage in low requisition documents
- Inclusive evaluation policies
- Congruent with international regional M&E policies
- Awareness commitment policy level
- Delighted policy and initiative level
- Performance audit
- Participation in policy processes by

Prioritized Key issues and suggested Actions

Issues	Suggested actions	times tame
Compliance	enabling regulation	2 years
Resources	Allocation of specific resources (financial And non financial for valuation	1 -2 years
Inclusive Estuation Policies	Inclusiveness of in prescribed in valuation policy	2 years
W Awareness/commitment at policy level	Strengthen accountability for compliance though high performance indication system	1 year
right at policy and administative level	Set up colletarative one night mechanisms	1 year

A3.10   SWOT analysis of Group 2: Capacity-building

Group 2
Capacity Building

Capacities: Supply

- Technical capacity
- Regulatory framework
- Awareness & appreciation of evaluation
- Training
- Standards
- Ethics
- Accreditation

Capacities: Demand

- Mechanism for communication/accountability
- Management response/use
- Collaboration with relevant civil society organizations, e.g. evaluation network, CoEN, NES
- Collaboration with academic institutions
- Capacity for commissioning evaluations/TORs
- Procedures, incl. selection of evaluators
- Documentation & sharing information on evaluations/transparency

Demand: Use of evaluation STRENGTHS

- Existing institutional structure
- M&E Guidelines & sectoral regulation
- Leadership interests & NPC commitment
- Three year plan focus on M & E

Demand: Use of evaluation
WEAKNESSES

- Absence of adequate performance evaluation systems e.g. no standard indications
- Insufficient appreciation of M&E
- Inadequate forums, mechanisms & guidelines for sharing, M&E information
- Weak dissemination mechanism/report credibility
- Insufficient coordination and over sight function
- Inadequate availability of reliable accurate information
- inadequate budget
- Weak standardized govt reporting system uniformity & clarity in indicators, analysis & interpretation of data

Demand: Use of Evaluation
CHALLENGES

- Developing competence & standards to facilitate/commission TORs/methodology
- Establish sustainable, skilled cadre of officers
- Methods for retaining staff: Training, linking to incentives/reward system/succession plans/standards for change of staff
- System to ensure adequate evaluation skills among government staff
- Creating public awareness to demand evaluation service due to them

Demand: Use of evaluation
OPPORTUNITIES

- Using ICT\Mobilization of market capacity/resource pool
- Govt / donor support/commitment
- Supportive global environment: EVAL PARTNERS
- Evidence based programmes & implementation
- Operationalzing M&E guidelines

Demand: Use of evaluation
Recommendations

- Recognize M&E as care function of civil service
- Strengthen current management system to ensure continuity of M&E function
- Recruitment
- Orientation
- Petition
- Guidelines
- Standards/quality assurance
- Updating training
- Supervision

Demand: Use of Evaluation Recommendations

- Strengthen coordination mechanisms for evaluation by government departments & implementing agencies
- Harmonize evaluation practice government, development partners & non government agencies
- Establish standards for all aspects related to M&E
- SWC enforces standards on M&E for INGOS to conform in line with NPC guidelines

Supply: Technical Capacity
STRENGTHS

- Availability of administrative infrastructure in NPC and line ministry
- Availability of M&E guidelines
- Software based reporting system
- NPC leadership in RBM process

Supply: Technical Capacity
WEAKNESSES

- Inadequate resources
- Inadequate data based system for M&E reporting
- Weak culture of sharing evaluation finding & online networking
- Insufficient quality assurance in evaluation
- Inadequate training opportunities

Supply: Technical Capacity
CHALLENGES

- Setting up adequate system that meets national/international standards to provide skilled evaluators
- Regular training system to update skills of human resources
- How to provide academic accreditation/certification
- Ensure training opportunities are available to NGOs

Supply: Technical Capacity
OPPORTUNITIES

- Strong NPC leadership
- Availability of evaluation knowledge networks
- CoEN
- NES
- EVALPARTNERS

Supply: Technical Capacity
OPPORTUNITIES

- Commitment & options for training human resources
- TUKU already trained human resources
- TESA training & networking opportunities
- EVALPARTNERS
- Strong support development partners
- CBS available
- Growing demand for evaluations & evidence policy making

Supply: Technical capacity Recommendations

- Regulation going training tailor made to civil service
- Establish accreditation/certification
- Establish evaluation training in universities possibly linked to TESA
- Create training opportunities/specialized training for NGO staff
- Introducing standards for training to NGOs and public service
- Regular information sharing between government & academic instruction on effective capacity building

A3.11   SWOT analysis of Group 3: Use of evaluations

Strength	Weakness
1. Results indicator in M&E Guidelines 2. M&E plan incorporated all evaluation activities 3. Management response plan (yet to be implemented) 4. M&E division/section key ministries/Dept. 5. Ownership over the evaluations if demanded by the concerned ministry. 6. Procurement plan of the project/programme 7. Dedicate M&E officers in Mega projects (Foreign aided)	1. Evaluation capacity (facilitate evaluation) 2. Low resource allocation for evaluation & its proper use 3. Only progress monitoring by the Ministries. No independent evaluation 4. Baseline data not set in many projects 5. Difficulty to find the control groups 6. No code of conducts for evaluations 7. Donors evaluations report not transparent 8. Orientations for the policy makers (use of evaluations) not enough 9. Inability of the researchers to interface data with the existing policy for policy recommendations 10. Clear cut communications of evaluation findings to stakeholders its lacking 11. Lack of proper use of mix methods in evaluation poor data analysis 12. No reliability and validity checks of qualitative data 13. No inducement of primary stakeholders in the evaluation process
Opportunities	**Threats**
1. DPs interested in M&E 2. Govt. has given priority in result based M&E 3. Teaching modules on evaluation in South Asia could be replicated. 4. Separate course on M&E under TU & KU 5. Project/programme level has own M&E system could be replicated 6. Evidence based advocacy by DPs 7. Integrated M&E plan with consolidated evaluation agenda 8. Availability of code of conduct for Govt. staff	1. Retreat ices of knowledgeable staffs M&E. 2. M&E in get used by other units 3. Lack of boldest in thinking in development regent (political parasites) 4. Lack of ownership in evaluations 5. Wce M&E culture 6. Expert evaluations less relative 10 apply uncompetitive building 7. Capacity and the integrity off the consults evaluations 8. Networking of evaluators in N pal raged in consultancy lasing credibility.
Opportunity Strength (OS) Strategies Use Strength to take advantages of opportunities	**Opportunity weakness (OW) Strategies** Overcome weakness by taking advantages at opportunities
1. Disseminate M&E guidelines/plans to acquire support of DPs promote use of evaluations 2. Use university/training institutions to train M&E personnel in Evaluation. 3. Consolidated evaluation recommendations with policy implications be prepared (separate unit/experts input)	1. Use refines modules (TU/KU/TESA) to build capacity in data analysis & triangulation. 2. Implement code of conduct for evaluators as for civil service promote integrity 3. Participatory tools in M&E be implemented as a part of project M&E
Threat Strength (TS) Strategies use strengths to avoid threats	**Treat Weakness (TW) Strategies Minimize weakness and available threats**
1. Create separate M&E cadre promote retention of staff in M&E units 2. Incorporate key activities of Management response plan in the TOR of responsible unit/staff	1. Multi Donor trust fund to be created to conduct systematic evaluation as per the M&E plan of NPC/Ministries 2. Take evaluation reform as a part of overall development management reform process 3. Conduct maintaining of M&E of Ministries from NPC for productive use of M&E budget.

A3.12 SWOT analysis of Group 4: Quality and independence of evaluations

Evaluation Networking Meeting Group-4- Quality and independence

Strengths
1. Provision of evaluation steering committee for every evaluation comprised of all stakeholders (multistakeholders)
2. Standard procedure & reporting templates.
3. Existence of NPC & Separate M&E Division
4. Competitive selection Process.
5. Provision for third party evaluation.

Weakness
1. Lack of good results frameworks and theories of change.
2. Lack of good data basis on monitoring systems.
3. Absences of dedicated evaluation section in most Ministers.
4. Absence of clear standards for good quality evaluators (relating to design, conduct, process, quality assurance).
5. Absence of clear professional for high quality evaluators.
6. Absence of clear standard and mechanism for independence of evaluators.
7. Inadequate good quality evaluation/institutors.
8. Quality cost (too much) money
9. Tendency to go for lowest bid undermines quality.
10. Quality is not priorities because there is no great interest in use.

Weakness ....
11. Absence of strong civil society demand for evaluation.
12. Weak dissemination of evaluations reports undermines quality concern.
13. Absence of evaluation skills as professional criteria for recruitments.
14. Absence of experience/skill support system for managing high quality evaluation.
15. Lack of training & skill building opportunities for evaluation.
16. Evaluators fear that upholding independence will undermine chances to get future contract.

Opportunities
1. People are taking about evaluation: emerging culture.
2. NPS is allocating some more Rs. (Budget) to evaluation.
3. Emerging Civil societies groups (COE, NEA) are increasing visibility of evaluation (+demand).
4. Increasing focuses on sector-based results planning/frameworks will enhance basis for evaluation.
5. Possibilities of drawing on international partner for skill/experience.
6. Media are sharing greater interest in (quality) evaluations.
7. Growing interest in senior government officials/policy makers/champions interested in evaluations.

