

Sida's Evaluation Plan 2009



SWEDISH INTERNATIONAL DEVELOPMENT
COOPERATION AGENCY

Sida's Evaluation Plan 2009

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1. Introduction

In 1991 OECD/DAC adopted a number of principles for evaluation in development cooperation. According to these principles all development cooperation agencies shall have an independent evaluation function. In the renewed Sida, the Secretariat for Evaluation (UTV) fulfils this function by commissioning evaluations which assesses the relevance, sustainability, efficiency and results of Sida's work. In addition, UTV coordinates the evaluation planning at Sida and publishes and distributes all evaluations and reviews commissioned by Sida. The Secretariat furthermore offers advice and training in evaluation for Sida staff.

Sida's evaluation system in the organisational structure which was introduced on 1st October 2008 consists of three parts:

1. Evaluations commissioned or produced by the Secretariat for Evaluation, an independent function producing evaluations of wider scope, often in co-operation with other donor organisations. These evaluations are either published by UTV or, in joint evaluations, by the lead donor. From 2009 all evaluations, including joint evaluations published by other donors, will be part of in the *Sida Evaluations* series.
2. Evaluations which UTV has considered to be of particular strategic importance for Sida, which are commissioned by Sida's operational and policy teams. These evaluations are integrated into Sida's evaluation plan, and are thus coordinated, quality assured and published by UTV in the *Sida Evaluations* series.
3. *Reviews* of projects and programs commissioned by Sida's operative teams. Focusing on the implementation and results of individual projects or programs in most cases, these reviews are intended to meet the management and reporting requirements of the responsible teams. UTV offers advice on reviews upon request from the teams, and coordinates the electronic publication of all reviews. However, in the renewed Sida UTV does no longer provide an evaluation plan which contains all reviews. Instead, every team is responsible for their own review plan, which forms a part of their operational plan.

The recent establishment of the Swedish Agency for Development Evaluation (SADEV) as an independent evaluation function assessing the implementation and results of Swedish development cooperation, affects UTV in many ways. With SADEV looking at Sida from an external point of view, UTV can focus more strongly on issues of organisational development and learning than would otherwise have been the case. The presence of SADEV also means that UTV can devote more of its limited resources to advisory services vis-à-vis other Sida departments.

2. The Evaluation Plan

This is the evaluation plan of Sida for 2009, including indicative evaluations for 2010. An earlier version of the present plan was discussed with Sida's Strategic Management Group (SLG) on 23rd of March, 2009. The present version reflects comments made on that occasion. As regards all planned evaluations UTV will make an assessment of the value and evaluability of the evaluation prior to a decision on either starting the evaluation process or removing the evaluation from the plan. Every decision, which will be taken by the director for the Secretariat of Evaluation, will be based on an assessment memo.

The plan was developed in close cooperation with Sida's operational and policy teams, and contains evaluations which will be commissioned by these teams. Other inputs to the evaluation planning process have been provided by SADEV and colleagues in the OECD/DAC Evaluation Network, the Nordic Plus Evaluation Group, and Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP).

UTV will be responsible for quality assurance of all evaluations on the plan, in accordance with the DAC quality standards for evaluation.

3. Resources

The UTV share of the development co-operation appropriation allocated to Sida is 28 million SEK in 2009. Out of this budget 10 million SEK are earmarked for capacity building projects and programmes in evaluation.

4. Evaluation Profile

As noted above, the evaluations carried out by UTV are either joint studies conducted in partnership with other donor organisations, or studies initiated and managed by UTV alone. Joint evaluations, which have become more common in recent years, meet an increasing demand for information about development co-operation results at aggregated levels. Such evaluations provide results information and lessons for future operations that cannot be generated through studies that focus on Sida's own contributions to projects and programmes.

By participating in joint evaluations and promoting a joint approach to evaluation generally, UTV seeks to contribute to the implementation of Swedish development co-operation policy and the Paris Declaration. Evaluation is an aspect of development co-operation where partner country ownership is particularly weak and where there is usually little harmonisation among donors. Working in concert with evaluation departments from like-minded donor organisations, UTV promotes partner country ownership of evaluation processes, as well as donor harmonisation.