Threats
1. Fear of evaluation negative fall out/criticism.
2. Evaluation fatigue among some stakeholders.
3. Political instability results in low prioritization of (quality) evaluation.
4. Lack of understandings of the value of evaluation level/donors GSOS/WGOS
5. Lack of openness understands to new approaches understanding priorities.
6. Conflicting development priorities result in law prioritization of (Quality) evaluation.

Possible Strategies
- Conduct activities to advocate the important of evaluation in policy making visa vis. decision makers, governmental official and civil society.
- Advocate quality evaluation as a tool for learning and corrective action.
- Continue with existing good practices, especially related to new M&E Guidelines and 3rd party bidding system, to ensure maximum effectiveness.
- Define the standards and criteria for good quality and independent evaluation (relating to design, conduct, process, quality assurance)

Possible Strategies Conti......
- Apply result-base management principles in programs and projects to improve the basis for quality evaluation through better result framework and indicators.
- Promote the development of strong monitoring system based on improved result framework to yield quality data on process and performance
- Develop evaluation training opportunities to strengthen the management and conduct of quality evaluation
  Internal
  External

ANNEXES FOR SECTION 4: POLICY FORUM

A4.1   Agenda for policy forum

Time	Topics	Presenters
8:00 – 9:00	Breakfast and Registration	
9:00 – 9:10	Opening announcement, seating arrangement	MC: Mr Dilip Kumar Chapagain,Programme Director, M&E Section, NPCS
Chairperson: Mr Yuba Raj Bhusal, Member Secretary, NPC		
9:10 – 9:15	Welcome Remarks	Mr PurushottamGhimire, Joint Secretary, NPCS
9:15 – 9:20	Remarks	Mr Tsutomu Shimizu, Chief Representative, JICA Nepal Office
9:20 – 9:35	Remarks	Dr Rabindra Kumar Shakya, Hon'bleVice Chairman, NPC
9:35 – 9:55	Factors for Influencing the Use of M&E Results	Dr NilanthiBandara, Sri Lanka Evaluation Association
9:55 – 10:15	Policy Environment for Evidence-based M&E	Dr AruRasappan, Malaysian Evaluation Society
10:15 – 10:35	Best Practice of Evidence-Based M&E	Dr Ryo Sasaki,Japan Evaluation Society/SMES2 Team Leader
10:35 – 10:55	Tea Break	
10:55 – 11:30	Reporting from the Networking Meeting and Challenges for Quality M&E for Evidence-based Policy Making	Dr Teertha Raj Dhakal, Joint Secretary, NPCS
11:30 – 12:30	Plenary Discussion	
12:30 – 13:00	Remarks	Mr Shuichi Sakakibara, Deputy Chief of Mission, Embassy of Japan
	Remarks	Mr Leela Mani Poudyal, Chief Secretary,GoN
	Wrap-up with Closing Remarks	Mr Yuba Raj Bhusal, Member Secretary, NPC
13:00 –	Lunch	

A4.2 List of participants for policy forum

S.N	Name	Organization	Designation
1	Dr Rabindra Kumar Shakya	NPC	Vice Chairman
2	Mr Yuba Raj Bhusal	NPC	Member Secretary
3	Mr KrishnaGyawali	MOI	Secretary
4	Mr DurgaNidhi Sharma	MOGA	Secretary
5	Mr Madhav Prasad Regmi	NVC	Chief
6	Mr KishorThapa	MOUD	Secretary
7	Mr PurushowtamGhimire	NPC	Joint Secretary
8	Mr Pushpa Lal Shakya	NPCS	Joint Secretary
9	Dr Teertha Dhakal	NPCS	Joint Secretary
10	Mr BishnuPrasad Nepal	NPC	Joint Secretary
11	Mr Shyam Raj Khanal	MOFALD	Joint Secretary
12	Mr Bharat Pudasaini	MOFSC	Joint Secretary
13	Mr RamsaranPudasaini	MOF	Joint Secretary
14	Mr Toya Narayan Gyawali	MOCS	Joint Secretary
15	Mr Madhab Kumar Karki	MOPIT	Joint Secretary
16	Mr Mahendra Man Gurung	OPMCM	Joint Secretary
17	Mr BalkrishnaGhimire	MOPR	Joint Secretary
18	Mr JeetBahadurThapa	Ministry of Industry	Joint Secretary
19	Mr Madhu Sudan Burlakoti	MOCJCA	Joint Secretary
20	Mr Anup Kumar Upadhya	Ministry of Energy	Joint Secretary
21	Mr Jeeban Sharma Paudel	Ministry of Education	Joint Secretary
22	Mr Chudamani Sharma	Ministry of Home Affairs	Joint Secretary
23	Mr Uttam Kumar Bhattarai	MOAD	Joint Secretary
24	Mr Kamal Regmi	Ministry Of Irrigation	Joint Secretary
25	Mr PurushattamPaudel	MOLE	Joint Secretary
26	Mr Uttam Narayan Malla	Central bureau of statistics	Director General
27	Mr Dilip Kumar Chapagain	NPCS	Programme Director
28	Mr Shyam Prasad Bhandari	NPCS	Programme Director
29	Mr Jagannath Adhikari	NPCS	Programme Director
30	Mr Shekhar Babu Karki	NPCS	Under Secretary
31	Ms Jamuna Mishra	NPCS	Planning Officer
32	Ms Sita Pariyar	NPCS	Planning Officer
33	Ms Meena Shrestha	NPCS	Planning Officer
34	Mr Raju Prasad Paudel	NPCS	Planning Officer
35	Mr Gopal Raj Timilsina	MOPR	Under Secretary
36	Mr Bharat Dhuagana	MOIC	Under Secretary
37	Mr Kedar Koirala	MOHA	Section officer
38	Dr Rujen Shrestha	MOHP	Chief

39	Mr Rambabu Adhikari	MOAD	M&E Division
40	Mr Madhav Prasad Regmi	NVC	Chief
41	Dr NilanthiBandara	Sri Lanka Evaluation Association	President
42	Dr ArunaselamRasappan	Malaysia Evaluation Society (MES);	Secretary
43	Dr Ryo SASAKI	JICA/SMES2	Team Leader
44	Mr Shuichi Sakakibara	Embassy of Japan	DCM
45	Ms ChisakoNishitari	Embassy of Japan	Second Secretary
46	Mr Tsutomu Shimizu	JICA	Representative
47	Mr Gopal Gurung	JICA	SPO
48	Ms Soma de Silva	Forum UNICEF	
49	Ms Indra Tudawe	UNICEF	
50	Mr Ashok Vaidye	UNICEF	M&E
51	Mr Yendra Kumar Rai	UNICEF	M&E officer
52	Mr Urs Nagel	UNICEF	Regional Evaluation Advisor
53	Mr Basudeb	UNDP	ADV.
54	Mr Dharma Swarnakar	UNDP	Programme
55	Mr Bishnu D. Pant	IIDS	E.D.
56	Ms Bobby RawalBasnet	UNFPA	ME Officer
57	Ms RechanaShrestha	ADB	Senior Officer
58	Mr Murari Adhikari	USAID	M&E SPD
59	Ms Anita Shakya	UNFPA	PA
60	Mr Vijaya Kumar Singh	NES	Member
61	Mr GovindaTamang	NES	Treasure
62	Dr GanapatiOjha	COE	
63	Mr GovindaDhital	NTV	News
64	Mr PurushottamGhimire	NTV	News
65	Mr Bhesh Raj Belbase	Gorkhapatra	Reporter
66	Mr Guna Raj Shrestha	OAG/N	Assistant A.G.
67	Ms Yoko Komatsubara	JICA/SMES2	
68	Ms Miho Sakuma	JICA/SMES2	
69	Ms HanakoTsutsumi	JICA/SMES2	
70	Mr KhagendraSubba	JICA/SMES2	National Project Coordinator
71	Mr Bhim Kumar Shrestha	JICA/SMES2	National Project Officer
72	Mr Subir Shrestha	JICA/SMES2	
73	Mr Dipendrachaudhary	JICA/SMES2	
74	Ms SharadaDahal	JICA/SMES2	
75	Ms BhojaDahal	JICA/SMES2	

A4.3 Factors for influencing the use of M&E results by Ms Nilanthi Bandara

Factors for influencing the Use of M&E Results

Nilanthi Bandara
President, Srilanka Evaluation Associations

Introduction

M&E

Information

Knowledge

Learning

Evaluation is a part of an exercise whereby stakeholder participates in the continuous process of generating and applying emulative knowledge.

- Key decisions

    Who participates?

    Extent of involvement
- An M&E framework generates knowledge promote learning and guides action capacity development and sustainability of national results

Use of Evaluation

- The evaluation process does not end with the submission and acceptance of the evaluations report
- The findings, conclusions, recommendations and lessons learned need to be internalized and acted upon.
- Hence it is essential to follow up an the evaluation report and implement change. Closely linked to the knowledge and learning

Requirements for this learning

- Record and share lessons learned
- Keep an open mind
- Plan evaluations strategically
- Involve stakeholders strategically
- Provide real time information
- Link knowledge to users
- Apply what has been learned
- Monitor how new knowledge is applied

Key Issues in Evaluations

- Evaluators make themselves the primary decision makers and therefore, the primary users
- Identifying vague, passive audiences as users instead of real people
- Targeting or generations as users instead of specific persons
- Focusing on decisions instead of decision makers.
- Assuming the evaluation's funder is automatically the primary stakeholder
- Waiting until the findings are in to identify intended users and intended uses
- Taking a stance of standing above the fray of people and politics

Evaluation Approach

What-Distinct ways of approaching an Evaluation
– Thinking about
– The program
– Evaluation purposes, users, Users, Participants

Approach
– Helps improve the program to deliver
– Understand the reach
– Helps increase stakeholder involvement and benefits
– Improves accountability

Determination of Approach

Evaluation purpose
Scope of Evaluation

    Environmental setting

    Needs

    Applicability
Context of Evaluation

Utilization focused Evaluations

Utilization focused evaluation is a process for making decisions about these issues to collaboration with an identified group of primary users focusing on their uses of evaluation.