Important as they are, however, joint evaluations cannot provide answers to every evaluation question regarded as important to Sida and the development initiatives supported by Sida. In many cases evaluations focusing on the results of Swedish contributions or issues of particular concern to Sweden and Sida are required. In the present plan there are nine international joint evaluations, and two evaluations managed by UTV alone. The plan also includes six team-lead evaluations and six “long-term cooperation studies”. These studies will provide an overview of the results of development cooperation in countries where Sweden is currently phasing out from long term developing cooperation. Thus, the plan consists of 17 evaluations and six “long-term cooperation studies”.

In the long term, UTV seeks to cover the entire range of Sida policies and programmes. At any particular moment in time, however, it can only deal with a small portion of that range. In the present plan the following thematic issues are included: impact of Sida support for the rights of the child, gender equality, HIV/AIDS, aid and trade, public finance management, climate change, rural development, effectiveness of anti-corruption initiatives, and linkages between disaster relief, rehabilitation and development. Two evaluations, in Sudan and Afghanistan, will be focusing on development cooperation in fragile states. In terms of aid modalities and aid effectiveness the joint evaluation of the Paris Declaration, the evaluation on policy dialogue, and three evaluations which will look at the relevance and effectiveness of regional approaches are included in the plan. Further details are provided below.

5. Advisory Services

In the past, UTV’s advisory services have been directed towards individual evaluations for the most part, and delivered ad hoc as requested by the client. UTV’s standing advisory function in Sida’s Project Committee and Peer Review Group on Co-operation Strategies were the main exceptions to this.

In the renewed Sida, however, UTV has adopted a more active approach to its advisory role, and seeks now to engage with the departments already from the stage of evaluation programming. Responding to the overall strengthening of Sida’s focus on the field, UTV also tries more actively to reach out to the Swedish embassies in partner countries. In 2009 a significant share of UTV’s advisory services will be directed to embassies in countries where Swedish development co-operation programmes are about to be phased out. The advisory services are intended to help increase the technical quality of Sida evaluations and reviews and make them as practically useful as possible.

On the direct request of Sida’s Director General, UTV will actively be involved in Sida’s new Results Committee. The Secretariat will also be involved in Sida’s Results Project and the work of developing Sida at Work. One of UTV’s evaluations specialists will also be represented in Sida’s committee for policies and strategies (PSK).

6. Communication and Publications

A considerable part of UTV's work consists of publication of evaluation reports produced by UTV and by departments and embassies and dissemination of information from evaluations. UTV has one staff member working full-time with the management of printing and distribution of evaluation reports.

Disseminating evaluation results through seminars, workshops; electronic newsletters and by other means; both to stakeholders within Sida and to other organisations, is also one of UTV's major tasks.

7. Evaluations 2009

The evaluations listed below are arranged in four groups representing different stages of preparation and implementation:

- A. on-going and planned UTV-initiated evaluations, including joint evaluations.
- B. on-going and planned team-initiated evaluations.
- C. indicative evaluations which will be considered for the 2010 evaluation plan.

A. UTV-initiated Evaluations

On-going

1. *Joint Evaluation of the Paris Declaration phase 2 (Lead: Columbia, Malawi, Netherlands, Sri Lanka, Sweden and United States)*

The evaluation of the Paris declaration phase 1, which focused on donors' implementation of the Paris Declaration principles, was presented at the high level meeting in Accra, Ghana. The 2nd phase of the evaluation, which will be presented at the next high level forum in Seoul in 2011, will focus on the effectiveness of the implementation in about 20 partner countries. The evaluation will also include thematic studies. It will be financed by about 20 donors and is the largest evaluation undertaking so far on development cooperation. UTV will participate in the management group of the evaluation.

Purpose: The purpose of the evaluation is to provide donors and partner countries information about how the implementation of the Paris Declaration is proceeding, and whether the implementation of the Paris Declaration principles increases aid effectiveness and leads to poverty reduction. The evaluation will serve as an important input to the high level discussions in Seoul in 2011.