Conceptual framework for Utilization Focused Evaluation

- Begins with the premise that evaluations should be judged by their utility and actual use
- Patton's' theory is the involvement of all stakeholders from the beginning to the end in order to ensure the evaluation findings are utilized.
- There are multiple possible stakeholders in any evaluation (eg. funders, staff, administrator's clients)
- In utilizations focus evaluation the stakeholder list is narrowed down to a specific group of intended users.

The Check list

Source: Michael Quinn Patton Utilization focused evaluation checklist 2010)

1. Program/Organizational Readiness Assessment
2. Evaluator readiness and capability assessment
3. Identification of primary intended users
4. Situational analysis
5. Identification of primary intended
6. Focusing the evaluation   7. Evaluation Design
8. Simulation of use   9. Data Collection
10. Data Analysis   11. Facilitation of use
12. Meta Evaluation

1. Programme/Organizational Readiness Assessment

Primary Tasks	evaluation facilitation challenges
Promises	**Promise: Utilization**
Key people want the Evaluation Conducted need to Understands and be Utilization focused Evaluation.	focused evaluation requires active and skilled guidance from and facilitation by an evaluation facilitator

Checklist 2. Evaluator Readiness and capability Assessment

Primary Tasks	Evaluation facilitation challenges
Premise facilitating and Conducting a utilization Focused evaluation Requires a particular Philosophy and special Skills	Premise: Evaluation facilitators need to know their strengths and limitations and develop the skills needed to facilitate Utilization focused Evaluations

Checklist 3: identification of primary intended Users

Primary Tasks	Evaluation Facilitation Challenges
Premises: Primary intended Users are people who have a direct, identifiable stake in the evaluation and meet the atterla below to some extent (Caveart: These judgments are necessarily subjective and negotiable)	Premise: The utilization focused evaluation fascinator needs to both assess the characteristics of primary intended users and reinforce characteristics that will contribute to Evaluation use

Checklist 4: Situational Analysis

Primary Tasks	Evaluation Facilitation challenges
Premise: Evaluation use is People-and context Dependent. Use is likely to Be enhanced when the Evaluation takes into Account and is adapted to crucial situational factors such as those below.	Premise: The evaluator has responsibility to identify assess understand and act on situational factors that may affect use.

Checklist 5: Identification of Primary intended uses

Primary Tasks	Evaluation facilitation Challenges
Premise: Intended use by Primary intended users Is the U-FE goal of the Evaluation	Premises: The rich menu of evaluation options are reviewed, screened, and prioritized to focus the evaluation

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Checklist 6: Focusing the Evaluation

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premise: The focus derives From primary intends of the evaluation by primary Intended users.

Premise: Primary intended users will often need? considerable assistance Identifying and agreeing on Priority evaluation uses and The major focus for the Evaluation

Checklist 7: Evaluation Design

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premises: The evaluation Should be designed to lead to useful findings, Methods Should be selected and the Evaluation designed to Support and achieve Intended use by primary

Intended users.

Premises: Evaluation and users have varying responsibilities in the design decision making process.

Checklist 8: Simulation of Use

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Promise: Résumé data are Collected, assimilation in of Potential use

Premise: It's important to move dissicussions of use

Checklist 9: Data Collection

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premise: Data Collected should be managed with use in mind.

Premise: Its Important to keep primary intended users informed and involved throughout all stages of the process.

Checklist 10: Data Analysis

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premise: Analysis should be organized to facilate use by primary intended users

Premise: facilating data interpretation among primary intended users increases their understanding of the endings, their sense of Ownership of the Evaluation, and their commitment to use the results

Checklist 11: Focusing the Evaluation

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premise: Use doesn't just Happen naturally; it Needs to be defalcated

Premise: facilitating use is a central part of the evaluator's job.

Checklist 12: Focusing the Evaluation

<u>Primary Tasks</u>   <u>Evaluation Facilitation Challenges</u>

Premises: Utilizations Focused evaluations Should be evaluated by Whether primary Intended users used the Evaluation in intended Ways.

Premise: A UFE Facilitator can learn something from each evaluation.

Strengths

- Pragmatic use of evaluation findings and evaluation process
- Inclusion of the narrowed down stakeholders who are primary users in the entire process
- Bringing in attention to process use in contrast to findings use

Weaknesses

- Some of the processes in the checklist such as data collection and data analysis require technical skills which all intended users may not be competent in.
- The final beneficiaries or the key stakeholders of the project/programme do not have an opportunity to participate, thus leaving out an important segment of claim holders.
- A very lengthy process
- Requires advocacy at many level of primary users (from decision makers to does)
- Can lose sight of the objectives

Weaknesses

- The evaluation seems a project in itself
- May not be suitable for end of project evaluations or even projects which have clearly defined objectives and goals but useful for evaluating systems, process, institutional development and change etc.
- Bias

Final thoughts in support of utilization focused evaluation

Evaluations most important purpose is not to prove, but to improve

Daniel stuffle beam

Research is aimed at truth, Evaluation is aimed at action

Michael Quinn Patton

References

- Michael Quinn Patton- Utilization focused evaluation checklist 2002
- UNDP Evaluation office: Knowledge and, Learning: Use of Evaluative Results, Chapter 7, Handbook on Monitoring and Evaluating for Results 2002.

A4.4 Policy environment for evidence-based M&E by Dr Aru Rasappan

4th Monitoring and Evaluation Policy Forum

Quality M &E for evidence 0based Policy Making

Policy Environment for Evidence-based M&E

Policy

- A principle or protocol go guide decisions and achieve rational outcomes.
- A statement of intent which is implemented as a procedure or protocol
- Policies can be understood from different dimensions:
- Political, management, financial and administrative mechanisms arranged to reach explicit goals

Policy Environment for M&E

Helps to…
- Mandate
- Legitimize
- Compel
- Guide
- Coordinate
- Facilitate
- Sanction
- Incentives

the institutionalization of M&E at all levels

Policy Context

- Political
- Management
- Financial
- Administrative

Policy Environment

- Constitution
- Laws/Statutes
- Cabinet Decisions
- Degrees/Resolutions
- National Policies
- Administrative Circulars
- Orders
- System Requirements
- Management Procedures
- Office Procedures
- Norms & Practices

Key Dimensions for Institutionalizing M&E

Evaluation Institutionalization (EI)%

Key Success Dimensions

Regulatory Framework · Policy Framework · Systems & Approaches · Institutional & Structural Setups · EI · Tools & Techniques · Functional Setups · Budget & Resources · Values & Mind Sets

M&E Dimensions & Focus Levels

Support Dimensions	Focus Levels
Policy Framework	National
Regulatory Framework	Sector
Institutional/Structural setups	Organization
Functional setups	Work Unit
Systems & Approaches	Individual
Tools & Techniques	
Budget & Resources	
Values & Mind Sets	
Others	

Evaluation Application: Levels & Sub-Systems

Policy

Implementation

National

Sector

Organization

Work unit

Indviduals

Evaluation Application: Levels & Sub-systems

Policy

Implementation

National

Sector

Organization

Work unit

Indviduals
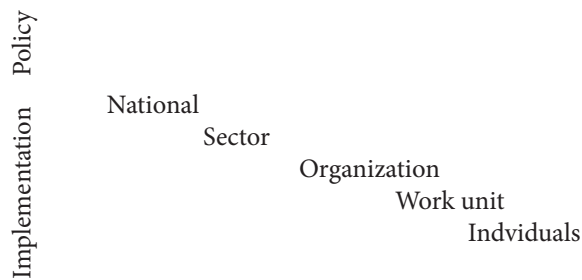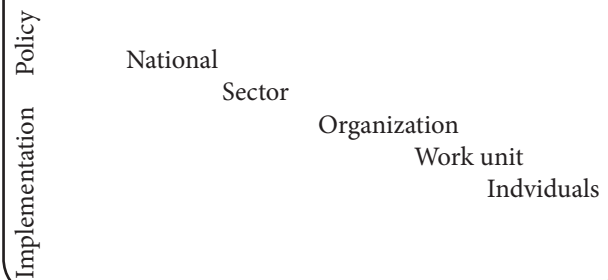
Policy Environment & M&E

- Some Basic Facts
- M&E Just does not happen by itself
- Typically seldom prominent in public management
- If present, just another word, limited practice
- Often claimed as "M&E" but focus on monitoring
- Government policies/programs-limited concrete M&E agenda or utilization plan
- Not a std. management tool in public management.

The Acid Test

- It's all about
- Information
- And
- Evidence-Based Decision-making

Challenges with M&E, Information & Decisions

- Information's for policy, program, projects related decisions are not timely, Key decisions-makers have to wait for lengths of time to get key information.
- Information, if available, is not very accurate poses many challenges!
- Information, if available, is not very reliable- leading to wrong or flawed decisions with major repercussions
- Information, when available, is not in the right form, shape, or content to enable efficient and efficient decisions.

M&E and information Users

- Parliamentarians/National Assembly Members
- Cabinet/Council members
- Political Heads of Ministries
- Top Management of Ministries/Agencies
- Program/Project Management
- Budget Officers
- Donors and Funding Bodies
- External Development Partners
- Line Officials
- Other Stake holders?

M&E Evidence Based Decisions

- Policy Decisions
- Strategic Decisions
- Operational Decisions
- Transactional Decisions

M& E Policy, Application & Utility

Evidence based decisions

- Policy formulation, adjustments, assessments
- Program/project planning, implementation, & adjustments
- Allocative efficiency decisions
- Budget building & allocations
- Program/project rationalizations decisions
- Efficacy issues
- Performance assessments

Lessons Learnt & Implications for Nepal

- Trade-off between legislative or administrative policies/mandates?
- Adopt key institutionalization strategies
- Allocate resources for building sustainable M&E
- Determine high level leadership & champion for M&E
- Secure commitment and buy in from all parties

Lessons Learnt & Implications for Nepal

- Ground M&E within mandated systems/sub-systems
- Adopt multi level & time-bound ECD strategies
- Use demonstrator projects (or Big-Bang Approach)
- Link M&E with other catalysts (Budget-audit etc)
- Internalize M&E as value system within public sector
- Form international partnerships to share information

A4.5 Best practice of evidence - based M&E by Dr Ryo Sasaki

4th Monitoring and Evaluation Policy Forum:
Quality M&E for Evidence-Based Policy Making

Best Practice of Evidence -Based M&E

Ryo SASAKI, Ph.D.

Board Member, Japan Evaluation Society (JES)
日本評価学会
THE JAPAN EVALUATION SOCIETY (JES)

jica Team Leader of "Project for Strengthening the Monitoring
and Evaluation System in Nepal Phase II" (SMES2)

1

What is Evidence-base M&E?

• **Evidence-based M&E** is the monitoring and evaluation (M&E) activity for making public policy well informed by <u>rigorously established objective evidence</u>. It is an extension of the idea of evidence-based medicine to all areas of public policy.

What is "evidence" ?

• There are a hierarchy of "evidence".

• Most rigorous approach is <u>Randomized Controlled Trial (RCT)</u> – It is truly objective and can exclude any effect of external events, by its design.

• But there are <u>more applicable quantitative approaches</u>. It includes matching designs, generic control and simple before-after design. (see Annex1)

Basic of RCT
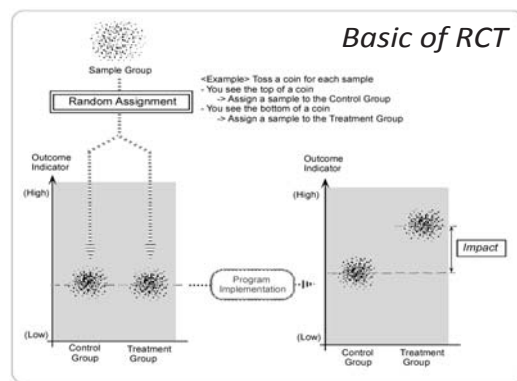
The World Movement of
"Evidence-based M&E and Policy Making"

Medicine and health sector
• Cochrane Collaboration – Recently Japanese branch has been established (by Dr. Rintaro MORI et al)

Various public policy sectors
• Campbell Collaboration – Japanese branch has existed (by Professor Hiroshi TSUTOMI) (2003)

World Movement - Development Aid Field

• The Abdul Jameel Povery Action Lab (J-PAL) was established in 2004.

• East Asian Branch locates in Indonesia. South Asian Branch locates in India. Japan missed a good chance !

6
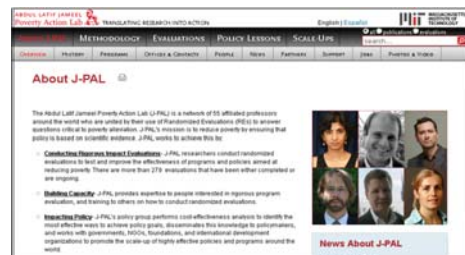
Branches of J-PAL worldwide

Seven "Best Buys" by J-PAL

1. Deworming of children

=> The purpose is to increase school attendance and educational performance

Evaluation was conducted in Kenya (1998-2001)

(See Annex 2)

8

School Attendance Rate (Yearly) at the end of first program year (FY 1998)

Treatment, 84.4% Control, 75.6% Treatment, 85.5% Control, 77.9%

Boys   Girls

It is equivalent to nearly <u>one year increase</u> if we aggregate this effect for whole elementary years (8 years) . On the other hand, the cost per student per year is just <u>50 cents (= 50 rupees)</u> and it is extremely cost-effective compared with other traditional interventions in education sector.

9

POLICY ACTION

Prime Minister Odinga announced that the government will undertake a national program to provide deworming medicine for primary school children.

Kenya

Kenya's Prime Minister Raila Odinga.

POLICY ACTION

Over 17 million children in the Indian state of Bihar were provided with deworming treatment though one of the world's the largest school-based deworming campaigns.

Bihar chief minister Nitish Kumar

Seven "Best Buys" by J-PAL

2. Free primary school uniforms
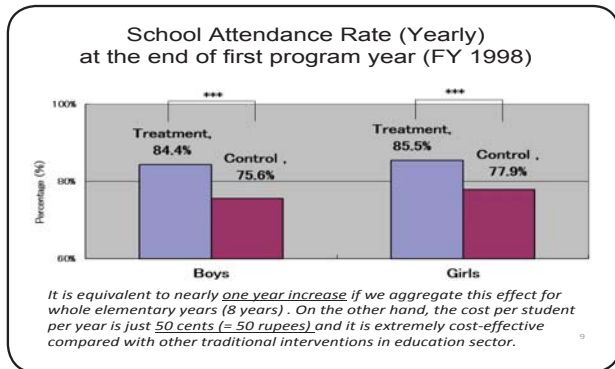3. Quotas for women in politics
4. Remedial education to children who lack basic reading skills
5. Bednets
6. Smart subsidies to farmers
7. Get children immunized

(Source) http://www.povertyactionlab.org/intres/mdgs

Additional – Microfinance

- Rigorous evaluation was conducted at Hyderabad in India using RCT(2005-2007).
- The conclusion is: *Microcredit may not be the "miracle" that is sometimes claimed on its behalf, but it does allow households to borrow, invest, and create and expand businesses.*

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Rigorous M&E - Japanese government

- Japanese government introduce "Policy Evaluation Act" in 2001.
- One of its clause mentions "evaluation should be conducted by quantitative methods as much as possible". => <u>Rigorous and quantitative approach is required by law !!</u>

総務省 MIC Ministry of Internal Affairs and Communications

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Rigorous M&E - Japan Evaluation Society (JES)

- It has contributed theoretical discussion of rigorous approaches including RCT by publishing academic journals.

"Social experimentation Committee", promoting rigorous evidence by RCT.

15

Actual practice of "evidence-based M&E and Policy Making" in Japan

- Medicine Sector – Now it is very common.
- Health/Social Service Sector --- Some trials of RCT are observed.
- Road Sector --- "Social experimentation" becomes common – Not RCT but limited time trial (e.g., ETC).
- Development Aid Sector – Several application of RCT are conducted by JICA in Bangladesh, Mongol, and Tanzania.   (e.g., "Mother and Child Health Book")

16

Suggestions for Nepal for promoting "evidence-based M&E"

- Legislation, like "Policy Evaluation Law" in Japan – but with caution of "evaluation fatigue".
- Strong National Evaluation Society or academic initiative – collaboration with the National Government
- Sector Ministries should test innovative ideas by rigorous evaluation approach (e.g., RCT) before starting nation-wide application.
- Finance Ministry should support such initiative by sector Ministries.
- Consultant firms & NGOs should be capacitated for implementing field work of rigorous evaluation.

17

Thank you very much!!

(M&E Training at MoFSC, July 2013)

A.4.6 Institutionalization of evaluation in Nepal by Dr Tertha Raj Dhakal

Instutionalization of Evaluation System in Nepal

Teertha Dhakal, PhD

Chief, M&E division, Joint secretary, NPCS

Presentation flow

- Review of evaluations of last 15 years
- New National M&E Guidelines
- Capacity building in Evaluation- Networking
- Expectation of the preliminary meeting

Background

- In Nepal, the process of institutionalizing evaluation system started since 1990 though the devt planning process started in 1956
- National Planning Commission (NPC) is the apex body formulating policies and managing M&E
- Line ministries conducted evaluation of very few projects
- Projects funded by external sources mostly evaluated by the partners and in very few cases jointly
- This presentation highlights the evaluation policy and reviews the evaluations facilitated by the NPC

M&E Institutionalization efforts

Period (Plan)	Focus of M&E
Up to 1974 (First to Fourth plan)	Practices of progress review - focus on input/processes No systematic M&E system
1975 to 1980 (Fifth to Seventh)	**Weightage system** (Physical progress tied up with performance than budget spent)
1992 (Eighth)	**New M&E System** (Institutions, guidelines, indicators and formats,)
Since Tenth Plan (2003)	**Towards Results based M&E** (Results-based monitoring); **New National M&E Guidelines (July, 2013)**

Focus of evaluation policy in Nepal

- Make M&E results-based
- Engage independent third parties in evaluation
- Evaluations- promote accountability and lesson learning
- Disseminate and document evaluation reports
- Build capacities at various levels
- Use M&E information as evidences in policy making

Review of evaluations

- Review of evaluations is important for
  – Evaluation quality control (Scriven, M. 1991)
  (e.g., Critique evaluation design using a checklist)
  – Evaluation Synthesis Bustelo, 2002
  (Calculate average effects of an intervention using evaluation reports)
- This review covers evaluations (29) facilitated by the NPC in the last one and half decades

Processes adopted in evaluation

- NPC formulates policies and manages M&E
- Policies/projects for evaluation are decided with inputs from sectoral ministries
- Independent agencies sub-contracted through competitive processes
- Steering committees formed to control qualities
- Multi-stakeholder workshops organized to give final inputs to the evaluators in draft reports
- Dissemination workshop.