2. *Joint Evaluation LRRD 2 (Lead: UTV)*

The first phase of this evaluation took place during autumn 2005 and was one of five thematic evaluations to the synthesis study on Tsunami interventions carried out by the Tsunami Evaluation Consortium (TEC), comprising around fifty bilateral, multilateral and non-governmental organisations. The second phase is being carried out during 2008 and spring 2009. It largely centres on the same topics as the first phase but with stronger emphasis on the views of the affected population and in cooperation with affected countries in the region.

Purpose: The purpose of the evaluation is to assess the relevance and the effectiveness of the linkages between immediate humanitarian relief, rehabilitation and long-term development co-operation.

3. Joint Evaluation of Anti-Corruption Efforts (Lead: Norad)

Sida, SADEV, Danida, DFID and ADB joined Norad for an evaluation on anti-corruption efforts. The evaluation will be formative, focus on lessons learned and apply a country focus, i.e. look at anti-corruption efforts in partner countries. Countries that are suggested for case studies are: Tanzania, Zambia, Nicaragua, Vietnam and Bangladesh. Sida has offered to facilitate the Tanzania case study.

Purpose: To find out which anti-corruption strategies and interventions have proven to be successful, under which circumstances and to develop conclusions and lessons for future work in the area.

4. Joint Evaluation of support of Children's Rights in Bilateral Development Co-operation (Lead: UTV)

The evaluation will assess the effects of support to children's rights (and a child rights perspective) on both the implementation process and results of bilateral development co-operation. The evaluation will be conducted jointly with Norad's evaluation department and in close collaboration with Sida and Norad policy specialists. The evaluation will include a literature study and a number of case studies.

Purpose: To contribute to the identification of results and lessons learnt, as well as further development of work with a child rights perspective in bilateral development co-operation.

5. Joint evaluation of Public Finance Management (Lead: UTV & Danida)

How can PFM be successfully strengthened in partner countries? A pre-evaluation literature review has been completed. During the next phase, that is lead by Denmark and Sweden, a number of country case studies will be carried out. The regional focus is on Africa covering both Francophone and Anglo-phone countries.

Purpose: Both accountability and learning with the overarching evaluation question being: how successful/unsuccessful have PFM reform processes been and how have donor interventions contributed to such success/failure?

6. Joint Evaluation of Mitigation Efforts in Climate Change & Development (Lead: GEF)

Sida has offered to finance a joint meta-evaluation of mitigation evaluations, which will summarise and assess the knowledge to-date and develop a framework of best practices for different sectors. The evaluation will be carried out jointly with GEF EO and members of the network. At the same time, Sida is looking into supporting a pre-study for a future joint evaluation of adaptation with the same partners.

Purpose: To analyse and summarise the knowledge to date on mitigation efforts in relation to climate change & development and to identify knowledge gaps in preparation for future evaluations on climate change mitigation and adaptation.

7. Joint Evaluation of the Swedish-Norwegian Regional HIV/AIDS Team for Africa (Lead: UTV)

Since 2001 the Swedish International Development Agency (Sida) and the Norwegian Ministry of Foreign Affairs (NMFA) have collaborated through a joint Swedish/Norwegian Regional HIV/AIDS Team, which was first established in Harare, Zimbabwe, and then moved to Lusaka, Zambia, in 2002. Since the start the team's two main tasks have been to provide technical assistance to the embassies in the region and to manage the regional HIV/AIDS program. In 2008 the team handled a portfolio with 71 regional contributions, amounting to 318 million SEK. The evaluation is one of a series on regional approaches.

Purpose: The purpose of the evaluation is to assess relevance, effectiveness and efficiency of the joint Swedish/Norwegian Regional HIV/AIDS Team in Lusaka with regard to the regional approach, the cooperation between NMFA/Norad, Sida and the team, coherence with the respective HIV/AIDS policy, the team's organisation and management, and selected regional partners' activities.