Evaluation by Sectors (n=29)   **Evaluation by Category** (n=29)
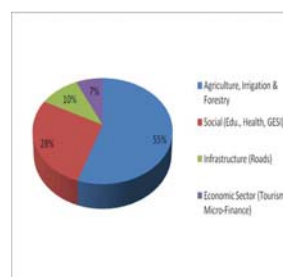
Evaluation by Time
(n=29)

Evaluation by Period
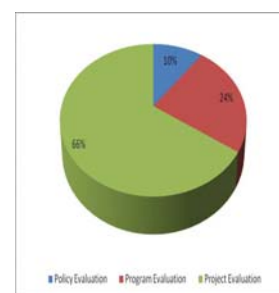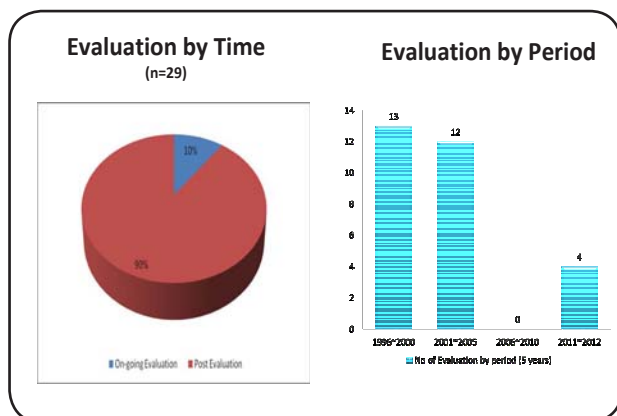
Other findings- Review of evaluations

- Very few used information of input-output and sustainability monitoring
- Impact evaluations done earlier than the full development of projects (esp. road, irrigation)
- Only 5 out of 29 have PCR with end of project status
- Half of the projects did not have baselines set
- Mostly before-after analysis and methodologically not strong
- Rich in information but poor in analysis with policy implications

Use of Recommendations

- Policies introduced or refined
    BOOT policy promote PPP
    Micro finance policy
- Agriculture extension in the hinterland of highways
- Institutional reform (Dept of Irrigation, Road Maintenance Board)
- Integrated conservation and mgmt of watershed with basin approach ensuring public participation
- Safe motherhood plan; Roads maintenance plan
- Gender Responsive Budgeting
- Social protection framework under preparation

Issues

- Linkage between monitoring and post evaluation
- Institutionalize evaluation as a core function
- Quality of evaluation studies/ reports
- Proper sharing and documentation of the results
- Institutionalize the system of feedback in decisions
- Use evaluation as a measure to ensure accountability
- Commitment of the policy levels
- Capacities facilitate/conduct evaluation

New M&E framework

- Independence, quality and use of evaluations
- Focused on internalizing results-based approaches in M&E
- Result frameworks mandatory
- M&E plan- systematically conduct monitoring and evaluations
- Role clarity of various organizations
- Capacity building- facilitate and conduct evaluation
    Networking- among actors
    Training
- Disseminate, document and use in lessons learning & ensure accountability

Purpose of Networking Event and Polic Forum

Objective:
- To enhance dialogue and cooperation among government and non-governmental agencies and organisations of professional evaluators to increase evaluation capacity in Nepal

Expected outputs:
- Perceived priorities for strengthening evaluation capacity identified
- Comparative review of good practices used in evaluation capacity strengthening in South Asian region and Nepal
- Recommend key activities for the Action Plan- co-operation framework
- Share the output in the Policy Forum

ANNEXES FOR SECTION 5: REVEIW PAPER

A5.1 Executive summary

Evaluation, as an instrument of gauging what works and what does not, for whom and in what situation, is gaining momentum in the development discourse. Development agencies and national governments alike are realizing the importance of evaluation in development effectiveness, and are partnering for its development to improve governance, transparency, accountability and learning. Along this line, the Government of Nepal (GoN) has been engaged in the development of an evaluation system and is facilitating the creation of an enabling evaluation environment and the enhancement of capacity in evaluation. This paper examines the current situation with regards to the enabling environment and evaluation capacity development in Nepal.

Enabling evaluation environment in Nepal

Legislation/acts/rules/regulations: There is no separate law or act that explicitly reflects the requirement to monitor and evaluate development programmes and projects at the central level. However, monitoring and evaluation (M&E) is well reflected in the Local Self-Governance Act 1999. This act has provisions for evaluating all projects at Village Development Committee (VDC), municipality and district levels. The act has provision to mobilize NGOs for development including its evaluation. Likewise, the Health Service Act 1997, the Education Rules 2004, the Forest Regulations 1995 have provisions for M&E of programmes and activities. These existing acts, rules and regulations, however, require improvement as some studies have indicated their low level of appropriateness.

Evaluation policy and plan: There is no separate evaluation policy in Nepal but evaluation along with monitoring has been integrated into development plans and policies from the Eighth Plan onwards. The current Thirteenth Plan emphasizes results-oriented M&E and the use of recommendations for policy decisions. It strongly encourages the capacity strengthening of human resources involved in evaluation. However, these policies and plans are not adequate in terms of streamlining the energies of different stakeholders and, therefore, require improvement.

Guidelines and procedures: The government has developed the National M&E Guidelines 2013 for agencies planning and managing M&E. These comprehensive guidelines emphasize results-based management and the use of evaluation by making management response to evaluation mandatory. They stress capacity-building of government personnel. There is provision for employing third parties for evaluation. However, they only deal with government M&E. Many international development partners have policies to support national governments, civil society and evaluation societies in building their evaluation capacity, indicating the supportive external environment.

Institutional arrangements: National Development Action Committee chaired by the Prime Minister; National Development Action Sub-Committee chaired by the Vice-chair of National Planning Commission (NPC); Ministry Level Development Action Committee chaired by the concerned minister; and Ministry Level Development Action Sub-Committee chaired by the secretary of the ministry are major institutional arrangements for M&E of policies, development plans, programmes/projects. These committees review development progress,although their decisions are not always implemented.

Implementation environment: Although things are improving, the working environment in M&E is characterized by meagre resources, few opportunities, low authority, and non-use of evaluation findings in decision-making. Consequently, staff members generally try to transfer to other units from the M&E unit, resulting in low retention of trained personnel. As the M&E unit has little executive power, it is not perceived as prestigious.

Capacity development

There are several actors involved in capacity development. These include NPC's special programme supported by Japan International Cooperation Agency(JICA), United Nations Development Programme (UNDP) and others through subsequent projects, GoN training centres, INGOs, UN agencies, donors, consulting firms, voluntary organization for professional evaluation (VOPEs) and universities. NPC provides training to staff at the National Planning Commission Secretariat (NPCS), five selected ministries, and five districts of the Project for Strengthening Monitoring and Evaluation System (SMES). The NPC approach isto build the capacity of staff in the NPCS and ministries and responsibility of capacity development of departments and districts rest with the ministries. The approach also includes providing training to more staff with a view of retaining trained persons in M&E units; linking training with on-the-job work that those completing training will practice in real world situations; and involving young M&E staff in evaluation together with senior staff

Government training centres do integrate monitoring into the regular training courses. For example, the duration of M&E training is about 3–5 hours in a five-week course for the Local Development Training Academy and NASC, and 5–6 hours in a six-month course for the National Health Training Centre. SWC does not have any capacity development activities, although it is needed especially in appraising projects, providing orientation to evaluation teams, guiding evaluation, and providing feedback. Staff also need training on how to prepare the management response. INGOs build M&E capacity of related staff at country office, regional and project offices and their partners. UN and donors have been building capacity of GoN staff and project partners by involving them in developing result indicators for country strategy paper. Some NGOs such as ELD Training and South Asia Institute for Advance studies (SIAS) also offer training. Tribhuvan University (TU) and Kathmandu University (KU) have degree programmes under the Faculty of Education offering M&E degree course.

Capacity needs

Agencies involved in capacity development need to have their capacity upgraded. Consulting firms and VOPEs have more technical needs, whereas government agencies have needs for topics that come to immediate use. Training institutions have needs for training of trainers on evaluation, whereas universities have to open evaluation courses to different faculties with updated curricula. The capacity needs of different agencies are provided below.

NPCS general: analysis of policy, programme, projects and third party evaluation process; and analysis of existing data and reporting to policy-makers for informed decision-making.

NPCS specific: results-based M&E; IT-based M&E; skills enhancement activities to monitor indicators; practical job-oriented training; training on incorporating M&E results into plan; design and implementation of M&E system; complete package of M&E; M&E tools and techniques.

Ministry: planning based on results-based M&E; results-based M&E; participatory evaluation; evaluation system; overall M&E cycle; data collection, analysis and reporting; use of evaluation findings in sectoral policy-making and project formulation, management response to evaluation.

District: roles of M&E officers in project evaluation; different approaches to M&E; results-based M&E; Data collection, data entry; data analysis; database management; report preparation; two-way communication in M&E reporting (feedback system); vertical and horizontal coordination among agencies in M&E; specific intensive M&E training for statistical /M&E officer; general evaluation training for manager; assessment environment impact of the project.

SWC: general training on M&E for SWC persons in evaluation teams; planning and management focused M&E training for M&E division personnel; project appraisal training for those who appraise projects; training on management response to evaluation for M&E division.

Training institutions: training of trainers on M&E; curriculum updating with M&E included; planning and managing evaluation for those involved in evaluation management.

Universities: updating evaluation curriculum; linking evaluation curriculum with practice; evaluation of curriculum, and pedagogy/andragogy; offering evaluation in different faculties including rural development and general management.

Consulting firms/individuals: rigorous analytical techniques; evaluation design; evaluation standard and ethics; evaluation approaches; qualitative and quantitative methods in evaluation; communication in evaluation; evaluation plan; evaluation management.

VOPEs: institutional strengthening of VOPE; networking and partnership in evaluation; research on evaluation including meta-evaluation; organizing effective sharing forum; publishing Journal of Evaluation; developing advocacy materials in evaluation.

As different types of agency involved in evaluation capacity development have different needs and all types of agency are requiredto contribute to overall quality evaluation in the country, the national evaluation capacity development system should create a rich environment whereeach agency is encouraged to develop its capacity based on its needs.

Regional evaluation models for learning by Nepal

The experience of Sri Lanka provides a good model from which Nepal can learn. Sri Lanka has developed a distinct evaluation culture where evaluation findings and recommendations are well respected as a management tool and given value; evaluation findings are used in policy-making and other decisions.There is a strong relationship between state and non-state actors, and Sri Lanka is now preparing an evaluation policy using a participatory process. Nepal and Sri Lanka have some similarities and some differences in terms of evaluation environment and capacity development. The similarities are observed in terms of time of institutionalization of evaluation, current shift towards client ownership, and approaches taken to develop evaluation capacity; whereas differences are seen in actual capacity, evaluation culture and level of challenges.

1.1.1.1 Recommendations

The following recommendations are made for enhancing the enabling environment and national evaluation capacity in Nepal.

- As the capacity of all sectors including the public, private, and civil society is low, involve all sectors in preparing a national evaluation capacity development plan, including an accreditation system.

- Recognize evaluation as a learning, accountability and transparency tool in the overall development cycle.

- As there is a weak link between evaluation and planning, policy formulation, budgeting and programme implementation, make special efforts to strengthen the linkage between evaluation and these other tasks.

- Organize more networking meetings or similar activities to strengthen relations between and among stakeholders.

- Create a sharing forum and organize seminars, workshops, talk programmes, etc. to increase awareness of the importance of evaluation and the use of evidence-based information in decision-making.

- Develop an evaluation policy, associated regulations and an overall development framework that includes a course for senior managers on evidence-based policy-making and implementation.

- Make parliamentary portfolio committees aware of how they can use M&E findings to support their oversight functions.

A5.2 Acknowledgements

This product is the output of inputs from various organizations and persons. To name them individually would make the list long. I therefore, express my gratitude to them all collectively.

There are, however, some organizations and individuals whose contribution has been so high that I must acknowledge them individually. I am very thankful to the Strengthening National Planning and Monitoring Capacity Programme of the National Planning Commission Secretariat, Government of Nepal and the UNDP Nepal for entrusting me to carry out this study. I am also equally obliged to UNICEF for initial contact and continued support thereafter. This report extensively uses the findings of the SMES2 Baseline Survey; I am very thankful to SMES for providing the related documents to me. I am grateful to Dr Teertha Dhakal at M&E Division of the NPCS for providing important documents and giving valuable suggestions to improve the draft report to present at the Evaluation Networking Meeting. I am thankful to Ashok Vaidya at UNICEF for providing valuable inputs to the draft report and Dharma Swarnakar at UNDP for his technical and moral support. I must also remember Urs Nagel at UNICEF ROSA whose important suggestions have been highly useful to this study.

A5.3 Terms of reference

1.1.1.2 **Background**

The National Planning Commission (NPC) has developed the Results-Based Monitoring and Evaluation Guidelines in 2010 that emphasizes results-based evaluation and independent evaluation including third party involvement. NPC has recently shared the draft National M&E Guidelines 2013 that provides concepts and methods of evaluation, and provides indicators at different levels developed in consultations with relevant ministries.

NPC started undertaking strategic evaluations of key programmes over the past several years. Evaluation has been largely limited to externally funded projects. Overall, promoting evaluation culture at various levels, utilization of evaluation recommendations, higher level of policy commitment and addressing capacity gap in managing evaluation are some of the important areas for improvement in Nepal. Nepal is yet to make a serious effort to strengthen the national evaluation system. NPC has initiated the assessment of quality of 29 evaluations conducted while engaging third parties.

The Social Welfare Council is responsible for evaluating projects implemented by I/NGOs in Nepal. The demand for evaluation is met by consultancy firms and individuals who provide evaluation related services and mostly concentrated on doing research rather than evaluations. There are limited evaluation-focused agencies and they are not coordinated. There is no forum for sharing evaluation knowledge. In addition to Evaluation Society of Nepal, Community of Evaluators-Nepal (COE-Nepal) was established in 2012. They successfully co-hosted the Evaluation Conclave – Evaluation for Development, 26 Feb - 1 Mar 2013, Kathmandu, Nepal. Initial consultation with the Government has suggested focusing on a broader consultation with national stakeholders on evaluation capacity-building.

From July to September 2013 a series of three evaluation capacity strengthening meetings are therefore organized by NPC with support of UNICEF and other UN Agencies. The meetings are intended to enhance dialogue and cooperation between government agencies, voluntary organizations of professional evaluators (VOPEs) and training institutions to increase evaluation capacity in Nepal. The meetings aim to enhance evaluation capacity by enhancing the enabling environment (Legislation, policies, procedures & guidelines, institutional environment, and implementation, etc.), increasing evaluation capacity among evaluators / firms / networks and among capacity-building institutions in Nepal.

1.1.1.3 **Objectives and tasks**

- The national consultant will to provide a comprehensive overview and in-depth analysis of the following:

- Enabling environment (legislation, policies, procedures & guidelines, institutional environment, and implementation, etc.):

  o Assess enabling environment;
  o Analyse whether current environment is conducive to strong evaluation capacity;
  o Provide insight and make recommendations on potential strengths, weaknesses, opportunities and threats of current enabling environment;

Assess areas of evaluation capacity needs:

  o among evaluators / firms and networks;
  o among academic / capacity-building institutions in Nepal;

Identify potential models for strengthening evaluation capacity in South Asian region and provide a comparative analysis of Nepal and models used in other South Asian countries for evaluation capacity-building.

1.1.1.4 **Tasks**

- Desk review of literatures on national capacity development with a focus on similar initiatives in the South Asia including Government M&E guidelines and UNEG guidelines. Scrutinize the collected documents against the objectives of the TOR.

- Develop a plan with a timeline and propose instruments to be used for review and analysis of national evaluation policy framework and capacity in Nepal.

- Attend Preliminary Meeting on 18 July (TOC) comprising of selected representatives of private evaluators / firms, government agencies and civil society organizations focused on networking and sharing initial ideas on capacity strengthening in Nepal context. The forum will also review the proposed tasks and deliverables for the consultant and prove guidance.

- Identify and provide overview of relevant legislation, policies procedures, guidelines and institutional environment. Conduct interviews with relevant stakeholders (PME units in government departments, NPC, evaluators / firms and networks, capacity-building institutions, donors and UN Agencies) on strengths, opportunities and challenges of enabling environment.

- Conduct interviews with relevant stakeholders (PME units in government departments, NPC, evaluators / firms and networks, donors and UN Agencies) on evaluation capacity needs of evaluators / firms and networks and of academic and capacity-building institutions.

- Identify relevant models for strengthening evaluation capacity in South Asian region and provide a comparative analysis of Nepal and models used in other South Asian countries for evaluation capacity-building. Provide overview of good practices and lessons learnt of enhancing evaluation capacity in contexts comparable to Nepal.

- Provide comprehensive report on findings of assessment of issues mentioned in 4, 5 and 6 according to the agreed timeline.

- Present findings of the assessment at the Networking Meeting on 5 and 6 September (TOC) and Policy Forum on 11 September (TOC). Provide support and co-facilitate these meetings.

1.1.1.5 **Deliverables**

- Review of literature

- Attendance in preliminary meeting to discuss TOR for consultancy;

- Schedules of meetings and briefing notes on each meeting's details (date, venue, participants, and survey report);

- Interview reports (date, location, people met, tool(s) used, key findings);

- Final report of the consultancy using an agreed structure of report; and

- Presentation of results of assessment at the Networking meeting and contribution to discussion on enhancing evaluation capacity.