8. Sida's Trade Related Assistance

The evaluation consists of a program of studies exploring: 1) correlations between aid and trade at the macro level, 2) Sida's trade related Results Based Management system (what results information does it contain and how is the information used) and 3) the result of Sida's work with and through international (Geneva based) organisations. The latter will most likely be a joint evaluation.

Purpose: Both accountability and learning purposes. More specifically the objectives of the evaluation are to: provide results information relevant to Sida's reporting on outcomes of trade related aid, and to contribute to improved management of Sida's trade related development assistance. The first evaluation will feed into the process of developing a new trade policy for Swedish development cooperation.

Planned

9. Joint Evaluation of Afghanistan (Lead: Norad)

NORAD's department for evaluation plans to lead a joint evaluation of development cooperation with Afghanistan. Preparatory work will start late 2009, and the evaluation will be carried out in 2010. Sida/UTV plans to joint he evaluation.

10. Joint Evaluation of southern Sudan (Lead: Netherlands)

Netherlands department for evaluation plans to lead a joint evaluation of development cooperation in southern Sudan. Preparatory work will start in 2009, and the evaluation will be carried out in 2010. Sida/UTV plans to joint he evaluation.

11. Policy dialogue

Dialogue is a well-established component of development co-operation. While it has more or less become a method for development co-operation the objectives of dialogue are, however, often unclear and its effects are not well known. It has never been subject to a specific evaluation by Sida. An evaluability study was carried out by Channel Research in January 2008. Additional evaluability papers, particularly by southern consultants are planned.

Purpose: The purpose of the evaluation is both to assess the effectiveness of dialogue as an aid modality and to develop methods to conduct such an evaluation.

B. Team-lead Evaluations

On-going

12. Gender Mainstreaming (Lead: Sida's Gender team)

An evaluation of Sida's work with gender mainstreaming will be conducted and completed during 2009. The evaluation will assess the results of the three different approaches of gender mainstreaming (integration of gender, direct gender targeting and gender dialogue). It will involve two to three country case studies. The evaluation will be carried out in collaboration between UTV and Sida's Gender Team.

Purpose: To offer input to the elaboration of a new Swedish Gender Policy.

Planned

13. Complementarities of African regional initiatives: the Africa Union (Lead: Regional Team Peace and Human Security, Africa)

A joint evaluation of the Joint Partner Programme of the African Union will be carried out during 2009. The focus of the evaluation is on the relation between the AU and other regional initiatives in Africa: how have coinciding mandates affected implementation and results? The evaluation will be conducted jointly within the partner group with Sida as lead. The evaluation is the first in a series of evaluations on different aspects of the regional co-operation in Africa planned by the Regional Team Peace and Human Security, Africa. The evaluation is part of a Sida series on regional approaches.

Purpose: To contribute to organisational learning within the AU and Sida on mandates and roles of different actors in the regional co-operation.

14. Public Administration for the Poor (Lead: Team Democracy and Public Administration)

Public administration is an area that has not been widely evaluated. A focus on the integration of poor people's perspectives will offer valuable lessons on effects of the perspective both on the implementation process and results of support to public administration. The evaluation will include a literature study and case studies. It will either be an international joint evaluation or be carried out jointly between UTV and the Team Democracy and Public Administration. The country case studies may be done as joint evaluation with other development partners.

Purpose: To enhance Sida's organisational learning and development on support to public administration, and to contribute with lessons learnt on the practical implications of working with the perspectives of the poor.

15. Rural Development Programs

A study on Sida's work in agriculture with a special focus on women. The main question is: To what extent does Sida-supported interventions in agriculture actually addresses women as agricultural producers, traders, managers, etc.; which methods and/or approaches have proven to be most successful?

Purpose: Mainly learning (what works and why), but also accountability (to what extent have Sida-supported interventions in agriculture actually addressed women as actors in production and in the market).

16. Rural Electrification

What can be learnt from Sida's work on rural electrification? Have approaches been relevant and what are their outcomes? Findings will be based on case studies of rural electrification projects in Mozambique, Tanzania, Uganda and Zambia.

Purpose: Mainly, learning from past experiences in order to facilitate the development of future contributions to rural electrification.