Requirements

- The consultant should have the following qualifications:

- Advanced degree relevant to M&E (e.g. social sciences);

- At least 10 years of in-depth experience with Planning, Monitoring & Evaluation;

- Experience with analyzing legislation and policies, as well as implementation;

- Past experience with UN is an asset;

- Presentation and facilitation experience;

- Fluency in English (oral and written) and Nepali; and

- Strong analytical and writing skills.

1.1.1.6 **Planning**

Task	National Consultant Days
Literature review and development of a plan	2
Workshops	4
Overview of relevant legislation, policies procedures, guidelines and institutional environment.	8
Capacity needs assessment of evaluators/firms and networks and of academic and capacity-building institutions	5
Assess relevant models for strengthening evaluation capacity for Nepal	2
Draft report	5
Final report	2
Total	28

1.1.1.7 **Payment and terms**

The assignment will be remunerated on a time plus expenses basis, as per the normal procedures of supporting UN Agency, and within the maximum duration of the assignment (28 days).

1.1.1.8 **Management and reporting**

The consultant will works closely with the NPC M&E Division and UN agencies, and report directly to the Lead Person from the UN Task Group.

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A5.5 List of persons interviewed and organizations visited

Name	Agency	Position
Rachana Shrestha	ADB	Senior public Management Officer
Amaleshwar Sing	CARE International	Impact Measurement and Learning manager
Ganga Dawadi	CBS	DDG, M&E
Mahendra Shrestha	CHTC	Director
Dr Ramila Devkota	CHTC	Medical Officer, Focal point, Skilled Birth Attendant
Madhusudhan Amatya	CHTC	Health Training Administrator
Dr Gelal	CHTC	Medical Officer, Focal point, Family Planning
Dr Ramesh Tuladhar	COE-Nepal	Chairperson
Andy Murray	DFID	Statistical adviser and Results Lead
Ryo Sasaki	JICA	Team leader SMES II
Dr Raj Kumar Rai	KU	Lecturer, Faculty of Education
Binaya Kumar Kafle	LDTA	Director, Training, M&E
Krishna Chandra Dhakal	LDTA	Deputy Director, Training
Ram Sharan Pudasaini	MOF	Joint Secretary
Vinod Lamichhane	MOF	Under Secretary
Ram Chandra Khanal	MOHP	Under Secretary
Dr Birendra Bir Basnyat	NARMA	Managing Director

Singha Raj Upreti	NASC	Director
Dr Champak Pokharel	NES	Chairperson
Dr Bal Gopal Vaidya	New Era	Senior Research associate
Teertha Dhakal	NPC	Joint Secretary, M&E
Shekhar Karki	NPC	Under Secretary
Mahendra Gurung	OMPCM	Joint Secretary
Rajendra Acharya	OMPCM	Under Secretary
Tarun Kanta Adhikari	Save the Children	MEAL Sr. Manager
Nir Pd Dahal	Save the Children	Manager, MEAL
Dr Hari Dhungana	SIAS	Executive Director
Madan Rimal, Director	SWC	Director, M&E
Dipendra Pant	SWC	Under Secretary, INGO
Dr Prof. Prakash Man Shrestha	TU	Dean, Faculty of Education
Lazima Onta-Bhatta	UNDP	ACD
Misaki Akasaka Ueda	UNICEF	PME Chief
Susan Decamp	USAID	Programme Office Director
Kristin Ray	USAID	Deputy Director, Programme and Project Development Office
Murari Adhikari	USAID	M&E Specialist

A5.6 Checklists

1.1.1.9 Checklist for UN/donors

I am conducting a study on national evaluation capacity-building for NPC with support from UNDP/ UNICEF/UNFPA. I have looked at enabling environment for evaluation capacity-building and reviewed acts, regulations, policies, framework and guidelines. I have also gone through evaluation policies of different donors and UN system. I have visited some training institutions and talked to some individual evaluators and some government officials. As one of the major development partners of Nepal, I would like to get your opinion on enhancing national evaluation capacity in Nepal, focusing mainly on the following areas.

A. Your support so far to:

• Promoting evaluation in Nepal

• Enabling environment for building capacity of national evaluation system

• Evaluation capacity-building of

       o government staff

       o government training institutions

       o non-government training institutions

       o volunteer organizations of professional evaluators (VOPEs)/ evaluation societies

Other support related to evaluation

B. Your suggestions for enhancing national capacity in evaluation

- For government/NPC/SWC

- For training institutions

- VOPES/ evaluation society

- Networking

- For UN systems

- Donors

- INGOs

- Individual evaluators

C. Should evaluation capacity-building be project bound, as is evaluation? (That certain amount of the project fund is allocated for evaluation capacity-building).

D. Adequacy of donor policy to build the national evaluation capacity.

E. Your comments on enabling environment in Nepal to build national evaluation capacity.

F. Any other suggestions for evaluation capacity-building in Nepal, including successful models in other countries.

1.1.1.10 Checklist for training institutions

- Curriculum/content/comprehensiveness

- Length of curriculum (total hours)

- Modality to deliver (modular or continuous)

- Teaching/learning methods

- Theory/practice balance

- Teacher background and number

- Training facilities

- No. of students trained so far since (year)

- Affiliation and linkage

- Decision-making authority

- Environment to put learning into practice

- Resource and source

- Policy adequacy for evaluation training

1.1.1.11 Checklist for individual trainer/teacher/manager

- Evaluation training courses taken

- Length of evaluation training taken (total month of all evaluation training)

- Number of years taught evaluation (where applicable)

- Number of evaluations conducted as a team leader and team member

- Number of evaluations managed/commissioned

- Number of evaluations planned

- Participation in preparing management response plan

- Participation in evaluation recommendation follow up action

- Membership in number of evaluation societies

- List of publications related to evaluation

- Need for further training (Which part of evaluation?): planning, design, quantitative methods, qualitative methods, evaluation approaches, management, communication, etc.

- Suggestions for evaluation capacity-building including enabling environment

1.1.1.12 Checklist for government ministry/department

- Number of staff in the M&E division/section

- Number of staff in the M&E division/section who have taken M&E training

- Name of the training

- Duration of the training

- Name of training institution

- Job description

- What are major role expected from the staff

- Work performance of the staff

- Major issues in M&E division

- Resources

- Logistic

- Retention

- Respect for M&E staff from other staff

- No. of evaluation conducted so far

- Awareness about the new M&E guidelines

- Applicability of the guideline

- Suggestions to improve capacity-building of evaluation in Nepal

- Adequacy of policy

- Adequacy of working environment

- Others

1.1.1.13 Checklist for evaluation experts

A. Your opinion about the existing enabling environment and capacity development of evaluation in Nepal.

B. Suggestions to improve the enabling environment:

- Evaluation policies

- Evaluation framework/guidelines

- Evaluation institutional arrangement

- Working environment

- Quality of evaluation

C. Capacity-building needs

• What are the capacity needs of consulting firms to provide quality evaluation?

• What are the capacity needs of individual consultants to provide quality evaluation?

• In which particular topic do you think would come more demand for training?

Evaluation Topics for Training	Rank
Evaluation plan	
Evaluation approaches	
Evaluation design	
Quantitative methods in evaluation	
Qualitative methods in evaluation	
Evaluation standards and ethics	
Communication in evaluation	
Managing evaluation	

D.   Your suggestions regarding role different stakeholders in promoting evaluation in Nepal

Government/NPC	
Social welfare council	
Donors	
INGO	
NGO	
Training institutions	
Universities	
Evaluation societies	
Individual evaluators	

A5.7 Summary of preliminary findings for networking meeting

Evaluation, as an instrument of gauging what works and what does not, for whom in what situation, is gaining momentum in development discourse with the onset of this century and more specifically in this decade. Development agencies are realizing the importance of evaluation in development effectiveness and partnering for its development. It has also been equally recognized by national governments committed to improve governance, transparency, accountability and learning. Along this line, the Government of Nepal (GoN) has been engaging on the development of evaluation system and facilitating the role for creating enabling evaluation environment and enhancing capacity in evaluation. This paper highlights the current situation of enabling environment and evaluation capacity development in Nepal.

Enabling evaluation environment in Nepal

The enabling environment is looked from the perspective of legislation, policies and plans, procedures & guidelines, institutional environment, and implementation of evaluation.

1.1.1.14   Legislation/acts/rules/regulations

Acts: There is no separate law or Act where in monitoring and evaluation is reflected explicitly to monitor and evaluate the development programmes and projects at the central level. The constitution is silent about it (GoN, 2007). However, M&E is well reflected in the Local Self Governance Act 1999. The Act has provision of evaluating all projects at Village Development Committee (VDC) level (Article 52) and Municipality level (Article 118) as well as at district level (Article 211). The Act has provision to mobilize non-government organizations (NGOs) for the acts of identification, formulation, approval, operation, supervision, evaluation, repair and maintenance of the village development programmes within each village development area as per Article 51.

Health Service Act 1997 talks largely of work performance evaluation of staff at various levels and their promotion and its instruments and process (HMG/N, 2006). As far as evaluation of programme and projects is concerned, they have developed a monitoring and evaluation framework along the line suggested by NPC (MOHP, 2010).

The Education Rules 2004 has specified M&E roles and responsibilities of officials and Management Committees in detail at various levels. According to Forest Regulation (1995), monitoring and evaluation of Forest Plan including the Leasehold Forest plan is made mandatory for Regional Director.

Despite that some sectoral Acts, rules and regulations have provision for evaluation, Nepal does not have a national Act regarding monitoring and evaluation. A study conducted in 2012 tried to assess the appropriateness of the prevailing acts, rules and regulations using a 5-point scale. Of a total of 5 ministries, it was very much appropriate for none of them, it was appropriate for 40% of them, partially appropriate foranother 40% and remaining 20% could not identify the level of appropriateness of the existing acts, rules and regulation. This indicates that the existing acts, rules, and regulation require improvement (IIDS, 2012).

1.1.1.15   Evaluation policy and plan

There is no separate evaluation policy in Nepal but evaluation along with monitoring has been integrated into development plans and policies from 8th plan onward.The Approach Paper of the 13th Plan has laid emphasis on result-oriented M&E. It has policy to evaluate both completed and ongoing policies, plans and projects and use the recommendations for policy decisions. It has strongly put the capacity strengthening of human resource involved in evaluation. To develop human resources, M&E concept is introduced to both pre-service and in-service training of government officials (NPCS,

2013a). A baseline survey report shows that the existing policies are specific to ministries and 40% of the five ministries survey reported it appropriate, where as another 40% indicated of being partially appropriate and remaining 20% kept silence. None of them mentioned it very much appropriate. This again indicates the need for improvement.

1.1.1.16   Guidelines and procedures

In congruence with the 13th Plan policies, the government has developed a NationalMonitoring and Evaluation Guidelines in 2013. The guidelines is comprehensive that guides concerned agencies for planning and managing the M&E. It provides concept of monitoring and evaluation, provides distinction between them, lays emphasis on result-based management, monitoring and evaluation. Very distinctly, it lays emphasis on the use of evaluation by making management response to evaluation mandatory. The guidelines has also emphasized on building capacity of government human resources, especially through training and exposure learning visits. It has also the provision for employing third party for evaluating certain number of projects/programmes each year (NPCS, 2013b). One of the observations about this guidelines is that despite being this a national M&E guidelines, it deals only with government M&E. International bilateral and multilateral partners including DfID, USAID, JICA, DANIDA as well as WB, ADB and UN systems have policy to support national governments, civil society organizations and evaluation societies in building their evaluation capacity.

1.1.1.17   Institutional arrangement

Though there are constitutional bodies carrying out M&E arrangement within their jurisdiction, the concern of this study is limited to development evaluation. The institutional arrangement for the monitoring and evaluation of policies, development plans, programmes/projects include National Development Action Committee (NDAC), chaired by the Prime Minister; National Development Action Sub-Committee (NDASC), chaired by the Vice-chairperson of NPC; Ministry Level Development Action Committee (MDAC) chaired by the concerned minister; and Ministry Level Development Action Sub-Committee (MDAC) chaired by the secretary of the ministry. A study reports the ineffectiveness of these committees not only in organizing the number of meeting but also in implementing the decisions made by these committees. There was also a lacking of submitting analytical report regularly by some ministries. This brings the question of seriousness of both submitting ministries and receiving committees (SMES, 2012). Other institutional arrangements include the M&E divisions in PM office, National Planning Commission Secretariat (NPCS), and ministries.

1.1.1.18   Implementation environment

Document reviews reveal that linkage between the ministries and NPCS is found weak.The survey report of the baseline of SMES2 also provided information of the partial use of M&E reports in planning the Three Year Plan by both ministries as well as NPCS.Almost all respondents indicated that working environment in M&E is characterized by of meagre resources, less opportunities, low respect, over burden as less number of persons are working. The transferred staff come there with demoralized mentality and try to flea as soon as possible. In one M&E Division of one of the ministries visited for this study, there were 3 chiefs transferred in a year. In the eyes of public, the M&E Division is powerless as it has nothing to offer to the general public directly as other Division like Planning. Friends and relatives or known people visiting M&E division, give sympathy to the transferred staff over there that s/he was in such a powerless division. This was noted also in relation to this study.Because of such characteristics, staff retention in M&E is a big challenge. This was also evidenced by the 2012 survey of the SMES2 which found that there was no existence of adequately trained staff in the M&E division of 4 out of 5 ministries whereas with one ministry, a few trained people were still working.

The current enabling environment of evaluation in Nepal is not adequate for a strong national evaluation capacity as there are several weaknesses and threats. Important among them are neglecting evaluation community outside the government by the government system and vice-versa, low priority given to evaluation, weak linkages, low demand and low supply of quality evaluation. The current environment talks of capacity-building only of the government staff and forgets the need for capacity-building beyond it. To create better enabling environment for the national evaluation capacity development, national evaluation policy that addresses these and other issues should be developed. An environment for developing evaluation policy exists nationally as well as globally. Globally, 2015 is declared the Year of Evaluation. Countries in South Asia are getting involved for developing national evaluation policy. One of the focus areas of some volunteer organizations of professional evaluators (VOPEs) including the Community of Evaluators (South Asia) is to work on helping develop national evaluation policy in the South Asian countries. Many donor agencies including DFID, USAID, AusAID, SDC, UN systems including UNICEF and UNDP have their own evaluation policy and are interested to support Nepal to develop evaluation policy and national evaluation capacity as given in their documents and also that they confirmed it during the interview in connection of this study. This indicates that the global context as well as environment within the country is conducive for the national evaluation capacity development despite that the domestic environment is not highly encouraging for capacity development beyond the government sector.

Capacity development

In case of capacity development, there are several actors involved in capacity development. These include NPCs' special programme supported by JICA, UNDP and others through subsequent projects, GoN training centres, INGOs, UN agencies, donors, consulting firms, VOPEs and universities. NPC provides training to M&E and related persons at NPCS, selected 5 ministries, 5 pilot districts. The approach taken by NPCS to develop capacity includes

Capacity-building of NPCS and Ministry persons directly by NPCS (M&E Div). NPCS has taken the following approach: (1) Responsibility of capacity-building of related departments and district offices rests with concerned ministries; (2) Providing training to more number of staff with a view of retaining trained some persons in the M&E units; (3) Linking training with on-the-job that those completing training will practice in real world situation; and (4) Involving young M&E staff in evaluation together with senior staff

Government training centres do integrate monitoring into the regular training courses. For example, 3 to 8 hours M&E course is integrated in 5 week training of NASC and LDTA and 6 months training of HTC. SWC does not have any capacity development activities, though they need it specially in appraising projects, providing orientation to evaluation team, guiding the evaluation and providing feedback. They also told that they need training on how to prepare management response. INGOs build M&E capacity of related staff at country office, regional and project offices and their partners. UN and donors have been building capacity of the GoN staff by involving them in developing result indicators for CSP and also for project partners. Some NGOs such as ELD and SIAS are also at the stage of offering training. ELD has been offering training on participatory M&E. SIAS is launching a training programme on planning and managing evaluation. TU and KU have degree programmes under the Faculty of Education offering M&E degree course. The former offers M. Ed. under Curriculum and Evaluation programme 2 years' evaluation course of 150 periods. Similarly, KU offers M&E courses in 5 educational programmes: one year M.Ed. and two-year M.Ed.; Masters of Environment Education and Sustainable Development; M.Ed. of Evaluation and Assessment in Education; M.Ed of programme evaluation in education; and Masters of Public Health in Evaluation Methods.

Capacity needs

Capacity needs of various stakeholders are given in the table below.

NPCS	Ministry	Districts	SWC	Training Institutions	University	Consulting firm	VOPES
RBM&E	Planning based on RBM&E	Roles of M&E officers	General training on M&E	TOT on M&E for trainers involved in training programmes	Updating curriculum	Rigorous analytical techniques	Institutional strengthening of VOPE
IT based M&E	Result-based M&E	Different approaches to M&E	Planning and managing evaluation	Curriculum updating while incorporating M&E appropriately	Linking curriculum with practice	Communication in evaluation	Networking and partnership in evaluation
Skills enhancement activities to monitor indicators	Participatory monitoring	RBME	Project appraisal training	Planning and managing evaluation	Evaluation of curriculum, and pedagogy/ andragogy	Evaluation design	Research on evaluation including meta evaluation
Practical job-oriented training	Evaluation system	Data collection, Data entry, Data analysis	Training on management response to evaluation		Updating curriculum	Evaluation approaches	Organizing effective sharing forum
Training on incorporating M&E results into plan	Overall M&E cycle	Database management				Quantitative methods in evaluation	Publishing Journal of Evaluation
Design and implementation of M&E system	Data collection, analysis and reporting	Report preparation				Qualitative methods in evaluation	Developing advocacy materials in evaluation
		Communication/ feedback				Evaluation standard and ethics	
		Coordination				Evaluation plan	
						Evaluation management	

As shown by the Table, capacity development is needed to all type of national evaluation actors. Therefore, they all need support for capacity development. Agencies providing support for capacity development in future may think of making their support inclusive as efforts of all these actors contribute to national evaluation capacity development.

1.1.1.19   Challenges

- Providing training to a large number of workforce requiring M&E training within the GoN
- Retaining trained workforce for the M&E job
- Quality evaluation under the evaluation influential environment
- Creating evaluative culture under governance and transparency at risk due to unstable political scenario
- Sustainability of current NPC training programme
- Using evaluation in decision-making
- Trust building among actors to jointly contribute to NECD