17. Evaluation of the regional strategy for South-East Asia (Lead: team Reg. Asien)

This evaluation is part of the process of formulating a new regional strategy for Asia. The evaluation will focus on the regional aspects of cooperation, including an analysis of the possible benefits and drawbacks of working with regional interventions. The evaluation is one of a series on regional approaches.

Purpose: Serves as an input to the new regional strategy for Asia.

18–23. Long-term co-operation studies – Laos, Sri Lanka, Vietnam, Honduras, Nicaragua, Central Asia

For countries where Sweden terminates long-term development cooperation in its present form, studies will be carried out which summarises results and experiences from several decades of cooperation. In some of these UTV will provide considerable support, particularly regarding Laos and Sri Lanka, where the current cooperation strategies indicate clearly that such studies shall be made. In other countries e.g. Vietnam, Nicaragua and Honduras UTV will provide advise on demand with the aim of facilitating the evaluative aspects of the studies.

These studies should not only be descriptions of the long periods of cooperation but as much as possible look at experiences and lessons learnt that may be used in instances where the various development programs are continued by partner countries alone, or with the support of other donors. They should also, as much as possible, give an account of the results of the support from Sweden. An important principle is that the studies are carried out joint with the respective partner country. The studies are planned to be published by UTV in a separate series.

Purpose: The purpose of these studies is both to give an overview of the inputs, outputs and outcomes of Swedish development cooperation with the countries in questions, and generate some general lessons learnt from that.

C. Indicative Evaluations for 2010

These evaluation ideas are not part of the 2009 plan, but will be considered by UTV for the 2010 evaluation plan, which will be presented to the Director General for a decision in 2010.

The poorest of the poor

How is Sida (and possibly other donors, if we engage in a joint evaluation) approaching the needs of poorest of the poor? Are development cooperation efforts benefitting this group? Are current development trends sufficiently including the people who are the poorest? This evaluation could possibly be developed into an international joint evaluation.

Justice, Law and Order Sector

Drawing lessons from previous support to the justice, law and order sector is an important contribution to the future support for Swedish DHR priorities: civil and political right as well as the institutions and procedures of democracy. The evaluation is also well in line with focus of Sida's Empowerment Department on *equal access to justice*. The evaluation is preferably done jointly with other development partners and will most likely include a number of country case studies with significant support to different aspects of the JLO sector.

Land rights

What are Sida's, and possibly other donor's, experiences of working with land rights in land administration interventions including cadastre and land registration? An evaluation on the topic should include case studies in a variety of regions, including the Balkans and Africa. This evaluation could possibly be developed into an international joint evaluation.

Cross Boarder Water Resources

Since 1996 Sida has supported sustainable use of water resources in Southern Africa with focus on conflict prevention where more than two countries share a common water resource. The scarcity of water is a potential source of conflict. What lessons can be learned from Sida's work with participatory processes and different mechanisms for dealing with conflicts and management of joint water resources?

Global aid modalities

What are the benefits and drawbacks of working with global projects and programmes? How do these interventions complement country specific projects and programmes, and regional initiatives?

Anti-trafficking

What are the relevance, effectiveness, impact and sustainability of anti-trafficking projects in Europe? What has been the possible added value of a regional approach to the issue? The evaluation is one of a series on regional approaches.

Local democracy

What are the relevance, effectiveness, impact and sustainability of interventions aimed at promoting local democracy? What are the relationships between such efforts and promotion of civil society at local levels?

Support to democracy in authoritarian societies

Working with democracy building in authoritarian societies (such as Belarus, North Korea and Burma) poses very specific challenges. What lessons can be learned from this work, in particular regarding civil society support?

Media and other watchdogs

The watchdog function of civil society is crucial for any democracy. This evaluation would look at the relevance, effectiveness, efficiency, impact and sustainability of interventions in this area.

Discriminated groups

How is Sida working with discriminated groups? This evaluation would include case studies of support to e.g. LGBT-issues, the Roma population in Europe and people with disabilities.

The social sector in Moldova

Team Georgia/Moldova is planning a large evaluation on experiences of working in the social sector in Moldova.



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